REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER
N1-413-02-2

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

Date received
12-17-01

1. FROM (Agency or establishment)
National Credit Union Administration

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION
Office of the Chief Information Officer

3. MINOR 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Sharon B. Welsh *Sharon B. Welsh*	703-518-6426	3-26-02	*John W. Carl*

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 _12_ 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
	Sharon B. Welsh	Records Officer

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 GRS OR SUPERSEDED JOB CITATION	10.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		

Agency JNR, JJJHE

NCUA AGENCY-WIDE ELECTRONIC SYSTEMS

1. MANAGEMENT INFORMATION SYSTEM (MIS)

Program: Office of Examination and Insurance

Applicability: Agency-wide

Identifying Information:

Description: MIS is an internal, multi-tier system containing general information describing each of the credit unions in the agency database. All other agency systems join from this system. MIS tracks the current status and history of active and inactive credit unions nationwide. MIS is also used to reserve credit union names.

Specific Restrictions: Confidential Credit Union Information

Vital Record: Yes

Specific Legal Requirements: Federal Credit Union Act, Title 12 of U.S.C.

Disposition Information:

a. System inputs: The major inputs are financial information on institutions, 5300 Call Reports, Report of Official data, and examination information

   TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b. System data: General credit union information for every credit union, county names for credit unions, reserved names for credit unions, historical information on a credit union's name changes, financial data from credit unions, examination data, CAMEL codes (Capital, Assets, Management, Equity, and Liability).

   1. PERMANENT copy. Copy data offline when 5 years old in 2 versions (public access; restricted for 30 years). Transfer to the National Archives in accordance with 36 CFR 1228.270.

   2. NCUA copy. TEMPORARY. Delete data when 30 years old or when no longer needed for agency business, whichever is later.

c. System outputs: Directories of credit unions. General credit union information, such as address, telephone number, and manager's name. Description of significant credit union events, i.e., merger history, name changes, liquidation. Also includes total assets and shares, as well as current Capital codes (Capital, Assets, Management, Equity, and Liability).

   TEMPORARY. Destroy when 5 years old or no longer needed for agency business, whichever is sooner.

d. System documentation: Record layouts, data dictionary

PERMANENT. Transfer to the National Archives with system data as indicated in item 1b1 above.

2. EXAM SYSTEM

Program: Office of Examination and Insurance

Applicability: Agency-wide

Identifying Information:

Description: Tabular subset of data collected from yearly examinations of credit unions by Federal and state examiners. Multi-client server for supervisory examinations and follow-ups.

Specific Restrictions: Confidential Credit Union Information

Vital Record: Yes

Specific Legal Requirements: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a. System inputs: Examination reports, SA 110 (Smaller version of AIRES that examiners use in the field).

   TEMPORARY Destroy/delete after the data has been transferred to the master file and verified.

b. System data: General information for every credit union, examination 110 information (credit union's contact history), current and previous examination, information on last and current contact, assets, shares, data gathered on credit union's from questionnaire.

   TEMPORARY. Delete data when 30 years old or when no longer needed, whichever is sooner.

c. System outputs: Printout of exam record, name of credit union, date of examination and problem areas; CAMEL (Capital, Asset, Management, Equity, and Liability) ratings, examiner on site hours expended.

   TEMPORARY. Destroy when no longer needed for agency business.

d. System documentation: Record layouts, data dictionary

   TEMPORARY. Destroy/delete when the system is superseded or obsolete..

3. AUTOMATED INTEGRATED REGULATORY EXAMINATION SYSTEM (AIRES)

Program: Office of Examination and Insurance

Applicability: Agency-wide

Identifying Information:

Description: Data collected from annual examinations of credit unions by Federal and state examiners in evaluating the safety and soundness of the institution.

Specific Restrictions: Confidential credit union information

Vital Record: Yes

Specific Legal Requirement: Federal Credit Union Act, Title12, U.S.C.

Disposition Information:

a. System inputs: Loan and share data, data from credit unions

   TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b. System data: 5300 Call Report data, financial data from credit unions, spreadsheets, examiner data, examination reports

   1. PERMANENT copy. Copy data off-line when 5 years old in 2 versions (public access; restricted for 30 years). Transfer to the National Archives in accordance with 36 CFR 1228.270.

