REQUEST FOR RECORDS DISPOSITION AUTHORITY	JOB NUMBER N1-483- 09-2
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001	Date received 9/24/09
1 FROM (Agency or establishment) Office of Thrift Supervision	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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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	

4. NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Kathy Collins	(202) 906-7514	14 oct 10	

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 4 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

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
09/24/2009	Kathy Collins	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	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. **Comprehensive Records Retention Schedule – Bucket Format (See Attached)** **Note: Authorization to transfer permanent records to NARA or authorization to destroy temporary records is subject to prior approval of OTS Counsel.**		

Office of Thrift Supervision
Comprehensive Records Retention Schedule

The Office of Thrift Supervision (OTS) Comprehensive Records Retention Schedule is the authority to dispose of OTS program records that are specific to the OTS. This schedule does not include most records covered by a General Records Schedule (GRS). This schedule covers records created and maintained in the Washington, DC office and all other regional offices.

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 the National Archives and Records Administration (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. General Program Files

This series consists of reports, studies, briefings, correspondence, subject files, briefing books, congressional relations/communications, schedules of daily activities, audiovisual media, photographs, speeches, speaking engagements and presentations, and project files related to the functions, operations and program management of OTS offices, including related background information (copies of incoming memorandums, comments and drafts and similar documents).

1a. Program Files from the OTS Director; Senior Deputy Director and COO; Deputy Director, Chief Counsel; and Deputy Director, Examinations, Supervision and Consumer Protection.

Disposition: **PERMANENT.** Cut off at the end of the calendar year or when project is completed. Transfer to NARA no sooner than 5 years after cutoff, but no later than 10 years after cutoff.

1b. All Other Program Files

This item includes all other program files from all offices, including but not limited to the offices of: Examinations, Supervision and Consumer Protection, Chief Counsel (excluding records covered in Items 2 and 5), External Affairs, CIO, CFO, HR, Procurement, Financial Operations, Facilities, Office of Equality and Workplace Principles, IT, Security and Records Management.

Disposition: **TEMPORARY.** Cut off at the end of the calendar year or when project is completed. Destroy/delete no sooner than 5 years after cutoff, but no later than 10 years after cutoff.

Item 2. Regulatory and Legislative Files

This series contains information relating to the preparation, analysis and review of thrift industry related legislation of the OTS as well as background materials and information that relate to the proposed and final versions of OTS regulations.

2a. Mission-Related Regulatory and Legislative Files

Records relating to the primary mission of OTS which include information relating to the preparation, analysis and review of thrift industry related regulations and legislation of the OTS as well as background materials and information that relate to the proposed and final versions of OTS

regulations. Other records identified in this series include bills, committee reports, hearings, Congressional records, public comment letters, testimony, amendments, opinions, memoranda, working papers, and proposed and finalized OTS 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: **TEMPORARY.** Cut off at the end of the calendar year. Destroy/delete 15 years after cutoff.

2b. Routine Regulatory and Legislative Files
This series contains regulatory and legislative support files of a routine nature, including drafts, working files and files documenting the processing of proposed and final rules for publication in the Federal Register.

Disposition: **TEMPORARY.** Cut off at the end of the calendar year. Destroy/delete no sooner than 3 years after cutoff, but no later than 6 years after cutoff.

Item 3. Policy, Procedure and Publication Files
Policy records provide documentation of agency policies and policy development, including agency origin and organization, policy manuals and bulletins and policy related decisions and activities of senior executives. This series also includes policies, procedures, guidelines and manuals developed to provide guidance for the Office of Thrift Supervision (OTS) and guidance to regulated institutions. Included in this series are publications, published reports, handbooks, manuals, regulatory bulletins, thrift bulletins, policy bulletins, CEO memos, press releases, and directives.

Item 3a. Mission-Related Policy, Procedure and Publication Records
Records relating to the primary mission of the OTS, which include but are not limited to: publications, handbooks, manuals, press releases, official directives, bulletins, CEO memos, research papers, invited papers and records that document the policies, procedures, programs and organizational structure that fulfill the primary mission.

Disposition: **PERMANENT.** Cut off at the end of the calendar year. Transfer to NARA 15 years after cutoff.

Item 3b. Routine Policy, Procedure and Publication Records
This series contains routine policies and procedures, directives, surveys, publications, delegations of authority, internal memos and other notifications of a routine nature (i.e.: Travel, HR, Personnel, Procurement etc.).

Disposition: **TEMPORARY.** Cut off at the end of the calendar year. Destroy/delete no sooner than 6 years after cutoff, but no later than 10 years after cutoff.

Item 4. Institution Records
This series covers thrift and holding company institution records (all institutions and holding companies, including international).

Item 4a. Institution Files – Permanent Program Records
These records include all applications, all reports of examination, financial and securities filings (Securities and Exchange Act of 1934), supervisory correspondence, supervisory plans, holding

company files and matters, failed bank reviews, charters, bylaws, certificates and other materials related to the establishment of thrift or holding company institutions

The application folder includes but is not limited to various applications, including merger conversions, acquisitions of another institution, relocations, purchase or sale of branch offices, Oakar and Sasser applications, insurance of accounts, private placements, subordinated debentures, financial planning documents and/or business plans and waivers of certain regulatory restrictions. This item includes denied applications or any applications in which an agency decision is made This item does not include withdrawn applications (see item 4b below).

Disposition: **PERMANENT.** Cut off at the end of the calendar year. Transfer to NARA 30 years after cut off.

*Note: This item does not include Examination Workpapers. That series is covered by NARA-approved retention schedule number 483-04-1, Items 2, 3 and 4.

Item 4b. Withdrawn Applications
These records include all applications that are withdrawn by the applicant and no agency decision is made.

Disposition: **TEMPORARY.** Cut off at the end of the calendar year in which the application is withdrawn. Destroy records 15 years after cutoff.

Item 5. Office of Chief Counsel Files
Records in this series consist of legal records created and received by OTS chief counsel and enforcement divisions pertaining to enforcement case files, enforcement orders, enforcement actions, enforcement investigations, Enforcement Review Committee files, litigation case files and proceedings and adjudicatory files. All other program records and non-institution related records from the Office of Chief Counsel are covered in item 1.

Item 5a. Office of Chief Counsel – Permanent Program Records
This series includes records created by the office of chief counsel and enforcement divisions and includes Adjudicatory Files, Enforcement Association Files, Enforcement Orders and Enforcement Review Committee (Supervisory Action Committee) files.

Disposition: **PERMANENT.** Cut off at the end of the calendar year or when case is closed. Transfer to NARA no sooner than 10 years after cutoff, but no later than 20 years after cutoff

Item 5b. Office of Chief Counsel – Historically Significant Case Files
This series includes records created by the chief counsel and enforcement divisions covering significant enforcement case files and significant litigation case files.

The enforcement case files may include but are not limited to case preparation files, transcripts of depositions, cease and desist orders, supervisory agreements, civil money penalties, criminal referrals, and removal and prohibition orders. Other records relating to this series include opinions, memoranda of law, correspondence and enforcement proceedings relevant to issues related to the enforcement of statutes and regulations.

The litigation case files include but are not limited to work papers, materials involved in discovery proceedings, briefs, transcripts, pleadings, bankruptcy files and requests for documents from outside parties.

Significant case files are determined based on the following criteria·

- The case impacts on the interpretation of 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).

Disposition: **PERMANENT.** Cut off when case is closed. Transfer to NARA no sooner than 10 years after cutoff, but no later than 20 years after cutoff.

Item 5c. Office of Chief Counsel – Non-significant Case Files
This series includes all other enforcement and litigation case files that are not determined to be historically significant.

The enforcement case files may include but are not limited to case preparation files, transcripts of depositions, cease and desist orders, supervisory agreements, civil money penalties, criminal referrals, and removal and prohibition orders. Other records relating to this series include opinions, memoranda of law, correspondence and enforcement proceedings relevant to issues related to the enforcement of statutes and regulations.

The litigation case files include but are not limited to work papers, materials involved in discovery proceedings, briefs, transcripts, pleadings, bankruptcy files and requests for documents from outside parties.

Disposition: **TEMPORARY.** Cut off when case is closed. Destroy/delete 10 years after cutoff.

Item 6. Congressional Reports to Congress
The file contains Congressional mandated reports to Congress including, but not limited to, the Community Reinvestment Act, Consumer Complaints, Enforcement Efforts and Flood Insurance

Disposition: **PERMANENT** Cut off at the end of the calendar year. Transfer to NARA 10 years after cutoff.

Item 7. Building Sepias
These records are the sepias of original building construction. These include architectural drawings, electrical drawings, mechanical drawings, etc.

Disposition: ~~**PERMANENT.** Cut off when updated or superseded. Transfer to NARA 10 years after cutoff.~~
TEMPORARY. Retain for the life of the building or transfer to new owners upon purchase of building.
(Per discussion w/ agency records officer 6/7/10)

IMPORTANT NOTICE (DOCUMENT PRESERVATION)

Even though the OTS Records Retention Schedule may permit you to destroy a document (either in hard copy or in an electronic form) after a specified number of years, OTS may nevertheless have a legal duty to continue to retain that document beyond the specified retention period For this reason, when the retention period in the Records Retention Schedule has expired for documents in your unit, please do the following.

(1) Review the OTS Legal Document Preservation Requirements Memorandum, which identifies categories of information that you must not destroy. Note in particular, that some goodwill cases remain pending and require the preservation of various categories of documents You may access the Preservation Memorandum at the following link for more information: Legal Document Preservation Requirements

(2) Notify and obtain approval from Records Management before destroying any documents pursuant to this Records Retention Schedule Please contact Heather Westing at extension 6150, Albert Samson at extension 7297 or Rosalye Settles at extension 7985

We appreciate your continued cooperation in making certain that OTS meets its obligation to retain those documents that we are legally required to save

TABLE LEGEND

Org. Code	Office Name
1	Director
1a	Office of Equality and Workplace Principles
2	Senior Deputy Director and Chief Operating Officer
3	Supervision, Compliance and Consumer Protection
4	Chief Counsel
5	External Affairs
6	Human Resources
7	Information, Technology and Finance
8	Planning, Budget and Finance
9	Regional Offices

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
5 6/FM 7/RM	Biographical Files This file consists of biographical information and photographs of former FHLBB Chairmen, OTS Directors and their senior staff Record Set Only – Clean copy of finalized version of biographical information with corresponding photograph	Permanent Cut off upon termination or separation of individual Transfer to NARA 3 years after cutoff Record set is permanent Duplicate copies can be destroyed upon separation of individuals	483-07-1, Item 10	1 - General Program	Permanentr– transfer to NARA inr3 years	Permanent – transfer to NARA in 5 years	1a
4	Chief Counsel's Correspondence These files consist of correspondence and opinions signed by the OTS Chief Counsel	Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	483-07-1, Item 28	1 - General Program	Permanentr– transfer to NARA in 10 years	Permanent – transfer to NARA in 10 years	1a
5	Congressional Affairs Update Series consists of a weekly report prepared for the OTS Director and Sr Management The report contains information gathered from outside sources describing upcoming items of interest and importance that are related to the OTS a Director's Copy Including any reports issued to the Deputy Director and COO, Deputy Director, Examinations, Supervision and Consumer Protection or the Deputy Director,	Proposed Retention a Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	a UNSCHEDULED	1 - General Program	a UNSCHEDULED	a Permanent – transfer to NARA in 10 years	a 1a

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Chief Counsel b All Other Copies	Proposed Retention b Temporary Cut off files at the end of the calendar year Destroy 5 years after cutoff	b UNSCHEDULED		b UNSCHEDULED	b 5 years	b 1b
4	Decisional Packages Files consist of staff memoranda, reports of regional directors, legal opinions and other material documenting proposals presented to the OTS Director for approval Also included are the approved Orders signed by the OTS Director	Permanent Cut off at the end of the calendar year in which the decision/action is approved Transfer to NARA 15 years after cutoff	483–06–2, Item 2	1 - General Program	Permanente-transfer to NARA in 15 years	Permanent – transfer to NARA in 10 years	1a
2	Deputy Director Interagency Subject Files Correspondence, including interagency agreements with other government agencies, including OMB OMB correspondence is of a non–budgetary nature	Temporary Cut off at the end of the calendar year Destroy 15 years after cutoff	483–08–1, Item 2a	1 - General Program	15 years	Permanent – transfer in 10 years	1a
2 3/DD	Deputy Director Interagency Operational Files Files documenting OTS interaction with other government agencies on routine administrative operation matters Includes memoranda of understanding, interagency agreements and OMB correspondence of non–budgetary nature	Temporary Cut off files at the end of the calendar year or term of agreement Destroy 3 years after cutoff	483-08-1, Item 2b	1 - General Program	Temporarye-Destroy ine3 years	Permanent – transfer in 10 years	1a
7	Directives Manual Files (Orders)	Permanent Cut off when revised or	483–07–1, Item 3	1 - General Program	Permanente-	Permanent – transfer	1a

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	These are case files which document the development of policy and procedures These files include directives created before the reorganization of the FHLBB to OTS	superseded Transfer to NARA 10 years after cutoff			transfer to NARA in 10 years	to NARA in 10 years	
1	Director's Correspondence Files contain letters and memoranda in chronological order issued by the Director of OTS	Permanent Cut off at the end of the OTS Director's term Transfer to NARA 2 years after cutoff	483-07-1, Item 7	1 - General Program	Permanentr– transfer to NARA inr2 years	Permanent – transfer to NARA in 5 years	1a
1	Director's Inter-Agency Meetings/Committee Files Files contain agendas, minutes, etc of interagency committees/boards/task forces in which the OTS Director or immediate staff acted on behalf of the Director	Temporary Cut off files at the end of the Director's tenure Destroy 10 years after cutoff	483-08-1, Item 45	1 - General Program	10 years	Permanent – transfer in 10 years	1a
4	Director's Orders Files consist of copies of the Orders approved by the Director of OTS which are retained to facilitate search and retrieval	Permanent Cut off at the end of the calendar year in which the decision/action is approved Transfer to NARA 10 years after cutoff	483–06–2, Item 3	1 - General Program	Permanentr– transfer to NARA in 10 years	Permanent – transfer to NARA in 10 years	1a
1	Director's Signature Files Files consist of letters addressed to the OTS Director and include copies of the outgoing responses, as prepared by the Director and program offices	Proposed Retention Permanent Cut off files at the end of the Director's term Transfer to NARA 5 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	Permanent – transfer to NARA in 5 years	1a
1	Director's Subject Files Reports, correspondence, meeting	Permanent Cut off files at the end of the Director's term	483-07-1, Item 21	1 - General Program	Permanentr– transfer	Permanent – transfer to NARA in	1a

