

*(See Instructions on reverse)*

**1. FROM (Agency or establishment)**

1. FROM (Agency or establishment)  
National Credit Union Administration

## 2. MAJOR SUBDIVISION

Office of the Inspector General (OIG)

### 3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

Denise M. Clarke

703-518-6353

## 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 \_\_\_\_ 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,



is not required.

11

is attached; or



has been requested.

DATE \_\_\_\_\_

~~SIGNATURE OF AGENCY REPRESENTATIVE~~

**TITLE**

Dep. Dir. Administration

12/3/99

Gerard M. McClernon

TITLE  
Dep. Dir. Administration

**7.**  
**ITEM**  
**NO.**

## 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

**9. GRS OR  
SUPERSEDED  
JOB CITATION**

**10. ACTION  
TAKEN (NARA  
USE ONLY)**

See attached sheets

Agency, NWMD, NWCT

1. **Investigative Case Files.** Case files developed during investigations of known or of alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases related to National Credit Union Administration (NCUA) personnel and programs and operations administered or financed by NCUA including contractors and others having a relationship with NCUA. This includes investigative files relating to employee and hotline compliants, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working papers. ✓

a. Case files of significant value meeting one or more of the following criteria: (1) The subject of the file is the Chairman, members of the Board, Executive Director, Executive Assistants, Chief Financial Officer, and Office Directors; (2) the case attracts national or regional media attention; (3) the case results in Congressional investigation; (4) the case results in substantive changes in NCUA policies and procedures. Significant cases will be selected by the NCUA's Office of Inspector General based on the criteria listed in this item. ✓

PERMANENT. Cutoff at the end of the fiscal year in which the case is closed. Retain in office for 7 years. Retire to off-site storage. Transfer to the National Archives of the United States 10 years after cutoff.

b. All other investigative files not covered by item a.

TEMPORARY. Cutoff at the end of the fiscal year in which the case is closed. Retain in office for 7 years. Retire to off-site storage. Destroy 10 years after cutoff.

c. Files containing information on allegations of an investigative nature that do not result in the establishment of a formal case file. The files, which may be denominated "Preliminary Inquiry," cover anonymous or vague allegations not warranting a full investigation, matters referred to the other components of NCUA or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations.

TEMPORARY. Cutoff at the end of the fiscal year in which the case is closed. Retain in office for 1 year. Retire to off-site storage. Destroy 3 years after cutoff.

2. **Audit Files.** Audit files and investigations that assist management in identifying, analyzing and resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement.

a. Final reports.

PERMANENT. Cut off at the end of the fiscal year in which issued. Retain in office for 2 years. Retire to off-site storage. Transfer to the National Archives of the United States when the most recent report is 10 years old.

- b. Records created or acquired during the course of the audit and the development of the final report, including notes and work files.

TEMPORARY. Cut off at the end of the fiscal year. Retain in office for 2 years. Retire to off-site storage. Destroy 5 years after the end of the fiscal year in which the final report is issued.

### **3. Electronic mail and word processing documents.**

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 items 1 and 2. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies of records covered by item 1 and 2 that have no further administrative value after the first 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.

TEMPORARY. 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.

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