   2. NCUA copy. TEMPORARY. Delete data when 30 years old or when no longer needed for agency business, whichever is later.

c. System outputs: Reports of Examination, work papers, CAMEL (Capital, Assets, Management, Equity, and Liability) ratings

   TEMPORARY. Destroy when 5 years old or no longer needed for agency business, whichever is sooner.

d. System documentation: Users manual, records layout, data dictionary, electronic help file built into application

   PERMANENT. Transfer to the National Archives with system data as indicated in item 3b1 above.

4. 5300 CALL REPORT SYSTEM

Program: Office of Examination and Insurance

Applicability: Agency-wide

Identifying Information:

Description: Financial and statistical data collected on "Natural Person" credit unions. The data, which is collected at least semi-annually, is stored in tables and utilized by several systems within the agency. Includes quarterly statements of condition and income; and supplemental schedules for the balance sheet

and income statement. The 5300 Call Report software is distributed each cycle to credit unions. The examiner uploads the data into the system using the NCUA Call Report program

Specific Restrictions: No. This information is available on the agency web site.

Vital Record: Yes

Specific Legal Requirement: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a. System inputs: 5300 Call Report data.

TEMPORARY. Delete/destroy after the data has been transferred to the master file and verified.

b. System data: Data submitted by individual credit unions containing information on the institution's financial condition and activities. The tables include information about assets, liabilities, income, expenses, net worth, balances due, investments, accruals, performance of loans, commitments, and collateral. The information is tabulated for each credit union.

TEMPORARY. Delete when 30 years old or when no longer needed for agency business, whichever is sooner.

c. System outputs: Financial Performance Reports, Consolidated Balance Sheet Reports, financial and statistical tables.

TEMPORARY. Destroy when 5 years old or when no longer needed for agency business, whichever is sooner.

d. System documentation: Help files instructions sent to credit unions electronically.

TEMPORARY. Destroy/delete when system is superseded or becomes obsolete.

5. SYSTEMS, APPLICATIONS, AND PRODUCTS IN DATA PROCESSING (SAP R/3) SYSTEM

Program: Office of the Chief Information Officer, Office of the Chief Financial Officer, and the Office of Examination and Insurance share responsibility for various aspects of the system

WITHDRAWN

Applicability: Agency-wide

Identifying Information:

Description: System began in January 1997 and used as an administrative tool for agency business. The system is used for routine financial, budget, inventory, pay disbursement, human resources, and procurement management matters.

Specific Restrictions: None

Vital Record: No

Specific Legal Requirement: U.S. Treasury Fiscal Requirements

Disposition Information:

a. System inputs: Many different sources of input, ranging from electronic files to paper-based journal vouchers, travel vouchers, and invoices.

   TEMPORARY. Record copies of financial documents are retained as required in General Record Schedules 5, 6, and 7.

b. System data: SAP relies on relational databases, not files. There are more than 10,000 related tables with many different keys that serve many different purposes.

   TEMPORARY. Delete 10 years after fiscal year has ended or when no longer needed for reference, whichever is later.

c. System outputs: Financial Management Reports, Budget Management Reports, Procurement Management Reports.

   TEMPORARY. Destroy when 10 years old.

d. System documentation: On-line help and web site

   TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.

WITH PRAWN

6. ASSET MANAGEMENT AND ASSISTANCE CENTER (AMAC) SYSTEM

Program: AMAC

Applicability: Agency-wide

Identifying Information:

Description: Data processing system that supports the program needs of the Asset Management and Assistance Center.

Specific Restrictions: Confidential credit union information

Vital Record: Yes

Specific Legal Requirements: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a. System inputs: Member demographics, loans, shares, general ledger balances. Source of input may be manually or by electronically.

TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b.   System data: Tables containing multiple records per member institution.

TEMPORARY. Retain data until no longer needed for agency business.

c.   System outputs: Various reports, checks, member statements, general ledger transaction histories, financial statements.

TEMPORARY. Destroy when 5 years old or when no longer needed for agency business, whichever is sooner.

d.   System documentation: User manual, record layouts, electronic help file built into application.

TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.

7.   REPORT OF OFFICIALS (ROO) SYSTEM

Program: Office of ~~the Chief Information Officer~~ EXAMINATION AND INSURANCE

Applicability: Agency-wide

Identifying Information:

Description: Contains current information on board of directors, committee members, and managers of credit unions.