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	and conference materials, etc on various matters of interest to the OTS Director	Transfer to NARA 10 years after cut off			to NARA in 10 years	5 years	
4	Legal Opinions Files These files consist of legal opinions signed by the former FHLBB General Counsel and the OTS Chief Counsel	Proposed Retention Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	Permanent – transfer to NARA in 10 years	1a
1	Schedule of Daily Activities Calendars, appointment books schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities by Federal employees while serving in an official capacity			1 - General Program			
	a. Director, Senior Deputy Director and COO, Deputy Director of Examinations, Supervision and Consumer Protection and Deputy Director of Chief Counsel	a Permanent Cutoff at the end of the calendar year Transfer to NARA 10 years after cutoff	a 483-07-1, Item 5	a Director	a Permanentr– transfer to NARA in 10 years	a Permanent – transfer to NARA in 10 years	a 1 a
	b All Other Staff Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files	b Temporary Destroy/delete when 2 years old	b GRS 23, Item 5a	b GRS			b No Change - GRS
2	Senior Deputy Director's Assistant's Reports This series contains a variety of			1 - General Program			

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	reports produced for the Sr Deputy Director and staff These reports contain written and statistical market data relating to, but not limited to, thrifts, the economy, housing, and other market activities of interest to the OTS Additional reports provided contain data related to capital markets, thrifts and bank activities, and special projects	Proposed Retention					
	a Monthly Market Monitor and Regional Quarterly Reports (Originating Office)	a Permanent Cut off at the end of the calendar year Transfer to NARA 15 years after cutoff	a UNSCHEDULED		a UNSCHEDULED	a Permanent - transfer to NARA in 15 years	a 3a
	b Miscellaneous Reports (Originating Office) – prepared for the Senior Deputy Director	Proposed Retention b Originating Office Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	b UNSCHEDULED		b UNSCHEDULED	b Permanent - transfer to NARA in 10 years	b 1a
	c Working Files – containing research and data collected and compiled into spreadsheets from various sources within and outside of OTS	Proposed Retention c Temporary Cut off at the end of the calendar year Destroy when 5 years old	c UNSCHEDULED		c UNSCHEDULED	c 5 years	c 1b
2	Senior Deputy Director's Signature Files This series contains copies of documents signed by the Sr Deputy Director	Temporary Cut off annually Destroy when records are 20 years old	483-08-1, Item 31	1 - General Program	Temporary– destroy in 20 years	Permanent – transfer to NARA in 10 years	1a

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
3/CP 3/DD 4/LIT 5/EA	Speaking Engagements & Presentations Contains speeches and presentations prepared for the OTS Director and/or designated Senior Management Staff while representing the OTS at meetings and conferences			1 - General Program			
	a Speeches & Presentations	a Permanent Cut off files at the end of the calendar year Transfer to NARA 10 years after cutoff	a 483-07-1, Item 9	a General Program	a Permanente-transfer to NARA in 10 years	a Permanent – transfer to NARA in 10 years	a 1a
	b Program Office Official custodian responsible for preparing and maintaining the record copy	Proposed Retention b Temporary Cut off files at the end of the calendar year Destroy 10 years after cut off	b UNSCHEDULED	b General Program	b UNSCHEDULED	b 10 years	b 1b
	c All Other Office Copies Copies maintained only for administrative purposes	c Temporary Cut off files at the end of the calendar year Destroy/delete when 2 years old	c GRS 23, Item 1	c GRS			c No Change - GRS
2 3	Subject Files (Sr Deputy Director of Examinations, Supervision & Consumer Protection) These files consist of documents relating to a variety of subjects of interest to the Sr Deputy Director Examples include examinations, institution correspondence,	Temporary Cut off is upon termination or separation of individual in the position Destroy records 10 years after cutoff	483-08-1, Item 32	1 - General Program	10 years	Permanent – transfer in 10 years	1a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	restructuring information regarding applications and the thrift industry and other policy issues						
2 3/FO 5 7/AD 7/CS CC	Weekly Reports This series consists of reports from OTS Sr Staff to the Director and Sr Deputy Director detailing the current status of various projects and topics a Director's and/or Senior Deputy Director & COO's Copy	a Temporary Cut off files at the end of the calendar year Destroy 5 years after cutoff	a 483-08-1, Item 37	1 - General Program	a Temporary– destroy in 5 years	a Permanent – transfer to NARA in 5 years	a 1a
	b All Other Office Copies Reports of program activities submitted by OTS staff and program management	b Temporary Cut off files at end of calendar year Destroy 2 years after cutoff	b GRS 23, Item 1		b 2 years	b 5 years	b 1b
7/RM	Audiovisual Media a Records of the Director, the Senior Deputy Director & COO, the Deputy Director of Examinations, Supervision and Consumer Protection and the Deputy Director of Chief Counsel	Proposed Retention a Permanent Cut off files at the end of the calendar year Offer to NARA 5 years after cutoff	a UNSCHEDULED	1 – General Program a General Program	a UNSCHEDULED	a Permanent -transfer to NARA 5 years after cutoff	a 1a
	b Routine Recordings Records that document routine meetings and award presentations	b Temporary Cut off at the end of the calendar year Destroy when 2 years old	b GRS 21, Item 20	b GRS			b No Change - GRS

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	c Routine Photographs This series covers routine award ceremonies, social events, and activities not related to the mission of the agency	c Temporary Cut off at the end of the calendar year Destroy when 1 year old	c GRS 21, Item 1	c GRS			c No Change - GRS
4	Accelerated Resolution Program Case Files Correspondence, reports, and financial documentation compiled about thrifts recommended for receivership	Temporary Retain in office for 2 years Transfer to FRC for 13 years Destroy 15 years after cut off	483–93–8, Item 4	1 - General Program	15 years	10 years	1b
6/FM	Administrative Correspondence Records related to printing, which Include old vendors used, GPO records, regulations and postage costs	Temporary Destroy when 2 years old	GRS 13, Item 1	1 - General Program	2 years	5 years	1b
6/CRDS 6/HR 6/PB	Administrative Files - HR Files contain general Administrative correspondence on compensation and benefits, reports and HRD programs	Temporary Cut off when revised or superseded Destroy 2 years after cutoff	483–08–1, Item 6	1 - General Program	2 years	5 years	1b
1	Assistants' Case Files Documents relating to the enforcement actions by OTS and investment banking/brokering activities related to the sale of a thrift	Permanent Cut off files when the case is closed Transfer to NARA 10 years after cutoff	483-07-1, Item 23	1 - General Program	a Permanente- transfer to NARA in 10 years	a Temporary – destroy in 10 years	1b
1	Assistants' Subject Files Subject files of the OTS Director's assistant and representative to the Federal Deposit Insurance	Permanent Cut off files at the end of the Assistant's tenure Transfer to NARA 10 years after cutoff	483-07-1, Item 22	1 - General Program	Permanente- transfer to NARA in 10	Temporary – destroy in 10 years	1b

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Corporation				years		
7	Branch Office Survey (BOSS) - Comment Sheets BOSS Comment Sheets Summarizes what has occurred between the analyst and the institution	Temporary Cut off at the end of the annual processing cycle Maintain in office for one year then transfer to FRC Destroy 3 years after cut off	483-96-1, Item 1	1 - General Program	3 years	5 years	1b
6/FM	Building Maintenance Files These files document the renovation and maintenance of the OTS building and various office moves	Temporary Cut off at the end of each calendar year Destroy 6 years after cutoff	483-08-1, Item 4	1 - General Program	6 years	6 years	1b
6/SEC	Business Recovery Files (COOP Plan) This file consists of documents that contain the OTS plan for business recovery in case of disaster or emergency situations The file includes the command and control structure and teams, information recovery plan, Vital Records plan and policy and procedures (This does not include the official copy of the Emergency or COOP Plan which is permanently scheduled with the directives/orders)	Proposed Retention Temporary Cut off at the end of the calendar year when revised or superseded Destroy 7 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	7 years	1b
7/ITF	Chief Financial Officers' (CFO) Plans Files related to the development of performance measures, cost benefits, CFO 5–year plans, and other background materials and correspondence This includes OTS	Temporary Cut off at the end of each calendar year Do not transfer to the FRC Destroy 7 years after cutoff	483-08-1, Item 22	1 - General Program	7 years	7years	1b

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Strategic Plan, Performance Plan, and, financial statements						
3	Chron Files Copies of letters, memos, and Program/Project/Subject File documents	Temporary Cut off at the end of the calendar year Destroy 3 years after cutoff	483-08-1, Item 43	1 - General Program	3 years	5 years	1b
7/ITF 7/ISO 7/ENS 7/RM	CIO Subject and Office Records Records include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives, responses to and decisions on matters affecting the IT program, or operational and managerial guidance to all organizational segments of the agency [Note Official agency policy records generated by the CIO are not covered by this item They are considered agency policy and issuance records and are scheduled elsewhere]	Temporary Cut off annually Destroy/delete when 5 years old	GRS 27, Item 6	1 - General Program	5 years	5 years	1b
3 5	Congressional Controlled Correspondence This item includes the **Correspondence Tracking System**, which tracks the controlled and non-controlled correspondence received at OTS a Controlled Correspondence These files include the incoming and outgoing correspondence and supporting documentation The correspondence contains information	a Permanent At the end of each Congress, remove the files for members who are no longer in office	a 483-07-1, Item 6	1 - General Program	a Permanentr– transfer to NARA	a Temporary – destroy in 10 years	a 1b

