

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <del>NI-TDB 95-4</del> NI-56-95-4	DATE RECEIVED 1-4-95
1. FROM (Agency or establishment) Thrift Depositor Protection Oversight Board		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION		DATE 1-2-97	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
4. NAME OF PERSON WITH WHOM TO CONFER Teresa C. Stinson	5. TELEPHONE 301/416-2602		

**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;  is attached; or  has been requested.

DATE 12/5/94	SIGNATURE OF AGENCY REPRESENTATIVE <i>Teresa C. Stinson</i>	TITLE Executive Secretariat
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7 ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p><b><u>ADMINISTRATIVE HISTORY</u></b></p> <p>The Thrift Depositor Protection Oversight Board (TDPOB) originally was established as the Oversight Board for the Resolution Trust Corporation (RTC) by the Financial Institutions Reform, Recovery, and Enforcement Act of 1989. The Board's name, membership and duties were altered by the RTC Refinancing, Restructuring, and Improvement Act of 1991, effective February 1, 1992.</p> <p>The TDPOB consists of seven members: the Secretary of the Treasury, who serves as Chairman; the Chairman of the Board of Governors of the Federal Reserve System; the President and Chief Executive Officer of the RTC; the Chairman of the Federal Deposit Insurance Corporation (FDIC); the Director of the Office of Thrift Supervision (OTS), and two independent members.</p>		

JUL 14 1997 *MPV**copy to: Agency, NWRW  
NWDD  
NUPF*

Attachment to SF-115  
Job #NI-56 - 95 - 4

### Administrative History

The Thrift Depositor Protection Oversight Board (TDPOB) originally was established as the Oversight Board for the Resolution Trust Corporation (RTC) by the Financial Institutions Reform, Recovery, and Enforcement Act of 1989. The Board's name, membership and duties were altered by the RTC Refinancing, Restructuring, and Improvement Act of 1991, effective February 1, 1992.

The TDPOB consisted of seven members: the Secretary of the Treasury, who serves as Chairman; the Chairman of the Board of Governors of the Federal Reserve System; the President and Chief Executive Officer of the RTC; the Chairman of the Federal Deposit Insurance Corporation (FDIC); the Director of the Office of Thrift Supervision (OTS), and two independent members.

The TDPOB's duties under the 1991 Act are to review overall strategies, policies and goals of the RTC and to approve, prior to implementation, RTC financial plans, budgets and periodic financing requests. The TDPOB also was to oversee activities of the Resolution Funding Corporation (REFCORP), which was established by FIRREA primarily to issue up to \$30 billion of long-term bonds to fund the resolution of insolvent thrifts by the RTC.

As of January 1, 1996, the membership of the Oversight Board would be reduced to three persons: the Secretary of the Treasury, the Chairman of the Board of Governors of the Federal Reserve and the Secretary of HUD.

Most of the Board's RTC-related duties would terminate on December 31, 1995. Those remaining would include: evaluation of Congressionally required audits of the RTC; transmittal to Congress of the GAO's audited financial statement of the RTC for its last fiscal year no later than June 28, 1996; completion of the final semiannual report and semiannual appearance before Congress, covering the RTC's last three months of operations; completion of a joint annual report of the RTC and the Oversight Board for calendar year 1995; completion of the final report under Article 28 of the RTC Completion Act by the Chairman of the Oversight Board to the Senate and House Banking Committees: a detailed description of the purposes for which funds made available to the RTC by the Completion Act were used, and continuation of service by the Chairperson of the Oversight Board, or delegate, as a non-voting members of the Affordable

Housing Advisory Board, which was scheduled to terminate on September 30, 1998.

Though its staff offices were scheduled to close on June 30, 1996, after completion of all final reporting, the TDPOB itself was to continue on to oversee the REFCORP.

Upon dissolution of REFCORP, to occur as soon as practicable after maturity and full payment of its obligations, (approximately 2030), the TDPOB was to exercise any power of REFCORP necessary to settle and conclude REFCORP's affairs. With REFCORP's affairs taken care of, the TDPOB itself will end, as well.

1. Correspondence and Official Agency Documents.

Includes all official correspondence, incoming and outgoing, official TDPOB documents, i.e., Board Book materials (containing meeting materials, agenda, minutes of last meeting, recent board activities, recent RTC actions, etc.) congressional reports, policy statements, memos, charts and other reports that are sent to the Board members, reports on hearings, testimony, etc. Files date from the Agency's inception (August 1989) to present and are indexed electronically. This filing system serves as the archival snapshot of the TDPOB. Arranged chronologically by year. Volume: approximately 70 cubic feet.

