Schedule Number: N1-483-08-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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 3, UTILITY CONSUMPTION FILES
Item 29, DIRECTOR'S REFERENCE CORRESPONDENCE ("FYI") FILES
Item 39, HOME OWNERS' LOAN CORPORATION CASE FILES

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION  
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

1. FROM (Agency or establishment)

Office of Thrift Supervision

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Kathy Collins

5. TELEPHONE NUMBER
(202) 906-7514

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 16 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,

☐ is not required  ☐ is attached; or  ☐ has been requested.

October 30, 2007  Kathy Collins  Manager, Records Management

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

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.

1. Commercial Tenants/Office Space Files

2. Senior Deputy Director and Chief Operating Officer
   a. Operational Files
   b. Subject Files – 1985 to Present

3. Utility Consumption Files

4. Building Maintenance and Administration
   Subject Files

5. Workman's Compensation Files

(See Continuation Sheets)

NOTE: Authorization to destroy temporary records is subject to prior approval of OTS Counsel.

9. GRS OR SUPERSEDED JOB CITATION

483-91-1/1

483-91-1/2

483-91-1/3

483-91-4/3

483-91-4/4

483-92-1/1

10. ACTION TAKEN

NARA USE ONLY

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

PREVIOUS EDITION NOT USABLE

115-109  3/28/08 copy sent to agency
<table>
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<th>GRS or Superseded Job Citation</th>
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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.

1. **COMMERCIAL TENANTS/OFFICE SPACE FILES**

MAJOR SUBDIVISION: Human Resources and Administrative Services

DESCRIPTION: These records include leases and correspondence of the commercial tenants and for the office space leased by the agency.


2. **SENIOR DEPUTY DIRECTOR AND CHIEF OPERATING OFFICER (COO) – SUBJECT FILES/OPERATIONAL FILES**

MAJOR SUBDIVISION: Senior Deputy Director and COO

a. **Subject Files – 1985 to Present.** Correspondence, including inter-agency agreements with other government agencies, including OMB. OMB correspondence is of a non-budgetary nature.


b. **Operational Files.** These files document the FHLBB and OTS interaction with other government agencies on routine administrative operational matters. Includes memoranda of understanding, inter-agency agreements and OMB correspondence of a non-budgetary nature.

DISPOSITION: Temporary. Cut off at the end of the calendar year or term of agreement. Destroy 3 years after cutoff. (Supersedes Job No. N1-483-91-1/2)

3. **UTILITY CONSUMPTION FILES**

MAJOR SUBDIVISION: Human Resources and Administrative Services

DESCRIPTION: Records of utility consumption reports.

DISPOSITION: Temporary. Cut off files every 5 calendar years. Destroy 20 years after cutoff. (Supersedes Job No. N1-483-91-4/3)
4. BUILDING MAINTENANCE AND ADMINISTRATION SUBJECT FILES

MAJOR SUBDIVISION: Human Resources and Administrative Services

DESCRIPTION: Subject files on contracts relating to the building, including preventive maintenance on electrical, plumbing, etc.

DISPOSITION: Cut off at the end of the calendar year. Destroy 6 years after cutoff. (Supersedes Job No. N1-483-91-4/4)

5. WORKMAN'S COMPENSATION FILES

MAJOR SUBDIVISION: Human Resources and Administrative Services

DESCRIPTION: Files contain Continuation of Pay reports sent to the Office of Worker's Compensation. The reports contain the quarterly figures on continuance of pay, the number of people, the number of workdays and the total costs of workman compensation.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 3 years after cutoff. (Supersedes Job No. N1-483-92-1/1)

6. ADMINISTRATIVE FILES

MAJOR SUBDIVISION: Human Resources and Administrative Services

DESCRIPTION: Files contain general administrative correspondence on compensation and benefits, reports and Human Resource Division programs.

DISPOSITION: Temporary. Cut off when revised or superseded. Destroy 2 years after cutoff. (Supersedes Job No. N1-83-92-1/2)

7. HEALTH AND WELLNESS PROGRAM

MAJOR SUBDIVISION: Human Resources and Administrative Services

DESCRIPTION: Files contain information on exercise class enrollments, schedules of classes, lunch-time seminars, information on nutrition, publicity and resource materials, Bond drives, CFC drives and Blood drives.
DISPOSITION: Temporary. Cut off at the end of the calendar year or when information is no longer needed. Destroy 2 years after cutoff. (Supersedes Job No. N1-483-92-1/3)

8. **MERIT INCREASE, BONUS AND INCENTIVE AWARDS PROGRAM**

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

**DESCRIPTION:** Files contain administrative correspondence of awards nominations, budgets, initial formulation data regarding performance level ratings and calculations for increases, periodic reports and final bonuses calculations.

