

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-483-98-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records.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

Item 10a1 remains active.

Item 10b1 remains active.

Item 17a remains active.

Item 17b remains active.

Item 17c remains active.

Item 17d remains active.

Item 18a1 remains active.

Item 18b1 remains active.

SUPERSEDED AND OBSOLETE ITEMS

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Item 1a was superseded by N1-483-07-001, item 28.

Item 2a was superseded by N1-483-07-001, item 29.

Item 3a was superseded by N1-483-07-001, item 30.

Item 4a1 was superseded by N1-483-07-001, item 31.

Item 4b1 was superseded by N1-483-07-002, item 1.

Item 4c was superseded by N1-483-07-002, item 2.

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Item 5a1 was superseded by N1-483-07-001, item 32.

Item 5b1 was superseded by N1-483-07-002, item 3.

Item 5c1 was superseded by N1-483-07-001, item 32.

Item 5d1 was superseded by N1-483-07-001, item 32.

Item 6a was superseded by N1-483-07-001, item 33.

Item 7a was superseded by N1-483-07-002, item 4.

Item 8a was superseded by N1-483-09-002 item 1b.

Item 9a was superseded by N1-483-07-002, item 5.

Item 10c1 was superseded by N1-483-07-001, item 34.

Item 11a was superseded by N1-483-07-002, item 6.

Item 12a was superseded by N1-483-07-002, item 7.

Item 13a was superseded by N1-483-07-002, item 8.

Item 14a was superseded by N1-483-07-001, item 35.

Item 15a was superseded by N1-483-07-002, item 9.

Item 16a was superseded by N1-483-07-002, item 10.

Item 19a1 was superseded by N1-483-07-001, item 36.

Item 19b1 was superseded by N1-483-07-001, item 36.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-483-98-1</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>4-26-99</i>	
1 FROM (Agency or establishment) Office of Thrift Supervision		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2 MAJOR SUBDIVISION Chief Counsel Office			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Mary Rawlings-Milton (rawlingsmilton@ots.treas.gov)	5 TELEPHONE (202) 906-6028	DATE <i>3-1-00</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>16</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies.			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>4/16/99</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Frank DiGialleonardo</i>		TITLE Frank DiGialleonardo, CIO, Director, OIS
7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached		

Office of Thrift Supervision Legal Records Schedule

Documents covered in this schedule consist of legal records created and received by the Federal Home Loan Bank Board (FHLBB) and the Office of Thrift Supervision (OTS). [Note: OTS is the successor agency of the FHLBB.] Both the FHLBB Office of General Counsel and the OTS Office of Chief Counsel consist of legal divisions which are responsible for enforcement actions and investigations, litigation proceedings, business transactions, handling general law matters and writing legal opinions. Other records covered under this schedule include the historical and reference information for FHLBB and OTS legislation, regulations, and policies and procedures created and used by the FHLBB and OTS legal staff.

The records that will be retired to Federal Records Centers (FRC) will be in paper, ~~microfilm rolls, microfiche jackets, digital images, diskettes, and/or audio and video tapes~~. Records are filed chronologically, alphabetically, subjectively and by institution name and/or docket number. The estimated annual growth is 720 cubic feet.

This schedule supersedes all items still active on schedules: NC1-195-77-11, NC1-195-77-12, NC1-195-77-13, NC1-195-77-14, NC1-195-77-15, NC1-195-77-16, NC1-195-77-17, NC1-195-77-18, NC1-195-78-2 and N1-483-93-4, Item 6a and 6b.

