

**REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

TO **GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)

**National Credit Union Administration**

2 MAJOR SUBDIVISION

**Office of Administration**

3. MINOR SUBDIVISION

**Division of Office Services**

4. NAME OF PERSON WITH WHOM TO CONFER

**Mr. H. Lewis**

5. TEL EXT

**254-9840**

6. CERTIFICATE OF AGENCY REPRESENTATIVE

**LEAVE BLANK**

DATE RECEIVED

**APR 16 1975**

JOB NO

**NC - 413-75-1**

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10

(Date)

Archivist of the United States

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

**\*Records Disposition Manual for NCUA is hereby submitted for your approval.**

**4/14/75**  
Date

**Bernard Snelnick**

(Signature of Agency Representative)

**Deputy Assistant Administrator**  
for Administration

(Title)

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<b>*See attached proposed Disposition Manual</b>		

int'd.  
w/ comments

### 1-1 Purpose and Scope

- a. This directive contains instructions on the use of the Functional Files System.
- b. Chapters 1, 2, and 3 explain the principles and application of Functional Files, the use of file numbers, the preparation of labels, and files and disposition procedures. Chapter 4 contains files maintenance and reference procedures and also describes methods of identifying and arranging file subdivisions.

### 1-2 Applicability

- a. The Functional Files are set up in a manner that will facilitate local control and accountability.
- b. The Functional Files System will not be applied to blank forms stocked for local use within the NCUA.

### 1-3 Definitions

- a. The Functional Files System is used for identifying and arranging records to facilitate reference and disposition.
- b. Retention period. The length of time a file must be kept before it is destroyed. Files not authorized for destruction have a retention period of "permanent."
- c. Disposition instructions. Instructions for the cutoff, transfer, retirement, or destruction of files. Precise disposition instructions which specify the date or event for cutoff, transfer, retirement, or destruction of files are required on labels.
- d. Cutoff. The termination of a file at specific periodic intervals of time to permit transfer, retirement, or disposal in a complete block.

### 1-4 Abbreviations

Common abbreviations used with the Functional Files and intended especially for use on labels are as follows:

CFA - Current Files Area  
COFF - Cutoff  
DEST - Destroy  
DISC - Discontinuance  
PIF - Place in inactive file  
REFP - Reference paper

TRF - Transfer  
RC - Records Center

1-5 Major Functional Files Categories (See Appendix A)

1-6 Principles of the Functional Files

- a. The Functional Files System is based on the concept that each office maintains records documenting the performance of one or more specific functions or subdivisions. These functions may be to procure supplies, allot funds, assign specific duties to personnel or any of a hundred others.
- b. For carrying out the assigned functions, the responsible office may engage in more than one activity; for example, arrange transportation for individuals to attend conferences, prepare and maintain statistical data relating to space requirements, etc.
- c. In addition to records documenting and serving the mission, the office will also generate records related to the administration of the office. These records relate to such matters as requests for furniture, equipment, and supplies; instruction on office operating procedures, etc. These matters are not directly related to the primary mission but are operating files with respect to the basic function of the office.

1-7 List of Selecting File Numbers

A list of file numbers used in an office will be maintained to facilitate filing and reference, to train new personnel, and to eliminate the constant referral to this directive. The list will contain the file numbers, file titles, and, if desired, a brief description of each file maintained in the office.

Chapter 2  
Labeling Procedures

2-1 Functional File Numbers

- a. The file number assigned to a file serves to identify the documents it contains for filing and reference, and represents the disposition of the folder. File numbers represent the primary function, the subdivision numbers describe the primary and subdivisions.
- b. The first two digits represent the primary function category, the last two or three digits represent the subdivision of the primary function.

2-2 Label Entries

a. General

File drawers and folders will be labeled to facilitate filing, searching, and making disposition. Drawer labels will be on card stock. All labels will be typewritten.

b. Captions

- (1) Folder labels will bear the file number, file title, year of file (when applicable) and disposition for the file, in that sequence. The following example illustrates the proper entry of information on labels.

EXAMPLE ONLY

1000 - General Administration (74)  
COFF 31 Dec. 74, DEST Jan. 76

- (2) When a file series consists of a number of folders identified by the same file number, only the label on the first folder of the series needs to show the file number, file title, year of file and disposition instruction. Labels on the other folders in the same series need show only the file number, a brief identification of the material in the folder, and year of file. The following example indicates the proper entry.

EXAMPLE ONLY

1000 - General Administration (74)

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- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <p>(3) When a file series of the type described above comprises one or more file drawers, the posting of the file number and other information to each label or document is not required. In these instances only the label on the first folder of the series and the label on the first drawer are required.</p> <p>(4) When a file drawer or other container contains more than one file series, information on the drawer label may be limited to a brief general description of the contents of the drawer.</p> |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
- c. Examples of folders, guide labels, and drawer labels are shown in figures 2-1 & 2-2.

Chapter 3  
Disposition Procedures

Section I. General Files Disposition Procedures

3-1 Objective

One of the objectives of the records management program is to preserve records of value, systematically eliminate all other records, and remove less active current records from office space to low cost storage space. This insures preservation of permanent records, increases usefulness of the records, and thereby reduces the cost and effort of recordkeeping.

3-2 Change to Retention Periods

Retention periods are changed periodically as a result of the continuing evaluation of files and changes in legal, financial, and administrative requirements. The changes are applied in accordance with guidelines set in a. and b. below.

a. Increased Retention Period

If the change increases the retention period, the new retention period will be applied to all files of the description regardless of when they were created.

b. Reduced Retention Period

If the change reduces the retention period, the new retention period will be applied retroactively unless it is impractical or uneconomical to do so.

Section II. Procedures for Applying Disposition Instructions

3-3 Disposition Procedures

- a. Records in the Washington Office designated for retirement will be retired on a calendar and fiscal year basis to the Washington National Records Center, GSA.
- b. Records designated for retirement by a Regional Office will be retired to the GSA Federal Records Center serving its geographical area.
- c. For most files, the disposition should provide for only a retention period (e.g. destroy after 2 years, destroy after 5 years, destroy after card is filled, etc.). The disposition instructions listed in the following paragraph will be used to determine the exact cut-off, transfer, retirement, and disposal period.

*need  
NARS  
authority  
to change  
retention  
periods*

✓

### 3-4 Disposition Instructions

The following are examples of specific instructions for cutoffs, disposals and retirement of files based on general time periods or events.

- a. 1 month. Files having a retention period of 1 month will be cutoff at the end of the month, held 1 month in the current files area, and then destroyed.

COFF 30 Apr. 74, DEST Jun. 74

- b. 3 months. Files having a retention period of 3 months will be cutoff at the end of each quarter, held 3 months and then destroyed.

COFF 31 Mar. 74, DEST July 74

- c. 6 months. Files having a retention period of 6 months will be cutoff semiannually as of June 30 and December 31, held 6 months in the current files area, and then destroyed.

COFF 30 June 74, DEST. Jan. 75

- d. 1 year. Files having a retention period of 1 year will be cutoff at the end of the calendar or fiscal year, held 1 year in current files area, and then destroyed.

COFF 31 Dec. 74, DEST. Jan. 76

COFF 30 June 74, DEST. July 75

- e. Files having a retention period of 2 years will be cutoff at the end of the calendar year or fiscal year, and held 2 years in current files area and then destroyed.

COFF 31 Dec. 74 DEST. Jan. 77

COFF 30 June 74 DEST. July 76

- f. More than 2 years.

Disposal files having retention periods of more than 2 years will be cutoff at the end of calendar or fiscal year and disposed of as follows:

3-year calendar year file.

COFF 31 Dec. 74 Ret. RC Jan. 77 DEST. Jan. 78

3-year fiscal year file.

COFF 30 June 74 Ret. RC July 76 DEST. July 77

6-year calendar year file.

COFF 31 Dec. 74 Ret. RC Jan. 77 DEST. Jan. 81

6-year fiscal year file.

COFF 30 June 74 Ret. RC July 76 DEST. July 80

10-year calendar year file.

COFF 31 Dec. 74 Ret. RC Jan. 78 DEST. Jan. 85

10-year fiscal year file.

COFF 30 June 74 Ret. RC July 77 DEST. July 84

g. Event of Action

Documents which are disposable upon the occurrence of an event, such as supersedure, obsolescence, or upon the accomplishment of an action, will be withdrawn from the active file upon the occurrence of the event or accomplishment of the action and destroyed.

DEST. on supersession or obsolescence

DEST. on completion of posting to the proper form.

h. Permanent Files

File with a permanent retention period will be cutoff at the end of the calendar year or fiscal year, held in the current files area for 5 years and then retired to the designated records center.

Calendar Year File

COFF 31 Dec. 74 Ret. RC Jan. 80 Permanent

Fiscal Year File

COFF 30 June 74 Ret. RC July 79 Permanent



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Chapter 4  
Maintenance and Reference Procedures

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Section I General

4-1 General

Effective files maintenance and reference procedures are essential in order that a complete account of actions taken, commitments made, and the result of actions taken are available.

4-2 Purpose

This chapter contains the procedures to be used in establishing and maintaining all functional files and in providing reference service to them.

Section II Maintenance Procedures

4-3 General

The procedures in this section are designed to provide maximum efficiency in preparing papers for file, maintaining records, and using and labeling file folders, file guides, and file containers.

4-4 Inspection of Papers

Papers received for files will be inspected to insure completeness and to eliminate unnecessary material.

a. Completeness

Papers received for files will be checked to insure that all actions have been completed and all papers needed to fully document the action are attached.

