

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-483-07-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 4/26/2021

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These items, unless subsequently superseded, may be used by the agency to disposition records.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 8, SENIOR STAFF MEETING MINUTES

Item 12, FACT SHEETS

Item 14, ASSISTANT DIRECTOR AND REGIONAL COORDINATORS' WORKPAPERS CASE FILES

Item 24, HOLDING COMPANY UNIVERSE SYSTEM -MASTER REPORTS

item 25, UNIVERSE SYSTEM -MASTER REPORTS

Item 26, THRIFT TIME SERIES DATA - 1993 AND FORWARD REPORT FORMS, INSTRUCTIONS, AND OTHER DOCUMENTATION

Item 34, ETHICS POLICY AND PROCEDURES FILES

Item 35, CHIEF COUNSEL POLICY AND PROCEDURES

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

N1-483-09-002 supersedes all other items. Note 17A, 20A and 20B are filing instructions.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-483- 05 -1 ⁰⁷	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10-13-2006	
1. FROM (Agency or establishment) Office of Thrift Supervision		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Kathy Collins	5. TELEPHONE NUMBER (202) 906-7514	DATE 3/20/07	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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>14</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 9-19-2006	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy Collins</i>		TITLE Manager, Records Management, Help Desk & Web Services
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>This schedule applies to all formats and media in which records are created and maintained at the Office of Thrift Supervision (OTS), including paper, microfilm, and electronic records. Every effort will be made to transfer permanent electronic records to NARA in accordance with NARA standards applicable at the time of transfer. If transfer of the electronic records is not feasible, NARA and the OTS will negotiate, prior to transfer, alternative media, formats, and/or physical arrangement that meet the needs for continued preservation and use.</p> <p>SEE ATTACHED</p> <p>Note: Authorization to transfer permanent records to NARA or authorization to destroy temporary records is subject to prior approval of OTS Counsel.</p> <p><i>schedule consists of perm items only.</i></p>		

This schedule applies to all formats and media in which records are created and maintained at the Office of Thrift Supervision (OTS), including paper, microfilm, and electronic records. Every effort will be made to transfer permanent electronic records to NARA in accordance with NARA standards applicable at the time of transfer. If transfer of the electronic records is not feasible, NARA and the OTS will negotiate, prior to transfer, alternative media, formats, and/or physical arrangement that meet the needs for continued preservation and use.

This media neutral schedule replaces the following previously approved permanent disposition authorities, as noted.

1. OTS BUDGET

MAJOR SUBDIVISION: Information Systems & Finance

DESCRIPTION: Final Budget formulation records which represent OTS' budget and reallocations which are effected throughout the budget year.

DISPOSITION: Permanent. Cut off every 5 calendar years. Transfer to NARA 20 years after cutoff. (Supersedes Job. No. N1-483-91-3/3)

~~2. BUREAU ORGANIZATIONAL CHARTS/MANUALS~~

~~**MAJOR SUBDIVISION:** Human Resources and Administrative Services~~

~~**DESCRIPTION:** Bureau level record copy of organizational charts and manuals. Includes function statements.~~

~~**DISPOSITION:** Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job. No. N1-483-92-2/2)~~

Superseded by:

N1-483-09-2/3A
DATE (MM/DD/YYYY):

10/19/2010

~~3. DIRECTIVES MANUAL FILES~~

~~**MAJOR SUBDIVISION:** Information Systems & Finance~~

~~**DESCRIPTION:** These are case files which document the development of policy and procedures. These files include directives created before the reorganization of FHLBB to OTS.~~

~~**DISPOSITION:** Permanent. Cut off when revised or superseded. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-92-2/3)~~

Superseded by:

N1-483-09-2/1A
DATE (MM/DD/YYYY):

10/19/2010

~~4. DELEGATIONS OF AUTHORITY~~

Superseded by:

~~N1-483-09-2/3B~~

DATE (MM/DD/YYYY):

~~10/19/2010~~~~MAJOR SUBDIVISION: Office of Director~~~~DESCRIPTION: Series consist of signed copies of OTS delegations of authority.~~~~DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 30 years after cutoff. (Supersedes Job No. N1-483-92-2/6)~~~~5. SCHEDULE OF DAILY ACTIVITIES~~

Superseded by:

~~N1-483-09-2/1A~~

DATE (MM/DD/YYYY):