Item 1. Chief Counsel's Correspondence

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

a. Paper Records

Cutoff: End of calendar year.
Disposition: PERMANENT. Retain records in office for 3 years. Transfer to National Archives in 5-year blocks when newest record is 10 years old.
Estimated Cubic Feet: 20 cubic feet
Annual Growth: 10 cubic feet
Microfilm: 1 cubic foot (no longer microfilmed)
Privacy Act Considerations: Yes
Inclusive Dates: 1933 to Present

b. Electronic Mail or Word Processing Document

Cut off: When correspondence is signed.
Disposition: TEMPORARY. Delete electronic document when official paper files are retired to the Federal Records Center (FRC).
Privacy Act Considerations: Yes

Revision made with commencement of agency records office. 2/8/00 AS

Item 2. Legislative History and Legislative Reference 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.

a. Paper Records

Cutoff: End of each Congress.
Disposition: PERMANENT. Retain records in office for 3 years. Transfer to the National Archives in 5-year blocks when newest record is 10 years old.
Estimated Cubic Feet: 100 cubic feet
Annual Growth: 10 cubic feet
Privacy Act Considerations: No
Inclusive Dates: 1933 to Present

b. Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: No

Item 3. Regulatory Reference Files

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

a. Paper Records

Cutoff: End of calendar year.
Disposition: PERMANENT. Retain records in office for 3 years. Transfer to the Federal Records Center (FRC) for 7 years. Transfer records to the National Archives when records are 10 years old.
Estimated Cubic Feet: 220 cubic feet
Annual Growth: 10 cubic feet
Privacy Act Considerations: No
Inclusive Dates: 1933 to Present

b. Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic documents(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: No

Items 4 and 5 of this schedule are, respectively, Litigation Files and Enforcement Files. Both items include two record series: "Significant Case Files" and "Non-significant Case Files." The OTS Chief Counsel is responsible for determining which cases are "Significant" based on the following criteria:

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

Item 4. Litigation Files

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

a. Significant Case Files

(1) Paper Records

Cutoff: End of calendar year in which case is closed. (A case is considered closed when the time period for which an appeal may be filed has elapsed.)
Disposition: PERMANENT. Retain records in office for 1 year. Transfer the entire case to the FRC for 9 years. Transfer entire case to the National Archives 10 years after cutoff.
Estimated Cubic Feet: 200 cubic feet
Annual Growth: 100 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

(2) Electronic Mail and Word Processing Documents

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

b. Non-significant Case Files

(1) Paper Records

Cutoff: End of calendar year in which case is closed. (A case is considered closed when the time period for which an appeal may be filed has elapsed.)
Disposition: TEMPORARY. Retain records in office for 1 year. Transfer entire case to the FRC for 9 years. Destroy records 10 years after cutoff.
Estimated Cubic Feet: 1,500 cubic feet
Annual Growth: 150 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

(2) Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) documents are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

c. Requests for Documents

Request from outside parties for documents pertaining to Litigation.

(1) Paper Records

Cutoff: End of calendar year in which matter is closed.
Disposition: TEMPORARY. Retain records in office for 1 year then transfer to the FRC. Destroy records 5 years after cutoff.
Estimated Cubic Feet: 150 cubic feet
Annual Growth: 100 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

(2) Electronic Mail and Word Processing Document

Cut off: When final documents are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

Item 5. Enforcement Files

This series may include but is not limited to examination reports, transcripts of depositions, cease and desist orders, supervisory agreements, civil money penalties, criminal referrals, and removal and prohibitions orders. Other records relating to

to this series include issues relevant to the enforcement of statutes and regulations, opinions, memoranda of law, correspondence, enforcement proceedings, and documentation of actions sent to the Enforcement Review Committee for their review and action.

a. Significant Case Files (Enforcement Investigations)

(1) Paper Records

Cutoff: When case closes.
Disposition: PERMANENT. Retain records in office for 1 year.
Transfer the entire case to the FRC for 9 years. Transfer
entire case to the National Archives 10 years after cutoff.
Estimated Cubic Feet: 200 cubic feet
Annual Growth: 100 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1975 to Present

(2) Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper
records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

b. Non-significant Case Files (Enforcement Investigations)

(1) Paper Records

Cutoff: When case closes.
Disposition: TEMPORARY. Retain records in office for 1 year.
Transfer entire case to the FRC for 9 years. Destroy
records 10 years after cutoff.
Estimated Cubic Feet: 3,000 cubic feet
Annual Growth: 200 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1975 to Present

(2) Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper
records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

c. 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.