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Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retentio n Was	Proposed Retention	SF115 Item Number
	to and from Members of Congress and/or their staff, the White House, and the Department of Treasury	due to retirement, defeat for re-election, death or other reason Transfer to NARA 2 years after member leaves office			inr2 years		
	b Non-Controlled Correspondence Files contain incoming and outgoing letters and other documentation relating to OTS	b Temporary Cut off files at the end of the OTS Director's term Destroy 12 years after cutoff	b 483-08-1, Item 24		b 12 years	b 10 years	b 1b
	c Correspondence Tracking System This system tracks the response process for Controlled and Non-Controlled Correspondence	c Permanent Cut off two years after the end of the Director's term Transfer to the National Archives immediately after cutoff	c 483-93-21, Items 1a & 1b		c Permane ntr– transfer inr2 years	c Temporary – destroy in 10 years	c 1b
5	Congressional Hearings and Testimony Files 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	Temporary Cut off at the end of each Congress Destroy 4 years after cutoff	483-08-1, Item 26	1 - General Program	4 years	10 years	1b
5	Congressional Requests for Documents These files contain copies of documents produced in response to Congressional investigative oversight request, Congressional subpoenas, and document production requests	Temporary Cut off at the end of each Congress Destroy 10 years after cutoff	483-08-1, Item 25	1 - General Program	10 years	10 years	1b
4	Conservatorship/Receivership Files	Temporary Cut off at the end of the	483–98–1, Item 8a	1 - General Program	10 years	10 years	1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retentio n Was	Proposed Retention	SF115 Item Number
	These documents show a snapshot of an institution for which a conservator or receiver is named Documents include background information, as well as copies of material that became part of the Director's Decisional Package [NOTE These files consist primarily of duplicate copies of information filed in other institution related files	calendar year Transfer records to the FRC immediately upon cutoff Destroy records 10 years after cutoff					
3 4 9	Consumer Complaints Documentation of complaints filed by consumers relating to thrifts and the resolution of complaints	Temporary Cut off at the end of the calendar year in which the complaint is resolved Destroy 6 years after cutoff	483-06-3, Item 1	1 - General Program	6 years	6 years	1b
6/CR DS 6/HR	Correspondence - Outgoing for the Director of HR Files consist of outgoing correspondence generated by the Director, Human Resources	Temporary Cut off at the end of the calendar year Destroy 3 years after cutoff	483–08–1, Item 15	1 - General Program	3 years	5 years	1b
6/PB	Correspondence - Payroll Correspondence between agency and payroll processor regarding general, routine Administrative issues that do not relate to individual payments	Temporary Destroy when 2 years old	GRS 2, Item 24	1 - General Program	2 years	5 years	1b
5/EA	Correspondence Files – External Affairs This file contains the original and/or copies of documents signed by the Managing Director of External Affairs, with attached incoming or outgoing correspondence	Temporary Cut off at the end of the calendar year Destroy 10 years after cutoff	483-08-1, Item 30	1 - General Program	10 years	10 years	1b
8/FO	Correspondence Files – Financial	Temporary	483–07–3, Item 3	1 - General	5 years	5 years	1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Operations This series contains the correspondence files created and maintained in Financial Operations	Cut off quarterly Destroy 5 years after cutoff		Program			
1a/OEWP	Correspondence Files - OEWP Files consist of all incoming/outgoing correspondence and background information of outside vendors, which could provide services for Office of Equality and Workplace Principles (OEWP) programs	Temporary Cut off at the end of the calendar year Destroy 3 years after cutoff	483-08-1, Item 12	1 - General Program	3 years	5 years	1b
6/CRDS 6/HR 6/SD	Correspondence Files - Personnel Correspondence, reports, and other records relating to the general administration and operation of personnel functions	Temporary Destroy when 3 years old	GRS 1, Item 3	1 - General Program	3 years	5 years	1b
5	Correspondence Tracking System This system tracks the response process for Controlled and Non-Controlled Correspondence	Permanent Cut off two years after the end of the Director's term Transfer to the National Archives immediately after cutoff	483-93-21, Items 1a and 1b	1 - General Program	Permanentr– transfer to NARA 2 years after end of the Director's term	Temporary – destroy in 10 years	1b
6/PD	Course Manuals and Books These are the master copies of the manuals and books for all OTS-sponsored courses Also included are videotapes purchased and used for training	Proposed Retention Temporary Cut off at the end of the calendar year after completion of a specific training program Destroy 5 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	5 years	1b
5	Current Issues Files	Proposed Retention Temporary	UNSCHEDULED	1 - General Program	UNSCHEDULED	5 years	1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Series contains copies of information gathered on current key issues and a variety of subjects of interest to the OTS Director and senior management This information comes from the External Affairs department	Cut off at the end of the calendar year Destroy 5 years after cutoff					
3	Customer Service (Applications Filings Report) This is a report that is posted on the internet giving filers tips/guidance on completing their filing properly to speed up the process	Temporary Destroy/delete when superseded or obsolete	GRS 23, Item 7	1 - General Program	Superseded or Obsolete	5 years	1b
7/RM	Data Processing/ Management Information System (DP/IRB) Budget Correspondence, background data and reports from OTS offices that feed into the creation of the OTS DP/IRB budget	Temporary Cut off at the end of the budget preparation cycle Destroy 5 years after cutoff	483–08–1, Item 18	1 - General Program	5 years	5 years	1b
ALL	Data Requests and Inquiries This series contains requests from the public, industry, Congress and Treasury, which cover a wide variety of topics	Temporary Destroy when 6 months old or when no longer needed for administrative purposes	GRS 23, Item 7	1 - General Program	6 Months	5 years	1b
6/CRDS 8/FO	Deferred Compensation Program files relating to the Deferred Compensation plan inherited from the FHLBanks of Dallas and San Francisco This includes enrolment information, forms, reports on contributions, and purchase of annuities	Proposed Retention Temporary Cut off at the end of the calendar year of termination, separation, or retirement of OTS employee Retain for 5 years after payout and then destroy	UNSCHEDULED	1 - General Program	UNSCHEDULED	5 years	1b
5	Department of Treasury Correspondence	Temporary Retain in office for 2	483-08-1, Item 27	1 - General Program	12 years	10 years	1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Files contain incoming and outgoing correspondence with the Department of Treasury and may include supporting documentation	years after end of the OTS Director's term Transfer to FRC for 10 years Destroy 12 years after cutoff					
6/SEC 7/ITF 7/ISO 7/RM	Disaster Recovery Plan (IT Contingency Plan) Correspondence and reports describing OTS' DP disaster recovery plans	Temporary Cut off at the end of the calendar year Destroy when records are revised, superseded or obsolete	483–08–1, Item 21	1 - General Program	Contingent	7 years	1b
4	Division Signature Files – Chief Counsel Division Files contain correspondence signed by OTS legal staff	Temporary Cut off at the end of calendar year Destroy 5 years after cut off	483–07–2, Item 8	1 - General Program	5 years	5 years	1b
7/RM	Division Subject Files – Records Management These are case files of various management studies and projects completed by Records Management	Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	483-08-1, Item 11	1 - General Program	5 years	5 years	1b
7/ITF 7/ISO 7/RM	DP Security Program Files Correspondence, reports and other files pertaining to the management of OTS DP security program and the implementation of the requirements under Federal Laws	Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	483–08–1, Item 20	1 - General Program	5 years	5 years	1b
6/SEC	Emergency Operations Test Files	Temporary Destroy when 3 years	GRS 18, Item 28	1 - General Program	3 years	5 years	1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports	old					
6/SEC	Emergency Planning Administrative Correspondence Files Correspondence files relating to Administration and operation of the emergency planning program, not covered elsewhere in this schedule	Temporary Destroy when 2 years old	GRS 18, Item 26	1 - General Program	2 years	5 years	1b
6/SEC	Emergency Planning Case Files Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files	Temporary Destroy 3 years after issuance of a new plan or directive	GRS 18, Item 27	1 - General Program	3 years	5 years	1b
7	Examination Data System Activity Reports These are ad hoc administrative workload-oriented reports requested by the user which are used in ongoing monitoring and quality control activities These reports can be recreated from the database at any time	Temporary Destroy/delete when no longer needed	483-93-26, Item 4	1 - General Program	Contingent	5 years	1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
3/CA 8/FO	Expenditures Accounting General Correspondence and Subject Files Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration	Temporary Destroy when 2 years old	GRS 7, Item 1	1 - General Program	2 years	5 years	1b
6/PB	Flexible Spending Account Information relating to flexible spending accounts available to employees This file includes the contract information	Proposed Retention Temporary Cut off at the end of each calendar year Destroy records 7years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	7 years	1b
7/ITF 8/FO	GAO Audit Files Copies of the final audit report pertaining to the financial audits of the OTS, and the former FHLBB and FSLIC	Temporary Cut off at the end of the audit Destroy 10 years after cutoff	483–07–3, Item 2	1 - General Program	10 years	10 years	1b
4/CC	General Accounting Office (GAO) Records Documentation of the GAO audits of OTS, (may include FHLBB and Office of Regulatory Affairs) including but not limited to, the opening conference, requests for information, interim reports, and draft reports	Temporary Cut off at the close of the contract or case, one year after final report is issued Destroy 10 years after cutoff	483–08–1, Item 35	1 - General Program	10 years	10 years	1b
8/BPMT	Government Performance Results Act (GPRA) Reports This series contains the reports that are required by GPRA and includes performance measures for OTS Reports are forwarded to Treasury for submission to OMB	Proposed Retention Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	5 years	1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
6/PD	Holding Company Course Files Documents include instructor guides, participant guides and case study materials	Temporary Cut off at the end of the calendar year Destroy 10 years after cutoff	483-08-1, Item 44	1 - General Program	10 years	10 years	1b
3	Industry Data Documents contain reviews of complex institution issues and monitoring of industry competitors Compiled data is related, but not limited to, Mortgage Banking, auto teams, alternative mortgage products and credit cards Background analysis work used to update and/or create data forwarded to the region	Proposed Retention Temporary Cut off at the end of calendar year Destroy 10 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	10 years	1b
7/AS 7/AD 7/FDAS 7/SS	Information Technology (IT) Program Planning Files (Design, Development & Enhancements) This series covers IT program design, development, enhancement and project files Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems, including those systems that support the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records	Proposed Retention Temporary Cut off annually Destroy/delete when 7 years old or when no longer needed, whichever is later	UNSCHEDULED	1 - General Program	UNSCHEDULED	7 years	1b
4/CC	Inspector General (IG) Audit/Investigation Files	Temporary Cut off at the end of the	483–08–1, Item 34	1 - General Program	10 years	10 years	1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	These files consist of 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	calendar year Destroy 10 years after cutoff					
6/HR	Interagency Operational Files Files documenting FHLBB and OTS interaction with other government agencies on routine Administrative operational matters Includes memoranda of understanding, interagency agreements and OMB correspondence of a non–budgetary nature	Temporary Cut off at the end of the calendar year, or term of agreement Destroy 3 years after cutoff	483–08–1, Item 2b	1 - General Program	3 years	5 years	1b
3/CIO	International Conference Materials (Trip Reports) Files contain documents related to international conferences which include agenda, itineraries and presentations (Internal and External) Also included are the administrative housekeeping records related to each conference	Proposed Retention Temporary Cut off files at the end of the calendar year Destroy 5 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	5 years	1b
7/ITF 7/AD 7/RM	Investment Review Board (IRB) Correspondence, meeting minutes and reports of the OTS IRB Committee	Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	483–08–1, Item 19	1 - General Program	5 years	5 years	1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
4	Legal Subject Files Files consist of the working files and reference files used or created by the Chief Counsel divisions	Temporary Cut off at the end of the calendar year Destroy records 10 years after cutoff	483–07–2, Item 7	1 - General Program	10 years	10 years	1b
4	Non-Thrift Case Files Files pertain to non-thrift related matters in which the OTS is an affected party Files also contain chronological administrative documents and non-case specific research memoranda, as well as some correspondence that does not relate to any particular litigation case	Temporary Cut off at the end of the calendar year in which the case is closed Destroy 10 years after cutoff	483-07-2, Item 6	1 - General Program	10 years	10 years	1b
4	Non-Thrift Related Opinions, Policy and Memos These are the EEO case files, employment administration appeals, contracts, leases, complaints, employee and labor relations and arbitration issues, federal tort claims, and FOIA appeal cases	Temporary Cut off at the end of the calendar year Destroy when 10 years old	483-07-2, Item 5	1 - General Program	10 years	10 years	1b
ALL	OTS Strategic and Operational Plans The OTS' Strategic and Operational Plans submitted to Treasury Documentation includes correspondence, plans and reports describing OTS' plan for meeting the goals and objectives of the agency This series also contains the background information submitted by the OTS offices a Program Office	a Temporary	a 483-08-1, Item	1 - General Program	a 7	a 7 years	a 1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Official custodian responsible for maintaining the record copy	Cut off files at the end of each calendar year Destroy 7 years after cutoff	22		years		
	b OTS Offices' Submissions	b Temporary Cut off files at the end of each calendar year Destroy 7 years after cutoff	b UNSCHEDULED		b UNSCHEDULED	b 7 years	b 1b
1a	Program Announcements Files consist of program and policy guidance pertaining to All Employee Profiles (AEP) Special Emphasis Diversity Other EEO/Diversity documents relating to OEWP's program	Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	483-08-1, Item 14	1 - General Program	5 years	5 years	1b
5	Public Outreach and Conferences a Public Outreach Files contain information provided to the general public, thrift institutions and other government agencies to include items used for the OTS Booth Documents include the OTS Pamphlet "This is the OTS) and various Federal Reserve Board Pamphlets and other materials available to the public	Proposed Retention a Temporary Cut off at the end of the calendar year when superseded or obsolete Destroy 5 years after cutoff	a UNSCHEDULED	1 - General Program	a UNSCHEDULED	a 5 years	a 1b
	b Conference Materials Files contain documents describing the type of conference, number of attendees, OTS Booth information, registration and statistical information	b Temporary Cut off files at the end of the calendar year Destroy 5 years after cutoff	b UNSCHEDULED		b UNSCHEDULED	b 5 years	b 1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	for each conference Also included are the administrative housekeeping records related to each conference						
3	Quality Assurance Program Files 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	Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	483-08-1, Item 33	1 - General Program	5 years	10 years	1b
3	Regional Coordination Activity Reports 1 Weekly Reports This series contains information related to regional institutions and holding companies activities and issues, includes details on type of support provided to the region 2 Monthly Reports This report contains information related to bank owned life insurance and additional subject matter determined by emerging issues 3 Quarterly Reports This report is a recap of information and includes an extended and in-depth review of regional activities for major thrifts and holding company issues	Proposed Retention 1 Temporary Cut off files at end of calendar year Destroy 5 years after cutoff Proposed Retention 2 Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff Proposed Retention 3 Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff Proposed Retention	1 UNSCHEDULED 2 UNSCHEDULED 3 UNSCHEDULED	1 - General Program	1 UNSCHEDULED 2 UNSCHEDULED 3 UNSCHEDULED	1 5 years 2 10ryears 3 10 years	1 1b 2 1b 3 1b

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	4 Monthly Examination Accountability Reports This report contains information provided to bank examiners by the Regional Core Speciality Group Information covers complex situations related to securitization auto lending, credit cards, non traditional mortgages and mortgage banking 5 Institution Report Files Contains customized data reports and information extracted from OTS databases related to specific regional activities and examinations	4 Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff Proposed Retention 5 Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff	4 UNSCHEDULED 5 UNSCHEDULED		4 UNSCHEDULED 5 UNSCHEDULED	4 10 years 5 10 years	4 1b 5 1b
2 3	Regional Manager's Group Meetings Records documenting the meetings of the Regional Manager's Group This file includes the agendas, information distributed at meetings, and informal staff notes	Temporary Cut off at the end of the calendar year Destroy 10 years after cutoff	483-08-1, Item 36	1 - General Program	10 years	10 years	1b
4	Request for Documents This file consists of requests from outside parties for documents pertaining to Litigation	Temporary Cut off at the end of the calendar year in which matter is closed Destroy records 5 years after cutoff	483–07–2, Item 2	1 - General Program	5 years	7 years	1b
6/SEC	Security and Protective Services Administrative Correspondence Files Correspondence files relating to Administrative and operation of the facilities security and protective services programs [Note This item does not cover	Temporary Destroy when 2 years old	GRS 18, Item 8	1 - General Program	2 years	5 years	1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	records documenting security and protective services policies and procedures]						
6/SEC	Security Clearance Administrative Subject Files Correspondence, reports, and other records relating to the Administration and operation of the personnel security program, not covered elsewhere in this schedule	Temporary Destroy when 2 years old	GRS 18, Item 21	1 - General Program	2 years	5 years	1b
2	Senior Deputy Director's Assistant(s) Subject Files These files contain incoming and outgoing information from thrift institutions, banking and brokerage activities relating to various subjects	Temporary Cut off upon termination or separation of individual in the position Transfer records to the FRC Destroy records 10 years after cutoff	483-08-1, Item 32	1 - General Program	10 years	10 years	1b
3	Signature Files - Program Office - preparation and background Program Office responsible for preparing the correspondence for signature, including supporting documentation	Proposed Retention Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	10 years	1b
5	Signature Files for the Director of External Affairs and Press Relations This file contains correspondence signed by the Director of External Affairs and Press Relations	Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	483-08-1, Item 28	1 - General Program	5 years	5 years	1b
4	Status Reports and Staff Meeting Files This series consists of status reports, significant activities, activity reports, regional counsel reports, and agenda	Temporary Cut off at the end of the calendar year Destroy records 5 years after cutoff	483-07-2, Item 10	1 - General Program	5 years	7 years	1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	files						
3	Subject Files - International This series contains documents on a variety of topics related to thrift institutions, policy, risk modeling analysis, hot topics, administrative files, International Memorandum of Understanding (MOU's), information sharing and meetings	Proposed Retention Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	10 years	1b
5	Subject Files - External Affairs These files consist of documents relating to a variety of subjects of interest to the Director of External Affairs	Proposed Retention Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	10 years	1b
6/FM	Subject Files - Facilities Management Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers	Temporary Destroy when 2 years old	GRS 11, Item 1	1 - General Program	2 years	5 years	1b
6/CRDS 6/HR	Subject Files - Human Resources Files consist of information regarding programs, meetings, committees, reports and other activities and functions sponsored by OTS	Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	483–08–1, Item 16	1 - General Program	5 years	5 years	1b
7	Thrift Edit Comment Sheets/Reports/Correspondence These records document the changes made by FHLBB/OTS personnel to the thrift institutions' data These records reflect conversations with the	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	483-08-1, Item 46	1 - General Program	11 years 6 months	10 years	1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	thrifts about their filings Over time these records may indicate whether a thrift has a significant reporting problem	months after cutoff					
7	Thrift Financial Reporting (TFR) (TFR Validation) Monitoring Reports	Temporary Cut off when new processing cycle is established Destroy when no longer needed	483-93-24, Item 6	1 - General Program	Contingent	7 years	1b
4	Thrift Institution Files (Business Transactions Division) Information, including opinions, memoranda, relating to individual thrift institutions, specifically initial chartering, any change in incorporation or corporate organization, such as stock conversions, merger and acquisitions, and the institution's periodic reporting documents	Temporary Cut off at the end of the calendar year Destroy records 10 years after cutoff	483-07-2, Item 4	1 - General Program	10 years	10 years	1b
7/RM	Vital Records Program This is the Records Management copy of the OTS Vital Records Program, which is contained in the OTS COOP Plan This program contains a complete listing of all Vital Records, their location and any necessary instructions	Proposed Retention Temporary Cut off at the end of the calendar year when revised or superseded Destroy 7 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	7 years	1b
7/RM	Y2K Administrative Records Records associated with all Administrative aspects of Y2K projects, including budgeting, resource allocation, logistics, equipment, organizational charts,	Temporary Cut off files at project completion Transfer to NARA approved records storage facility, or maintain onsite Destroy 8 years after cutoff	483-06-1, Item 2	1 - General Program	8 years	8 years	1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	statements of work, training, work request forms, unit level project management, feeder status and progress reports, status tracking documentation, system inventories, and related materials						
7/RM	Y2K Testimonies Records include congressional testimonies by the Director of OTS before the Senate and House Committees regarding Y2K activities, responses to congressional hearings, briefings and related materials	Temporary Cut off at project completion Transfer to NARA approved records storage facility, or maintain onsite Destroy when 8 years old	483-06-1, Item 4	1 - General Program	8 years	8 years	1b
9	Thrift and Holding Company Files (All other OTS Office Copies) Copies of Thrift and Holding Company Files maintained for administrative purposes only (Application Folders, Charters, Bylaws and Certificates, Examination Reports, Supervisory Correspondence Folder, Holding Company Matters, Financial and Securities Filings, Board Action Files, Conservatorship and Receivership Files and Institution Notebooks	Proposed Retention Temporary Cut off at the end of the calendar year Destroy 10 years after cutoff	UNSCHEDULED	1 - General Program	UNSCHEDULED	10 years	1b
7/RM	Y2K Policy and Planning Records Records created or approved by the OTS Director or heads of program that document efforts taken to identify potential problems, assess risks, and implement strategies for agency Y2K compliance and contingency Records may include reports outlining overall strategies, project plans, risk			1– General Program			