~~10/19/2010~~~~MAJOR SUBDIVISION: Office of Thrift Supervision (Agency-Wide)~~~~DESCRIPTION: This series contains the schedules of daily activities, such as calendars, appointment books, and telephone calls/logs of OTS senior-level management officials.~~~~DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-2/1)~~~~6. CONGRESSIONAL CONTROLLED CORRESPONDENCE FILES~~~~MAJOR SUBDIVISION: External Affairs~~~~DESCRIPTION: These files include incoming and outgoing correspondence and supporting documentation. The correspondence contains information to and from members of Congress and/or their staff, the White House and the Department of the Treasury.~~

Superseded by:

~~N1-483-09-2/1B~~

DATE (MM/DD/YYYY):

~~10/19/2010~~~~DISPOSITION: Permanent. Cut off: At the end of each Congress remove the files for members who are no longer in office due to retirement, defeat for re-election, death or other reason. Transfer to NARA 2 years after member leaves office. (Supersedes Job No. N1-483-93-3/3)~~~~7. OTS DIRECTOR'S CORRESPONDENCE FILES~~

Superseded by:

~~N1-483-09-2/1A~~

DATE (MM/DD/YYYY):

~~10/19/2010~~~~MAJOR SUBDIVISION: Office of Director~~~~DESCRIPTION: Files contain letters and memoranda in chronological order issued by the Director of OTS.~~~~DISPOSITION: Permanent. Cut off at the end of the OTS Director's term. Transfer to NARA 2 years after cutoff. (Supersedes Job. No. N1-483-93-3/7)~~

8. SENIOR STAFF MEETING MINUTES

MAJOR SUBDIVISION: Office of Director

DESCRIPTION: Files contain formal minutes documenting each meeting.

DISPOSITION: Permanent. Cut off at the end of the OTS Director's term. Transfer to NARA 2 years after cutoff. (Supersedes Job No. N1-483-93-3/9)

9. DIRECTOR'S SPEECH FILES

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: This file consists of speeches made by the OTS Director. These speeches are distributed to the press, the public and OTS offices/staff upon request.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-4/2)

10. BIOGRAPHICAL FILES

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: These files consist of biographical information and photographs of former FHLBB Chairmen, senior staff, the OTS Directors and senior staff.

DISPOSITION: Record Set is permanent. Cut off upon termination or separation of individual. Transfer to NARA 3 years after cutoff. (Supersedes Job No. N1-483-93-4/3)

Superseded by:

N1-483-09-2/1A

DATE (MM/DD/YYYY):

10/19/2010

11. PRESS RELEASES

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: This file contains copies of the agency's "Press Releases" on various agency activities. Press releases provide information to the public on important agency and thrift industry developments, such as the Director's briefing on the quarterly financial condition of the industry, major regulatory initiatives and chartering activities. Press releases are often accompanied by attachments expanding the information on a particular subject.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 3 years after cutoff. (Supersedes Job No. N1-483-93-4/4)

12. FACT SHEETS

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: These files contain information provided to the general public and other government agencies. Information consists of such items as: adjustable mortgage rates, fixed rate mortgage and conventional home rate mortgage programs. Other information includes media questions regarding S&L receiverships and information on the organizational structure of OTS.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 3 years after cutoff. (Supersedes Job No. N1-483-93-4/5)

13. REGULATORY POLICY FILES

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: These files consist of the finalized versions of the Thrift Bulletins and Regulatory Bulletins, and all correspondence information pertaining to each bulletin.

DISPOSITION: Permanent. Cut off when superseded or obsolete. Transfer to NARA 20 years after cutoff. (Supersedes Job No. N1-483-93-4/7)

14. ASSISTANT DIRECTOR AND REGIONAL COORDINATORS' WORKPAPERS CASE FILES

MAJOR SUBDIVISION: Deputy Director/Regional Operations

DESCRIPTION: This series contains files in which the Assistant Director and each Regional Coordinator maintains materials relating to important Top 10 institutions in each region, cases of particular interest to the Director and Deputy Director for Regional Operations and other regional issues.

DISPOSITION: Permanent. Cut off 1 year after closing of institution. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-6/3)

15. FEDERAL FINANCIAL INSTITUTIONS EXAMINATION COUNCIL (FFIEC) SUBCOMMITTEE RECORDS

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: Meeting minutes and documentation regarding issues brought before committees.