(1) Paper Records

Cutoff: When institution closes or all matters relating to that closed institution are completed whichever is later.
Disposition: PERMANENT. Retain records in office for 1 year. Transfer records to the FRC for 29 years. Transfer records to the National Archives when records are 30 years old.
Estimated Cubic Feet: 20 cubic feet
Annual Growth: 1 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1975 to Present

(2) Electronic Mail or Word Processing Document

Cut off: When final document(s) is printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

d. Enforcement Review Committee Files

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.

(1) Paper Records

Cutoff: End of calendar year.
Disposition: PERMANENT. Retain records in office for 5 years. Transfer records to the FRC for 5 years. Transfer records to the National Archives when records are 10 years old.
Estimated Cubic Feet: 20 cubic feet
Annual Growth: 5 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1987 to Present

(2) Electronic Mail or Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

Item 6. Enforcement Orders

to commence enforcement actions.

Files consist of orders signed by regional directors. Records are maintained in Washington. ~~The five regional counsels' offices may retain copies.~~

*Change made w/ concurrence of agency RD.
TT
10/14/04*

a. Paper Records

Cutoff: End of calendar year.
Disposition: PERMANENT. Retain records in office for 5 years. Transfer records to the FRC for 25 years. Transfer records to the National Archives when records are 30 years old.
Estimated Cubic Feet: 1 cubic foot per region
Annual Growth: 1 cubic foot
Privacy Act Considerations: Yes
Inclusive Dates: August 1989 - Present

b. Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are retired.
Privacy Act Considerations: Yes

Item 7. Thrift Institution Files

Information, including opinions and 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

a. Paper Records

Cutoff: End of calendar year. *Transfer immediately to the FRC.*
Disposition: TEMPORARY. ~~Retain records in office for 1 year. Transfer records to the FRC for 9 years.~~ Destroy records 10 years after cutoff.
Estimated Cubic Feet: 1200 cubic feet
Annual Growth: 50 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

Change made w/ concurrence of agency records officer and NK.

b. Electronic Mail and Word Processing

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

*TMT
8/6/04*

Item 8. Conservatorship/Receivership Files

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. No electronic versions of these records exist.]

a. Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Transfer records to the FRC immediately upon cutoff. Destroy records 10 years after cutoff. *2/8/00 etc*
Estimated Cubic Feet: 100 cubic feet
~~Estimated Microfiche: 2700 microfiche jackets~~ *Revised made with concurrence of agency records officer. 2/8/00 etc*
Annual Growth: 50 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1989 to 1994

supersedes NCI-195-77-11/3

Item 9. Non-Thrift Related Opinions, Policy and Memos

~~Item contains information relating to administrative matters (such as internal audits, contracts, leases, and employee and labor relations issues) which refer to statutes such as the Freedom of Information Act, Privacy Act, Administrative Procedures Act and Ethics in Government Act.~~ *Change made w/ concurrence of agency RD. 10/14/00*
These are the EEO case files, employment administrative appeals, contracts, leases, complaints, employee and labor relations and arbitration issues, federal tort claims, and FOIA appeal cases.

a. Paper Records

Cutoff: End of calendar year. *TEMPORARY. DESTROY WHEN*
Disposition: ~~PERMANENT. Retain records in office for 3 years. Transfer to the National Archives in 5-year blocks when newest record is 10 years old.~~
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 5 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1933 to Present

Change made with concurrence of agency records officer. etc 1/28/2000

b. Electronic Mail and Word Processing Document

Cut off: When final document(s) is printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

Item 10. Government Ethics-related Files

These files consist of the program files that relate to the OTS Ethics program.

a. Ethics Program Inter-Agency Files

These files include the incoming and outgoing correspondence from other government agencies, including Treasury and the Office of Government Ethics.

(1) Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Destroy records 3 years after cutoff.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 1 cubic foot
Privacy Act Considerations: No
Inclusive Dates: 1985 to Present

(2) Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

b. Ethics-related Opinion Files

Files consist of memoranda and opinions generated in response to ethics-related questions posed by OTS employees.