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	assessments, system identification criteria, summary progress reports, and e–mail messages						
	a Recordkeeping Copies maintained in OTS Washington	a Temporary Cut off files at project completion Transfer to NARA–approved records storage facility, or maintain onsite Destroy 8 years after cutoff	a 483-06-1, Item 1a	a General Program	a 8 years	a 8 years	a 1b
	b All Other Office Copies	b Temporary Cut off files at the end of the calendar year Destroy when no longer needed for administrative purposes	b 483-06-1, Item 1b	b OTS			b No Change
7/AS 7/RM	<u>Y2K System Implementation Records</u> These records document the system testing, modification, and verification for Y2K compliance			1– General Program			
	a Records created during the implementation of OTS' Y2K plan Included are such records as system certification, contingency plans, records discussing specific systems and their Y2K problems, implementation plans, Office of Inspector General inquiries, meeting minutes/notes, budget files	a Temporary Cut off at project completion Transfer to NARA–approved records storage facility, or maintain onsite Destroy 8 years after cutoff, or when the system is superseded or retired, whichever is later	a 483–06–1, Item 3a	a General Program	a 8 years	a 8 years	a 1b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b Records of the revision, testing, and validation of a specific system or group of systems Includes listing of potential problems, test plans, test data, test procedures and results, final validation results and quality assurance reviews	b Temporary Cut off at project completion Transfer to NARA – approved records storage facility, or maintain onsite Destroy when 8 years old	b 483–06–1, Item 3b	b General Program	b 8 years	b 8 years	b 1b
3	International Institution Files This series contains correspondence and documents related to International Institutions, but are not limited to, institution reports, meetings, examinations and marketing information	Proposed Retention Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff	UNSCHEDULED	1- General Program	UNSCHEDULED	10 years	1b
4	Legislative History, Reference and Public Legislative Files 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	Permanent Cut off at the end of each Congress Transfer to NARA 30 years after cutoff Permanent Cut off at end of each Congress Transfer to NARA 10 years after cutoff	483-07-1, Item 27 483-07-1, Item 29	2 - Regulatory/ Legislative	Permanentr– transfer to NARA in 30 years and transfer to NARA in 10 years	Temporary - destroy in 15 years	2a

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
5	Legislative Subject Files This series contains copies of documents relating to the preparation, analysis and review of thrift industry legislation regarding the FHLBB and OTS Records identified in this series can include, but are not limited to bills, committee reports, hearings, testimony, and correspondence	Proposed Retention Temporary Cut off files at the end of the calendar year Destroy 15 years after cutoff	UNSCHEDULED	2 - Regulatory/ Legislative	UNSCHEDULED	15 years	2a
3 4	Public Comment Letters Files consist of comment letters received from the public on all proposed regulations Program Office	Permanent Cut off annually Transfer to NARA 3 years after cutoff	483–06–2, Item 5	2 - Regulatory/ Legislative	Permanent– transfer to NARA in 3 years	Temporary – destroy in 15 years	2a
3 4	Regulatory Reference Files This series consists of background materials and information that relate to the proposed and final versions of the former FHLBB and OTS regulations			2 - Regulatory/ Legislative			
	a Final Version (Record Copy)	a Permanent Cut off at end of calendar year Transfer to NARA 10 years after cutoff	a 483–07–1, Item 30		a Permanent– transfer to NARA in 10 years	a Temporary – destroy in 15 years	a 2a
	b Drafts	Proposed Retention b Temporary Cut off at the end of the calendar year when the final version(s) of the regulation(s) are issued	b UNSCHEDULED		b UNSCHEDULED	b 3 years	b 2b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		Destroy 3 years after cutoff					
3 4	Regulatory Reference Files (BASEL Implementation) This series consists of background materials and information that relate to the proposed and final versions of OTS regulations	Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	483-07-1, Item 30	2 - Regulatory/ Legislative	Permanentr– transfer to NARA in 10 years	Temporary – destroy in 15 years	2a
5	Working Files (Legislation/Bills) Series contains comments on current legislation and bills, and is kept only until the legislation and/or bill is passed	Proposed Retention Temporary Cut off at the end of the calendar year when superseded, obsolete or no longer needed Destroy 3 years after cutoff	UNSCHEDULED	2 - Regulatory/ Legislative	UNSCHEDULED	3 years	2b
4	Documents Published in the Federal Register This records series consists of files documenting the processing of proposed and final rules for publication in the Federal Register and files documenting the processing of notices for other non-codified matters			2 – Regulatory/ Legislative			
	a Proposed and Final Rules and Regulations – Files documenting the development, clearance and processing of proposed and final rules for publication in the Federal Register, including notices	Proposed Retention a Temporary Cut off at the end of the calendar year Destroy 6 years after cutoff	a UNSCHEDULED	a Regulatory/ Legislative	a UNSCHEDULED	a 6 years	a 2b
	b Notices – Files documenting the processing of notices announcing	b Temporary Destroy when 1 year	b GRS 16, Item 13	b GRS			b No change -

Org	Title and Description	Current Disposition	Authority	Bucket	Retentio n Was	Proposed Retention	SF115 Item Number
	committee hearings, including meetings open to the public under the Government Sunshine Act (5 U S C 552b(e)(3)), hearings and investigations, filing of petitions and applications, issuance or revocation of a license, grant application deadlines, the availability of certain environmental impact statements, delegations of authority, and other matters that are not codified in the Code of Federal Regulations	old					GRS
3 4	Policy Bulletins (OTS Records) 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	Permanent Cut off at the end of the calendar year in which the bulletin becomes obsolete Transfer to NARA 10 years after cut off	483-07-1, Item 20c	3 - Policy, Procedure, Publication	Permane nte- transfer to NARA ine10 years	Permanent – transfer to NARA in 15 years	3a
5	Press Releases This file contains OTS "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	Permanent Cut off at the end of the calendar year Transfer to NARA 3 years after cutoff	483-07-1, Item 11	3 - Policy, Procedure, Publication	Permane nte- transfer to NARA ine3 years	Permanent – transfer to NARA in 15 years	3a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	activities Press releases are often accompanied by attachments expanding the information on a particular subject						
3 4	Publications - OTS Thrift This series consists of OTS publications relating to the financial condition of the thrift industry and corporate information regarding each institution Publications include but are not limited to, Special Reports, Research Papers, Invited Papers, OTS Weekly Paper Series, OTS Corporate Directory and Holding Companies			3 - Policy, Procedure, Publication			
	a OTS Records	a Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	a 483–07–1, Item 19		a Permanente-transfer to NARA in 5 years	a Permanent – transfer to NARA in 15 years	a 3a
	b Supporting/Background Information	b Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	b 483-08-1, Item 40		b 5 years	b 6 years	b 3b
3	Publications – OTS Records (Aggregated Thrift Financial Report) Reports summarize thrift financial data for U S and OTS regions, published quarterly	Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	483–07–1, Item 19	3 - Policy, Procedure, Publication	Permanente-transfer to NARA in 5 years	Permanent – transfer to NARA in 15 years	3a
7	Publications – OTS Records (Cost of Funds)	Permanent Cut off at the end of the	483-07-1, Item 19	3 - Policy, Procedure,	Permanente-	Permanent – transfer	3a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Cost of Funds (COF) Report This report provides the average cost of funds indices that are calculated from the thrift industry The indices are used to price adjustable rate mortgages The reports are published to the internet monthly The monthly reports contain quarterly figures (which are updated quarterly) and semi-annual figures (which are updated semi-annually)	calendar year in which published Transfer to NARA 5 years after cutoff		Publication	transfer to NARA in 5 years	to NARA in 15 years	
3	Publications – OTS Records (Fact Book) Statistical tables providing basic financial information and counts on thrift industry Includes supporting documentation for compiling Fact Book Information is posted on the OTS Website annually	Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	483–07–1, Item 19	3 - Policy, Procedure, Publication	Permanentr– transfer to NARA in 5 years	Permanent – transfer to NARA in 15 years	3a
3	Publications – OTS Records (Quarterly Analysis Industry Condition Reports (ICR)) Tables and chart presentations that describe the financial information on the condition of the thrift industry Contains financial information, ratios, and performance measures Also contains operating results and key financial performance indicators for the thrift industry, OTS regions, and states Published quarterly Includes supporting documentation, data, and preparatory charts, which are finalized and used at the quarterly press	Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	483–07–1, Item 19	3 - Policy, Procedure, Publication	Permanent – transfer to NARA in 5 years	Permanent – transfer to NARA in 15 years	3a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	conferences Note Files also include data not released at press conferences						
3	Publications – OTS Records (Quarterly Charge Off Reports) The data are summary statistics drawn from quarterly TFR data The report is published quarterly on external website	Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	483-07-1, Item 19	3 - Policy, Procedure, Publication	Permanente-transfer to NARA in 5 years	Permanent – transfer to NARA in 15 years	3a
3 7	Publications – OTS Records (Quarterly Review of Interest Rate Risk) Summarizes the interest rate risk to the industry based on the TFR data Published quarterly	Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	483–07–1, Item 19	3 - Policy, Procedure, Publication	Permanente-transfer to NARA in 5 years	Permanent – transfer to NARA in 15 years	3a
3	Publications – OTS Records (Thrift Industry Quarterly Highlights) Tables with financial information and counts on various groups of the thrift industry state, charters, assets sizes, and organizations	Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	483–07–1, Item 19	3 - Policy, Procedure, Publication	Permanente-transfer to NARA in 5 years	Permanent – transfer to NARA in 15 years	3a
3	Regulatory Handbooks–OTS Records 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 Compliance Laws and Regulations,			3 - Policy, Procedure, Publication			

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Compliance Self–Assessment, Trust, EDP, Holding Company, Applications Processing Handbook and Thrift Activities						
	a Active Record Set	a Permanent Retain in office until revised or superseded then transfer to the Historical File (483-07-1, Item 17b)	a 483–93-9, Item 3a	a OTS	a Contingent	a Contingent	a No change
	b Historical Record Set (Old finalized versions, drafts and revisions)	b Permanent Cut off at the end of the calendar year Transfer to NARA 20 years after cut off	b 483–07–1, Item 17b	b Policy, Procedure, Publication	b Permanent– transfer to NARA in 20 years	b Permanent – transfer to NARA in 15 years	b 3a
	c Working Papers (Background Information)	c Temporary Cut off at the end of the calendar year Retain in office for 5 years then destroy	c 483-08-1, Item 41	c Policy, Procedure, Publication	c 5 years	c 6 years	c 3b
3 4	Regulatory Policy Files These files consist of the finalized versions of the Thrift Bulletins and Regulatory Bulletins, and all correspondence pertaining to each bulletin	Permanent Cut off when superseded or obsolete Transfer to NARA 20 years after cutoff	483-07-1, Item 13	3 - Policy, Procedure, Publication	Permanent– transfer to NARA in 20 years	Permanent – transfer to NARA in 15 years	3a
7	Thrift Financial Reporting (TFR) Financial Reporting Bulletin Newsletter to industry regarding the TFR form, data collection process, software and instructions This includes the supporting	Permanent Cut off at the end of the calendar year Transfer to NARA 5 years after cutoff	483-07-1, Item 19	3 - Policy, Procedure, Publication	Permanent– transfer to NARA inr5 years	Permanent – transfer to NARA in 15 years	3a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	documentation for newsletters to the industry regarding the TFR form Data collection process, software and instructions						
3	Examination, Supervision, and Consumer Protection (Programs, Projects, and Subject Files) OTS Records 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 Includes, but is not limited to, the following subjects Community Affairs Programs, Community Reinvestment Act, Compliance Programs, Consumer Affairs Programs, Special Projects, Supervision Policy Files, Trust Programs, Minority Thrift, Capital Policy and IT/Service Providers			3 - Policy, Procedure, Publication & General Program			
	a Policy and Development Records	a Permanent Cut off at the end of the calendar year Transfer to NARA 20 years after cutoff	a 483–07–1, Item 16	a Policy, Procedure, Publications	a Permanentr– transfer to NARA	a Permanent – transfer to NARA in 15 years	a 3a