(1) Incomplete Actions

If all necessary actions have not been completed, the paper will be placed in suspense or otherwise controlled to permit followup action as necessary and to insure that the case will not be cutoff prior to completion of final action.

(2) Insufficient Documentation

If action is complete, but essential documentation is missing, an attempt will be made to obtain missing papers or copies of the papers. If the attempt fails, a notation of the action taken to obtain the missing papers, and the result, will be placed on the file papers.

b. Unnecessary Material

Unnecessary documents such as used envelopes and extra copies will be discarded. When the original of a paper is available, all copies will be discarded except that copy containing additional information needed for record purposes, that is, signatures or initials of concurring officials will be retained and filed.

4-5 Assembly of Papers

Correspondence will be assembled and filed under the date of the latest action as indicated below:

a. Separate Correspondence

A separate "chain" of correspondence normally develops in completing an action. It consists of the basic paper (the paper starting the action), any numbered or unnumbered replies in continuation of the action, enclosures, and supporting papers forming a part of the whole correspondence action. These papers will be assembled in top to bottom order as follows:

- (1) The latest action (numbered or unnumbered).
- (2) The basic paper (letter, memo, etc.).
- (3) Other unnumbered replies in chronological order.
- (4) Enclosures in numerical order.
- (5) Internal actions which support the numbered or unnumbered actions (studies, conducting actions, etc.).

b. Related Papers

Papers which are directly related or contain specific reference to earlier papers on the same subject will be combined with those papers only if reference requirements clearly necessitate such action. If combination is deemed necessary, the related papers will be assembled separately under the method described in 4-5a. The related papers will then be stapled on top of the earlier papers and will be filed by date of the latest action. In such cases it may be desirable to cross-reference this material under the date that the earlier papers were filed.

4-6 Fastening

The fasteners described in a. and b. below will be used to hold papers together. Straight pins and paper clips will not be used for fastening papers that are filed except that paper clips may be used in a suspense file.

a. Wire staples will be used to fasten related loose papers together. Wire staples are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers without increasing their bulk.

b. Prong Fasteners

(1) Prong fasteners may be used when files are over 1 inch thick.

(2) Prong fasteners will be used when files are used outside the files area.

4-7 Posting File Numbers

a. The file number will be placed on each document at the time it is filed. It will be placed in the upper right-hand corner, not obscuring the contents of the paper.

b. When physical characteristics of a document make it self-identifying for filing purposes, the posting of the file number is unnecessary.

4-8 Cross-Reference

a. General

A cross-reference is a form filed under one file number or subdivision to show the location of material filed elsewhere. Cross-references will be prepared when:

(1) A document pertains to more than one function or action and reference to the document may be used by any of the functions or actions.

(2) A document pertains to individuals, organizations, or geographical locations and is not filed by the name under which requests are anticipated.

(3) Papers with various dates which document a subfunction or action, and which are directly related, are filed together.

(4) A document is reclassified from one file number or subdivision to another file number or subdivision.

b. Cross-Reference Forms

Cross-references will be made on NCUA Form 1568 (cross-reference sheet). The NCUA Form 1568 is 8 by 10½ inches and is designed for interfiling with correspondence or other records of comparable size.

#### 4-9 Sorting Papers For File

After papers are arranged and fastened and any necessary cross-references are prepared, the papers and cross references will be sorted and arranged in proper filing order. This speeds the filing of the papers and cross-references, and aids in locating papers rapidly in the event they are requested prior to filing.

#### 4-10 Use of Guides and Folders

##### a. General

The standard 8" X 10½" guides and folders will be used to the maximum extent practical.

##### b. Guides

Guides are used to divide files and identify each division so that filing and finding particular folders are facilitated.

##### c. Folders

- (1) Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers.
- (2) When the material in any folder reaches the normal capacity of the folder (one inch), a second folder should be prepared. The second folder should begin at a logical point such as the beginning of a month, calendar quarter, etc.

#### 4-11 Position of Guides

- a. Guides will be arranged in files so that the tabs are in uniform position on the left side (first position of the file drawer).
- b. Guides normally are placed in a file at the beginning of each major functional file category. The guides will be labeled with the functional file category numerical classification.

#### 4-12 Position of Folder Labels

Under the Functional Files System labels are placed in three positions to indicate where final disposition of the records will take place. The following rules govern the positioning of folder labels:

- a. First position (left of center). Files to be destroyed in current files area.
- b. Second position (center). Files to be transferred to and destroyed in records center.
- c. Third position (right of center). Files to be retired to a records center.

### Section III Reference Procedures

#### 4-13 General

The effectiveness of any file or file room operation can be judged in large measure by the speed and accuracy with which requested files or information can be found and furnished.

#### 4-14 Submission of Requests

Requests for files should be written directly on NCUA Form 1050 to avoid rewriting the information later. Complete information needed to locate and charge out requested material should be obtained from the requestor. Information needed to act on a request includes:

- a. Identification of material and file classification if known.
- b. Name of writer (organization or individual).
- c. Date of paper (specific or approximate).
- d. Requestor's name, division, and telephone number.

#### 4-15 Charge-Out Record

##### a. General

A charge-out record will be made and substituted for all papers removed from a file for reference purposes. Information entered on the charge-out record will identify the material being removed from the file.

##### b. Forms:

- (1) NCUA Form 1050 (1-74) (Request for Central Files Service). This form, used to request all files from the files area, will act as a suspense control document. This form may be typewritten or handwritten.

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- |                                                                                                                                                                                                                                                                                                                                                               |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <p>(2) GSA Form 23 (Charge-Out Record). This form will be used to record all charged-out items from the functional files area.</p> <p>(3) GSA Charge-Out Folder (unnumbered). This form will record that a Charter/Insurance numbered folder was taken from the files area. It will also serve as a filing folder during the absence of the records file.</p> |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

Left Position  
Destruction in Current Files Area

Center Position  
Transfer to RC

Right Position  
Retirement to Records Center

12810 NCUA Publications (74)  
REC Set Files  
COFF 31 Dec. 74, TRF RC  
RET Jan. 78. Perm

12800 Admin Publication Files (74)  
COFF 31 Dec. 74, TRF RC Jan. 76  
DEST Jan. 77

2105 Fiscal Accounting  
Financial Reports  
Dest when rec reflected thereon have  
been dest or transferred to tapes,  
whichever is first.

1050 General Administration (74)  
Correspondence Procedures  
COFF 31 Dec. 74, DEST Jan. 76

1030 NCUA Staff Manual  
Dest Indiv Docu when Supsd,  
or no longer applicable.

Figure 2-1 Folder and Guide Labels  
(Read from Bottom)

<p>12600 Mailing Lists (74) COFF 31 Dec 74, DEST Jan 76; or DEST or DISC, whichever is first</p>	<p>A Portion of One File Number (First Drawer Label)</p>
<p>1650 Credit Union Leagues  A - L  COFF 31 Dec 74, DEST Jan 76; or DEST or DISC, whichever is first</p>	<p>A Portion of One File Number (First Drawer Label)</p>
<p>1000 Thru 4990 (74)</p>	<p>More Than One File Number (One Year Only)</p>
<p>1000 Thru 4990 (73)  1000 Thru 4990(74)</p>	<p>More Than One File Number (More Than One Year)</p>

Figure 2-2



## APPENDIX A

## Standard Functional Files

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1000	<u>General Administration</u> Documents relating to internal management or General Administration of an office; such as internal office procedures, hours of operation, parking, civil defense procedures, documents relating to safety meeting and comparable documents.	Destroy when superseded or on discontinuance, whichever is first.
1010	(Reserved)	
1020	<u>NCUA Operations Manual</u> Printed documents related to operation of NCUA.	Destroy when superseded, P? 4 obsolete, or no longer needed for reference purposes.
1030	<u>NCUA Staff Manual</u> Printed documents related to policies, procedures, and techniques for the development and execution of NCUA.	Destroy when superseded, P? 4 obsolete, or no longer needed for reference purposes.
1040	<u>NCU Board - minutes</u> Appointed Board to advise the Administrator in carrying out the mission of NCUA.	Destroy when superseded, P? 4 obsolete, or no longer needed for reference purposes.
1050	<u>Correspondence Procedures</u> Documents relating to internal management or general administration, offices' involvement in forms, records, reports, inventories. Any documents that do not pertain to NCUA's mission.	Destroy when procedures are superseded, obsolete, whichever is first.
1060	<u>Security</u> Documents related to directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and directive of security and Protective Services Program.	Destroy individual documents when superseded or obsolete. Destroy entire file on discontinuance of procedures to which it relates.
1061	<u>National Post Attack Registration System</u> Instruction established by CSC to provide continuation of Government business in the event of enemy attack.	Destroy individual documents when superseded or obsolete.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1062	<u>Continuity of Operations</u> Documents relating to awareness for employees, new systems, obligations.	Destroy individual documents when superseded or obsolete. Destroy entire file on disc. of procedures to which it relates.
1063	<u>Internal</u> Documents related to directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and directive of security and Protective Services Program.	Destroy individual documents when superseded or obsolete. Destroy entire file on disc. of procedures to which it relates.
1064	<u>NCUA Self-Protection Plan</u> ? <u>NCUA Self-Protection Plan</u>	Destroy when superseded or rendered obsolete. ✓
1070 (Conf.)	<u>Headline Report</u> - <i>confidential</i> Reports from RD's to Administrator for recap purposes.	As directed by Administrator. } <i>change</i> ✓
1100	<u>Programs</u> Documents related to promotion of FCU's.	Destroy in CFA after 2 years.
1110	<u>Administrator's Library</u> Documents related to the tenure of the Administration, NCUA Operations and General Counseling. }	Disposal not authorized by this schedule. } <i>P3 change</i> ✓
1120	<u>Energy Saving Program</u> Documents related to the energy saving programs of NCUA.	Destroy when program has been cancelled.
1130	(Reserved)	
1140	(Reserved)	
1150	(Reserved)	