(1) Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Destroy records 3 years after cutoff.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 1 cubic foot
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

(2) Electronic Mail and Word Processing

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's record keeping system.
Privacy Act Considerations: Yes

c. Ethics Policy and Procedures Files

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

(1) Paper Records

Cutoff: End of calendar year.
Disposition: PERMANENT. Retain in office for 3 years. Transfer to the FRC for 12 years. Transfer to National Archives when records are 15 years old.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 1 cubic foot
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

(2) Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are retired.
Privacy Act Considerations: Yes

Item 11. Non-Thrift Case Files

Files pertain to non-thrift related matters in which the FHLBB was, or 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.*

a. Paper Records
Cutoff: End of calendar year in which case is closed.
Disposition: TEMPORARY. Retain records in office for 1 year. Transfer records to the FRC and destroy 10 years after cutoff.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 3 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

*Change made w/
concurrence of
agency RD.
TT
10/14/04*

b. Electronic Mail and Word Processing Document

Cutoff: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

Item 12. Legal Subject Files

Files consist of the working files and reference files used or created by the Chief Counsel divisions.

a. Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Retain records in office for 1 year. Transfer records to FRC for 9 years. Destroy records 10 years after cutoff.
Estimated Cubic Feet: 20 cubic feet
Annual Growth: 10 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1975 to Present

b. Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in the office's recordkeeping system.
Privacy Act Considerations: Yes

Item 13. Division Signature Files

Files contain correspondence signed by FHLBB and OTS legal staff. Incoming, outgoing and possibly background documents may be attached to the signed correspondence.

a. Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Retain records in office for 1 year. Transfer to FRC and destroy 5 years after cutoff.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 5 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1975 to Present

b. Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: Temporary. Delete electronic document(s) when paper is placed in office's recordkeeping system.
Privacy Act Considerations: Yes

Item 14. Chief Counsel Policy and Procedures

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

a. Paper Records

Cutoff: When policy and procedures are superseded.
Disposition: PERMANENT. Retain records in office for 3 years. Transfer records to the FRC for 7 years. Transfer records to the National Archives 10 years after cutoff.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 2 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1975 to Present

b. Electronic Mail and Word Processing

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are retired.
Privacy Act Considerations: Yes

Item 15. Agency Reports

Reports to Congress and other Federal agencies pertaining to administrative matters and statutes, ~~such as the Ethics in Government Act.~~

*Change made w/ commencement of agency RD.
TT
10/14/04*

a. Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Destroy records 5 years after cutoff.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 2 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1985 - Present

b. Electronic Data

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper record is placed office's recordkeeping system.
Privacy Act Considerations: Yes

Item 16. Status Reports and Staff Meeting Files

~~These files include status reports, regional counsel reports, and agenda files of regional counsel meetings involving FHLBB/OTS Washington staff and regional counsel staff.~~ This series consists of status reports, significant activity reports, regional counsel reports, and agenda files.

*Change made w/
commencement of
agency RD.
TT
10/14/04*

a. Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Destroy records 5 years after cutoff.
Estimated Cubic Feet: 10 cubic feet
Annual Growth: 2 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1985 to Present

b. Electronic Mail and Word Processing Document

Cut off: When final document(s) is printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper record is placed in office's recordkeeping system.
Privacy Act Considerations: Yes

Item 17. Federal Savings and Loan Insurance Corporation (FSLIC) Related Files

This series contain documents such as Case Files, FSLIC Closing Books, and Insurance Appeals/Hudspeth Claims. [NOTE: No electronic versions of these records exist.]

a. FSLIC Case Files

These files consist of various documents relating to thrift institutions that were placed in receivership by the FHLBB. The legal documents relate to FSLIC's administration of FSLIC-assisted receiverships.

*supersedes
NCL-195-77-11/3*

Cutoff: Completed in August 1989.
Disposition: TEMPORARY. Immediately transfer all records to the FRC. Destroy records in January 2010.