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
					in 20 years		
	b Programs, Projects, Subject Files	Proposed Retention b Temporary Cut off files at the end of the calendar year Destroy 10 years after cutoff	b UNSCHEDULED	b General Program	b UNSCHEDULED	b 10 years	b 1b
	c Background Information	c Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	c 483–08–1, Item 38	c General Program	c 5 years	c 10 years	c 1b
6/HR 6/SD 7/RM	Bureau Organizational Charts/Manuals Bureau level record copy of organizational charts and manuals Includes function statements Note Beginning in 1998, the OTS Human Resources Division became the official custodian of this record	Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	483–07–1, Item 2	3 - Policy, Procedure, Publications	Permanent – transfer to NARA in 10 years	Permanent – transfer to NARA in 15 years	3a
3	FFIEC IT Examination Handbook The FFIEC IT Examination Handbook provides IT examiners with guidelines and instructions for conducting the IT examinations			3 - Policy, Procedure, Publications			
	a Complete Record Set (Active)	a Permanent Retain in office until revised or superseded, then transfer to Historical Files	a 483-93-9, Item 3a	a OTS	a Contingent	a Contingent	a No change

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b Historical Files (Old finalized versions, drafts, revisions)	b Permanent Cut off at the end of the calendar year Transfer to NARA 20 years after cut off	b 483–07–1, Item 17b	b Policy, Procedure, Publications	b Permanentr– transfer to NARA in 20 years	b Permanent – transfer to NARA in 15 years	b 3a
	c Working Papers (Background Information)	c Temporary Cut off at the end of the calendar year Destroy 5 years after cutoff	c 483–08–1, Item 41	c Policy, Procedure, Publications	c 5 years	c 6 years	c 3b
6	Delegations of Authority This series consists of signed copies of OTS delegations of authority	Permanent Cut off at the end of the calendar year Transfer to NARA 30 years after cutoff	483-07-1, Itemr4	3 - Policy, Procedure and Publications	Permanentr– transfer to NARA in 30 years	Temporary – destroy in 10 years	3b
7	Cost of Funds - Monthly Cost of Funds Documentation of Edit Process These records document the edits, comments, general information and the resulting index	Temporary Cut off annually at the end of the December processing cycle Destroy 3 years after cut off	483-94-1, Item 3	3 - Policy, Procedure, Publication	3 years	5 years	3b
7	Cost of Funds – Quarterly and Semi-Annual Documentation of Edit Process Quarterly and Semi-Annual - Documentation of Edit Process These are the records that document the edits, comments and the resulting indices for the Quarterly and Semi-Annual Cost of Funds Indices	Temporary Cut off annually at the end of the December processing cycle Destroy records 3 years after cut off	483-94-1, Item 4	3 - Policy, Procedure, Publication	3 years	5 years	3b
3/ESO	Filings Report This is a report that is posted on the	Temporary Destroy/delete when superseded or obsolete	GRS 23, Item 7	3 - Policy, Procedure, Publication	Superseded or obsolete	6 years	3b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	internet giving filers tips/guidance on completing their filing properly to speed up the process						
7	Policies and Procedures (Information Technology) Internal OTS policies and procedures manual used in the systems development and maintenance process	Temporary Cut off when revised or superseded Destroy upon cutoff	483–08–1, Item 17	3 - Policy, Procedure, Publication	Revised or Superseded	6 years	3b
4 9	Institution Records (Thrift and Holding Company Files) Application Folders Files contain documents for various applications, for savings, institutions or holdings companies including merger conversions, acquisitions of another thrift, relocations, purchase or sale of branch offices, Oakar and Sassar applications, insurance of accounts, private placements, subordinated debentures, and waivers of certain regulatory restrictions This item includes denied applications or any applications in which an agency decision is made Additionally, files can be segregated into Corporate Entity and Operations Related applications Descriptions based on Corporate Entity and Operation Related applications are as follows			4 - Institution			
	a Corporate Entity These applications have an effect on	a Permanent Cut off annually	a 483-06-2, Item 4		a Permane	a Permanent	a 4a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	the corporate entity of either the savings institution or the holding company	Transfer to NARA 15 years after cutoff Permanent Cut off annually Transfer to NARA 10 years after cutoff	(15 years) 483-06-2, Item 6 (10 years)		ntr– transfer to NARA in 15 years and transfer to NARA in 10 years	– transfer to NARA in 30 years	
	b Operations Related These applications have an effect on the internal operations or structure of the savings institution or holding company	b Permanent Cut off files at the end of the calendar year Transfer to NARA 15 years after cutoff Permanent Cut off annually Transfer to NARA 10 years after cutoff	b 483-06-2, Item 4 (15 years) 483-06-2, Item 6 (10 years)		b Permane ntr– transfer to NARA in 15 years and transfer to NARA in 10 years	b Permanent – transfer to NARA in 30 years	b 4a
	c Application Review Files Files contain correspondence and information from applications for thrift charters with respect to the applicants' programs to ensure compliance with fair lending laws and regulations	c Permanent Cut off files at the end of the calendar year Transfer to NARA 15 years after cutoff	c 483-06-2, Item 6		c Permane ntr– transfer to NARA in 15 years	c Permanent – transfer to NARA in 30 years	c 4a
	d Withdrawn Applications These records include all applications that are withdrawn by the applicant and no decision is made	d Temporary Cut off at the end of the calendar year in which the application is	d UNSCHEDULED		d UNSCHE DULED	d 15 years	d 4b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		withdrawn Destroy 15 years after cutoff					
9	Institution Records (Thrift and Holding Company Files) Reports of Examination (ROE) The full report of examination contains a narrative section, which includes a summary of the report and a description of the examined entity or service provider			4 - Institution			
	a Reports of Examination (ROE) Reports include, but are not limited to, Safety and Soundness, Holding Company, Trust, Community Reinvestment Act, IT Service Provider and Compliance *Note This item does not include Examination Workpapers That series is covered by NARA-approved retention schedule number 483-04-1, Item 2	a Permanent Cut off annually Transfer to NARA 15 years after cutoff Permanent Cut off annually Transfer to NARA 10 years after cutoff	a 483-06-2, Item 4 (15 years) 483-06-2, Item 6 (10ryears)		a Permanentr– transfer to NARA in 15 years and transfer to NARA in 10 years	a Permanent – Transfer to NARA in 30 years	a 4a
	b Examination Work Papers	b Temporary Cut off files at the end of the examination Retain work papers for the last two completed examinations and until they are a minimum of 3 years Destroy when no longer needed for supervisory, legal and	b 483-04-1, Item 2				b No Change

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		enforcement purposes Temporary Destroy 5 years after the thrift or holding company becomes inactive Temporary Destroy 5 years after the services are no longer provided to the OTS institutions	 483-04-1, Item 3 483-04-1, Item 4				
3 4 9	Institution Records (Thrift and Holding Company Files) Financial & Securities Filings These files include SEC filings and mutual to stock conversion applications received and processed byrOTS The filings consist of information for both stock and mutual institutions Files also include the following documents Forms 10–K, 10–KSB, 10–Q, 10–QSB, 8–K, 10, 15, AC, MHC, reports, circulars and other information required by institutions pursuant to OTS Securities Offering regulations a Program Offices (Dissemination)	

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b Substantive Comments	Proposed Retention b Permanent Cut off files when amended Transfer to NARA 15 years after cutoff	b UNSCHEDULED		b UNSCHEDULED	b Permanent – transfer to NARA in 30 years	b 4a
9	Institution Records (Thrift and Holding Company Files) Supervisory Correspondence and Supervisory Matters Supervisory Correspondence Folder (Supervisory Matters) These files consist of District Bank, interagency, public and supervisory correspondence pertaining to each regulated institution and may include the by-laws of the institution	Permanent Cut off files at the end of the calendar year Transfer to NARA 15 years after cutoff	483-06-2, Item 4	4 - Institution	Permanentr– transfer to NARA when 15 years old	Permanent – transfer to NARA in 30 years	4a
3 4 9	Institution Records (Thrift and Holding Company Files) Holding Company Files (Matters These files consist of the holding company filings and any correspondence between OTS and the holding company	Permanent Cut off files at the end of the calendar year Transfer to NARA 15 years after cutoff	483-06-2, Item 1	4 - Institution	Permanentr– transfer to NARA in 15 years	Permanent – transfer to NARA in 30 years	4a
3	Institution Records (Thrift and Holding Company Files) Failed Bank Reviews This is a formal process to assess causes of a thrift failure and the supervisory oversight exercised over the institution and to take corrective	Proposed Retention Permanent Cut off at the end of the calendar year Transfer to NARA 30 years after cutoff	UNSCHEDULED	4 - Institution	UNSCHEDULED	Permanent – transfer to NARA in 30 years	4a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	action to address identified significant supervisory weaknesses or concerns						
3 4	Institution Records (Thrift and Holding Company Files) Charters, Bylaws and Certificates These files contain the charter for each insured institution and include the certificates of charter issued by the OTS The certifications of charter are issued only upon request of the thrift institutions			4 - Institution			
	a Charters & Bylaws	a Permanent Cut off annually Transfer to NARA 15 years after cutoff	a 483-06-2, Item 4 483-04-1, Item 1		a Permanente-transfer to NARA in 15 years	a Permanent – transfer to NARA in 30 years	a 4a
	b Certificates of OTS Charter	b Temporary Retain in office for life of the function, then destroy	b 483–06–3, Item 2		b Retain for life of function	b Permanent – transfer to NARA in 30 years	b 4a
4	Adjudicatory Files a These are the 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	a Permanent Cut off at the end of the calendar year in which case closes Transfer to NARA 20 years after cutoff	a 483–07–1, Item 36a	5 - Chief Counsel	a Permanente-transfer to NARA in 20 years	a Permanent – transfer to NARA in 20 years	a 5a

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b Master Files This is a finding aid for the adjudicatory files	b Permanent Cut off at the end of the calendar year when corresponding files are cutoff Transfer to NARA 20 years after cutoff	b 483–07–1, Item 36b		b Permanentr– transfer to NARA in 20 years	b Permanent – transfer to NARA in 20 years	b 5a
4 9	Enforcement Association Files 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 Program Office (Regional Legal Counsel) - Office with responsibility for coordination of enforcement actions	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	483-07-1, Item 32b	5 - Chief Counsel	Permanentr– transfer to NARA in 30 years	Permanent – transfer to NARA in 20 years	5a
4	Enforcement Orders Files consist of orders signed by Regional Directors to commence enforcement actions	Permanent Cut off at the end of the calendar year Transfer to NARA 30 years after cutoff	483–07–1, Item 33	5 - Chief Counsel	Permanentr– transfer to NARA in 30 years	Permanent – transfer to NARA in 20 years	5a
4 9	Enforcement Review Committee (Supervisory Action Committee) 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	Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	483-07-1, Item 32c	5 - Chief Counsel	Permanentr– transfer to NARA in 10 years	Permanent – transfer to NARA in 10 years	5a
4	Enforcement Case Files		PEN & INK	5 - Chief			

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	This series may include but is not limited to case preparation files, transcripts of depositions, cease and desist orders, supervisory agreements, civil money penalties, criminal referrals, and removal and prohibition orders Other records relating to this series include opinions, memoranda of law, correspondence and enforcement proceedings relevant to issues related to the enforcement of statutes and regulations		CHANGES TO NARA (for changes to description)	Counsel			
	a Significant Case Files The Chief Counsel's office 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)	a Permanent Cut off when case closes Transfer to NARA 10 years after cutoff	a 483–07–1, Item 32a		a Permanente- transfer to NARA ine10 years	a Permanent – transfer to NARA in 10 years	a 5b
	b Non–Significant Case Files	b Temporary	b 483-07-2, Item 3		b 10	b 10eyears	b 5c

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Enforcement case files that are not determined to be historically significant (as determined by the above criteria)	Cut off at end of calendar year in which case is closed Destroy records 10 years after cutoff			years		
4	Litigation Case Files This series includes work papers, materials involved in discovery proceedings, briefs, transcripts, pleadings, bankruptcy files and requests for documents from outside parties			5 - Chief Counsel			
	a Significant Case Files –These cases must meet the following criteria • The case impacts on the interpretation of FHLBB and OTS–related legislative and regulatory statutes • The cases affect the operations of the OTS and have 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 individuals	a Permanent Cut off at end of calendar year in which case is closed Transfer to NARA 10 years after cutoff	a 483–07–1, Item 31		a Permanentr– transfer to NARA in 10 years	a Permanent – transfer to NARA in 10 years	a 5b
	b Non-Significant Case Files – These files relate to thrift and Institution-related cases that are not	b Temporary Cut off at end of calendar year in which case is closed (A case	b 483–07–2, Item 1		b 10 years	b 10 years	b 5b

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	determined to be historically significant as determined by the criteria listed above	is considered closed when the time period for which an appeal may be filed has elapsed) Destroy records 10 years after cutoff					
5	Congressional Reports to Congress The file contains Congressional mandated reports to Congress including, but not limited to, the Community Reinvestment Act, Consumer Complaints, Enforcement Efforts and Flood Insurance	Proposed Retention Permanent Cut off files at the end of the calendar year Transfer to NARA 10 years after cutoff	UNSCHEDULED	6 - Reports to Congress	UNSCHEDULED	Permanent – transfer to NARA in 10 years	6
6/FM	Building Sepias Sepias of original building construction These include architectural drawings, electrical drawings, mechanical drawings, etc	Proposed Retention Permanent Cut off at the end of each calendar year, and transfer to NARA 10 years after cutoff Send additional copy to offsite storage according to the OTS Vital Records Plan	UNSCHEDULED	7 - Sepias	UNSCHEDULED	Permanent – transfer to NARA in 10 years	7
8/FO	Accounting Transmittal Forms This includes Office of Financial Institutions Adjudication reimbursements and Administrative Resource Center (ARC) transmittal forms, which are used by OTS for submissions to ARC	Temporary Cut off at the end of the fiscal year, and destroy 1 year after cutoff	483-08-1, Item 47	OTS			No Change
8/BPMT	Budget (OTS Final) Final budget formulation records which represent OTS budget and	Permanent Cut off every 5 calendar years Transfer to NARA 20 years after cut	483–07–1, Item 1	OTS			No Change

