

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-483-04-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/09/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 2 remains active.

Item 3 remains active.

Item 4 remains active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1a was superseded by N1-483-09-002, item 4a.

Item 1b was superseded by N1-483-09-002, item 4a.

Item 5a was superseded by DAA-GRS-2017-0003-0002 (GRS 5. 2, item 020).

Item 5b was superseded by DAA-GRS-2017-0003-0002 (GRS 5. 2, item 020).

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-483-04-1</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>Nov. 10, 2003</i> <i>TT/NNML</i>	
1. FROM (Agency or establishment) Office of Thrift Supervision		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Deputy Director/Regional Offices		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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			
4. NAME OF PERSON WITH WHOM TO CONFER Kathy Collins	5. TELEPHONE NUMBER (202)906-7514	DATE <i>3-18-04</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
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 <u>2</u> page(s) are not needed now for the business for 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE November 7, 2003	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy Collins</i>		TITLE Manager, Records Management, Helpdesk and Web Services
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached		
<i>cc Agency, NR, NARA, NARA, NARA, NARA</i>			

Regional Institution-Related Records

This schedule applies to all formats and media in which records are created and maintained at the OTS, including paper, microform, and electronic.

1. Corporate Structure Files.

~~These files contain the current and superceded charters and bylaws and may include other supervisory or operating agreements entered into by the thrift or holding company. They also may include the Board of Directors' resolutions approving the agreements or adopting any other supervisory conditions, and, if available, a copy of FDIC's notice that insurance has been granted to the institution.~~

This will supercede N1-483-91-2, Item 1

Disposition: Retain in office until the thrift or holding company becomes inactive.

Superseded by:

N1-438-09-2/4A
DATE (MM/DD/YYYY):

10/19/2010

- a. Prior 5 years of records relating to the inactive institution.

Disposition: PERMANENT. Paper copies may be transferred to the Federal Records Center 2 years after thrift or holding company becomes inactive. Transfer to NARA 15 years after thrift or holding company becomes inactive.

Superseded by:

N1-438-09-2/4A
DATE (MM/DD/YYYY):

10/19/2010

- b. All remaining inactive records.

Disposition: Temporary. Paper copies may be transferred to the Federal Records Center 2 years after thrift or holding company becomes inactive. Destroy all remaining inactive records 15 years after thrift or holding company becomes inactive.

2. Active Thrift, Holding Company, and IT Servicer Examination Working Papers

Documentation of the procedures followed and the conclusions reached during the examination of a Thrift, Holding Company or IT Servicer. These files include, but are not necessarily limited to, 1) supervisory correspondence, copies of cease and desist orders or other supervisory agreements, analysis of the entity's condition and other supervisory material of a general nature; 2) reports issued after an examination of the books, policies, and procedures has been conducted by OTS and/or other thrift regulators; 3) documents created by an examiner and other OTS staff in the course of conducting an examination of an entity; and 4) copies of appraisals. Some or all of these files may exist in an area office as well as in the regional office in hard copy and electronic form.

This will supercede N1-483-91-2, Item 2 (1a and 1b)

Disposition: Temporary

Cut off at the end of the examination. Retain the working papers for the last two completed examinations and until they are a minimum of three years old. Destroy when no longer needed for supervisory, legal and enforcement purposes.

3. Inactive Thrift or Holding Company Examination Working Papers

This will supercede N1-483-91-2, Item 3, for thrifts or holding companies that become inactive on or after January 1, 2004.

When a thrift or holding company becomes inactive through merger into, purchase and assumption by, or consolidation combine the working papers of the active thrift or holding company with those working papers from the inactive entity needed for supervisory purposes.

Disposition: Temporary.

Destroy 5 years after the thrift or holding company becomes inactive.

4. Inactive IT Servicer Examination Working Papers:

IT Servicer that no longer services OTS regulated institutions.

Disposition: Temporary.

Destroy 5 years after the services are no longer provided to the OTS institutions.

5. Electronic Mail and Word Processing System Copies

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

- a. Copies having no further administrative value after the recordkeeping copy has been produced - including copies maintained by individuals in personal files, personal electronic 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 recordkeeping copy.

Disposition: Temporary.

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

Superseded by:
DAA 6RS-2016-0016-000
DATE (MM/DD/YYYY):
10/2017

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

Disposition: Temporary.

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