Disposition: Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

2. Correspondence Profile System. An electronic index used to track correspondence and documents. The index was created with off-the-shelf software (Filemaker Pro) on a Macintosh IIX terminal, operating on System 7.0. This package was customized for TDPOB to electronically index all incoming and outgoing correspondence and official documents in the Correspondence and Official Agency Documents record series and the Central Files Subject. Dates: 1989-1996.

2.a. Input. Profile sheet for each incoming correspondence and official documents received. Profile sheet information is filled electronically using the Macintosh IIX terminal. The unique profile number is automatically assigned.

Disposition. Temporary. Destroy after information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of,

or serve as backup to, the master file, whichever is later (GRS 20, item 2a).

- 2.b. **Data Files.** An electronic correspondence and document tracking system. Data elements include the profile number assigned to each document and incoming correspondence, date received, date of letter, names to and from, subject line, and data action completed. The data base is searchable by profile number, date or keywords. Volume: One 3-1/2 in. diskette.

Changes okay by Steve Milline via phone on 5/12/97. *SM*

Disposition: ~~Permanent.~~ <sup>Temporary. Delete when no longer needed.</sup> ~~Transfer with pertinent documentation (see schedule item 2.d.) to the National Archives Center for Electronic Records on June 30, 1996.~~

- 2.c. **Output.** Printed hardcopy list of indexed documents by profile number.

Changes okay by Steve Milline via phone on 5/12/97. *SM*

Disposition: ~~Temporary.~~ <sup>Permanent. Retire to Washington National Records Center on June 30, 1991.</sup> ~~Destroy on June 30, 1996, or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is sooner, with the Correspondence and Official Agency Documents (item I). Transfer to NATIONAL Archives 6 years after retirement.~~

- 2.d. **Documentation.** Includes directions for indexing and retrieving documents from the Correspondence Profile System entitled, "Using the Macintosh IIX for Logging in records or Retrieving Records," and other manuals or instructions.

Changes okay by Steve Milline via phone on 5/12/97. *SM*

Disposition: ~~Permanent.~~ <sup>Temporary. Destroy when no longer needed.</sup> ~~Transfer with the data files (schedule item 2.b.) to the National Archives Center for Electronic Records on June 30, 1996.~~

- 2.e. **System Backup.** The system is backed up on 3-1/2 inch diskettes.

Disposition: **Temporary.** Delete when the identical records have been deleted, or when replaced by subsequent backup file (GRS 20, Item 8b).

3. **Central Subject Files.** Documents from TDPOB offices are sent to the TDPOB Central files and arranged alphabetically by subject, thereunder chronologically. Each subject is given a number that corresponds with the alphabetical arrangement. Series includes all major subject areas worked on by the TDPOB staff. As new topics arise, they are added to the series. These files contain staff reports (original

or record copy) and memos for approval of official action. Also contained are documents and reports to justify or support official actions.

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Steve Milline via  
phone on 5/12/97.  
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Disposition: ~~Permanent~~ <sup>Temporary</sup>. Retire to the Washington National Records Center on June 30, 1996. ~~Transfer to the National Archives 6 years after retirement.~~  
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4. Press Release File. Contains the record copy of each announcement issued for distribution to the news media. Arranged in reverse chronological order. Dates: September 1989 to November 1995. Volume: 3 cubic feet.

Disposition: Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

5. Speech File. Contains the record copy of each speech made at formal ceremonies and during interviews by the principal officer and senior officials relating to the mission and business of the Agency. Speeches are made before financial organizations, associations, and Congress. Arranged chronologically. Dates: 1989 to 1995. Volume: about 1.5 cubic feet.

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Disposition: Permanent. Retire to the Washington <sup>NATIONAL</sup> Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

6. Congressional Records

6.a. Congressional Hearings Records. Contains the working papers such as drafts, copies of testimony, and other background materials since 1991 of the Agency as it prepared to address Congress or Congressional inquiries. Arranged alphabetically by subject.

Disposition: Temporary. Destroy on June 30, 1996, or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is sooner.

6.b. Semi-Annual Appearance Books. Contains the meetings books for appearances before Congress. Also includes testimonies, letters with invitations to testify, notice of hearings. Volume: 2 cu. ft. Dates: 1989-1996.