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	reallocation, which are effected throughout the budget year	off					
7/RM 7/ITF 8/BPMT 8/FO	Budget Report Files (Internal) a Annual Reports Periodic reports on the status of appropriation accounts and apportionment b Budget Variance Reports Fiscal and calendar year–end reports showing expenditures vs allocations by budget account	a Temporary Cut off at the end of each fiscal year Destroy when 5 years old b Temporary Cut off at the end of each fiscal year Destroy 10 years after cutoff	a GRS 5, Item 3(a) b 483-07-3, Item 1	OTS			a No Change - GRS b No Change
8/FO	Building Construction and Renovation Files (Cost of OTS Building) Files pertaining to the construction and occupancy of the building located at 1700 G Street, NW Washington, DC	Temporary Destroy when no longer needed for reference	483–91–4, Item 2	OTS			No Change
6/FM	Commercial Tenants/Office Space Files These records include leases and correspondence of the commercial tenants and for the office space leased by the agency	Temporary Cut off at the end of the contract Destroy 2 years after cutoff	483-08-1, Item 1	OTS			No Change
3/CCP 3/IT 3/RC	Committee/Meetings/Task Forces a Internal Committees (Mission) Records include agenda, meeting minutes and documentation regarding issues brought before committees Included are final reports, letters and	a Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	a 483-07-1, Item 18	OTS			a No change

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
4/BTD 4/ENF 5/EA	memos related to questions, decisions and issues of the committees b Internal Committees (Non-Mission) Records relating to establishment, organization, membership, and policy of internal committees c External/Interagency Committees Agenda, minutes, final reports and related records documenting the accomplishments of official boards and committees, meetings, and task forces	b Temporary Destroy/delete when no longer needed for administrative purposes c Temporary Destroy when 3 years old	b GRS 26, Item 1a c GRS 26, Item 3				b No Change - GRS c No Change - GRS
6/HR	Congressional Response Files contain congressional inquiries regarding their constituent's application for a position at OTS	Temporary Cut off every 3 years Destroy 3 years after cutoff	483-08-1, Item 9	OTS			No Change
6/HR	Employee Health and Wellness Program Files contain information of exercise class enrollments, schedules of classes, lunchtime seminars, information on nutrition, publicity and resource materials, Bond drives, CFC drives and Blood drives	Temporary Cut off at the end of the calendar year or when information is no longer needed Destroy 2 years after cutoff	483–08–1, Item 7	OTS			No Change
6	Employee Locator Files contain the name, current address, telephone number of employees and name, address and telephone number of another person in case of emergency	Temporary Cut off upon termination/separation from agency plus 6 months Destroy upon cutoff	483-08-1, Item 10	OTS			No Change
1a	Exhibits for OTS Programs Files consist of posters and visual aids	Temporary Cut off at the end of the calendar year Destroy	483-08-1, Item 13	OTS			No Change

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	for display in the OTS lobby	2 years after cutoff					
3, 9	Examination Work Papers (Active Thrift, Holding Company and IT Service Provider Working Papers) Documentation of the procedures followed and the conclusions reached during the examination of a Thrift, Holding Company or Service Provider 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	Temporary Cut off files at the end of the examination Retain work papers for the last two completed examinations and until they are a minimum of 3 years Destroy when no longer needed for supervisory, legal and enforcement purposes Temporary Destroy 5 years after the thrift or holding company becomes inactive	483-04-1, Item 2 483-04-1, Item 3	OTS			No Change
3	FFIEC Information and Sharing Task Force Federal financial regulators committee, which examines and recommends ways of sharing information among regulators	Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	483–07–1, item 15	OTS			No Change
3	FFIEC Subcommittee Records Meeting minutes and documentation			OTS			

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	regarding issues brought before Committees Committees include but not limited to the Accounting Subcommittee and the Appraisal Subcommittee of the FFIEC						
	a Meeting agendas, minutes, and notes arranged chronologically	a Permanent Cut off at the end of the calendar year Transfer to NARA 10 years after cutoff	a 483-07-1, Item 15				a No change
	b Members working papers and subject files	b Temporary Cut off at the end of the calendar year Destroy 10 years after cutoff	b 483–08–1, Item 42				b No change
6/CRDS 6/CB	Merit Increase, Bonus and Incentive Awards Program 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	Temporary Cut off at the end of the calendar year Destroy 3 years after cutoff	483–08–1, Item 8	OTS			No Change
7/CM CSCC	Service/Trouble and Operators Logs Records that document personnel on duty, service calls, maintenance activities, equipment problems, etc , in OTS computer rooms	Temporary Cut off twice a year Destroy 6 months after cutoff	483-08-1, Item 23	OTS			No Change
3 4	Thrift and Holding Company Files (Board Actions Files) Files consist of Board resolutions, internal memoranda and	Permanent Cut off annually Transfer to NARA 15 years after cutoff	483-06-2, Item 4	OTS			No Change

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	correspondence relating to FHLBB actions						
2	Thrift Institution Notebooks This series covers the Sr Deputy Director and senior staff notebooks created for thrift institutions where an inquiry has been made on an institution Inquiries are based on, but not limited to, examination findings Documents include financial data, notes from conference calls, marketing data and external analysis research reports	Temporary Cut off when issue is resolved Destroy/delete when no longer needed for reference	483-08-2, Item 5				No Change
6/SD	Workman's Compensation Files Files contain Continuation of Pay reports sent to the Office of Workers Compensation The reports contain the quarterly figures on continuance of pay, the number of people, the number of work days and the total costs of workman's compensation This records series also includes personal injury files	Temporary Cut off at the end of the calendar year Destroy 3 years after cutoff	483–08–1, Item 5	OTS			No Change
7/CS CC	Account Files (Form 1414s) Files consist of OTS Form 1414's that shows current information about each account A form is filled out for each account that is set up on the system	Temporary Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes	GRS 20, Item 1c	GRS			No Change - GRS
8/FO	Accountable Officers' Files This record series includes the following record types 1) OTS invoices to savings	Temporary Cut off at the end of the calendar year Destroy 6 years and 3 months after period covered by	GRS 6, Item 1a	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	institutions/affiliates, government agencies, OPAC billings, commercial vendors, and former/current OTS employees, 2) Accounting Detailed and Summary Reports, 3) Cash Receipts for OTS Deposits (includes deposit slips, copies of checks/wires, and supporting documentation, 4) Treasury Schedules (SF-1166), 5) Monthly computer reports listings all checks issued and corresponding vouchers paid, 6) OTS invoices/Bill payments (includes copy of purchase order, and confirmation for receipt of goods and services, and 7) Journal Vouchers – JV's, management reports, and subsidiary reporting data and batch records	account					
8/FO	Accounting Reports a FFS Report of Open Obligations Computer–generated monthly reports from the OTS Accounting System that list the recipients of purchase orders, contracts and travel advances b Monarch Report for SGL 2110 – Accounts Computer–generated reports that show unpaid vendor invoices The reports are run monthly	a Temporary Cut off at the end of the calendar year Destroy when 3 years old b Temporary Cut off at the end of the calendar year Destroy when 2 years old	a GRS 7, Item 4a b GRS 7, Item 4b	GRS			No Change - GRS
6/FM	Agency Space Files Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment	Temporary Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are	GRS 11, Item 2a	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		superseded or obsolete					
6/HR 6/SD	Alternate Worksite Records a Approved requests or applications to participate in an alternate worksite program, agreements between the agency and the employee, and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act b Unapproved Requests c Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program	a Temporary Destroy 1 year after end of employee's participation in the program b Temporary Destroy 1 year after request is rejected c Temporary Destroy when 1 year old, or when no longer needed, whichever is later	a GRS 1, Item 42a b GRS 1, Item 42b c GRS 1, Item 42c	GRS			No Change - GRS
6/PD	Background and Working Files (Training)	Temporary Destroy when 3 years old	GRS 1, Item 29(a)(2)	GRS			No Change - GRS
7/Serv 7/CM	Backup File a Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data	a(1) Temporary Destroy/delete incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later	a(1) GRS 24, Item 4a(1)	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b File identical to records authorized for disposal in a NARA-approved records schedule	b(2) Temporary Destroy/delete full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later	b GRS 24, Item 4b(1)				
7/Serv	Backup Tape Index Online log to all daily, weekly and monthly backup tapes that are maintained online	Temporary Destroy/delete when superseded or obsolete	GRS 24, Item 4b	GRS			No Changer-GRS
6/HR	Benefits Listings Computer listing that shows enrolment and cost to OTS	Temporary Destroy or delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes	GRS 20, Item 6	GRS			No Change - GRS
6/PB 8/BPMT 8/FO	Budget Background Records Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules, and originating offices' copies of reports submitted to budget offices	Temporary Destroy 1 year after close of the fiscal year covered by the budget	GRS 5, Item 2	GRS			No Change - GRS
7/RM	Budget Correspondence Files	Temporary Cut off at the end of the	GRS 5, Item 1	GRS			No Change -

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
8/BPMT	Correspondence between OTS, Congress, OMB and Treasury These files can also include subject files relating to OTS budget matters	calendar year Destroy when 2 years old					GRS
8/FO	Budget System (User Manual) Documentation for users performing data entry and reporting functions using the agency budget system	Temporary Retain information in office for the life of system Destroy 2 years after system no longer exists	GRS 20, Item 11a	GRS			No Change - GRS
6/FM	Building Files Building services Includes the OTS Amphitheater files relating to the operation and use of the Amphitheater and associated equipment, and includes safety and soundness inspections	Temporary Destroy when 2 years old	GRS 11, Item 1	GRS			No Change - GRS
6/FM 7/ITF 7/NT	Communication General Files (Telecomm) Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters	Temporary Destroy when 3 years old	GRS 12, Item 2b	GRS			No Change - GRS
7/ISO	Computer Security Incident Handling, Reporting and Follow–up Records This series contains documentation and forms related to computer security issues	Temporary Destroy/delete 3 years after all necessary follow–up actions have been completed	GRS 24, Item 7	GRS			No Change - GRS
8/BPMT	Credit Card Files Records relating to the issuance of travel related credit cards to OTS employees	Temporary Cut off at the end of the calendar year Destroy 6 years and 3 months after period covered by	GRS 6, Item 1	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		the account					
6/FM	Depreciation Reports Reports from Financial Operations related to property values, furniture, etc	Temporary Destroy/delete when 2 years old or then the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes	GRS 20, Item 6	GRS			No Change - GRS
6/HR	Donated Leave Program Case Files Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630–A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records	Temporary Beginning January 1994, destroy 1 year after the end of the year in which the file is closed	GRS 1, Item 37	GRS			No Change - GRS
1a	EEO/ Copies of Complaint Case Files Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files	Temporary Destroy 1 year after resolution of case	GRS-1, Item 25b	GRS			No Change - GRS
1a	EEO/Complaint Policy and Procedures Files These files are broken down into the following areas, but are not limited to EEO complaint processing, EEO counselors, EEO activity reports,	Temporary Destroy when 3 years old or when superseded or obsolete, whichever is applicable	GRS-1eItem 25g	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	EEO training, EEO investigative procedures, EEO counselor procedures, EEO resolutions, EEO meetings/minutes, EEO charts, handbooks and forms						
6/PD	Employee Performance Appraisals All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based	Temporary Destroy 4 years after date of appraisal	GRS 1, Item 23a(4)	GRS			No Change - GRS
6/PB	Employee Performance File System Records a Non–SES appointees (as defined in 5 U S C 4031(2)) (2) Performance records superseded through an Administrative, judicial, or quasi–judicial procedure	Temporary Destroy when superseded	GRS 1, Item 23a(2)	GRS			No Change - GRS
6/PD	Employee Training Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions	Temporary Destroy when 5 years old or when superseded or obsolete, whichever is sooner	GRS 1, Item 29b	GRS			No Change - GRS
6/HR	Employees Grievance, Disciplinary and Adverse Action Files a Administrative Grievance	a Temporary	a GRS 1, Item	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Records relating to grievances raised by agency employees, except EEO complaints b Adverse Action Case files and records related to adverse actions and performance–based actions (removal, suspension, reduction–in–grade, furlough) against employees	Destroy no sooner than 4 years, but no later than 7 years after case is closed b Temporary Destroy no sooner than 4 years, but no later than 7 years after case is closed	30a b GRS 1, Item 30b				
7/ENS 7/RM	Enterprise Architecture Records Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans	Temporary Cut off when superseded by a new iteration of the enterprise architecture Destroy/delete when 7 years old or when no longer needed, whichever is later	GRS 27, Item 2	GRS			No Change - GRS
6/SEC	Facilities Checks Files Files relating to periodic guard force facility checks a Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule) b Reports of routine after–hours security checks that either do not	a Temporary Destroy when 1 year old b Temporary Destroy when 1 month	a GRS 18, Item 18a b GRS 18, Item 18b	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule	old					
7/RM	Federal Telecommunications Profile Obligations Survey This survey is used to obtain actual obligations for telecommunications	Temporary Cut off at the end of the calendar year Destroy/delete when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes	GRS 20, Item 1c	GRS			No Change - GRS
7/RM	Federal Workplace Drug Testing Program Files Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like)	Temporary Cut off at the end of the calendar year Destroy when 3 years old or when superseded or obsolete	GRS 1, Item 36a	GRS			No Change - GRS
8/FO	FF&E Asset Report (Furniture, Fixtures and Equipment) This report is a feeder report from the inventory tracking system Files contain deposit sheets, copies of checks, order forms and background information)	Temporary Destroy or delete when 2 years old or when the agency determines that they are no longer needed for Administrative, legal, audit, or other operational purposes	GRS 20, Item 6	GRS			No Change - GRS
7/ITF	Financing of IT Resources and Services Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing	Temporary Destroy/delete records with no outstanding payment issues when 3 years old	GRS 27, Item 9c	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	and other IT services, EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, Item 6 and 7						
4/LIT /LFR	FOIA and Public User Requests (PURS) (Denied Appeals and Requests)			GRS			No Change - GRS
	Denied Requests Responses to requests for nonexistent records, to requesters who provide inadequate descriptions, and to those who fail to pay agency reproduction fees	Denied Requests					
	(a)Requests not appealed	a Temporary Destroy 2 years after date of reply	a GRS 14, Item 11(2)a				
	(b)Requests appealed	b Temporary Destroy 6 years after final determination, 6 years after the time at which a requester could file suit, or 3 years after final adjudication, which ever is later	b GRS 14, Item 11(2)b				
	Denying access to all or part of the records	Denied Access					
	(a)Request not appealed	a Temporary Destroy 6 years after date of reply	a GRS 14, Item 11(3)a,				
	(b)Request appealed	b Temporary	b GRS 14, Item				