File No.	Description	Disposition
1160	<u>Special Programs</u> Project working papers, including back-ground materials, studies, analyses, notes, interim reports, and related papers pertaining to management projects.	<del>Destroy</del> <sup>Reports - P?</sup> <del>Dispose of</del> 3 years after completion, if no further action is required.
1200	<u>Personnel (General)</u> Documents that relate to the day-to-day administration of employees in individual offices. Papers that relate to notice of holidays, hours worked, reports of attendance, immunizations, and comparable or related papers.	Destroy in CFA after 2 years.
1210	<u>Employment or Release</u> Documents relating to the hiring or release of employees.	Destroy in CFA after 2 years.
1211	<u>Recruitment</u> Documents related to NCUA's recruitment policies.	Destroy in CFA after 2 years.
1212	<u>Merit Promotion Plan</u> Documents related to NCUA's Merit Promotion Plan.	Destroy when superseded, obsolete, or disc., whichever is first.
1213	<u>Performance Evaluation and Rating Plan</u> Documents relating to appraisal summaries of NCUA employees.	Destroy in CFA after 2 years.
1214	<u>Resignation</u> Documents relating to NCUA employee's resignation.	Review at end of year and destroy documents which have been superseded or are no longer applicable.
1215	<u>Separation</u> Documents relating to separation of employees.	Destroy in CFA after 2 years.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1216	<u>Retirement</u> Documents relating to employee retirement program.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1217	<u>Transfer</u> Documents related to transfers of NCUA employees or new arrivals.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1220	<u>Position Management &amp; Classification</u> Documents related to classification and management positions.	Destroy in CFA after 2 years.
1221	<u>Position Descriptions</u> Documents describing positions in an office that are used in day-to-day relationships.	Destroy on abolishment of position, supersession of description, or when no longer needed for reference.
1230	<u>Employee Relations</u> Documents relating to NCUA and employee relationships.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1231	<u>Health and Safety</u> Documents related to NCUA's health program and safety procedures.	Review annually and destroy documents no longer needed for reference, OSMA FMS 100, 101, retain for 5 years, then destroy.
1232	<u>Adverse Actions</u> Documents relating to NCUA Instructions pertaining to adverse actions.	Destroy when superseded, obsolete, or no longer needed for reference.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1233	<u>Awards and Recognition</u> Documents relating to awards and special recognition of NCUA employees.	Destroy after 1 year from <del>employee's</del> <i>separation or retirement from transfer outside</i> NCUA of the <del>individual.</del>
1234	<u>Suggestion Program</u> Documents related to NCUA employee suggestion program.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1235	<u>Standards of Conduct</u> Documents relating to standards of conduct of NCUA employees.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1240	<u>Personnel Management Evaluation</u> Documents relating to personnel management responsibilities.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1250	<u>Personnel Records and Reports</u> Official personnel folder files.	Transfer of employee: Transfer folder to new employing office. Separation of employee: Retire to National Personnel Records Center, (Civ), 111 Winnabago St., St. Louis, Mo. 63118
1260	<u>Labor Management Relations</u> Policies & standards used as guidelines for employee and management relationship.	Destroy when superseded or obsolete.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1270	<u>Equal Employment Opportunity</u> (1271-1273) Documents relating to NCUA's policies and procedures on EEO programs for Federal women's, Spanish, and handicapped programs.	Destroy on supersession or obsolescence.
1280	<u>Related Activities</u> Documents related to NCUA's employee participation in public relations.	Destroy in CFA after 2 years.
1281	<u>Pay and Leave Administration</u> Correspondence files maintained by operating units responsible for payroll preparation and processing, pertaining to administration and operation of the unit.	<del>Destroy after</del> <del>Dispose after</del> 2 years.
1282	<u>Blood Donor Program</u> Documents relating to NCUA Blood Donor Policies and individual participation.	Destroy when superseded, obsolete, or no longer needed for reference.
1283	<u>Savings Bonds</u> Documents relating to NCUA Savings Bonds Policies and individual participation.	Destroy when superseded, obsolete, or no longer needed for reference.
1284	<u>Combined Federal Campaign</u> Documents relating to NCUA's employee participation in CFC.	Destroy in CFA after 2 years.
1300	<u>Training</u> Documents related to development of NCUA employees in specified training programs.	Destroy when superseded, obsolete, or no longer needed for reference. ✓
1310	<u>Intergovernmental Personnel Act (IPA)</u> Documents relating to NCUA's IPA mobility assignments.	Destroy when superseded, obsolete, or no longer needed for reference. ✓ 96

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1320	<u>OJT Training</u> Documents relating to on-the-job training programs within NCUA.	Destroy when superseded, obsolete or no longer needed for reference. ✓ g
1330	<u>Examiner Training</u> Documents relating to NCUA's Examiner Training Program.	Destroy when superseded, obsolete, or no longer needed for reference. ✓ g
1340	<u>Management Development Program</u> Documents relating to NCUA's Management Development Program.	Destroy when superseded, obsolete, or no longer needed for reference. ✓ g
1350	<u>Staff Development Program</u> Documents relating to NCUA Staff Employee Development Program.	Destroy on separation or transfer of the individual. ✓ g
1360	<u>International Training</u> Training for international personnel.	Destroy when superseded, obsolete, or no longer needed for reference. ✓ g
1370	<u>Other Training</u> (1371-1372) Documents relating to NCUA's and NCUA's employee participation in outside training programs.	Destroy when superseded, obsolete, or no longer needed for reference. ✓ g
1380	<u>Executive Manpower Development Program</u> Documents relating to the assessments of personnel for executive development.	Destroy when superseded, obsolete, or no longer needed for reference. ✓ g
1390	<u>Supervisory Training Program</u> Documents relating to the training of supervisory personnel.	Destroy when superseded, obsolete, or no longer needed for reference. ✓ g

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1400	<u>Travel</u> Documents relating to NCUA employee travel.	Destroy after 1 year after all entries on record are cleared.
1410	<u>Advance of Funds</u> Documents relating to employee advance of funds for travel per diem.	Destroy 1 year after all entries on record are cleared.
1420	<u>Authorization of Travel</u> Documents relating to employee authorization travel.	<del>Destroy</del> Dispose after 2 years.
1430	<u>GSA Vehicles</u> Vehicle usage reports, vehicle contracts, general correspondence pertaining to GSA vehicles.	<del>Destroy</del> Dispose after 2 years.
1440	<u>Accidents</u> Report of motor accidents involving NCUA employees while on duty status.	<del>Destroy</del> Dispose of 6 years after case is closed.
1450	<u>Methods of Travel</u> Modes of travel used and authorized by NCUA-sponsored employees.	<del>Destroy</del> Dispose after 2 years.
1460	<u>Per Diem and Mileage</u> Cost granted and incurred during the authorized travel and number of miles.	<del>Destroy</del> Dispose of when funds are obligated.
1470	<u>Transportation of Household Goods</u> Authorized moves for NCUA employees.	Destroy in CFA after 3 years.
1480	<u>Travel Vouchers</u> Documents supporting travel requested, travel accomplished.	<del>Destroy</del> Dispose when funds are obligated.
1490	<u>Administrative Travel Guide</u> Administrative Travel Guide.	Destroy when superseded or rendered obsolete.
1500	<u>Meetings and Conferences</u> Documents relating to meetings and conferences sponsored by NCUA and other activities. <i>originals</i>	Review at end of year and destroy documents which have been superseded or no longer applicable.