Disposition: Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

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by Steve Milline  
in phone on 5/12/97.  
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~~6.c. Semi-Annual Reports. Section 21A(k)(5)(A) of the Federal Home Loan Bank Act, as added by section 501(a) of the Financial Institutions Reform, Recovery and Enforcement Act of 1989, requires that the Oversight Board and the RTC submit to Congress semiannual reports on the activities and efforts of the RTC, the FDIC and the Oversight Board. File contains semiannual reports from December 1990 to April 1996.~~

~~Disposition: Permanent. Transfer to the Dept. of Treasury on June 30, 1996 as part of the Corporate Files (See Item 19.c.). Treasury will schedule disposition at a later date.~~

7. Video Tapes. Includes commercial quality video tapes of some of the TDPOB meetings of the Board members.

Disposition: Temporary. Destroy on June 30, 1996, or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is sooner.

8. National and Regional Advisory Board Files. Contains Regional and National Advisory Boards' meeting minutes, verbatim transcripts, briefing books, and recommendations. Arranged chronologically. Dates: 1990-1995. Volume: 22 cu. ft.

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Steve Milline via  
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Disposition: Permanent. Retire to the <sup>Washington</sup> National Records Center on June 30, 1996. Transfer to ~~Washington~~ National Archives 6 years after retirement.

9. The National Housing Advisory Board Files. (This Board is the predecessor to the Affordable Housing Advisory Board.) Contains the verbatim transcripts of the National Housing Advisory Board regional and national meetings, meeting minutes, briefing books, agenda, reports, recommendations, and other materials pertinent for each of the National Housing Advisory Board's meetings. Arranged chronologically. Dates: 1991 to 1993. Volume: 1 cu. ft.

Disposition: Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to National Archives 6 years after retirement.

10. The Affordable Housing Advisory Board Files. (This Board succeeded the National Housing Advisory Board and the new AHAB will exist until September 30, 1998. The administrative functions, previously performed by the Oversight Board, were taken over in 1996, by the Federal

Deposit Insurance Corporation.) Files contain the verbatim transcripts of the Affordable Housing Advisory Board regional and national meetings, briefing books, agenda, reports, recommendations, and other materials pertinent for each of the Affordable Housing Advisory Board meetings. Arranged chronologically. Dates: 1994 to 1996. Volume: 4 cu. ft.

Disposition. Transfer to the Treasury Department, to be scheduled by Treasury at a later date.

11. Housing Opportunity Hotline. Eight federal agencies and government-sponsored enterprises united in an effort to help thousands of persons, including very low- to moderate-income families, achieve home ownership. The agencies were: Department of HUD, Farmers Home Administration, Dept. of Veteran's Affairs, Freddie Mac, Fannie Mae, RTC, GSA, and FDIC. Beginning October 15, 1992, the eight organizations established a joint marketing information center in Dallas. The center operated on a six-month pilot basis to provide information on over 3,000 homes for sale throughout Texas. By dialing a toll-free Housing Opportunity Hotline number, a caller received information on homes being offered for sale by the organizations anywhere in Texas. Files include: press releases, reports on costs associated with the hotline, briefing book on hearings held in association with the program, housing policy updates, extension agreement, briefing book listing program objectives, memorandum of understanding, etc. Vol. 1 cu. ft.

Disposition. Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

12. Charters of Boards. Contains the original and successive or renewed charters of the TDPOB, the National and Regional Advisory Boards, the National Housing Advisory Board, and the Affordable Housing Advisory Board. Arranged chronologically. Dates: 1989 to 1996. Volume: 3 in.

Disposition. Permanent. Retire to the <sup>Washington</sup> National Records Center on June 30, 1996. Transfer to National Archives 6 years after retirement.

13. Annual Reports of Advisory Boards. Contains the Annual Reports of the National and Regional Advisory Boards, the National Housing Advisory Board, and the Affordable Housing Advisory Board. Arranged chronologically. Dates: 1991 to 1995. Volume: 3 inches.

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Steve Milne via  
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Disposition. Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to National Archives 6 years after retirement.