**DISPOSITION:** Temporary. Cut off at the end of the calendar year. Destroy 3 years after cutoff. (Supersedes Job No. N1-483-92-1/4)

9. **CONGRESSIONAL RESPONSE**

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

**DESCRIPTION:** Files contain congressional inquiries regarding their constituent's application for a position at OTS.

**DISPOSITION:** Temporary. Cut off every 3 years. Destroy 3 years after cutoff. (Supersedes Job No. N1-483-92-1/5)

10. **EMPLOYEE LOCATOR**

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

**DESCRIPTION:** Files contain the name, current address, telephone number of employees and name, address and telephone number of another person in case of emergency.

**DISPOSITION:** Temporary. Cut off upon termination/separation from agency plus 6 months. Destroy upon cutoff. (Supersedes Job No. N1-483-92-1/7)

11. **DIVISION SUBJECT FILES**

**MAJOR SUBDIVISION:** Information, Technology and Finance

**DESCRIPTION:** These are case files of various management studies and projects completed by Records Management.
12. **CORRESPONDENCE FILES**

**MAJOR SUBDIVISION:** Director's Office

**DESCRIPTION:** Files consist of copies of all incoming/outgoing correspondence and background information of outside vendors, which could provide services for Office of Equality and Workplace Principles (OEWP) programs.

**DISPOSITION:** Temporary. Cut off at the end of the calendar year. Destroy 3 years after cutoff. (Supersedes Job No. N1-483-92-3/1)

13. **EXHIBITS FOR OTS PROGRAMS**

**MAJOR SUBDIVISION:** Director's Office, Office of Equality & Workplace Principles (OEWP)

**DESCRIPTION:** Files consist of posters and visual aids for display in the OTS lobby for programs sponsored by OEWP.

**DISPOSITION:** Temporary. Cut off at the end of the calendar year. Destroy 2 years after cutoff. (Supersedes Job No. N1-483-92-3/2)

14. **PROGRAM ANNOUNCEMENTS**

**MAJOR SUBDIVISION:** Director’s Office, Office of Equality & Workplace Principles

**DESCRIPTION:** Records consist of posters, flyers and announcements relating to OTS programs and outside agency programs including Hispanic Heritage Week, National Secretary Week, Black History Month, National Association of Urban Bankers, the NAACP Convention and other minority programs.

**DISPOSITION:** Temporary. Cut off at the end of the calendar year. Destroy 5 years after cutoff. (Supersedes Job No. N1-483-92-3/3)

15. **OUTGOING CORRESPONDENCE**

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

**DESCRIPTION:** Files consist of outgoing correspondence generated by the Human Resources and Management System.

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**Superseded by:**
- **CORRESPONDENCE**
  - **DATE (MM/DD/YYYY):** N1-483-09-2/18
  - **10/14/2010**

**Superseded by:**
- **OUTGOING CORRESPONDENCE**
  - **DATE (MM/DD/YYYY):** N1-483-09-2/18
  - **10/14/2010**
DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 3 years after cutoff. (Supersedes Job No. N1-483-92-4/1)

16. SUBJECT FILES

MAJOR SUBDIVISION: Human Resources and Administrative Services

DESCRIPTION: Files consist of information regarding programs, meetings, committees, reports and other activities/functions sponsored by OTS.


17. INFORMATION, TECHNOLOGY AND FINANCE (ITF) POLICIES AND PROCEDURES

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Internal OTS policies used in the systems development and maintenance process.

DISPOSITION: Temporary. Cut off when revised or superseded. Destroy upon cutoff. (Supersedes Job No. N1-483-92-9/2)

18. DATA PROCESSING/MANAGEMENT INFORMATION SYSTEMS (DP/IRB) BUDGET PLANNING FILES

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Correspondence, background data and reports from OTS offices that feed into the creation of the OTS DP/IRB budget.


19. INVESTMENT REVIEW BOARD COMMITTEE FILES

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Correspondence, meeting minutes and reports of the OTS Investment Review Board Committee.

20. DP SECURITY PROGRAM FILES

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Correspondence and reports describing OTS' management of DP security and implementation of the Computer Security Act of 1987.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 5 years after cutoff. (Supersedes Job No. N1-483-92-9/5)

21. DISASTER RECOVERY PLAN

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Correspondence and reports describing OTS' DP disaster recovery plans.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy when records are revised, superseded or obsolete. (Supersedes Job No. N1-483-92-9/6)

22. FIVE-YEAR DP PLAN

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Correspondence, plan and reports describing OTS' plan for meeting its information technology needs.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff. (Supersedes Job No. N1-483-92-9/7)

23. SERVICE/TROUBLE AND OPERATORS LOGS

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Records that document personnel on duty, service calls, maintenance activities, equipment problems, etc., in OTS computer rooms.