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		Destroy 6 years after final determination by OTS, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later	11(3)b				
4/LIT /LFR	FOIA Appeals Files Files created in responding to administrative appeals under FOIA for release of information denied by OTS Files include the appellant's letter, the reply, supporting documents and copies of the records under appeal			GRS			No Change - GRS
	a Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein)	a Temporary Destroy 6 years after final determination by OTS, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later	a GRS 14, Item 12a				
	b Official file copy of records under appeal	b Temporary Dispose of in accordance with approved OTS disposition instructions for the related record or with the related FOIA	b GRS 14, Item 12b				

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		request, whichever is later					
4/LIT	FOIA Granted Requests Granting access to all the requested records	Temporary Destroy 2 years after date of reply	GRS 14, Item 11a(1)	GRS			No Change - GRS
4/LIT	FOIA Reports Files (Annual Report) Annual reports to Treasury on the number of requests and exemptions used by OTS when responding to FOIA requests	Temporary Destroy when 2 years old	GRS 14, Item 14	GRS			No Change - GRS
4/LIT	FOIA Request/ Control Files Files are maintained for control purposes in responding to requests, including registers, records listing by date, action and purpose of request The listing also includes the name and address of the requesters	Temporary Destroy 6 years after date of last entry	GRS 14, Item 13a	GRS			No Change - GRS
3/IT	FOIA Requests Files Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereto Program Office (CC/Litigation) Official file copy of requested documents	Temporary Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later	GRS 14, Item 11b	GRS			No Change - GRS
6/FM 7/R	Forms Management a Active Forms	a Temporary	a GRS 16, Item	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
M	Active OTS Forms These files contain OTS Public–use forms and forms created for use by OTS	Destroy 5 years after related form is discontinued, superseded or cancelled	3a				
	b Cancelled Forms FHLBB and OTS forms no longer in use by agency and includes background materials	b Temporary Destroy when related form is discontinued, superseded, or cancelled	b GRS 16, Item 3b				
6/SEC	Guard Assignment Files Files relating to guard assignments and strength			GRS			No Change - GRS
	a Ledger records	a Temporary Destroy 3 years after final entry	a GRS 18, Item 13a				
	b Reports, analyses, reports, change notices, and other papers relating to post assignments and strength requirements	b Temporary Destroy when 2 years old	b GRS 18, Item 13b				
6/SEC	Guard Service Control Files			GRS			No Change - GRS
	a Control center key or code records, emergency call cards, and building record and employee identification cards	a Temporary Destroy when superseded or obsolete	a GRS 18, Item 19a				
	b Round reports, service reports on interruptions and tests, and punch clock dial sheets	b Temporary Destroy when 1 year old	b GRS 18, Item 19b				
	c Automatic machine patrol charts and charts and registers of patrol and	c Temporary Destroy when 1 year	c GRS 18, Item 19c				

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	alarm services d Arms distribution sheets, charge records, and receipts	old d Temporary Destroy 3 months after return of arms	 d GRS 18, Item 19d				
7/CSCC	Help Desk (Monthly Status Report) Help Line Administrative reports	Temporary Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later	GRS 24, Item 10b	GRS			No Change - GRS
6/PD	Human Resources Management Committee As a National Academy of Public Administration Fellow, the HR/OPD participates on this committee Includes correspondence, working papers, meeting minutes and reports	Temporary Destroy when records are 3 years old	GRS 26, Item 3	GRS			No Change - GRS
6/FM 7/ITF	Inventory Requisition File Stock Room's file of requisitions for supplies and equipment for current inventory	Temporary Cut off at the end of each calendar year Destroy 2 years after completion or cancellation of requisition	GRS 3, Item 8a	GRS			No Change - GRS
6/SEC	Investigative Files Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements	Temporary Destroy when 2 years old	GRS 18, Item 11	GRS			No Change - GRS
7/C	IT Asset and Configuration			GRS			No

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
M	Management Files						Change - GRS
	a Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets	a Temporary Destroy/delete 1 year after completion of the next inventory	a GRS 24, Item 3a				
	b Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow–up, and impact assessment of operational networks and systems Includes, but not limited to						
	1 Data and detailed reports on implementation of systems, applications and modifications, application sizing, resource and demand management, documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, documentation of software distribution and release or version management	b (1) Temporary Destroy/delete 1 year after termination of system	b(1) GRS 24, Item 3b(1)				
	2 Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records	b(2) Temporary Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner	b(2) GRS 24, Item 3b(2)				

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
7/CS CC 7/C M	IT Customer Service Files (Help Line Inquiries, Equip Services and Subscription Requests) a Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers b Help desk logs and reports and other files related to customer query and problem response, query monitoring and clearance, and customer feedback records, and related trend analysis and reporting	a Temporary Destroy/delete 1 year after record is suspended or obsolete b Temporary Destroy/ delete when 1 year old or when no longer needed for review and analysis, whichever is later	a GRS 24, Item 10a b GRS 24, Item 10b	GRS			No Change - GRS
7/AD 7/C M	IT Infrastructure Design and Implementation Files (Installation and testing records) Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications, (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of	Temporary Destroy/delete 3 years after final decision on acceptance is made	GRS 24, Item 11c	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting, (3) models, diagrams, schematics, and technical documentation, and (4) quality assurance reviews and test plans, data, and results						
7/CM 7/AD 7/CSCC	IT Operations Records (Email Troubleshooting) a Workload schedules, run reports, and schedules of maintenance and support activities b Problem reports and related decision documents relating to the software infrastructure of the network or system	 a Temporary Destroy/ delete when 1 year old b Temporary Destroy/delete 1 year after problem is resolved	 a GRS 24, Item 8a b GRS 24, Item 8b	GRS			No Change - GRS
6/FM	Joint Committee Records Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, bindings, and related equipment in Class A and B Plants or in storage	Temporary Destroy when 3 years old	GRS 13, Item 5a	GRS			No Change - GRS
6/HR	Labor Management Relations Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups a Office Negotiating Agreement	 a Temporary Destroy 5 years after expiration of agreement	 a GRS 1, Item 28a(1)	GRS			No Change - GRS

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b Labor Arbitration General and Case Files Correspondence, forms, and background papers relating to labor arbitration cases	b Temporary Destroy 5 years after final resolution of case	b GRSr1, Item 28b				
7/RM	Legal and Regulatory Compliance Records Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies	Temporary Cut off annually Destroy/delete when 5 years old	GRS 27, Item 4	GRS			No Changer-GRS
6/CRDS	Length of Service and Sick Leave Awards Files Records including correspondence, reports, computations of service and sick leave, and lists of awardees	Temporary Destroy when 1 year old	GRS 1, Item 12b	GRS			No Change - GRS
6/SEC	Logs and Registers Guard logs and registers not covered elsewhere in this schedule a Central guard office master logs b Individual guard post logs of occurrences entered in master logs	a Temporary Destroy 2 years after final entry b Temporary Destroy 1 year after final entry	a GRS 18, Item 20a b GRS 18, Item 20b	GRS			No Change - GRS
6/FM	Mail Control Logs Statistical records of incoming and outgoing mail for OTS	Temporary Destroy when 1 year old	GRS 12, Item 6d	GRS			No Change - GRS

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
6/FM	Mail Room Services Records relate to the services conducted by the Mail Room including Fax transmissions and maintenance logs	Temporary Destroy when 1 year old or when superseded or obsolete, whichever is applicable	GRS 12, Item 6g	GRS			No Change - GRS
3/RC 6/PB 7/RM 8/BPMT	Management Control Records a *Audit Files* FMFIA files which include Policy, Procedure and Guidance Files b *Management Control Plans* Comprehensive plans that document OTS efforts to ensure compliance with OMB Circular A–123 c *Risk Analyses* Reports and supporting materials closed files closed files for the FMFIA review d *Annual Reports and Assurance Statements* The final report submitted to the President, Congress, or Main Treasury e *Tracking files* Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of reviews	a Temporary Destroy when superseded b Temporary Cut off closed files annually Destroy when superseded c Temporary Cut off closed files annually Destroy after next review cycle d Temporary Cut off closed files annually Destroy after next reporting cycle e Temporary Destroy 1 year after report is completed	a GRS 16, Item 14a b GRS 16, Item 14b c GRS 16, Item 14c d GRS 16, Item 14d e GRS 16, Item 14e	GRS			No Change - GRS

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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	Program Office and OTS Offices f *Review Files* Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective action taken to resolve such problems						
	1 *Program Offices* Office with responsibility for coordinating internal control functions	f(1) Temporary Cut off when no further corrective action is necessary Destroy 5 years after cutoff	f(1) GRS 16, Item 14f(1)				
	2 *OTS offices* Copies maintained by other offices as internal reviews	f(2) Temporary Cut off when no further action is necessary Destroy 1 year after cutoff	f(2) GRS 16, Item 14f(2)				
6/FM	Motor Vehicle Maintenance Records relate to service and repair of OTS vehicles	Temporary Destroy when 1 year old	GRS 10, Item 2b	GRS			No Change - GRS
8/BPMT	Non-commercial Reimbursable Travel Files (Expense Reports) Copies of records relating to reimbursing individuals for official travel	Temporary Cut off at the end of the calendar year Destroy when 6 years old	GRS 9, Item 3a	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
6/CRDS 6/SD	Notifications of Personnel Actions Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF a Chronological file copies, including fact sheets, maintained in personnel offices b All other copies maintained in personnel offices	a Temporary Destroy when 2 years old b Temporary Destroy when 1 year old	a GRS 1, Item 14a b GRS 1, Item 14b	GRS			No Change - GRS
6/CRDS	OTS Employee Work Life Program Files These files are used to send acknowledgments or condolences of major events that occur in the life of OTS employees while still actively working Such events include death, death in the family, birth, birthdates, marriages, etc	Temporary Destroy when 3 months old	GRS 23, Item 7	GRS			No Change - GRS
7/RM	Oversight and Compliance Files Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities b All other oversight and compliance	b Temporary	b GRS 24, Item	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance	Cut off at the end of the calendar year Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer	1b				
6/PB 7/AS	Payroll System Reports a Error reports and system operations reports b Reports and data used for agency workload and/or personnel management purposes c Reports providing calendar year information on agency payroll	a Temporary Destroy when related actions are completed or when no longer needed, not to exceed 2 years b Temporary Destroy when 2 years old c Temporary Destroy after GAO audit or when 3 years old, whichever is sooner	a GRS 2, Item 22a b GRS 2, Item 22b c GRS 2, Item 22c	GRS			No Change - GRS
6/FM	Personal Property (Disposalr/ Excess) Reports of the administration of the OTS property management program relating to disposal and excess of personal property at OTS	Disposal a Temporary Retain in office for 2 years Destroy when 2 years old Excess b Temporary Retain in office for 2	a GRS 4, Item 1 b GRS 4, Item 2	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
		years Destroy when 3 years old					
6/HR	Personnel Counseling Records (Drug Free Workplace Program) Alcohol and Drug Abuse Program Records created in planning, coordinating, and directing an alcohol and drug abuse program	Temporary Destroy when 3 years old	GRS 1, Item 26b	GRS			No Change - GRS
6/PB	Personnel Operations Statistical Reports These reports indicate the actual employment level of OTS vs the target ceilings Produced bi–weekly, monthly (SF–113G) and annually	Temporary Destroy when 2 years old	GRS 1, Item 16	GRS			No Changer-GRS
6/SEC	Personnel Security Clearance Files Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency a Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data	a Temporary Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable	a GRS 18, Item 22a	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations c Index to the Personnel Security Case Files	b Temporary Destroy in accordance with the investigating agency instructions c Temporary Destroy with related case files	b GRS 18, Item 22b c GRS 18, Item 22c				
6/SEC	Personnel Security Clearance Status Files Lists or rosters showing the current security clearance status of individuals	Temporary Destroy when superseded or obsolete	GRS 18, Item 23	GRS			No Change - GRS
6/SEC	Police Functions Files Files relating to exercise of police functions a Ledger records of arrest, cars ticketed, and outside police contacts b Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations c Reports on contact of outside police with building occupants	a Temporary Destroy 3 years after final entry b Temporary Destroy when 2 years old c Temporary Destroy when 1 year old	a GRS 18, Item 14a b GRS 18, Item 14b c GRS 18, Item 14c	GRS			No Change - GRS
6/SD	Position Classification Files include position descriptions and standards for classification	Temporary Destroy when superseded or obsolete	GRS 1, Item 7a(1)	GRS			No Change - GRS

Office of Thrift Supervision
Comprehensive Records Retention Schedule - Crosswalk