14. Early Resolution Assisted Mergers (ERAM). Pursuant to notice published in the Federal Register (57 Fed. Reg. 6266) on February 21, 1992, a public hearing was held on March 25, 1992, before the Thrift Depositor Protection Oversight Board in order to hear the views of persons who had submitted written comments on various issues raised by early resolutions and assisted mergers of trouble thrift institutions. The topic had been highlighted by Section 143 of the Federal Deposit Insurance Corporation Improvement Act of 1991, Pub. L. 102-242, 105 Stat. 2236 (1991). Early resolution and assisted merger ("ER/AM") refers to a class of transactions and techniques that might be employed to recapitalize a financial weak thrift institution in the hope of avoiding a more costly liquidation or sale of the institution by the RTC in the event of the institution's future insolvency. Files contained include hearing book with list of participants, panel members, witnesses, prepared statements of witnesses, statements by TDPOB representatives, briefing book of the hearing, comments submitted for the hearing, invitation letters, and testimony. Vol. 1 cu. ft.

Disposition. Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

15. Working Papers. Includes reference copies used for analysis, calculations, rough notes, drafts, and other similar materials used or created for a final product.

Disposition. Temporary. Destroy on Jun 30, 1996, or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is sooner.

16. Administrative Records.

16.a. FY 96 Audit Files. Contains administrative records created by TDPOB used in the audit of the Agency's programs, operations, and procedures and the audit report. These records will be sent to an GSA to be used in completing the FY 96 Audit of the Statement of Obligations and Additional Audit Schedules. Arranged chronologically. Vol.



Disposition. Temporary. Send to GSA on June 30, 1996, for audit. Retire to the Washington National Records Center upon completion of audit. Destroy 8 years after retirement.

- 16.b. Administrative Files (1989 to 1995). Contains administrative records created by TDPOB in administering the Agency's programs and operations. Vol. 8 cu. ft.

Disposition. Temporary. Retire to the Washington National Records Center on June 30, 1996. Destroy 6 years after retirement.

- 16.c. Electronic Mail Records. TDPOB policy is to print hardcopies of substantive electronic messages for inclusion in the textual files. Contains messages in electronic format.

Disposition. Temporary. Delete from the electronic mail system after copying to a recordkeeping system (GRS 20, item 14).

17. Audit Committee (AC) Files. Files include briefing books, agendas, presentations, participation lists, invitation letters, audit control and follow-up charts, correspondence, charter and notation vote for approval of charter, and minutes. Volume 1.0 cu. ft.

Disposition. Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

18. Strategic Plan Files. FIRREA required the Oversight Board, in consultation with the RTC to develop a Strategic Plan for the RTC's functions and activities, and to submit such plan to Congress no later than December 31, 1989. The Strategic Plan is to set forth the RTC's goals, objectives, and implementing procedures in support of its mission. FIRREA established the minimum contents that the plan and the implementing guidelines and procedures must contain. Files contain: Original strategic plan, comment letters on draft strategic plan, and strategic plans on the following: case resolution, asset disposition, affordable housing provisions, conflicts of interest and ethical standards, external relations, and administration. Volume: 1 cu. ft.

Disposition. Permanent. Retire to the Washington National Records Center on June 30, 1996. Transfer to the National Archives 6 years after retirement.

19. Corporate Files and Records.

The following are ongoing, active files of the Oversight Board. These files will be turned over to the Treasury Department at the close of the Oversight Board staff offices.

19.a. Minutes Books containing minutes of the Board Meetings, resolutions, notation votes, policy statements;

19.b. Directives of the Executive Officer;

19.c. Congressional and Other Mandated Reports, including Oversight Board calendar (1994 - 1995); AND THE SEMI-ANNUAL REPORTS;

19.d. Board Meeting Books;

19.e. REFCORP Files: Quarterly Projections, Quarterly Reports, Annual Budgets, REFCORP Annual Report, Policy Matters, Legal Questions and Interpretations

19.f. Oversight Board Approved Funds Released to RTC Correspondence and Board Resolutions; Confirmation of Transfers

Disposition. Transfer Items 19.a. through 19.f. to the Treasury Department on June 30, 1996. The Treasury Department will schedule these items at a later date.

20. Litigation Records.

20.a. Administrative Claims. Contains case files of administrative claims filed against TDPOB. Arranged chronologically. Vol. 1 cu. ft.

Disposition. Temporary. Retire to the Washington National Records Center on June 30, 1996. Destroy 6 years after retirement.

20.b. Litigation Case Files. Case files for all litigations filed or threatened against the TDPOB and its members. Arranged chronologically.

Changes okay by  
Steve Milline via  
home on 5/12/97.  
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Disposition. Temporary. Retire to the Washington National Records Center on June 30, 1996. Destroy 6 years after retirement.

Duplicative, fragmentary, non-record materials and items under the General Records Schedule may be disposed without further permission from the Thrift Depositor Protection Oversight Board.