Committees include but are not limited to the Accounting Subcommittee and the Appraisal Subcommittee of FFIEC.

Meeting agendas, minutes, and notes arranged chronologically.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-8/8a)

16. EXAMINATION, SUPERVISION AND CONSUMER PROTECTION/PROJECT/SUBJECT FILES - OTS RECORDS

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: Documents include reports, memos, letters and issue papers that set forth policy development and interpretation, communications and oversight regarding examination, supervision and consumer protection policies, procedures and standards. Documentation regarding policy issues, management of the program or project and historic files. FHLBB and other related records that are necessary and used for current business are included.

Superseded by:
N1-483-09-2/3A
DATE (MM/DD/YYYY):
10/19/2010

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 20 years after cutoff. (Supersedes Job No. N1-483-93-9/1a.2 and N1-483-93-8/1b)

17. REGULATORY HANDBOOKS – OTS RECORDS

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: Included are drafts of chapters, field staff's comments, issue and working papers, format changes, updates and historic copies of the handbooks. Background information, revisions and all documentation concerning regulations, policy and procedures.

Handbooks include but are not limited to: the Compliance Laws and Regulations; the Compliance Self-Assessment; the Trust; the EDP; the Holding Company; and Thrift Activities.

~~a. Active Record Set~~

~~Cut off when revised or superseded. Transfer to the Historical File (Item 17b) after cutoff. (Supersedes Job No. N1-483-93-9/3a and N1-483-93-8/7a)~~

~~b. Historical Record Set~~

~~**DISPOSITION:** Permanent. Cut off at the end of the calendar year. Transfer to NARA 20 years after cutoff. (Supersedes Job No. N1-483-93-9/3b and N1-483-93-8/7b.2 for OTS records)~~

instruction TT 10/19/02
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N1-483-09-2/3A
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18. COMMITTEE FILES

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: Meeting minutes and documentation regarding issues brought before committees. Included are letters and memos that concern questions, decisions and issues of the committees.

Committees include but are not limited to: the Supervisory Policy Review Committee; the Interagency Risk-based Capital Working Group; and internal OTS working groups including representatives from the regions/districts.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-9/4)

19. PUBLICATIONS - OTS RECORDS

Superseded by:
N1-483-09-2/3A
DATE (MM/DD/YYYY):
10/19/2010

MAJOR SUBDIVISION: Office of Supervision (Agency Wide)

DESCRIPTION: OTS publications which may include but are not limited to: Special Reports; Research Papers; Invited Papers; OTS Weekly Paper Series; OTS Corporate Directory and Holding Companies.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 5 years after cutoff. (Supersedes Job No. N1-483-93-9/5a.2, N1-483-93-8/6a.2 and N1-483-95-1/5b)

20. POLICY BULLETINS - OTS RECORDS

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: A series of memos which set forth and interpret OTS policy and procedures and address the policy, procedures and objectives which are germane to improving the supervisory process.

Memoranda files include but are not limited to the following series: Regulatory Bulletins; Thrift Bulletins; Technical Memoranda; Regulatory Memoranda; Alert Bulletins; and Supervisory Procedures.

a. Record Set

Cut off when revised or superseded. Transfer to the Rescinded Bulletins Files (Item 20c) after cutoff. (Supersedes Job No. N1-483-93-9/6a)

instruction
TT
10/13/06

b. Working Papers

~~Cut off when corresponding bulletin becomes obsolete. Transfer to the Rescinded Bulletins Files (Item 20c) after cutoff. (Supersedes Job No. N1-483-93-9/6b)~~

instruction
10/13/06

c. Rescinded bulletin files and associated papers

DISPOSITION: Permanent. Cut off at the end of the calendar year in which the bulletin becomes obsolete. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-9/6c.2)

~~21. DIRECTOR'S SUBJECT FILES~~

Superseded by:

N1-483-09-2/14
DATE (MM/DD/YYYY):

~~**MAJOR SUBDIVISION:** Office of Director~~

~~**DESCRIPTION:** Reports, correspondence, meeting and conference materials, etc. on various matters of interest to the Director.~~

~~**DISPOSITION:** Permanent. Cut off files at the end of the Director's tenure. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-11/2)~~

10/19/2010

22. ASSISTANTS' SUBJECT FILES

MAJOR SUBDIVISION: Office of Director

DESCRIPTION: Subject files of the Director's assistants and representatives to the Resolution Trust Corporation and the Federal Deposit Insurance Corporation.