<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1510	<u>Washington Office Sponsored</u> Documents relating to meetings and conferences sponsored by the Washington Office.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1520	<u>Regional Office Sponsored</u> Documents relating to meetings and conferences scheduled by regional offices.	Review at end of year and destroy documents which have been superseded or no longer applicable.
1530	<u>Non-NCUA Sponsored</u> Documents relating to meetings and conferences scheduled by non-NCUA organizations.	Destroy in CFA after 2 years.
1600	<u>Organizations</u> Organizations having a working relationship with NCUA. Professional societies and boards.	Destroy in CFA after 2 years.
1610	<u>Credit Union Mutual Insurance Society (CUMIS)</u> Documents related to CUMIS; directives, memos, info letters, bulletins.	Destroy when superseded or obsolete.
1620	<u>Credit Union National Association (CUNA)</u> Documents relating to CUNA, such as directives, memos, info letters, bulletins.	Destroy when superseded or obsolete.
1630	<u>National Association of Federal Credit Unions (NAFCU)</u> Documents relating to NAFCU, such as directives, memos, info letters, bulletins.	Destroy when superseded or obsolete.
1640	<u>Other CU Organizations</u> Documents related to credit union organizations not covered prior.	Destroy when superseded or obsolete.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1650	<u>Credit Union Leagues</u> Documents related to credit union leagues that are filed according to regions, state or those otherwise specified.	Destroy when superseded or obsolete.
1660	<u>Credit Union Chapters</u> Documents related to CU Chapters through Regions I - VI.	Destroy when superseded or obsolete.
1670	<u>Professional Societies</u> <i>am</i> Documents related to professional societies.	Destroy after 1 year. (Earlier if disposal is authorized.) ✓
1680	<u>Federal Executive Board</u> Documents related to meetings to establish policies for Federal agencies.	Destroy in CFA after 2 years or after outstanding projects are completed.
1700	<u>General Services</u> Documents supporting the assistance given NCUA by GSA.	Destroy when superseded or obsolete.
1710	<u>Office Equipment</u> Equipment requests, types, when to order, etc.	Destroy 1 year after completion of action, earlier disposal is authorized. ✓
1711	<u>Inventory</u> Documents related to inventories made, to be made, and related information.	Destroy after next inventory or upon disc., whichever is first.
1712	<u>Repairs</u> Documents relating to office repairs on equipment, cost, etc.	Destroy 1 year after completion of action, earlier disposal is authorized. ✓
1713	<u>Supplies</u> Documents relating to order, distribution, cost, etc., of supplies for NCUA.	Destroy 1 year after completion of action, earlier disposal is authorized. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1720	<u>Printing</u> Job or project records containing all papers and data pertaining to the planning and execution of printing, bindery, duplication, and distribution of jobs.	<del>Destroy</del> <del>Dispose of</del> after 3 years.
1730	<u>Building Space</u> Documents related to existing space, additional requirements, studies, etc.	Destroy when superseded or obsolete.
1740	<u>GSA Bulletins</u> Bulletins published as directives for information to Federal agencies by GSA.	Destroy on supersession, or obsolescence.
1750	<u>Federal Records Center</u> Documents relating to records forwarded to a Federal Records Center.	Destroy when superseded or obsolete.
1760	<u>Communications Methods</u> Documents related to correspondence, telephone, teletype procedures, installations.	Destroy after 1 yr. or disc., whichever is first.
1761	<u>Telephone</u> Documents related to installations, changes, programmed changes.	Destroy after 1 year or disc., whichever is first.
1762	<u>Teletype</u> Documents related to changes in procedures, installations, new equipment.	Destroy after 1 yr. or disc., whichever is first.
1763	<u>Postal Service</u> Documents related to postal service, costs, new procedures.	Destroy after 3 yrs. or on disc., whichever is first.
1800	<u>Directives Control Information</u> Directives published for guidance in NCUA.	Destroy when superseded or cancelled.
1810	<u>Reports Control Management</u> Documents related to reports control.	Destroy when superseded or rendered obsolete.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1900	<u>Inspections</u> (1910-1930) Documents related to inspection performed by NCUA, GAO, CSC.	✓ Destroy after comparable inspections. <i>and</i>
2000	<u>Financial Planning</u> Correspondence relating to financial planning, staffing, budget authorization.	✓ Destroy in CFA after 2 years. ✓
2010	<u>PPBS - POM's</u> Projected budgets, memos, and planning procedures.	✓ Destroy when superseded or obsolete. ✓
2020	<u>Budget Authorizations</u> Documents related to authorized expenditures.	✓ Destroy after 3 years, earlier destruction is authorized. ✓
2021	<u>Staffing</u> <i>working papers</i> Documents related to authorized salaries and expenditures.	Destroy after 3 years, earlier destruction is authorized.
2022	<u>Financial</u> <del>Documents</del> related to financial matters. ?	Destroy after 5 years, earlier destruction is authorized. ? ✓
2030	<u>Office of Management and Budget</u> Correspondence and related documents to the Office of Management & Budget.	Destroy after 5 years, earlier destruction is authorized.
2100	<u>Fiscal Accounting</u> (See 2105-2170 series) Journals, ledgers.	<del>Permanent.</del> ? Destruction not authorized by this schedule. ✓
2105	<u>Financial Reports</u> Published documents related to financial status of NCUA.	Permanent. Reference material is <del>authorized for</del> earlier destruction. ✓

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<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
2110	<u>Examination Fees</u> Copies of fees collected for credit union examinations.	Destroy after 3 years.
2115	<u>Supervision Fees</u> Fees collected from credit union supervision.	Destroy in CFA after 3 years.
2120	<u>Charter Fees</u> Fees and documents issuances, collected for granting charters.	Destroy in CFA after 3 years.
2125	<u>Insurance Premiums</u> Fees collected on insurance premiums.	Destroy in CFA after 3 years.
2130	<u>Investments</u> Bills, notes, and bonds.	Destroy in CFA 3 yrs. after maturity.
2135	<u>Treasury Accounts</u> Documents related to treasury accounts.	Destroy 10 years.
2140	<u>General Accounting Office Accounts</u> Documents relative to GAO accounts.	Destroy in CFA after 5 years. ✓
2145	<u>Commercial Vouchers</u> (As Stated)	Destroy in CFA after 5 years.
2150	<u>Purchase Orders</u> Documents used for purchase of items.	Destroy record copy in CFA after 5 years.
2155	<u>Requisitions</u> Documents related to requests for items through support services.	Destroy record copy in CFA after 5 yrs. Destroy reference copy after 2 years.
2160	<u>Bills of Lading</u> (As Stated)	Destroy record copy in CFA after 5 years. Destroy reference copy after 2 years.
2165	<u>Contracts</u> Binding documents supporting agreements.	Destroy 10 years after contract termination.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
2170	<u>Bills and Estimates</u> Documents reflecting estimates to accomplish a suggested job, also with monetary amounts.	Destroy in CFA after 3 years.
2200	<u>Payroll</u> Documents listing names and monetary amounts supporting the work force of NCUA.	Destroy in CFA after 3 years.
2300	<u>Share Insurance Financial Accountability (2310-2390)</u> Documents supporting the accountability concerning the share insurance.	Destroy in CFA after 3 years.
2400	<u>Examination Program Management</u> Documents relating to Examination Program Management.	Destroy in CFA after 3 years.
2410	<u>Details</u> Documents related to Examination Program Management Details.	Destroy in CFA after 2 years.
2420	<u>District Assignment Lists &amp; Responsibility</u> Documents reflecting assignment lists and responsibilities.	Destroy in CFA after 2 years.
2430	<u>SE Team Schedules &amp; Team Examinations Schedule of Examinations.</u>	Destroy 6 mos. after last scheduled exam.
2500	<u>Productivity</u> Workload schedules & accomplishment.	Destroy in CFA after 3 years.
2510	<u>Examination</u> Documents related to Examination of FCU's.	Destroy in CFA after 3 years.
2520	<u>Joint Committee On Productivity(GAO)</u> Documents relating to meetings and guidelines by GAO.	Destroy in CFA after 3 years.
2600	<u>Work Classification Codes</u> Published codes for work classifications.	Destroy in CFA after 3 years.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
2700	<u>Electronic Funds Transfer</u>	To be determined at a later date. ✓
3000	<u>Legal Opinions</u> Legal opinions rendered by General Counsel.	Disposal not authorized by this schedule. ✓
3100	<u>Tort Claims</u> Claims against NCUA.	Disposal not authorized by this schedule. ✓
3200	<u>Legislative Actions</u> (3210-3224) Laws enacted pertaining to and assisting NCUA.	Disposal not authorized by this schedule. ✓
3300	<u>State Laws Affecting CU Activities</u> (3310-3330) State laws affecting state and federal credit unions and authorities.	Disposal not authorized by this schedule. ✓
3400	<u>Delegations of Authority</u> Authority redelegated to regions and supervisory personnel.	Destroy when delegated authority has been changed or withdrawn.
3500	<u>NCUA Rules and Regulations</u> Rules and Regulations for governing FCU's as cited in Chapter VII, Title 12, of the Code of Federal Regulations.	Disposal not authorized by this schedule. ✓
3600	<u>Federal Credit Union Act</u> An act established for the FCU system, NCUA Manual No. 8002.	Disposal not authorized by this schedule. ✓
3700	<u>Federal Credit Union Bylaws</u> The Bylaws relate to the scope of credit union activities, and its powers and the duties and responsibilities of its officials.	Disposal not authorized by this schedule. ✓
3800	<u>Incidental Powers</u> Additional authority to credit unions in carrying out their programs.	Destroy when superseded or obsolete.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
4000	<u>General Supervision Policy</u> (4010-4050) Manuals established to aid credit unions to organize, govern, assist, develop, liquidate, and operate.	<del>Destroy</del> <sup>Destroy</sup> when manuals are revised, superseded, or rendered obsolete. ✓
4060	<u>Officials &amp; Committees</u> Policy governing officials and the different committees.	<del>Destroy</del> <sup>Destroy</sup> when committees are dissolved and officials are changed. ✓
4100	<u>Examiner Supervision and Follow-Up Contacts</u> Correspondence related to Examiner's supervision and his follow-up contact on federally-chartered credit unions.	Destroy in CFA after 2 years.
4200	<u>Newly Chartered</u> NCUA procedures for Examiners for newly chartered credit unions.	<del>Destroy</del> <sup>Destroy</sup> when procedures are revised, superseded, or rendered obsolete.
4300	<u>Early Warning System</u> Documents relating to problems in federal credit unions indicated by Examiners. ✓	a. Permanent-case file. ✓ b. When policy superseded or obsolete. ✓ c. Dispose general correspondence in CFA after 2 years. <i>Current Files area</i> ✓
4400	<u>Problems</u> Documents related to shortages, special cases, limited income in federal credit unions.	Review at end of yr. Destroy documents which have been superseded or no longer applicable.
4410	<u>Shortages (Working Papers)</u> Documents, examinations related to shortages.	Hold in CFA for 3 years, transfer to FRC for 7 years, destroy after a total of 10 years.
4420	<u>Special Attention Cases</u> Cases followed in progress reports. ✓	Review at end of yr., destroy documents which have been superseded or no longer applicable.



