

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-413-01-003**

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

- Series 1 was superseded by N1-413-09-001 series 1.
- Series 2 was superseded by N1-413-09-001 series 1.
- Series 3 was superseded by N1-413-09-001 series 1.
- Series 4 was superseded by N1-413-09-001 series 1.
- Series 5 was superseded by N1-413-09-001 series 1.
- Series 6 was withdrawn.
- Series 7 was withdrawn.
- Series 8 was superseded by N1-413-09-002 series 8.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-413-01-3	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 7/26/01	
1. FROM (Agency or establishment) National Credit Union Administration		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of Corporate Credit Unions		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Sharon B. Welsh	5. TELEPHONE NUMBER 703-518-6426	DATE 11-20-01	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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>4</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 7-26-01	SIGNATURE OF AGENCY REPRESENTATIVE <i>Sharon B. Welsh</i>		TITLE <i>Records Officer</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEETS		
cc Agency NWMD NWCT			

**Series 1. Corporate Credit Union Correspondence Files.**

General correspondence relating to the administration and operations of the NCUA Corporate Credit Union System.

Superseded by:  
NI-413-09-1/10  
DATE (MM/DD/YYYY):  
07/02/2011

- a. Record copy.

TEMPORARY. Cutoff annually. Retire to off-site storage after 3 years. Destroy when ~~7 years~~ old.

- b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

Superseded by:  
DAA-GRS-2016-0016-000  
DATE (MM/DD/YYYY):  
07/2017

TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.

**Series 2. Examination Reports and Work Papers.**

Annual examinations of Corporate Credit Union System member institutions and the U.S. Central Credit Union are documented in Examination Reports provided to the Institution's Board of Directors. These reports include assessments of the financial status of the institution; the effectiveness of the institution's management; asset quality; earnings/liquidity; and other relevant areas.

Superseded by:  
NI-413-09-1/10  
DATE (MM/DD/YYYY):  
07/02/2011

- a. Record copy of Examination Report.

TEMPORARY. Destroy when 4 years, 6 months old (3<sup>rd</sup> examination cycle).

Supersedes NC1-413-76-1, item 55

Superseded by:  
NI-413-09-1/10  
DATE (MM/DD/YYYY):  
07/02/2011

- b. Examination Work Papers.

Extensive work papers are created by NCUA examiners in the course of developing the Examination Report. The work papers provide a systematic record of work performed during the examination; a record of information obtained and developed to support findings, conclusions, and recommendations; and the basic material used to prepare the Examination Report. Working papers include examination plans, analysis, memoranda, letters of confirmation and representation, abstracts of institution documents, pro form's, and schedules or commentaries prepared or obtained by NCUA examiners.

TEMPORARY. Destroy when 4 years, 6 months old (3<sup>rd</sup> examination cycle).

- c. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

Superseded by:  
DAA-GRS-2016-0016-000  
DATE (MM/DD/YYYY):  
07/2017

TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.

### Series 3. Audit Reports

Reports of audits conducted of Corporate Credit Union System members and the U.S. Central Credit Union by certified public accounting firms.

Superseded by:  
NI-413-09-1/1C  
DATE (MM/DD/YYYY):  
07/02/2011

a. Record copy.

TEMPORARY. Destroy when 3 years old or no longer needed for agency business, whichever occurs later.

b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

Superseded by:  
DAA-GRS-2016-0016-00  
DATE (MM/DD/YYYY):  
07/2017

TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.

### Series 4. Credit Union History Files

Arrangement: Alphabetical by Institution, chronological thereunder

Annual Volume: 2.0 cubic feet

Files documenting the history of Corporate Credit Union member institutions. Includes charter and amendments thereto, by-laws and amendments thereto, applications for Federal Share Insurance and pertinent supporting documents, including NCUA Form 9601, Application and Agreements for Insurance of Accounts, certification and special agreements, merger and conversion documents, joint operation approvals, accounting service center approval, charter investigation reports, suspensions, cease and desist orders, documentation relating to any other administrative actions, orders, or special agreements, orders to establish special reserves, security devices and procedures, reports of examinations performed by state supervisory authorities and/or CPA's in lieu of State examinations, correspondence, memoranda, various reports and work papers. Also includes examiner's report used for credit union requesting chartering or insurance approval as well as liquidation and cancelled charter files.

a. Record copy.

PERMANENT. Transfer to the National Archives 5 years after dissolution of the member institution or its successor.

Superseded by:  
NI-413-09-1/1A-B  
DATE (MM/DD/YYYY):  
07/02/2011

Supersedes NC1-413-76-1, items 53 and 54

b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.

Superseded by:  
DAA-GRS-2016-0016-00  
DATE (MM/DD/YYYY):  
07/2017

**Series 5. Part 704 Files**

NCUA implemented a revised regulation (12 CFR 704) in 1998 allowing credit unions to have expanded authorities. Files contain documentation relating to requests by corporate credit unions to receive the additional authorities. Includes proposals for investments, analysis of staff, position descriptions, financial records, infrastructure and equipment information, and work papers.

Superseded by:  
NI-413-09-7/18  
DATE (MM/DD/YYYY):

07/02/2011

- a. Records copy.

TEMPORARY. Cut off annually. Retire to off-site storage 3 years after cut off. Destroy when 7 years old.

- b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

Superseded by:  
DAA-685-2016-0016-0002  
DATE (MM/DD/YYYY):

07/2017

TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.

**Series 6. Reading Files**

WITHDRAWN

Copies of outgoing correspondence that pertains to various aspects of the Corporate Credit Union business and maintained solely for reference purposes.

- a. Record copy.

TEMPORARY. Cut off annually. Destroy when 2 years old.

- b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.

**Series 7. Century Date Conversion (Y2K) Files**

WITHDRAWN

Records related to the initiative undertaken by NCUA to ensure that automated systems in Corporate Credit Union System member institutions will continue to function reliably when the date changed to the year 2000. The records consist of implementation and testing plans, strategies, test results, risk assessments, meeting minutes, correspondence, reports, memoranda, et cetera.

- a. Record copy.

TEMPORARY. Cut off files at the end of the year 2000. Destroy 10 years after cut off.

- b. Electronic copies of records that are created on electronic mail and word processing systems and

~~used solely to generate a recordkeeping copy of the records covered by other items in this schedule.~~

~~TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.~~

**Series 8. Focus Training Materials and Course Manuals**

**Arrangement: Chronologically**

**Annual Volume: 1.0 cubic feet**

Training materials relating specifically to the Corporate Credit Union System policies, programs, or activities. Consists of training manuals, syllabuses, or other aids developed by NCUA for examiner training courses and conferences.

a. Record copy.

TEMPORARY. Destroy when superseded, obsolete, or no longer needed, whichever occurs first.

b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule.

TEMPORARY. Delete/Destroy 180 days after recordkeeping copy has been produced.