DISPOSITION: Permanent. Cut off files at the end of the Assistant's tenure. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-11/3)

23. ASSISTANT'S CASE FILES

MAJOR SUBDIVISION: Office of Director

DESCRIPTION: Documents relating to the enforcement actions by OTS and investment banking/brokering activities related to the sale of a thrift.

DISPOSITION: Permanent. Cut off files when case is closed. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-93-11/4)

24. HOLDING COMPANY UNIVERSE SYSTEM – MASTER REPORTS

MAJOR SUBDIVISION: Information Systems & Finance

DESCRIPTION: This system generates various reports that provide information in several formats, including a listing of thrift holding companies by name, by H number, and by structure number and listings of subsidiary thrifts by name and OTS docket number.

(Thrifts owned by Holding Companies, Thrift Ownership by HC Organization Form, Holding Companies by Name, Holding Company Structures by Enterprise #; and Holding Companies by H Number)

DISPOSITION: Permanent. Cut off at the end of each calendar year. Transfer with the database "snapshot" to NARA immediately after cutoff. (Supersedes Job No. N1-483-93-12/2a)

25. UNIVERSE SYSTEM – MASTER REPORTS**MAJOR SUBDIVISION:** Information Systems & Finance

DESCRIPTION: This system generates various reports that provide information such as: active institutions and charter conversions for institutions during a specific time period, merged institutions, liquidated and withdrawn institutions, the history of an institution and significant information regarding financial institutions. These reports can be recreated at any time.

(Active Members by Incorporation Date, Institution Name; Active Members by Docket; Active Members by Institution Name, City; Active Members by State, City; Number of Active Member Institutions by Charter Types by State; List of Mergers, Liquidations and Member Withdrawals; and Membership Listing by Docket)

DISPOSITION: Permanent. Cut off at the end of each calendar year. Transfer to NARA 5 years after cutoff. (Supersedes Job No. N1-483-93-16/2a)

26. THRIFT TIME SERIES DATA - 1993 AND FORWARD REPORT FORMS, INSTRUCTIONS, AND OTHER DOCUMENTATION**MAJOR SUBDIVISION:** Information Systems & Finance

DESCRIPTION: These documents are the blank forms and instructions sent to the thrift institutions for completion. These forms may change with each filing. Also included are the computer documentation for the Thrift Time Series master files.

DISPOSITION: Permanent. Transfer forms and instructions and other documentation to NARA with the master files at the end of each processing year. (Supersedes Job No. N1-483-93-24/4b and N1-483-93-24/3b for system documentation)

~~27. PUBLIC LEGISLATIVE HISTORY FILES - 1988 AND CONTINUING~~

~~MAJOR SUBDIVISION: Office of Chief Counsel~~

~~DESCRIPTION: These records consist of the bills, predecessor bills, hearings, etc. on statutes that relate to housing, banking and other subjects of special interest to OTS and its predecessors. These documents have been bound and filed by bill number.~~

~~DISPOSITION: Permanent. Cut off at the end of Congress. Transfer to NARA 30 years after cutoff. (Supersedes Job No. N1-483-95-1/1b)~~

Superseded by:

N1-483-09-2/2A
DATE (MM/DD/YYYY):
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~~28. CHIEF COUNSEL'S CORRESPONDENCE~~

~~MAJOR SUBDIVISION: Office of Chief Counsel~~

~~DESCRIPTION: These files consist of correspondence and opinions signed by the FHLBB General Counsel and the OTS Chief Counsel.~~

~~DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-98-1/1a)~~

Superseded by:

N1-483-09-2/1A
DATE (MM/DD/YYYY):
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~~29. LEGISLATIVE HISTORY AND LEGISLATIVE REFERENCE FILES~~

~~MAJOR SUBDIVISION: Office of Chief Counsel~~

~~DESCRIPTION: This series contains information relating to the preparation, analysis and review of thrift industry related legislation of the FHLBB and OTS. Other records identified in this series include bills, committee reports, hearings, Congressional records, correspondence, testimony, amendments, opinions, memoranda, working papers, and proposed and finalized OTS and FHLBB legislation. Documents relating to various statutes (such as the Federal Home Loan Bank Act, the Home Owner's Loan Act, the National Housing Act, the Freedom of Information Act, Privacy Act, and the Ethics in Government Act) are contained in these files.~~