<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
4430	<u>Limited Income</u> Documents related to limited incomes of FCUs.	Review at end of year destroy documents which have been superseded or no longer applicable. ✓
4500	<u>Records Preservation Program</u> Bulletins, manuals, and documents relative to Records Preservation Program.	Disposal not authorized by this schedule. ✓
4600	<u>Financial Operations</u> (4610-4690) Federal credit unions' policies on their individual financial operations.	Destroy when superseded or obsolete. ✓ g
4700	<u>General Insurance</u> (4710-4790) Policies and documents relating to the insuring of auto, borrower's protection, accident and sick and life savings.	Destroy when superseded or obsolete. ✓ a b
4800	<u>Miscellaneous Supervisory Procedures</u> Policies and guidelines for security devices established by NCUA.	Destroy when superseded or obsolete.
4810	<u>Security Devices</u> Policies for security devices established by NCUA.	Destroy when superseded or obsolete.
4820	<u>Special Assistance under Title II</u> Policies for special assistance under Title II.	Destroy when superseded or obsolete.
4830	<u>Catastrophes</u> Policies established by NCUA regarding element disasters.	Destroy when superseded or obsolete.
4900	<u>Administrative Actions</u> (4910-4990) Policies related to actions to be used by NCUA, regarding credit unions.	Destroy when superseded or obsolete. ✓ ab
5000	<u>General Examination Policy</u> NCUA Examination procedures regarding federal credit unions and related documents.	Destroy when superseded or discontinued. ✓ p
5100	<u>Initial Examination</u> Policy established or related documents on an initial Federal credit union examination.	Destroy when superseded or obsolete. ✓ g b

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
5200	<u>Regular Supervisory Examinations</u> Policy established for supervisory examinations on regular basis and related documents.	✓ Destroy when superseded or discontinued. ✓ a b
5300	<u>Reports of Examinations (5310-5330)</u> Policy and procedures established regarding examinations and related documents.	✓ Destroy when superseded or discontinued. ✓ a b c
5400	<u>Examiner's Guide</u> Established procedures for Examiners to follow and related documents.	✓ Destroy when superseded or discontinued. ✓ a b
5500	<del>Miscellaneous</del> Miscellaneous policy for use in the examination of FCU's.	✓ Disposal authorized in accordance with procedures used prior to this. ✓ a b
6000	<u>Chartering Policy - Charter Amendments</u> Policies established by NCUA, referencing chartering and amendments and related documents.	✓ Destroy when superseded or discontinued. ✓ a b
6100	<u>Bylaw Amendments</u> Communications concerning correspondence relating to Bylaw Amendments; Bylaw Amendments are filed under 3700.	Disposal not authorized by this schedule. ✓ a b
6200	<u>Conversions</u> Policies established by NCUA pertaining to conversions and related documents.	Destroy when superseded or discontinued.
6300	<u>Mergers</u> Policies established by NCUA pertaining to mergers and related documents.	Destroy when superseded or discontinued.
6400	<u>Applications (6410-6420)</u> Applications or requests for chartering and rejections of chartering requests.	Destroy after 5 years if not chartered.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
6500	<u>History</u> History relating to the chartering of federal credit unions.	Permanent. Cut-off annually. ✓
6600	<u>Division of Assets, Liabilities, &amp; Capital (Spin-offs)</u> The procedure of one credit union breaking away from one or more credit unions and related documents.	Destroy when superseded or discontinued. 21 ✓
6700	<u>Studies and Statistics</u> Studies for conferences and general info. ✓	Destroy in CFA after 3 years. ✓
6710	<u>Chartering Cycle Report</u> Report compiled by NCUA related to chartering credit unions. ✓	Destroy in CFA after 3 years. ✓
6800	<u>NCUA's Organizer's Recognition (6810-6830)</u> Documents relating to NCUA's special recognition of organizing, or in the process of organizing or assisting credit unions in any manner.	NCUA employee-destroy when separated or transferred. Outside NCUA-destroy in CFA after 3 years or on discontinuance, whichever is first. ✓
6900	<u>Active Charter Files (As Stated)</u> ✓	Permanent. Maintenance procedure guidelines in Paragraph 8.6 of NCUA Staff Manual. ✓
7000	<u>Voluntary Liquidations (7010-7020)</u> (6900) Charter files, checkbooks, journal, cash record, general ledger, members' ledger cards.	Hold CFA until cancellation. Transfer to Directive Control Number 7910-7950 for disposition. ✓

*Publish procedures?*

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
7100	<u>Involuntary Liquidations</u> (7110-7130) (6900) Charter files, checkbooks, journal, cash record, general ledger, members' ledger cards.	Hold CFA until cancellation. Transfer to Directive Control Number 7910-7950 for disposition.
7200	<u>Studies and Statistics</u> (7210) Studies referencing liquidations, results, statistics for historical values, and results.	Destroy in CFA 2 yrs. after calendar year end.
7300	<u>Supervisory Procedures</u> Guidelines established for correspondence to supervisors in liquidating procedures.	Destroy when superseded or rendered obsolete.
7400	<u>Agents for the Liquidating Agent/Administrator</u> (7410-7420) Documents related to agents appointed by NCUA for liquidating charters.	Destroy 5 years after cancellation date, hold in CFA 2 years, forward to FRC for 3 years, Destroy.
7500	<u>Liquidation Procedures (Federal)</u> (7510-7530) Procedures established by NCUA for liquidations.	Destroy when superseded, obsolete, or no longer needed for reference.
7600	<u>Liquidation Procedures (State)</u> (7610-7630) Procedures established by NCUA for state liquidations.	Destroy when superseded, obsolete, or no longer needed for reference.
7700	<u>Assistance to Insured Solvent Liquidating Credit Unions (Sec 208)</u> (7710-7730) Documents relating to assisting credit unions by purchasing assets, making loans, establishing accounts.	Destroy in CFA 5 years after calendar year end.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
7800	(Reserved)	
7900	<u>Charter Cancellations</u> (7910-7950) (6900) Charter file, checkbooks, journals, cash record, general ledger, members' ledger cards.	✓ Upon cancellation the balance of records will be forwarded to RC for 5 years from date of cancellation, after which they may be destroyed.
8000	<u>Standards</u> Criteria established by the Act implemented thereto for qualifying for NCUA Share Insurance.	Destroy when superseded or obsolete. ✓
8100	<u>Special Agreements</u> NCUA's special agreements to qualify for share insurance.	Permanent. Charter files. ✓
8200	<u>Federal Credit Union Share Insurance Program</u> NCUA Federal Share Insurance Program.	Destroy when superseded or obsolete.
8300	<u>Federally-Insured State-Chartered Credit Unions</u> (8310-8390) Established policies and procedures related to continuity, insurability, and termination of insurance for state credit unions.	Destroy when superseded or discontinued. ✓
8400	<u>Share Insurance History</u> Chronology of credit union share insurance.	Permanent, cut-off annually. ✓
8500	<u>State Share Insurance Program</u> Information on proposed and existing state share insurance program (Private or otherwise).	Destroy when superseded or discontinued.
8600	<u>Studies and Statistics</u> 8610-Tabulation of data pertaining to subjects related to Share Insurance Program.	Destroy in 3 yrs. after calendar year end.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
9000	<u>NCUA Long-Range Planning Philosophy</u> Programmed documents relating to NCUA's projected and planned philosophy.	Destroy when superseded or discontinued. ✓
9100	<u>NCUA Long-Range Operation Plan</u> (9110-9140) Programmed documents relating to NCUA's long-range operating plans.	Destroy when superseded or discontinued. ✓
9200	<u>Program Objectives Memo (PPBS)</u> Programmed documents relating to NCUA's operating budget.	Permanent. Transfer to FRC 3-5 years after the close of the fiscal yr. covered by the budget. ✓
9300	<u>NCUA Quarterly Operating Plan</u> Established operational plan of NCUA.	<del>Destroy</del> Dispose of 5 yrs. after close of year. Earlier disposal is authorized. ✓
10000	<u>Research Projects</u> (10010-10020) Special Reports	<del>Destroy</del> Dispose of when determined by competent agency research personnel that the files have served all research purposes. ✓
10100	<u>Financial and Statistical Reports (F&amp;S)</u> Compiled statistics related to NCUA activities and financial status.	<del>Destroy</del> Dispose of in CFA after 2 years. ✓
10200	<u>Participating Credit Union Programs</u> Programs administered by NCUA source document. (1200 cu)	Destroy source documents 90 days after taping. ✓
10300	<u>Purpose-of-Loan Program</u> (75 credit unions)	Destroy source documents 1 year after taping. ✓
10400	<u>Statistics - General Program</u> Documents relative to statistics on FCUs.	Destroy when superseded or obsolete. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
10500	<u>Annual Reports</u> (10510-10530) ✓	Destroy when superseded or obsolete. ✓
10600	<u>Fiscal Studies</u> Studies pertaining to financial matters. ✓	Destroy when superseded or obsolete. ✓
11000	<u>Special Projects</u> (As Directed) ✓	Destroy when superseded or obsolete. ✓
12000	<u>Speeches, Articles, and Texts</u> (12010-12030) ✓ Made by the Administrator, the Washington Office staff, the Regional Office staff, referencing any related subjects.	Permanent record copy. ✓ Review annually and destroy all copies no longer needed for reference. ✓
12100	<u>Awards</u> (12110-12130) Awards to FCUs.	<del>Destroy</del> <del>Dispose of</del> 3 yrs. after calendar year end. ✓
12120	<u>Historical Data</u> Documents relating history of NCUA. ✓	Permanent. Cut-off annually. ✓
12300	<u>Outside Government Offices</u> 12310-Correspondence with the White House, Congressional, Judicial, and Government-sponsored agencies. ✓	2 years CFA - 3 yrs. RHA and destroy. ✓
12400	(Reserved)	
12500	<u>Inquiries from Public</u> Inquiries from outside of NCUA requesting information.	<del>Destroy after</del> <del>Dispose of</del> 1 year or on discontinuance, whichever is first.
12600	<u>Mailing Lists</u> Correspondence relating to updating NCUA's Mailing Lists.	Destroy when superseded or obsolete.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
12700	<u>News Media</u> (12710-12730) News releases, biographies, photographs, and news clippings.	Destroy when Board member has been separated from NCUA for 3 years. Destroy employees file 90 days from date of release.
12800	<u>Publications</u> (12810-12830) Documents relating to items published by NCUA and other organizations for guidance and other informational purposes.	Destroy when superseded or obsolete.
13000	<u>Regional Office Reports &amp; Supplements</u> Cycle reports by regional offices for consolidated input into the NCUA Progress Report.	CFA 2 years - Transfer to Records Center 3 years, destroy.
13100	<u>Washington Office Reports-Progress Report</u> Progress report prepared by Washington Office.	CFA 2 years. Transfer to Records Center 3 years, destroy.
13200	<u>Systems Development</u> General correspondence relating to new data system.	CFA 2 years. Hold Record 1 year, then destroy.
13300	<u>Active NCUA Programs</u> (As Directed)	<del>Destroy</del> Dispose of on termination of Program by either obsolescence, update or discontinuance.
13400	(Reserved)	
13500	(Reserved)	
13600	<u>Data Processing Services</u> (13610-13620) General Correspondence.	Destroy in CFA 2 years. Contracts destroy 3 years after expiration.
13700	(Reserved)	