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
8/PRO	Procurement Files (General Correspondence) a Purchase Card Files Documentation of purchases made by OTS staff with agency issued credit cards b Purchase Card Listings This is the list of OTS staff issued credit cards for agency purchases c Purchase Order Logs Purchase order log used to assign purchase order numbers to requisitions submitted to the Procurement Office by OTS staff for goods and services	a Temporary Destroy when 2 years old b Temporary Destroy when 2 years old c Temporary Destroy upon termination or completion	a GRS 3, Item 2 b GRS 3, Item 2 c GRS 3, Item 3c	GRS			No Change - GRS
8/PRO	Procurement Files (Solicited and Unsolicited Bids and Proposals Files) a Successful bids and proposals b Solicited and unsolicited unsuccessful bids and proposals (1) Relating to small purchases as defined in the FAR, 48 CFR Part 13 (2) Relating to transactions above the small purchase limitations in 48 CFR	a Temporary Destroy with related contract case files b (1) Temporary Destroy 1 year after date of award or final payment, whichever is later	a GRS 3, Item 5a b(1) GRS 3, Item 5b(1)	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retentio n Was	Proposed Retention	SF115 Item Number
	Part 13						
	(2)(a) When filed separately from contract case files	b(2)a Destroy when related contract is completed	b(2)a GRS 3, Item 5b(2)a				
	(2)(b) When filed with contract case files	b(2)b Destroy with related contract case file	b(2)b GRS 3, Item 5b(2)b				
	c Canceled solicitations files						
	(1) Formal solicitations of offers to provide products or services (e g , Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract The files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation	c(1) Destroy 5 years after date of cancellation	c(1) GRS 3, Item 5c(1)				
	(2) Unopened bids	c(2) Return to Bidder	c(2) GRS 3, Item 5c(2)				
	d Lists or card files of acceptable bidders	d Destroy when superseded or obsolete	d GRS 3, Item 5d				
6/FM	Property Pass Files Property pass files, authorizing removal of property or materials	Temporary Destroy 3 months after expiration or revocation	GRS 18, Item 12	GRS			No Changee GRS
7/R M	PWRA – Information Collection Budget	Temporary Cut off at the end of the	GRS 16, Item 12	GRS			No Change -

Org	Title and Description	Current Disposition	Authority	Bucket	Retentio n Was	Proposed Retention	SF115 Item Number
	Reports required by the Office of Management and Budget under the PWRA about the number of hours the public spends fulfilling agency reporting requirements	calendar year Retain in office for 7 years Destroy when 7 years old					GRS
4/RL	PWRA Approval Packages Finalized/signed copies of the paperwork packages sent to OMB	Temporary Destroy when 7 years old	GRS 16, Item 12	GRS			No Change - GRS
6/HR	Reasonable Accommodation Request Records Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164 a General Files Agency–wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants b Employee Case Files Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or	a Temporary Destroy 3 years after supercession or when no longer needed for reference, whichever is later b Temporary Destroy 3 years after employee separation from the agency or all appeals are concluded,	a GRS 1, Item 24a b GRS 1, Item 24b	GRS			No Changer-GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	employee relations coordinators c Supplemental Files Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on implementing or appealing requests for or from an individual employee for reasonable accommodation [Note These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file]	whichever is later c Temporary Destroy 3 years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later	c GRS 1, Item 24c				
7/RM	Record Disposition Files Descriptive inventories, disposal authorizations, schedules and reports a Basic documentation of records description and disposition program, including SF115, "Request for Records Disposition Authority", SF135 "Records Transmittal and Receipt", SF258 "Agreement to Transfer Records to NARA" and related documentation a(1) SF115s that have been approved by NARA a(2) Other records	a(1) Temporary Cut off at the end of the calendar year Destroy 2 years after supercession a(2) Temporary	a(1) GRS 16, Item 2a(1) a(2) GRS 16, Item	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retentio n Was	Proposed Retention	SF115 Item Number
		Cut off at the end of the calendar year Destroy 6 years after the related records are destroyed or after the related records are transferred to NARA, whichever is applicable	2a(2)				
7/R M	Records Management Program Files Records implementing the records management practices for OTS records This also includes correspondence sent to NARA, i e , exception letters, requests to hold destruction of records, records transferred to NARA and training materials developed by OTS Records staff	Temporary Cut off at the end of the calendar year Retain in office for 6 years Destroy when 6 years old	GRS 16, Item 7	GRS			No Changer-GRS
6/PB	Records Relating to Official Passports This series includes the request for clearance and letter to the Department of State for an employee to travel on official business	Temporary Destroy when 3 years old or upon separation of the bearer, whichever is sooner	GRS 9, Item 5a	GRS			No Change - GRS
6/PB 8/BP MT	Relocation Files These files contain the documentation of OTS' payment(s) for relocation expenses for OTS employees The files also include commercial bills of lading, commercial passenger transportation vouchers, transportation requests and travel authorizations	Temporary Cut off at the end of the calendar year Destroy 6 years after the period of the account	GRS 9, Item 1c	GRS			No Change - GRS
8/BP MT	Relocation Files (Copies Only)	Temporary Cut off at the end of the	GRS 9, Item 4a	GRS			No Changer-

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	These files contain the documentation of OTS' payment(s) for relocation expenses for OTS employees The files also include commercial bills of lading, commercial passenger transportation vouchers, transportation requests and travel authorizations	calendar year Destroy when 2 years old					GRS
6/FM	Request for Services Files These are the forms completed by the requester or OTS Graphics staff for jobs submitted to the OTS Graphics Unit for completion	Temporary Destroy 1 year after completion of job	GRS 13, Item 2a	GRS			No Change - GRS
6/CRDS	Retirement and Benefit Records Documentation of employee benefit selection and annuity calculations	Temporary Destroy when 1 year old	GRS 1, Item 39	GRS			No Change - GRS
6/PB	Retirement Files Reports, registers, or other control documents and other records relating to retirement, SFs 2806, 2807, and 3103	Temporary For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary	GRS 2, Item 28	GRS			No Change - GRS
6/FM	Routine Artwork Files These files would include flyers, posters, letterhead, and other graphics created for OTS staff These files are maintained electronically The program office is responsible for maintenance of the finalized product	Temporary Destroy when 2 years old or when no longer needed for publication or reprinting	GRS 21, Item 6	GRS			No Change - GRS
6/FM	Routine Photographs This series covers routine award ceremonies, social events, and activities not related to the mission of	Temporary Destroy when 1 year old	GRS 21, Item 1	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	the agency						
6/FM	Routine Procurement (Contract Reports) Other copies of records used by component elements of a procurement office for administrative purposes	Temporary Destroy upon termination or completion	GRS 3, Item 3c	GRS			No Change - GRS
8/PRO	Routine Procurement Files Contracts, requisitions, purchase orders, service agreements, leases, and bonds, correspondence and related papers pertaining to awards, Administration, receipt, inspection and payment for goods and services a Transactions and all construction contracts that exceed $2,000 b Transactions that utilize small purchase and all construction contracts under $2,000 c Other copies of records described above used by component elements of a procurement office for Administrative purposes d Data submitted to the Federal Procurement Data System (FPDS)	a Temporary Destroy 6 years and 3 months after final payment b Temporary Destroy 3 years after final payment c Temporary Destroy upon termination or completion d Temporary Destroy or delete when 5 years old	a GRS 3, Item 3a(1)(a) b GRS 3, Item 3a(1)(b) c GRS 3, Item 3c d GRS 3, Item 3d	GRS			No Change - GRS
7/ISO	Security Awareness (Internet Training)	Temporary Destroy or delete when	GRS 1, Item 29a(1)	GRS			No Change -

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	General file of agency sponsored training Content of these training records are with HR/PD	5 years old or 5 years after completion of a specific training program					GRS
6/FM	Security Contract Files Performance specification and post orders relating to the OTS security staff	Temporary Destroy 6 years and 3 months after final payment	GRS 3, Item 3a(1)(a)	GRS			No Change - GRS
6/SEC	Security Violations Files Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information a Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prospective determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations b All other files, exclusive of documents placed in official personnel folders	a Temporary Destroy 5 year after close of case b Temporary Destroy 2 years after completion of final action	a GRS 18, Item 24a b GRS 18, Item 24b	GRS			No Change - GRS
HR-TBD	Service Record Cards a Cards for employees separated or transferred on or before December 31, 1947	a Temporary Transfer to NPRC (CPR), St Louis, MO Destroy 60 years after	a GRS 1, Item 2a	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	b Cards for employees separated or transferred on or after January 1, 1948	earliest personnel action b Temporary Destroy 3 years after separation or transfer of employee	b GRS 1, Item 2b				
ALL	Supervisor Personnel Files Personnel actions, award recommendations, etc maintained by supervisors and office administrative staff	Temporary Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer	GRS 1, Item 18a	GRS			No Change - GRS
6/SEC	Survey and Inspection Files (Government–owned facilities) Reports of surveys and inspections of Government–owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry	Temporary Destroy when 3 years old or upon discontinuance of facility, whichever is sooner	GRS 18, Item 9	GRS			No Change - GRS
ALL	System Documentation These files should include flow charts, file specifications, operating procedures, user guides, program listings, test documentation, final reports and workpapers relating to a master file or database that has been authorized for destruction			GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	(Includes the contents of the Visual Source Safe) a Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule b Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule	a Temporary Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later b Permanent Transfer to the National Archives with the permanent electronic records to which the documentation relates	a GRS 20, Item 11a(1) b GRS 20, Item 11a(2)				
7/Serv	Tape Listing Computer–generated list of all tapes that are kept onsite or offsite	Temporary Cut off at the end of each calendar year Destroy 2 years after cutoff	GRS 20, Item 9	GRS			No Change - GRS
6/PB	Tax Files a W–4 b W–3	a Temporary Destroy 4 years after superseded or obsolete or upon separation of employee b Temporary Destroy when 4 years old	a GRS 2, Item 13a b GRS 2, Item 13c	GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	c W–2	c Temporary Destroy when 4 years old	c GRS 2, Item 13b				
6/PD	Test Files (Training) Files contain the exams and answer keys for OTS courses Included are detailed descriptions of the curriculum, sample certificates and analyses of the test	Temporary Cut off after completion of a specific training program Destroy when records are 3 years old or when superseded or obsolete, whichever is sooner	GRS 1, Item 29a(2)	GRS			No Change - GRS
6/PB	Time and Attendance Source Records All time and attendance records upon which leave input data is based, such as time or sign –in sheets, time cards (such as Optional Form (OF) 1130), Flexitime records, leave applications for jury and military duty, and authorized premium pay or overtime, maintained at duty post, upon which level input data is based Records may be in either machine–readable or paper form	Temporary Destroy after GAO audit or when 6 years old, whichever is sooner	GRS 2, Item 7	GRS			No Change - GRS
6/PD	Training Program Files Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences	Temporary Destroy when 5 years old, or 5 years after completion of a specific training program	GRS 1, Item 29a(1)	GRS			No Change - GRS
6/PD	Training Purchase Order Logs Log of purchase numbers issued to training coordinators	Temporary Destroy upon termination or completion	GRS 3, Item 3c	GRS			No Change - GRS
ALL	Training Records			GRS			No

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency Program Office Official custodian responsible for maintaining the record copy	Temporary Cut off files at the end of the calendar year Destroy when 5 years old or 5 years after completion of a specific training program	GRS 1, Item 29a(1)				Change - GRS
6/PD	Training Steering Committee Files The committee is comprised of OTS Washington and Regional staff The advisory group regularly communicates for the purpose of approving agency accreditations training	Temporary Destroy when 3 years old	GRS 26, Item 1a	GRS			No Change - GRS
6/FM	Transportation Services Daily logs, assignment records and dispatch records	Temporary Destroy when 3 months old	GRS 10, Item 2a	GRS			No Change - GRS
ALL	Travel Records Travel authorizations and advances, itineraries, and requests for reservations	Temporary Cut off files at the end of the calendar year Destroy when 6 years old	GRS 9, Item 3a	GRS			No Change - GRS
8/FO	U S Standard General Ledger Listing and description of the OTS chart of accounts	Temporary Cut off when revised or superseded Destroy upon cut off	483–07–3, Item 5	GRS			No Change - GRS
7/AS	User ID, Profiles, Authorizations and			GRS			No

Office of Thrift Supervision
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Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
7/CM	Password Files EXCLUDING records relating to electronic signatures a Systems requiring special accountability, e g , those containing information that may be needed for audit or investigative purposes and those that contain classified records b Routine systems, i e , those not covered by item 6a	a Temporary Destroy/ delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later b Temporary Delete or destroy when the agency determines they are no longer needed for Administrative, legal, audit or other operational purposes	a GRS 24, Item 6a b GRS 24, Item 6b (use GRS 20, Item 1c)				Change - GRS
6/SD	Vacancy Announcements Documents relating to posting and filling of OTS positions	Temporary Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner	GRS 1, Item 32	GRS			No Change - GRS
6/SEC	Visitor Control Files Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers			GRS			No Change - GRS

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	a For areas under maximum security b For other areas	a Temporary Destroy 5 years after final entry or 5 years after date of document, as appropriate b Temporary Destroy 2 years after final entry or 2 years after date of document, as appropriate	a GRS 18, Item 17a b GRS 18, Item 17b				
6/CRDS	Wage Survey Files Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class, background papers establishing need, authorization, direction, and analysis of wage surveys, development and implementation of wage schedules, and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets)	Temporary Destroy after completion of second succeeding wage survey	GRS 1, Item 38	GRS			No Change - GRS
7/AD	Website Request Files (Website Helpline Requests) These are the paper and/or email requests from OTS staff requesting the posting of information to OTS Intranet and Internet sites	Temporary Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later	GRS 24, Item 10b	GRS			No Change - GRS
3	Fingerprint File Cards This item consists of fingerprint cards that are submitted by Director's of Institutions that are filing applications	Temporary Cut off at the end of the calendar year Black out all personal information and then destroy 1 year	Non-Record	Non-Record			Non-Record

Org	Title and Description	Current Disposition	Authority	Bucket	Retention Was	Proposed Retention	SF115 Item Number
	with the OTS in accordance with the application process The fingerprint cards are forwarded to the FBI If the FBI rejects the card, it is sent back to OTS OTS will keep the rejected card and obtain a new card for that individual OTS then submits the rejected card and the new card to the FBI again If it is rejected again, the FBI sends the cards back to OTS OTS then maintains the rejected cards until destruction	after cutoff					
ALL	Goodwill and Litigation Files Documents submitted to Litigation support staff for Goodwill reviews	Contact the OTS Records Management Staff for guidance	Non-Record	Non-Record	Contact the OTS Records Management Staff for guidance		Non-Record
3/DD	Institution Applications These are copies used for informational purposes only	Temporary Destroy/delete when no longer needed	Non-Record	Non-Record			Non-Record
3	SEC Comment Files This series contains OTS' review of SEC comments regarding reports filed with the SEC	Temporary Destroy/delete when no longer needed	Non-Record	Non-Record			Non-Record