REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

JOB NUMBER 𝒩𝒥−4ϒ5−01−3

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
8601 Adelphi Road, College Park, MD 20740-6001

DATE RECEIVED 9−28−2000

1. FROM (Agency or establishment)
Department of the Treasury

2. MAJOR SUBDIVISION
Financial Management Service

3. MINOR SUBDIVISION
Regional Operations

4. NAME OF PERSON WITH WHOM TO CONFER
Sharon M. King

5. TELEPHONE
(202) 874-6960

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE	ARCHIVIST OF THE UNITED STATES
	WITHDRAWN

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached __6__ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

[X] is not required; [ ] is attached; or [ ] has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
9/28/00	Sharon M. King	Director, Administrative Programs Div.

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>Regional Operations (RO)</u> RO headquarters (in Washington, DC) directs and oversees payments services for non-Department of Defense agencies in the Executive Branch of the Federal Government RO field locations disburse over 850 million Federal payments, including social security and tax refunds, with a total value of well over $1 trillion RO headquarters and the Regional Financial Centers maintain many important business relationships with other Federal agencies and the financial sector RO is also assisting the implementation of the Treasury Offset Program which will help collect billions of dollars of debt owed to the Federal Government (See attached sheets) **WITHDRAWN**		

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

1. Payment History

   Payment History provides an integrated series of systems/processes that maintains historical records relating to governmentwide electronic and check payment issuance, check payment status (i.e., paid or outstanding), and claims actions associated with government disbursements. This information provides Treasury and Government agencies with the ability to research a specific payment(s) along with any resulting claims actions (e g , non-receipt, reclamation, available check cancellation, etc.). This information supports the resolution of payee/payor disputes, reclamation actions, and prosecution of fraud and forgery cases involving government payments.

   PODSARS is a disk archival and retrieval system that contains detailed payment issuance information for both check and EFT payments issued by a Regional Financial Center. Additionally, PODSARS data is updated annually with claims actions processed during the previous year. Historical data on PODSARS is used when information pertaining to a specific payment(s) is needed and that information preceded PACER On-line, which was implemented in October 1997.

   Microfilm data is available for those payment(s) pre-dating (1930's-1994) the advent of PODSARS. Microfilm phase-out began in 1991 and completed in 1994.

   A. Inputs: Data pertaining to payments are transmitted electronically to the FMS mainframe by the following:

   Federal Program Agencies (FPAs)
   Federal Reserve Banks
   STAR (central accounting)
   TOP Control System (Treasury Offset Program)
   Check Payment and Reconciliation (CP&R)
   Regional Financial Centers (RFCs)
   Non-Treasury Disbursing Offices

   Disposition: Delete incoming files upon input and verification of data into PODSARS.

   B. Master File: Contains payment history records developed from inputs. Stored on microfilm and optical disks.

   Disposition: Cutoff at the end of each fiscal year Destroy 20 years after cutoff.

WITHDRAWN

C. Outputs:

(1) Paper

(a) Available check cancellation file
Claims disposition files
Deposit ticket/debit voucher
Daily district office 4 10 transactions for GOALS
SF 1219/SF 1220 Statement of Accountability

Disposition:　Cutoff at the end of each fiscal year. Destroy 7 years after
cutoff.

(b) Reclamation forms

Disposition:　Reclamation cases resolved via ACH/EFT return(s) are
destroyed subsequent to verification. Cases involving
remittance(s) and/or correspondence or which may remain in an
outstanding status (unresolved), destroy 7 years after cutoff.

(2) Electronic

Available check cancellation file
Claims disposition files
Deposit ticket/debit voucher
Daily district office 4.10 transactions for GOALS
Dishonored ACH (EFT) return file
Batch agency cancellation files
Digital check imaging request file

Disposition:　Transmit output files to other FMS systems, (e.g., STAR, CP&R and
TRACS). Outputs are scheduled under program offices receiving
data.

D. System Documentation:

Data systems specifications, file specifications, codebooks, record layouts, user guides,
output specifications, and final reports (regardless of medium) relating to a master file
or data base.

Disposition:　Maintain for life of the system, plus 3 years.

WITHDRAWN

2. PACER On-line

Payment History provides an integrated series of systems/processes that maintains historical records relating to governmentwide electronic and check payment issuance, check payment status (i.e., paid or outstanding), and claims actions associated with Government disbursements. This information provides Treasury and Government agencies with the ability to research a specific payment(s) along with any resulting claims actions (e.g., non-receipt, reclamation, available check cancellation, etc.). This information supports the resolution of payee/payor disputes, reclamation actions, and prosecution of fraud and forgery cases involving government payments.