Specific Restrictions: Confidential credit union information

Vital Record: Yes

Specific Legal Requirement: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a.   System inputs: Two-page report submitted either electronically or in paper form.

TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b.   System data: Tables containing multiple records per credit union per report date based upon the number of officials submitted.

TEMPORARY. Retain data for 5 years or until no longer needed for agency business, whichever is sooner.

c.   System outputs: Report of Officials Annual report.

TEMPORARY. Destroy when 5 years old or no longer needed for agency business, whichever is sooner.

d.   System documentation: Data Dictionary

TEMPORARY. Destroy/delete when system is superseded or becomes obsolete.

8.   CORPORATE NAME SYSTEM (CNS)

Program: Office of Corporate Credit Unions

Applicability: Agency-wide

Identifying Information:

Description: Database containing current information regarding corporate credit unions. The system maintains information such as corporate addresses, state regulator addresses, and state league addresses.

Specific Restrictions: None

Vital Record: No

Specific Legal Requirements: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a.   System inputs: Name and telephone numbers of corporate officials, changes in corporate structure, examiner information, analyst information, et cetera.

TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b.   System data: Data from MIS system (see item 1 of this schedule)

TEMPORARY. Retain data until no longer needed for agency business.

c.   System outputs: Corporate Managers Directory by State, master listing, State Supervisors Directory, State League Directory, Corporate Examiner Data Listing.

TEMPORARY. Destroy when 5 years old or no longer needed for agency business, whichever is sooner.

d.   System documentation: Internally developed software.

TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.

9.   ASSIGNED TRACKING SYSTEM (ATS)

Program: Office of Chief Information Officer

Applicability: Agency-wide

Identifying Information:

Description: System used for tracking all correspondence created within the Office of Corporate Credit Unions. Includes subject, author, recipient, and date sent.

Specific Restrictions: None

Vital Record: No

Specific Legal Requirements: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a. System inputs: Manual input of data about correspondence is input directly. There are no input records.

b. System data: Dates of correspondence, subject, author, and recipient.

 TEMPORARY. Destroy/delete when no longer needed for agency business.

c. System outputs: Weekly Status Reports, Analyst Assigned Report, reports by date received, and all inputs for the year reports.

 TEMPORARY. Destroy when 5 years old or when no longer needed for reference, whichever is sooner.

d. System documentation: Internal NCUA developed software.

 TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.

10. 5310 CORPORATE CREDIT UNION CALL REPORT SYSTEM (5310)

Program: Office of ~~the Chief Information Officer~~ CORPORATE CREDIT UNIONS

Applicability: Agency-wide

Identifying Information:

Description: Financial and statistical data collected on corporate credit unions. The data, which is collected at least semi-annually, is stored in tables and utilized by several systems within the agency. Includes quarterly statements of condition and income; and supplemental schedules for the balance sheet and income statement.

Specific Restrictions: Confidential credit union information

Vital Record: Yes

Specific Legal Requirement: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a. System inputs: The 5310 Call Report Form. The 5310 Call Report Form software is distributed each cycle to corporate credit unions. The examiner uploads the data into the system using the NCUA Call Report Program.

   TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b. System data: Data submitted by individual credit unions containing information on the institution's financial condition and activities. The tables include information about assets, liabilities, income, expenses, net worth, balances due, investments, accruals, performance of loans, commitments, and collateral. The information is tabulated for each credit union.

   TEMPORARY. Store data off-line when 5 years old. Delete data when 30 years old or when no longer needed for agency business, whichever is sooner.

c. System outputs: Monthly financial reports pertaining to individual credit unions.

   TEMPORARY. Destroy when 5 years old, or when no longer needed, whichever is sooner.

d. System documentation: Electronic help file instructions sent to credit unions.

   TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.

11. CORPORATE 110 (Corp 110) SYSTEM

Program: Office of ~~the Chief Information Officer~~ CORPORATE CREDIT UNIONS

Applicability: Agency-wide

Identifying Information:

Description: Database used to track examination information.

Specific Restrictions: Confidential credit union information

Vital Record: Yes

Specific Legal Requirements: Federal Credit Union Act, Title 12 U.S.C.

a. System inputs: Examination data input by examiners.

   TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b. System data: Financial data on individual corporate credit unions.