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reports*

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### 1-1 Purpose and Scope

- a. This directive contains instructions on the use of the Functional Files System in the Central Office, Washington, D.C. and six (6) Regional Offices.
- b. Chapters 1, 2, and 3 explain the principles and application of Functional Files, the use of file numbers, the preparation of labels, files, and disposition procedures. Chapter 4 contains files maintenance and reference procedures and also describes methods of identifying and arranging file subdivisions.

### 1-2 Applicability

- a. The Functional Files are set up in a manner that will facilitate local control and accountability.
- b. The Functional Files System will not be applied to blank forms stocked for local use within the NCUA.

### 1-3 Definitions

- a. The Functional Files System is used for identifying and arranging records to facilitate reference and disposition.
- b. Retention period. The length of time a file must be kept before it is destroyed. Files not authorized for destruction have a retention period of "permanent."
- c. Disposition instructions. Instructions for the cutoff, transfer, retirement, or destruction of files. Precise disposition instructions which specify the date or event for cutoff, transfer, retirement, or destruction of files are required on labels.
- d. Cutoff. The termination of a file at specific periodic intervals of time to permit transfer, retirement, or disposal in a complete block.

### 1-4 Abbreviations

Common abbreviations used with the Functional Files and intended especially for use on labels are as follows:

CFA - Current Files Area  
COFF - Cutoff  
DEST - Destroy  
DISC - Discontinuance

PIF - Place in inactive file  
REFP - Reference paper  
TRF - Transfer  
RC - Records Center  
RET - Retire

#### 1-5 Major Functional Files Categories (See Appendix A)

#### 1-6 Principles of the Functional Files

- a. The Functional Files System is based on the concept that each office maintains records documenting the performance of one or more specific functions or subdivisions. These functions may be to procure supplies, allot funds, assign specific duties to personnel or any of a hundred others.
- b. For carrying out the assigned functions, the responsible office may engage in more than one activity; for example, arrange transportation for individuals to attend conferences, prepare and maintain statistical data relating to space requirements, etc.
- c. In addition to records documenting and serving the mission, the office will also generate records related to the administration of the office. These records relate to such matters as requests for furniture, equipment, and supplies; instructions on office operating procedures, etc. These matters are not directly related to the primary mission but are operating files with respect to the basic function of the office.

#### 1-7 List of Selecting File Numbers

A list of file numbers used in an office will be maintained to facilitate filing and reference, to train new personnel, and to eliminate the constant referral to this directive. The list will contain the file numbers, file titles, and, if desired, a brief description of each file maintained in the office.

Chapter 2  
Labeling Procedures

2-1 Functional File Numbers

- a. The file number assigned to a file serves to identify the documents it contains for filing and reference, and represents the disposition of the folder. File numbers represent the primary function, the subdivision numbers describe the primary and subdivisions.
- b. The first two digits represent the primary function category, the last two or three digits represent the subdivision of the primary function.

2-2 Label Entries

a. General

File drawers and folders will be labeled to facilitate filing, searching, and making disposition. Drawer labels will be on card stock. All labels will be typewritten.

b. Captions

- (1) Folder labels will bear the file number, file title, year of file (when applicable) and disposition for the file, in that sequence. The following example illustrates the proper entry of information on labels.

EXAMPLE ONLY

1000 - General Administration (74)  
COFF 31 Dec. 74, DEST Jan. 76

- (2) When a file series consists of a number of folders identified by the same file number, only the label on the first folder of the series needs to show the file number, file title, year of file and disposition instruction. Labels on the other folders in the same series need show only the file number, a brief identification of the material in the folder, and year of file. The following example indicates the proper entry.

EXAMPLE ONLY

1000 - General Administration (74)

(3) When a file series of the type described above comprises one or more file drawers, the posting of the file number and other information to each label or document is not required. In these instances only the label on the first folder of the series and the label on the first drawer are required.

(4) When a file drawer or other container contains more than one file series, information on the drawer label may be limited to a brief general description of the contents of the drawer.

c. Examples of folders, guide labels, and drawer labels are shown in figures 2-1 & 2-2.

Left Position  
Destruction in Current Files Area

Center Position  
Transfer to RC

Right Position  
Retirement to Records Center

12810 NCUA Publications (74)  
REC Set Files  
COFF 31 Dec. 74, TRF RC  
RET Jan. 78. Perm

12800 Admin Publication Files (74)  
COFF 31 Dec. 74, TRF RC Jan. 76  
DEST Jan. 77

2105 Fiscal Accounting  
Financial Reports  
Dest when rec reflected thereon have  
been dest or transferred to tapes,  
whichever is first.

1050 General Administration (74)  
Correspondence Procedures  
COFF 31 Dec. 74, DEST Jan. 76

1030 NCUA Staff Manual  
Dest Individ Docu when Supsd,  
or no longer applicable.

Figure 2-1 Folder and Guide Labels  
(Read from Bottom)

12600 Mailing Lists (74)  
COFF 31 Dec 74, DEST Jan 76;  
or DEST or DISC, whichever  
is first

A Portion of One File Number  
(First Drawer Label)

1650 Credit Union Leagues

A - L

COFF 31 Dec 74, DEST Jan 76;  
or DEST or DISC, whichever  
is first

A Portion of One File Number  
(First Drawer Label)

1000 Thru 4990 (74)

More Than One File Number  
(One Year Only)

1000 Thru 4990 (73)

1000 Thru 4990(74)

More Than One File Number  
(More Than One Year)

Figure 2-2

Chapter 3  
Disposition Procedures

Section I. General Files Disposition Procedures

3-1 Objective

One of the objectives of the records management program is to preserve records of value, systematically eliminate all other records, and remove less active current records from office space to low cost storage space. This insures preservation of permanent records, increases usefulness of the records, and thereby reduces the cost and effort of recordkeeping.

3-2 Change to Retention Period

Retention periods are changed periodically as a result of the continuing evaluation of files and changes in legal, financial, and administrative requirements. The changes are applied in accordance with guidelines set in a. and b. below.

a. Increased Retention Period

If an increased retention period is approved by the National Archives, the new retention period will be applied to all files of that description regardless of when they were created.

b. Reduced Retention Period

If the change reduces the retention period, the new retention period will be applied retroactively unless it is impractical or uneconomical to do so.

Section II. Procedures for Applying Disposition Instructions

3-3 Disposition Procedures

- a. Records in the Washington Office designated for retirement will be retired on a calendar and fiscal year basis to the Washington National Records Center, GSA.
- b. Records designated for retirement by a Regional Office will be retired to the GSA Federal Records Center serving its geographical area.
- c. Records designated permanent are located in the Administrator's library and will be offered to the National Archives when no longer needed.
- d. For most files, the disposition should provide for only a

period (e.g. destroy after 2 years, destroy after 5 years, destroy after card is filled, etc.). The disposition instructions listed in the following paragraph will be used to determine the exact cutoff, transfer, retirement, and disposal period.

#### 3-4 Disposition Instructions

The following are examples of specific instructions for cutoffs, disposals and retirement of files based on general time periods or events.

- a. 1 month. Files having a retention period of 1 month will be cutoff at the end of the month, held 1 month in the current files area, and then destroyed.

COFF 30 Apr. 74, DEST Jun. 74

- b. 3 months. Files having a retention period of 3 months will be cutoff at the end of each quarter, held 3 months and then destroyed.

COFF 31 Mar. 74, DEST July 74

- c. 6 months. Files having a retention period of 6 months will be cutoff semiannually as of June 30 and December 31, held 6 months in the current files area, and then destroyed.

COFF 30 June 74, DEST Jan. 75

- d. 1 year. Files having a retention period of 1 year will be cutoff at the end of the calendar or fiscal year, held 1 year in current files area, and then destroyed.