PACER (POL) On-line database will be implemented in two phases. Module One of POL provides users with the capability to do on-line inquiries, initiate stop requests or view digital check images. The user will be able to view all checks issued by the U.S. government and Electronic Funds Transfer (EFT) payments issued by Treasury Disbursing Officers (TDO). Check Payment and Reconciliation (CP&R) will transmit all new issue and paid information to POL for Non-Treasury Disbursing Offices (NTDO) and TDOs. A file will be transmitted to POL from the Regional Financial Centers (RFCs) containing issue information for TDOs, including the payee ID and the payee's name and address. Module Two of POL will replace the Regional Operations batch Claims system, the accounting system and returned payments processing.

RFCs are being phased-in to POL MOD II with Kansas City Financial Center as the pilot on July 3, 2000. POL MOD II includes a validation match against the Legacy Claims History file when processing claims for government agencies for the period of time preceding an RFC's POL implementation date.

   A. Inputs: Data pertaining to payments are transmitted electronically by the following:

      Federal Program Agencies (FPAs)
      Federal Reserve Banks
      STAR (central accounting)
      TOP Control System (TCS)
      Check Payment and Reconciliation (CP&R)
      Regional Financial Centers (RFCs)
      Non-Treasury Disbursing Offices (NTDOs)

      Disposition: Delete incoming files upon input and verification of data into PACER On-line.

   B. Master File: Contains payment history records developed from inputs.

      Disposition: (1) Delete Individual Indian Monies (IIM) records after 20 years old.
                       (2) Delete non-IIM (all other) records after 7 years old.

WITHDRAWN

C. Outputs:

(1) Paper

Available check cancellation file
Claims disposition files
Deposit ticket/debit voucher
Daily district office 4.10 transactions for GOALS
SF 1219/SF 1220 Statement of Accountability

Disposition: Cutoff at the end of each fiscal year. Destroy 7 years after cutoff.

(2) Electronic

(a) Available check cancellation file
Claims disposition files
Deposit ticket/debit voucher
Daily district office 4.10 transactions for GOALS
Dishonored ACH(EFT) return file
Batch agency cancellation files
Digital check imaging request file

Disposition: Transmit output files to other FMS systems (e.g., STAR, CP&R
and TRACS). Outputs are scheduled under program offices
receiving data.

(b) Reclamation forms

Disposition: Original reclamation record is deleted 1 year from creation date.
Subsequent response(s), scanned reclamations, scanned
correspondence, and electronic notes, destroy 7 years from the
most recent activity.

D. System Documentation:

Data systems specifications, file specifications, codebooks, record layouts, user guides,
output specifications, and final reports (regardless of medium) relating to a master file
or data base.

Disposition: Maintain for life of the system, plus 3 years.

WITHDRAWN

-4-

3. Month-End Check Issue Summary (SF 1179)

   Refers to a physical form that delineates the check issue range(s) for each check symbol used by a Regional Financial Center (RFC) for the issuance of check payments during the accounting month.

   > *Medium*:   Paper

   > *Disposition*:   Cutoff at the end of each fiscal year. Destroy when 7 years old. .

4. Validated Posting Tape Report

   Refers to a paper/microfiche record listing summary Federal Program Agency (FPA) payment issuance data by agency location code (ALC) and payment schedule.

   > *Medium*:   Paper and Microfiche

   > *Disposition*:   Destroy paper when 6 months old. Destroy microfiche when 7 years old.

5. Certification System Files

   Refers to the payment history folder which contains payment request detail and supporting certification, progress sheets, TCS payment match offset report, debt match offset report, and any other supporting documentation.

   A. Record Copy

      > *Disposition*:   Destroy 7 years after payment date.

   B. Microfilm of progress sheets and cards.

      > *Disposition*:   Destroy 7 years after payment date.

      > *Note·   Item 5B of this schedule supersedes items 353 and 354 of the NI-425-91-1 schedule.*

6. Cancelled Checks

   Checks that have been returned to FMS that have not been negotiated (e.g. undeliverables, deceased payees, and checks that have been held at the request of the agency and not mailed, etc.).

   > *Disposition*:   Destroy 90 days after confirmed deposit showing funds have been credited back to the originating agency.

WITHDRAWN

7. GOALS Microfiche

    The microfiche copies consist of Federal Programs Agencies monthly transactions transmitted and/or viewed via GOALS for selected applications.

    Disposition· Cutoff at the end of each fiscal year. Destroy 20 years after cutoff.

8. Chronological Program Related Paper Files

    These are paper files that pertain to actions, adjustments and transactions relating to disbursing activities. The paper files serve as both documentation and a written audit trail to prove that FMS's disbursement activities further the processing of relevant central data into the PACER On-line system. Further, it exists as written evidence of FMS' activities in response to its responsibilities under various pieces of legislation.

    A. Record Copy

        Disposition: Destroy when 7 years old.

    B. Copies

        Disposition: Destroy when 3 years old.

    C. Working Papers

        Disposition: Destroy when 3 years old

9. Electronic Mail and Word Processing System Copies

    Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

WITHDRAWN

A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: Destroy/delete within 180 days after the recordkeeping copy has been produced.

B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: Destroy/delete when dissemination, revision, or updating is completed.

WITHDRAWN