*etc
2/8/00*

Estimated Cubic Feet: 100 cubic feet
~~Estimated Microfiche: 10,000 jackets~~
Privacy Act Considerations: Yes
Inclusive Dates: 1982 to 1989

*Revision made with concurrence
of agency records office
2/8/00 etc*

b. FSLIC Closing Books

This series contains documents which show a snapshot of the financial institution being closed or merged by the FHLBB, and includes the memoranda to FHLBB board members, the resolutions adopted by the FHLBB board members and the signed documents between the acquirer and the FSLIC.

Cutoff: Completed in August 1989.
Disposition: PERMANENT. Immediately transfer all records to the FRC. Transfer records to the National Archives in January 2010.
Estimated Cubic Feet: 250 cubic feet
Estimated Microfiche: 10,000 jackets
Privacy Act Considerations: Yes
Inclusive Dates: 1982 to 1989

c. FSLIC Insurance Appeals/Hudspeth Claims

These files are the administrative appeals made by individuals or corporations of initial determinations/decision made by the Insurance division or the Operations and Liquidation division of FSLIC. Under the Hudspeth decision, the FSLIC as receiver for an institution could abrogate any contract deemed to be excessive. When insured accounts were transferred to another institution or paid out in cash by FSLIC Corporate, the Insurance Division made the initial determination on whether the individual or corporation had uninsured money in the institution.

Cutoff: Completed in August 1989.
Disposition: TEMPORARY. Immediately transfer all records to the FRC. Destroy records in January 2010.
Estimated Cubic Feet: 150 cubic feet
Estimated Microfiche: 2,500 jackets
Privacy Act Considerations: Yes
Inclusive Dates: 1982 to 1989

d. FSLIC Division Chron Files

Chron files of the legal divisions of the Federal Savings and Loan Insurance Corporation and Receivership/Conservatorships.

Cutoff: Completed.
Disposition: TEMPORARY. Immediately transfer all records to the FRC and destroy when 10 years old.
Estimated Cubic Feet: 3 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1987 to 1990

Item 18. Chief Counsel Management Information System

- a. This PC-based computer system tracks and provides information on all assignments in the Chief Counsel's office.

(1) Electronic Data

Cutoff: When information is updated.
Disposition: TEMPORARY. Destroy information when it becomes obsolete.
Privacy Act Considerations: Yes
Inclusive Dates: 1989 to Present

- b. The system's output reports provide information on the status of each case.

(1) Paper Records

Cutoff: End of calendar year.
Disposition: TEMPORARY. Destroy 5 years after cutoff.
Estimated Cubic Feet: 1 cubic foot
Annual Growth: 1 cubic foot
Privacy Act Considerations: Yes
Inclusive Dates: 1989 to Present

Item 19. Adjudicatory Files

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

(1) Paper Records

Cutoff: Calendar year in which case closes.
Disposition: PERMANENT. Retain in office 3 years after case is closed. Transfer to FRC for 17 years. Transfer to the National Archives when records are 20 years old.
Estimated Cubic Feet: 110 cubic feet
Annual Growth: 5 cubic feet
Privacy Act Considerations: Yes
Inclusive Dates: 1980 - Present

(2) Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in office's recordkeeping system.
Privacy Act Considerations: Yes

b. Master List

This is a finding aid for the adjudicatory files.

(1) Paper Records

Cutoff: End of Calendar Year when corresponding files are transferred to FRC.
Disposition: PERMANENT. Retain in office for 3 years after case is closed. Transfer to FRC for 17 years. Transfer to National Archives when records are 20 years old.
Estimated Cubic Feet: .5 cubic foot
Annual Growth: .5 cubic foot
Privacy Act Considerations: No

(2) Electronic Mail and Word Processing Document

Cut off: When final document(s) are printed out on paper.
Disposition: TEMPORARY. Delete electronic document(s) when paper records are placed in record office's recordkeeping in system.
Privacy Act Considerations: Yes