~~DISPOSITION: Permanent. Cut off at the end of each Congress. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-98-1/2a)~~

Superseded by:

N1-483-09-2/2A
DATE (MM/DD/YYYY):
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~~30. REGULATORY REFERENCE FILES~~

~~MAJOR SUBDIVISION: Office of Chief Counsel~~

Superseded by:

N1-483-09-2/2A
DATE (MM/DD/YYYY):
10/19/2010

DESCRIPTION: This series consists of background materials and information that relate to the proposed and final versions of FHLBB and OTS regulations.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-98-1/3a)

31. LITIGATION FILES – SIGNIFICANT CASE FILES

MAJOR SUBDIVISION: Office of Chief Counsel

DESCRIPTION: The OTS Chief Counsel is responsible for determining which cases are “Significant” based on the following criteria:

- The case impacts on the interpretation of FHLBB- and OTS-related legislative and regulatory statutes.
- The case affects the operations of the OTS and has an impact on the activities of the thrift industry.
- The case has a high volume of Congressional or public inquiries.
- The case may impact OTS as a result of liability to respondents and losses to OTS.
- The case involves high-profile individual(s).

This series includes work papers, materials involved in discovery proceedings, briefs, transcripts, pleadings, bankruptcy files and request for documents from outside parties.

DISPOSITION: Permanent. Cut off at the end of the calendar year in which the case is closed. (A case is considered closed when the time period for which an appeal may be filed has elapsed). Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-98-1/4a1)

Superseded by:
N1-483-09-2/58
DATE (MM/DD/YYYY):
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32. ENFORCEMENT FILES

MAJOR SUBDIVISION: Office of Chief Counsel

a. Significant Case Files (Enforcement Investigations)

DESCRIPTION: The OTS Chief Counsel is responsible for determining which cases are “Significant” based on the following criteria:

- The case impacts on the interpretation of FHLBB- and OTS-related legislative and regulatory statutes.
- The case affects the operations of the OTS and has an impact on the activities of the thrift industry.
- The case has a high volume of Congressional or public inquiries.
- The case may impact OTS as a result of liability to respondents and losses to

Superseded by:
N1-483-09-2/58
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OTS.

- The case involves high-profile individual(s).

This series may include but is not limited to examination reports, transcripts of depositions, cease and desist orders, supervisory agreements, civil money penalties, criminal referrals, and removal and prohibitions orders. Other records relating to this series include issues relevant to the enforcement of statutes and regulations, opinions, memoranda of law, correspondence, enforcement proceedings, and documentation of actions sent to the Enforcement Review Committee for their review and action.

DISPOSITION: Permanent. Cut off when case closes. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-98-1/5a1)

b. Enforcement Association Files

DESCRIPTION: This series contains information on institutions involved in enforcement actions, the memoranda requesting action, interim and final reports relating to enforcement actions and proceedings, court actions, and correspondence.

DISPOSITION: Permanent. Cut off when institution closes or all matters relating to that closed institution are completed, whichever is later. Transfer to NARA 30 years after cutoff. (Supersedes Job. No. N1-483-98-1/5c1)

c. Enforcement Review Committee Files

DESCRIPTION: Files contain documentation of actions sent to the OTS Regional and OTS Washington Review Committees for their review and action. Includes documents executed by the Committee.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-98-1/5d1)

Superseded by:

N1-483-09-2/5A
DATE (MM/DD/YYYY):
10/19/2010

33. ENFORCEMENT ORDERS

MAJOR SUBDIVISION: Office of Chief Counsel

DESCRIPTION: Files consist of orders signed by regional directors to commence enforcement actions. Records are maintained in Washington.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 30 years after cutoff. (Supersedes Job No. N1-483-98-1/6a)

Superseded by:

N1-483-09-2/5A
DATE (MM/DD/YYYY):
10/19/2010

34. ETHICS POLICY AND PROCEDURES FILES

MAJOR SUBDIVISION: Office of Chief Counsel

DESCRIPTION: These are the Conduct Rules that OTS publishes to notify its employees of their duties and responsibilities.