DISPOSITION: Temporary. Cut off twice a year. Destroy 6 months after cutoff. (Supersedes Job No. 483-92-9/9)
24. NON-CongRESSIONAL CONTROLLED CORRESPONDENCE

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: Files contain incoming and outgoing letters and other documentation relating to OTS.


25. CONGRESSIONAL REQUESTS FOR DOCUMENTS

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: These files contain documents produced in response to Congressional investigative oversight requests, Congressional subpoenas, and document production requests.


26. CONGRESSIONAL HEARINGS AND TESTIMONY FILES

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: A series of files that contain testimony and statements presented by the OTS Director, designated staff, and other witnesses on matters of interest to the OTS.

DISPOSITION: Temporary. Cut off at the end of each Congress. Destroy 4 years after cutoff. (Supersedes Job No. N1-483-93-3/5)

27. DEPARTMENT OF TREASURY CORRESPONDENCE

MAJOR SUBDIVISION: External Affairs

DESCRIPTION: Files contain incoming and outgoing correspondence with the Department of Treasury and may include supporting documentation.

DISPOSITION: Temporary. Retain in office for 2 years after end of the OTS Director's term. Transfer to FRC for 10 years. Destroy 12 years after cutoff. (Supersedes Job No. N1-483-93-3/6)
28. **SIGNATURE FILE FOR THE MANAGING DIRECTOR OF EXTERNAL AFFAIRS**  
**MAJOR SUBDIVISION:** External Affairs  
**DESCRIPTION:** This file contains correspondence signed by the Managing Director of External Affairs.  
**DISPOSITION:** Temporary. Cut off at the end of the calendar year. Destroy 5 years after cutoff. (Supersedes Job No. N1-483-93-3/8)

29. **DIRECTOR'S REFERENCE CORRESPONDENCE ("FYI") FILES**  
**MAJOR SUBDIVISION:** External Affairs  
**DESCRIPTION:** These files contain incoming correspondence and reports forwarded to the OTS Director as background information.  
**DISPOSITION:** Temporary. Cut off at the end of the Director's term. Destroy 10 years after cutoff. (Supersedes Job No. N1-483-93-3/10)

30. **CORRESPONDENCE FILES**  
**MAJOR SUBDIVISION:** External Affairs  
**DESCRIPTION:** This file contains the original and/or copies of documents signed by the Managing Director of External Affairs, with attached incoming and/or outgoing correspondence.  
**DISPOSITION:** Temporary. Cut off at the end of the calendar year. Destroy 10 years after cutoff. (Supersedes Job No. N1-483-93-4/1)

31. **SIGNATURE FILES FOR REGIONAL OPERATIONS**  
**MAJOR SUBDIVISION:** Senior Deputy Director and Chief Operating Officer (COO)  
**DESCRIPTION:** This series contains copies of all documents signed by the Senior Deputy Director and COO for Regional Operations.  
**DISPOSITION:** Temporary. Cut off at the end of the calendar year. Destroy 20 years after cutoff. (Supersedes Job No. N1-483-93-6/1)
32. SUBJ ECT FILES

MAJOR SUBDIVISION: Senior Deputy Director and Chief Operating Officer (COO)

DESCRIPTION: These files consist of documents relating to a variety of subjects of interest to the Deputy Director. Examples are: Examinations for all thrift-related institutions, applications restructuring, capital plans, institution files, restructuring of the industry, and other policy issues.

DISPOSITION: Temporary. Cut off upon termination/separation of Senior Deputy Director and COO. Transfer records to the FRC. Destroy records 10 years after cutoff. (Supersedes Job No. N1-483-93-6/2)

33. QUALITY ASSURANCE PROGRAM FILES

MAJOR SUBDIVISION: Senior Deputy Director and Chief Operating Officer (COO)

DESCRIPTION: These files contain correspondence, notes, reports and special reviews on the regional quality assurance programs and how the regional offices satisfy national program standards relating to the examination and supervision of thrift institutions.


34. IG AUDIT/INVESTIGATION FILES

MAJOR SUBDIVISION: Senior Deputy Director and Chief Operating Officer (COO)

DESCRIPTION: These files consist of the individual audit files (initial entrance meetings, interim and final reports, agency response and follow-up), general IG audit correspondence (correspondence with IG which does not pertain to a specific audit plan), and notes and pertinent information relating to Treasury IG investigations.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 10 years after cutoff. (Supersedes Job No. N1-483-93-6/6)

35. GAO RECORDS

MAJOR SUBDIVISION: Senior Deputy Director and Chief Operating Officer (COO)

DESCRIPTION: Documentation of the GAO audits of OTS, FHLBB and Office of Regulatory Affairs, including, but not limited to, the opening conference, requests for information, interim reports, and draft reports.
DISPOSITION: Temporary. Cut off at the close of the contract or case, one year after final report is issued. Destroy 10 years after cutoff. (Supersedes Job No. N1-483-93-6/7)

36. REGIONAL MANAGERS GROUP MEETINGS

MAJOR SUBDIVISION: Senior Deputy Director and Chief Operating Officer (COO)

DESCRIPTION: Records documenting the meetings of the Regional Managers Group, includes agendas, information distributed at meetings and informal notes by OTS staff.


