

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-483-08-2	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/11/08	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 3/6/09	ARCHIVIST OF THE UNITED STATES <i>Adrian Thomas</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>3</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 08/27/2008	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy Collins</i>		TITLE Manager, Records Management
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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>Electronic Systems (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>		

Office of Thrift Supervision Electronic Systems Records Schedule

Electronic Systems Records Schedule

This schedule covers the electronic systems used by the Office of Thrift Supervision (OTS). The Electronic Systems schedule will apply to financial and budget related systems, billing systems and mission-related systems (or systems that directly document and/or support the functions that fulfill the primary mission of OTS). This schedule does not cover records or electronic systems that are covered by a General Records Schedule (GRS).

As these records are created and maintained in different media and formats, this records schedule is written to authorize the disposition of the records in any media (media neutral). OTS will select media for the records copy and maintain temporary records throughout their lifecycle. Permanent records will be transferred to NARA, in accordance with regulations and procedures in place at the time of transfer, and in accordance with the time frames set forth in this schedule.

Item 1. Program-Related Billing Systems

OTS is not funded through Congressional appropriations, but through assessments levied on the savings associations and holding companies regulated by OTS. This series covers the electronic systems that OTS uses to create invoices and assess fees, as well as, to bill for trust examinations of regulated institutions and holding companies.

Current Systems are:

Exam Billing (**UNSCHEDULED**)

Holding Company Assessment Billing (**UNSCHEDULED**)

Thrift Assessment Billing (**UNSCHEDULED**)

Disposition: **TEMPORARY.** Cut off at the end of the calendar year. Destroy or delete 20 years after cut off or when no longer needed, whichever is later.

Item 2. Program-Related Examination, Supervision and Compliance Systems

These systems support the programs, activities and functions that directly support the primary mission of OTS.

Current Systems are:

Activity Update System (**UNSCHEDULED**)

Thrift Edit (**UNSCHEDULED**)

Disposition: **TEMPORARY.** Cut off at the end of the calendar year. Destroy or delete 7 years after cutoff or when no longer needed, whichever is later.

Item 3. CSM Service Provider

Office of Thrift Supervision Electronic Systems Records Schedule

This system maintains information about IT services and products used by OTS regulated institutions as well as information about organizations that provide IT services and products to them. OTS conducts special IT exams on our regulated institutions and also participates in exams on service organizations to ensure that services and products they provide meet industry standards.

Disposition: **TEMPORARY.** Cut off at the end of the calendar year. Destroy or delete 10 years after service provider becomes inactive.

Item 4. Risk Monitoring System (RMS)

The Risk Monitoring System (RMS) is a monitoring system that provides data and calculates financial ratios from the Thrift Financial Report (TFR), based on standards established in conjunction with the Uniform Thrift Performance Report (UTPR), to screen for exceptions to established limits and parameters. RMS provides staff with a standard tool for identifying adverse trends and deteriorating financial conditions in thrifts and their holding companies. The system is used by examiners, supervision analysts and other OTS staff for reporting and analysis.

Disposition: **TEMPORARY.** Cut off at the end of the calendar year. Destroy or delete 7 years after cutoff or when no longer needed, whichever is later.

Item 5. Executive Briefing Book (EBB)

The Executive Briefing Book (EBB) is an internal OTS system that tracks issue related documents for agency management. The system consists of notes made by program staff and copies of documents which show the status of current issues of interest to management. The system acts as a centralized place to display information regarding current issues, but the record copies are maintained in the program offices.

Disposition: **TEMPORARY.** Cut off when issue is resolved. Destroy/delete when no longer needed for reference.

Item 6. High Profile System

The purpose of the High Profile System is to designate whether an institution is considered to be high profile or low profile. The system treats all thrifts as either high profile or low profile based on different calculations. Authorized regional users are allowed to manually designate institutions as high profile that were previously designated as low profile by the system, based on various factors.

Disposition: **TEMPORARY.** Cut off and destroy/delete when updated or superseded.

Office of Thrift Supervision Electronic Systems Records Schedule

Item 7. Retiree Billing System

This system is used to bill OTS retirees for health and life insurance premiums that are not deducted from their retirement annuity (FIRF retirees—Health and Life Insurance, Federal retirees-OTS Life Insurance). Billing statements are processed on a monthly basis with retiree bank accounts directly debited.

Disposition: **TEMPORARY.** Cut off upon termination of an individual's retirement benefits. Destroy 6 years after cutoff.

Item 8. Risk Exposure Analysis and Reporting System (REAR)

The Risk Exposure Analysis and Reporting System (REAR) was developed to update and modernize the reporting process for the Interest Rate Risk (IRR) systems. The REAR system acts as a report presentation tool with a customized front-end product called the Net Portfolio Value Model (NPV Model). REAR manages the interest rate risk data that is produced by the NPV Model. The data contained in REAR is read and used by other OTS systems.

Disposition: **PERMANENT.** Cut off at the end of the calendar year. Immediately transfer the master file, IRR reports for individual institutions (PDF format) and system documentation to NARA. Maintain a copy of the database and IRR reports for 10 years after cutoff, or until no longer needed, whichever is later.

Item 9. Sequel to SAS System (SS Copy)

The SQL to SAS Copy (SS Copy) system is used to provide easy access to OTS financial and regulatory information for OTS users. The SS Copy system pulls information from several OTS databases, and then reads, rearranges, filters out unnecessary information and creates datasets, so that users can easily access the information. The datasets are used in various SAS reporting systems and accessed by many SAS users for ad-hoc reporting and system generated reports.

Disposition: **TEMPORARY.** Cut off and destroy/delete when updated or superseded.

Item 10. Web Content/Program Records

Agency web site content and all related web management and operations records.

Disposition: **TEMPORARY.** Cut off at the end of the calendar year. Destroy/delete 3 years after cutoff, or when superseded, obsolete, or when no longer needed for the conduct of agency business, whichever is later.

**Office of Thrift Supervision
Electronic Systems Records Schedule**

- Item 11. Intranet Content/Program Records**
Agency intranet content and all related management and operations records.

Disposition: **TEMPORARY.** Destroy/delete when updated, superseded, obsolete, or when no longer needed for the conduct of agency business, whichever is later.