COFF 31 Dec. 74 DEST Jan. 77  
COFF 30 June 74 DEST July 76

- e. Files having a retention period of 2 years will be cutoff at the end of the calendar year or fiscal year, and held 2 years in current files area and then destroyed.

COFF 31 Dec. 74 DEST Jan. 77  
COFF 30 June 74 DEST July 76

- f. More than 2 years.

Disposal files having retention periods of more than 2 years will be cutoff at the end of calendar or fiscal year and disposed of as follows:



3-year calendar year file.

COFF 31 Dec. 74 RET RC Jan. 77 DEST Jan. 78

3-year fiscal year file.

COFF 30 June 74 RET RC July 76 DEST July 77

6-year calendar year file.

COFF 31 Dec. 74 RET RC Jan. 77 DEST Jan. 81

6-year fiscal year file.

COFF 30 June 74 RET RC July 76 DEST July 80

10-year calendar year file.

COFF 31 Dec. 74 RET RC Jan. 78 DEST Jan. 85

10-year fiscal year file.

COFF 30 June 74 RET RC July 77 DEST July 84

g. Event of Action

Documents which are disposable upon the occurrence of an event, such as supersedure, obsolescence, or upon the accomplishment of an action, will be withdrawn from the active file upon the occurrence of the event or accomplishment of the action and destroyed.

DEST on supersession or obsolescence

DEST on completion of posting to the proper form

h. Permanent Files

Files with a permanent retention period will be cutoff at the end of the calendar year or fiscal year, held in the current files area for 5 years and then retired to the designated records center.

Calendar Year File

COFF 31 Dec. 74 RET RC Jan. 80 Permanent

Fiscal Year File

COFF 30 June 74 RET RC July 79 Permanent

## Section I General

### 4-1 General

Effective files maintenance and reference procedures are essential in order that a complete account of actions taken, commitments made, and the result of actions taken are available.

### 4-2 Purpose

This chapter contains the procedures to be used in establishing and maintaining all functional files and in providing reference service to them.

## Section II Maintenance Procedures

### 4-3 General

The procedures in this section are designed to provide maximum efficiency in preparing papers for file, maintaining records, and using and labeling file folders, file guides, and file containers.

### 4-4 Inspection of Papers

Papers received for files will be inspected to insure completeness and to eliminate unnecessary material.

#### a. Completeness

Papers received for files will be checked to insure that all actions have been completed and all papers needed to fully document the action are attached.

##### (1) Incomplete Actions

If all necessary actions have not been completed, the paper will be placed in suspense or otherwise controlled to permit followup action as necessary and to insure that the case will not be cutoff prior to completion of final action.

##### (2) Insufficient Documentation

If action is complete, but essential documentation is missing, an attempt will be made to obtain missing papers or copies of the papers. If the attempt fails, a notation of the action taken to obtain the missing papers, and the result, will be placed on the file papers.

b. Unnecessary Material

Unnecessary documents such as used envelopes and extra copies will be discarded. When the original of a paper is available, all copies will be discarded except that copy containing additional information needed for record purposes, that is, signatures or initials of concurring officials will be retained and filed.

4-5 Assembly of Papers

Correspondence will be assembled and filed under the date of the latest action as indicated below:

a. Separate Correspondence

A separate "chain" of correspondence normally develops in completing an action. It consists of the basic paper (the paper starting the action), any numbered or unnumbered replies in continuation of the action, enclosures, and supporting papers forming a part of the whole correspondence action. These papers will be assembled in top to bottom order as follows:

- (1) The latest action (numbered or unnumbered).
- (2) The basic paper (letter, memo, etc.).
- (3) Other unnumbered replies in chronological order.
- (4) Enclosures in numerical order.
- (5) Internal actions which support the numbered or unnumbered actions (studies, conducting actions, etc.).

b. Related Papers

Papers which are directly related or contain specific reference to earlier papers on the same subject will be combined with those papers only if reference requirements clearly necessitate such action. If combination is deemed necessary, the related papers will be assembled separately under the method described in 4-5a. The related papers will then be stapled on top of the earlier papers and will be filed by date of the latest action. In such cases it may be desirable to cross-reference this material under the date that the earlier papers were filed.

4-6 Fastening

The fasteners described in a. and b. below will be used to hold papers together. Straight pins and paper clips will not be used for fastening papers that are filed except that paper clips may be used in a suspense file.

- a. Wire staples will be used to fasten related loose papers together. Wire staples are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers without increasing their bulk.

- b. Prong Fasteners

- (1) Prong fasteners may be used when files are over 1 inch thick.
  - (2) Prong fasteners will be used when files are used outside the files area.

#### 4-7 Posting File Numbers

- a. The file number will be placed on each document at the time it is filed. It will be placed in the upper right-hand corner, not obscuring the contents of the paper.
- b. When physical characteristics of a document make it self-identifying for filing purposes, the posting of the file number is unnecessary.

#### 4-8 Cross-Reference

- a. General

A cross-reference is a form filed under one file number or subdivision to show the location of material filed elsewhere. Cross-references will be prepared when:

- (1) A document pertains to more than one function or action and reference to the document may be used by any of the functions or actions.
  - (2) A document pertains to individuals, organizations, or geographical locations and is not filed by the name under which requests are anticipated.
  - (3) Papers with various dates which document a subfunction or action, and which are directly related, are filed together.
  - (4) A document is reclassified from one file number or subdivision to another file number or subdivision.

- b. Cross-Reference Forms

Cross-references will be made on NCUA Form 1568 (cross-reference sheet). The NCUA Form 1568 is 8 by 10½ inches and is designed for interfiling with correspondence or other records of comparable size.

#### 4-9 Sorting Papers For File

After papers are arranged and fastened and any necessary cross-references are prepared, the papers and cross references will be sorted and arranged in proper filing order. This speeds the filing of the papers and cross-references, and aids in locating papers rapidly in the event they are requested prior to filing.

#### 4-10 Use of Guides and Folders

##### a. General

The standard 8" X 10½" guides and folders will be used to the maximum extent practical.

##### b. Guides

Guides are used to divide files and identify each division so that filing and finding particular folders are facilitated.

##### c. Folders

- (1) Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers.
- (2) When the material in any folder reaches the normal capacity of the folder (one inch), a second folder should be prepared. The second folder should begin at a logical point such as the beginning of a month, calendar quarter, etc.

#### 4-11 Position of Guides

- a. Guides will be arranged in files so that the tabs are in uniform position on the left side (first position of the file drawer).
- b. Guides normally are placed in a file at the beginning of each major functional file category. The guides will be labeled with the functional file category numerical classification.

#### 4-12 Position of Folder Labels

Under the Functional Files System labels are placed in three positions to indicate where final disposition of the records will take place. The following rules govern the positioning of folder labels:

- |                                                                                                                                                                                                                                                                                                                         |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <ul style="list-style-type: none"><li>a. First position (left of center). Files to be destroyed in current files area.</li><li>b. Second position (center). Files to be transferred to and destroyed in records center.</li><li>c. Third position (right of center). Files to be retired to a records center.</li></ul> |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

### Section III Reference Procedures

#### 4-13 General

The effectiveness of any file or file room operation can be judged in large measure by the speed and accuracy with which requested files or information can be found and furnished.

#### 4-14 Submission of Requests

Requests for files should be written directly on NCUA Form 1050 to avoid rewriting the information later. Complete information needed to locate and charge out requested material should be obtained from the requestor. Information needed to act on a request includes:

- a. Identification of material and file classification if known.
- b. Name of writer (organization or individual).
- c. Date of paper (specific or approximate).
- d. Requestor's name, division, and telephone number.

#### 4-15 Charge-Out Record

##### a. General

A charge-out record will be made and substituted for all papers removed from a file for reference purposes. Information entered on the charge-out record will identify the material being removed from the file.

##### b. Forms:

- (1) NCUA Form 1050 (1-74) (Request for Central Files Service). This form, used to request all files from the files area, will act as a suspense control document. This form may be typewritten or handwritten.

- 
- |                                                                                                                                    |                                                                                                                                                                                                                            |
|------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>(2) GSA Form 23 (Charge-Out Record). This form will be used to record all charged-out items from the functional files area.</p> | <p>(3) GSA Charge-Out Folder (unnumbered). This form will record that a Charter/Insurance numbered folder was taken from the files area. It will also serve as a filing folder during the absence of the records file.</p> |
|------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

APPENDIX-A  
Standard Functional Files

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1000	<u>General Administration</u> Documents relating to internal management or General Administration of an office; such as internal office procedures, hours of operation, parking, civil defense procedures, documents relating to safety meeting and comparable documents.	Destroy when superseded or discontinued, whichever is first. ✓
1010	(Reserved)	
1020	<u>NCUA Operations Manual</u> Printed documents related to the operation of NCUA.	<i>Dist</i> Destroy when superseded, obsolete, or no longer needed for reference purposes. ✓
1030	<u>NCUA Staff Manual</u> a. Printed documents related to policies, procedures, and techniques for the development and execution of NCUA. (record copy)  b. Reference copy	a. <u>Permanent</u> -Offer to National Archives when no longer needed. ✓  b. Destroy when superseded, obsolete, or no longer needed for reference purposes. ✓
1040	<u>NCU Board</u> a. Documents related to the Advisory Board appointed to assist the Administrator in carrying out the mission of NCUA and minutes of meetings.  b. General Correspondence	a. <u>Permanent</u> -Offer to National Archives when no longer needed. ✓  b. Destroy working paper when superseded, obsolete or no longer needed for reference purposes. ✓
1050	<u>Correspondence Procedures</u> Documents related to internal management or general administration, offices' involvement in forms, records, reports, inventories. Documents that are not related to the mission.	Destroy when procedures are superseded or obsolete, whichever is first. ✓