37. DIRECTOR'S WEEKLY REPORT

MAJOR SUBDIVISION: Director

DESCRIPTION: Series consists of reports from OTS staff to the Director and Senior Deputy Director and COO of OTS detailing the current status of various projects and topics.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 5 years after cutoff. (Supersedes Job No. N1-483-93-7/1)

38. EXAMINATION, SUPERVISION AND CONSUMER PROTECTION – SUBJECT FILES – SUPPORTING INFORMATION (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 and supervisory policies, procedures and standards.

Included is research information and special projects resulting from requests and questions posed by agency officials and other government enterprises.

Programs and projects include but are not limited to: Regulatory Programs; Credit Risk Policy; Affiliates Policy; Supervision; Interest Rate Risk; Capital Markets; Capital Issues; Consumer Affairs; Compliance; EDP; and, Trust Programs.

Supporting background information, working papers and other material pertaining solely to Policy's administrative functions.
39. HOME OWNERS' LOAN CORPORATION CASE FILES

MAJOR SUBDIVISION: Chief Counsel

DESCRIPTION: Correspondence and forms relating to the release of home mortgages from the 1930s and 1940s.

DISPOSITION: Temporary. Cut off at the end of the calendar year in which paperwork is completed and the release granted. Destroy 3 years after cutoff. (Supersedes Job No. N1-483-93-8/2)

40. PUBLICATIONS – SUPPORTING/BACKGROUND INFORMATION (OTS RECORDS)

MAJOR SUBDIVISION: Office of Thrift Supervision (Agency-wide)

DESCRIPTION: One copy each of FHLBB and OTS publications which include but are not limited to Summary of Savings Accounts by Geographic Area; Savings and Home Finance Source Books; Trends in the Savings and Loan Field; OTS Corporate Directory and Holding Companies; Special Reports; Research Papers; Invited Papers; and, OTS Weekly Paper Series.

Supporting/background information and working papers.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 5 years after cutoff. (Supersedes Job Nos. N1-483-93-8/6b and 483-93-9/5b)

41. HANDBOOKS – WORKING PAPERS AND BACKGROUND INFORMATION

MAJOR SUBDIVISION: Office of Thrift Supervision (Agency-wide)

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.
Working papers and background information.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 5 years after cutoff. (Supersedes Job Nos. N1-483-93-8/7c and N1-483-93-9/3c)

42. FEDERAL FINANCIAL INSTITUTIONS EXAMINATIONS COUNCIL (FFIEC) SUBCOMMITTEE RECORDS — MEMBER WORKING PAPERS/SUBJECT FILES

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 the FFIEC.

Members working papers and subject files.


43. CHRON FILES

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: Copies of letters, memos and Program/Project/Subject file documents.

DISPOSITION: Temporary. Cut off at the end of the calendar year. Destroy 5 years after cutoff. (Supersedes Job No. N1-483-93-9/7)

44. HOLDING COMPANY COURSE FILES

MAJOR SUBDIVISION: Examination, Supervision and Consumer Protection

DESCRIPTION: Documents include instructor guides, participant guides and case study materials.


45. INTER-AGENCY MEETING/COMMITTEE FILES

MAJOR SUBDIVISION: Director’s Office
DESCRIPTION: Files contain agendas, minutes, etc. of inter-agency committee/boards/task forces in which the Director or his immediate staff participate.


46. THRIFT EDIT COMMENT SHEETS/REPORTS/CORRESPONDENCE

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: These records document the changes made by FHLBB/OTS personnel to the thrift institutions' data. These records reflect conversations with the thrifts about their filings. Over time these records may indicate whether a thrift has a significant reporting problem.

DISPOSITION: Temporary. Cut off at the end of the processing cycle. Transfer records to the Federal Records Center 6 months after cutoff. Destroy 11 years and 6 months after cutoff. (Supersedes Job No. N1-483-93-24/5)

47. ACCOUNTING TRANSMITTAL FORMS

MAJOR SUBDIVISION: Information, Technology and Finance

DESCRIPTION: Transmittal forms received from other government agencies that use OTS accounting services.

DISPOSITION: Temporary. Cut off at the end of the fiscal year, and destroy 1 year after cutoff. (Supersedes Job No. N1-483-92-7/7)