   TEMPORARY. Retain data until no longer needed for agency business.

c. System outputs: One-page report summarizing corporate examination information.

TEMPORARY. Destroy when 5 years old or when no longer needed for agency business, whichever is sooner.

d.   System documentation:

TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.

12. CENTRAL LIQUIDITY FACILITY (CLF) ACCOUNTING SYSTEM

Program: SAP system maintained by the Office of the Chief Information Officer

Applicability: Office of Examination and Insurance, Central Liquidity Facility

Identifying Information: SAP System – CLF Model

Description: Database used to record accounting entries to account for regular and agent member stock subscriptions and liquidity reserve accounts and loan transactions and the Central Liquidity Facility's investment income and expenses and budget preparation.

Specific Restrictions: Confidential credit union information

Vital Record: Yes

Specific Legal Requirements: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a. System inputs:

   1.   Bank statements and cancelled checks, etc., written and verbal instructions (i.e., notes from conversations) from members, billing invoices, member deposits and requests for funds, cash receipts/disbursements and non-cash journal vouchers and supporting documentation, wire transfer authorizations, data disks, and electronic data files from corporate credit unions.

   TEMPORARY. Destroy/delete data 10 years after the close of the applicable calendar year or when no longer needed for reference, whichever is later.

   2.   Membership applications.

   TEMPORARY. Destroy/delete 25 years after membership is terminated or when no longer needed for agency business, whichever is longer.

   3.   Member loan applications and other related loan documentation.

   TEMPORARY. Destroy/delete data 10 years after the loan is paid in full or when no longer needed for reference, whichever is later.

b. System data: Annual stock subscription billing statements, regular and agent member quarterly dividend statements, financial statement packages, general ledger line item summaries, member total reports, trial balances, general ledger account summaries.

TEMPORARY. Delete 25 years after membership is terminated or when no longer needed for agency business, whichever is longer.

c. System outputs: General Ledger Account Summaries, Annual Stock Subscription Billing Statements, Quarterly Regular and Agent Member Account Statements, Trial Balances, General Ledger Line Item Summaries, Member Total Reports, Agency Budget Reports for calculating CLF portion of NCUA's operating expenses.

TEMPORARY. Destroy when 10 years old or when no longer needed for reference, whichever is later.

d. System documentation: Online SAP help, desktop procedural manuals

TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.

13. FIELD OF MEMBERSHIP INTERNET APPLICATION (FOMIA) SYSTEM

Program: Office of ~~the Chief Financial Officer~~ EXAMINATION & INSURANCE

Applicability: Agency-wide

Identifying Information:

Description: System used for credit unions to quickly submit Field of Membership applications for occupational SEGs of 500 or less.

Specific Restrictions: No

Vital Record: Yes

Specific Legal Requirements: Federal Credit Union Act, Title 12 U.S.C.

Disposition Information:

a. System inputs: Credit union data and MIS information

TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b. System data: FOMIA applications

TEMPORARY. Delete when 5 years old or when no longer needed fore reference, whichever is sooner.

c. System outputs: GENISIS Reports.

TEMPORARY. Destroy after 5 years or when no longer needed for agency business, whichever is sooner.

d.   System documentation: User manual

TEMPORARY. Destroy/delete when system is superseded or becomes obsolete.

14. GENERATING EFFICIENT NATIONAL INFORMATION SYSTEMS FOR INSURANCE SERVICES (GENISIS)

Program: Office of ~~the Chief Information Officer.~~ *EXAMINATION AND INSURANCE*

Applicability: Agency-wide

Identifying Information:

Description: System used to maintain consistent administrative record of insurance-related processes.

Specific Restrictions: Yes

Vital Record: Yes

Specific Legal Requirements: Federal Credit Union Membership Access Act

Disposition Information:

a.   System inputs: 5300 Reports, MIS data, EXAM information, and other data

TEMPORARY. Destroy/delete after the data has been transferred to the master file and verified.

b.   System data:

TEMPORARY. Destroy/delete when 5 years old or when no longer needed for agency business, whichever is sooner.

c.   System outputs: Various reports.

TEMPORARY. Destroy after 5 years or when no longer needed for agency business, whichever is sooner.

d.   System documentation: User manual

TEMPORARY. Destroy/delete when the system is superseded or becomes obsolete.