DISPOSITION: Permanent. Cut off at the end of the calendar year. Transfer to NARA 15 years after cutoff. (Supersedes Job No. N1-483-98-1/10c1)

35. CHIEF COUNSEL POLICY AND PROCEDURES

MAJOR SUBDIVISION: Office of Chief Counsel

DESCRIPTION: Policy and guidelines used and/or developed by the Chief Counsel's staff.

DISPOSITION: Permanent. Cut off when policy and procedures are superseded. Transfer to NARA 10 years after cutoff. (Supersedes Job No. N1-483-98-1/14a)

36. ADJUDICATORY FILES

MAJOR SUBDIVISION: Office of Chief Counsel

~~a. Administrative Hearings~~

~~**DESCRIPTION:** These files contain administrative hearings arising from OTS enforcement and investigative actions against thrift institutions and adjudicatory materials received and processed by the OTS Regulations and Legislation Division.~~

~~**DISPOSITION:** Permanent. Cut off at the end of the calendar year in which the case closes. Transfer to NARA 20 years after cutoff. (Supersedes Job No. N1-483-98-1/19a1)~~

Superseded by:

N1-483-09-2/5A
DATE (MM/DD/YYYY):

10/19/2010

~~b. Master List~~

~~**DESCRIPTION:** This is a finding aid for the adjudicatory files.~~

~~**DISPOSITION:** Permanent. Cut off at the end of the calendar year when corresponding files are cutoff. Transfer to NARA 20 years after cutoff. (Supersedes Job No. N1-483-98-1/19b1)~~

Superseded by:

N1-483-09-2/5A
DATE (MM/DD/YYYY):

10/19/2010

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	GRS OR SUPERSEDED JOB CITATION
1	OTS Budget	483-91-3/3
2	Bureau Organizational Charts/Manuals	483-92-2/2
3	Directives Manual Files	483-92-2/3
4	Delegations of Authority	483-92-2/6
5	Schedule of Daily Activities	483-93-2/1
6	Congressional Controlled Correspondence Files	483-93-3/3
7	OTS Director's Correspondence Files	483-93-3/7
8	Senior Staff Meeting Minutes	483-93-3/9
9	Director's Speech Files	483-93-4/2
10	Biographical Files	483-93-4/3
11	Press Releases	483-93-4/4
12	Fact Sheets	483-93-4/5
13	Regulatory Policy Files	483-93-4/7
14	Assistant Director and Regional Coordinators' and Workpapers Case Files	483-93-6/3
15	Federal Financial Institutions Examination Council (FFIEC) Subcommittee Records (meeting records)	483-93-8/8a
16	Examination, Supervision and Consumer Protection Subject Files (OTS Records)	483-93-9/1a.2 483-93-8/1b
17	Regulatory Handbooks – OTS Records Active Record Set	483-93-9/3a 483-93-8/7a
	Historical Record Set	483-93-9/3b 483-93-8/7b.2
18	Committee Files	483-93-9/4
19	Publications (OTS records)	483-93-9/5a.2 483-93-8/6a.2 483-95-1/5b
20	Policy Bulletins – OTS Records Record set Working Papers Rescinded bulletin files and associated papers	483-93-9/6a 483-93-9/6b 483-93-9/6c.2

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	GRS OR SUPERSEDED JOB CITATION
21	Director's Subject Files	483-93-11/2
22	Assistants' Subject Files	483-93-11/3
23	Assistants' Case Files	483-93-11/4
24	Holding Company Universe System Master Reports	483-93-12/2a
25	Universe System Master Reports	483-93-16/2a
26	Thrift Time Series Data – 1993 and Forward Report Forms, Instructions, and other Documentations	483-93-24/4b 483-93-24/3b
27	Public Legislative History Files (1988 and Continuing)	483-95-1/1b
28	Chief Counsel's Correspondence	483-98-1/1a
29	Legislative History and Legislative Reference Files	483-98-1/2a
30	Regulatory Reference Files	483-98-1/3a
31	Litigation Files – Significant Case Files	483-98-1/4a1
32	Enforcement Files Significant Case Files (Enforcement Investigations) Enforcement Association Files Enforcement Review Committee Files	483-98-1/5a1 483-98-1/5c1 483-98-1/5d1
33	Enforcement Orders	483-98-1/6a
34	Ethics Policy and Procedures Files	483-98-1/10c1
35	Chief Counsel Policy and Procedures	483-98-1/14a
36	Adjudicatory Files Administrative Hearings Master List	483-98-1/19a1 483-98-1/19b1