<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1060	<u>Security</u> Documents related to directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and directive of security and Protective Services Program.	Destroy individual documents when superseded or obsolete. Destroy entire file on discontinuance of procedures to which it relates. ✓
1061	<u>National Post Attack Registration System</u> Instruction established by CSC to provide continuation of Government business in the event of enemy attack.	Destroy individual documents when superseded or obsolete. ✓
1062	<u>Continuity of Operations</u> Documents related to awareness for employees, new systems, obligations.	Destroy individual documents when superseded or obsolete. Destroy entire file on disc. of procedures to which it relates. ✓
1063	<u>Internal</u> Documents related to directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and directive of security and Protective Services Program.	Destroy individual documents when superseded or obsolete. Destroy entire file on disc. of procedures to which it relates. ✓
1064	<u>NCUA Self-Protection Plan</u> Written and diagrammed procedures for evacuation of NCUA employees from buildings in emergency conditions.	Destroy when superseded or rendered obsolete. ✓
1070	<u>Headline Report</u> Reports from RDs to Administrator for recap purposes.	Destroy when no longer needed for reference. ✓
1100	<u>Programs</u> Documents related to promotion of FCUs.	Destroy in CFA after 2 years. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>	
1110	<u>Administrator's Library</u> <del>Documents related to the tenure</del> of the Administration, NCUA Operations, History, Programs, and Statistics.	<del>Permanent</del> -Offer to National Archives when no longer needed.	✓
1120	<u>Energy Saving Program</u> Documents related to the energy saving programs of NCUA.	Destroy when program has been cancelled.	✓
1130	(Reserved)		
1140	(Reserved)		
1150	(Reserved)		
1160	<u>Special Programs</u> a. Projects including background materials, studies, analyses, notes, interim reports, and related papers pertaining to management projects.  b. Working papers	a. <del>Permanent</del> -Offer to National Archives when no longer needed.  b. Destroy 3 years after completion if no further action is required.	✓ ✓
1200	<u>Personnel (General)</u> Documents related to the day-to-day administration of employees in individual offices, to notices of holidays, hours worked, reports of attendance, immunizations, and comparable or related papers.	Destroy in CFA after 2 years.	✓
1210	<u>Employment or Release</u> Documents related to the hiring or release of employees.	Destroy in CFA after 2 years.	✓
1211	<u>Recruitment</u> Documents related to NCUA's recruitment policies.	Destroy in CFA after 2 years.	✓
1212	<u>Merit Promotion Plan</u> Documents related to NCUA's Merit Promotion Plan.	Destroy when super- seded, obsolete, or disc., whichever is first.	✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>	
1213	<u>Performance Evaluation and Rating Plan</u> Documents related to appraisal summaries of NCUA employees.	Destroy in CFA after 2 years.	✓
1214	<u>Resignation</u> Informational correspondence related to procedural guides for resignation.	Review at end of year and destroy documents which have been superseded or are no longer applicable.	✓
1215	<u>Separation</u> Informational correspondence related to procedural processing of separation.	Destroy in CFA after 2 years.	✓
1216	<u>Retirement</u> Informational correspondence related to procedural processing of employee retirement documents.	Review at end of year and destroy documents which have been superseded or are no longer applicable.	✓
1217	<u>Transfer</u> Informational correspondence related to transfer processing of employees or new arrivals.	Review at end of year and destroy documents which have been superseded or are no longer applicable.	✓
1220	<u>Position Management &amp; Classification</u> Documents related to classification and management positions.	Destroy in CFA after 2 years.	✓
1221	<u>Position Descriptions</u> Documents describing positions in an office that are used in day-to-day relationships.	Destroy on abolishment of position, supersession of description, or when no longer needed for reference.	✓
1230	<u>Employee Relations</u> Documents related to NCUA and employee relationships.	Review at end of year and destroy documents which have been superseded or no longer applicable.	✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1231	<u>Health and Safety</u> Documents related to NCUA's health program and safety procedures.	Review annually and destroy documents no longer needed for reference. OSMA FMS 100, 101, retain for 5 years, then destroy. ✓
1232	<u>Adverse Actions</u> Documents related to adverse actions.	Destroy when superseded, obsolete, or no longer needed for reference. ✓
1233	<u>Awards and Recognition</u> Documents related to awards and special recognition of NCUA employees.	Destroy after 1 yr. from employee's separation or retirement from NCUA. ✓
1234	<u>Suggestion Program</u> Documents related to NCUA employee suggestion program.	Review at end of year and destroy documents which have been superseded or are no longer applicable. ✓
1235	<u>Standards of Conduct</u> Documents related to standards of conduct of NCUA employees.	Review at end of yr. and destroy documents which have been superseded or are no longer applicable. ✓
1240	<u>Personnel Management Evaluation</u> Documents related to personnel management responsibilities.	Review at end of yr. and destroy documents which have been superseded or are no longer applicable. ✓
1250	<u>Personnel Records and Reports</u> Official personnel folder files.	Transfer of employee: Transfer folder to new employing office. Separation of employee: Retire to National Personnel Records Center, (Civ), 111 Winnabago St., St. Louis, Mo. 63118 ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1260	<u>Labor Management Relations</u> Policies & standards used as guidelines for employee and management relationship.	Destroy when superseded or obsolete. ✓
1270	<u>Equal Employment Opportunity (1271-1273)</u> Documents related to NCUA's policies and procedures on Federal women's, Spanish, handicapped, and EEO programs.	Destroy when superseded or obsolete. ✓
1280	<u>Related Activities</u> Documents related to NCUA's employee participation in public relations.	Destroy in CFA after 2 years. ✓
1281	<u>Pay and Leave Administration</u> Correspondence files maintained by operating units responsible for payroll preparation and processing, pertaining to administration and operation of the unit.	Dispose after 2 years. ✓
1282	<u>Blood Donor Program</u> Documents related to NCUA Blood Donor policies and individual participation.	Destroy when superseded, obsolete, or no longer needed for reference. ✓
1283	<u>Savings Bonds</u> Documents related to NCUA's Savings Bonds policies and individual participation.	Destroy when superseded, obsolete, or no longer needed for reference. ✓
1284	<u>Combined Federal Campaign</u> Documents related to NCUA's employee participation in CFC.	Destroy in CFA after 2 years. ✓
1300	<u>Training</u> General correspondence and working papers related to the operation of the Training Division.	Destroy when superseded, obsolete, or no longer needed for reference. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1310	<u>Intergovernmental Personnel Act (IPA)</u> a. Documents related to NCUA's IPA mobility assignments. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded, obsolete, or no longer needed for reference.
1320	<u>OJT Training</u> a. Documents related to on-the-job training programs within NCUA. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded, obsolete, or no longer needed for reference. ✓
1330	<u>Examiner Training</u> a. Documents related to NCUA's Examiner Training Program. (Record copy)  b. Reference copy.	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓  b. Destroy when superseded, obsolete, or no longer needed for reference. ✓
1340	<u>Management Development Program</u> a. Documents related to NCUA's Management Development Program. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded, obsolete, or no longer needed for reference. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1350	<u>Staff Development Program</u>	
	a. Documents related to NCUA's Staff Development Program. (Record copy)	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?
	b. Reference copy	b. Destroy on separation or transfer of the individual. ✓
1360	<u>International Training</u>	
	a. Training for Foreign Nationals. (Record copy)	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓
	b. Reference copy	b. Destroy when superseded, obsolete, or no longer needed for reference. ✓
1370	<u>Other Training</u> (1371-1372)	
	a. Documents related to NCUA's and NCUA employees' participation in outside training programs. (Record copy)	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?
	b. Reference copy	b. Destroy when superseded, obsolete, or no longer needed for reference. ✓
1380	<u>Executive Manpower Development Program</u>	
	a. Documents related to the assessments of personnel for executive development. (Record copy)	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?
	b. Reference copy	b. Destroy when superseded, obsolete, or no longer needed for reference. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1390	<u>Supervisory Training Program</u> a. Documents related to the training of supervisory personnel. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed.  b. Destroy when superseded, obsolete, or no longer needed for reference.
1400	<u>Travel</u> Documents related to NCUA employee travel.	Destroy 1 year after all entries on record are cleared.
1410	<u>Advance of Funds</u> Documents related to employee advance of funds for travel related activities.	Destroy 1 year after all entries on record are cleared.
1420	<u>Authorization of Travel</u> Documents related to employee's authorization to travel.	Dispose after 2 yrs.
1430	<u>GSA Vehicles</u> Vehicle usage reports, vehicle contracts, general correspondence pertaining to GSA vehicles.	Dispose after 2 years.
1440	<u>Accidents</u> Reports of motor accidents involving NCUA employees while on duty status.	Dispose 6 years after case is closed.
1450	<u>Methods of Travel</u> Modes of travel used and authorized by NCUA-sponsored employees.	Dispose after 2 years.
1460	<u>Per Diem and Mileage</u> Cost granted and incurred during the authorized travel and number of miles.	Dispose when funds are obligated.
1470	<u>Transportation of Household Goods</u> Authorized moves for NCUA employees.	Destroy in CFA after 3 years.



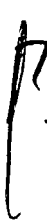
<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1480	<u>Travel Vouchers</u> Documents supporting travel requested, travel accomplished.	Dispose when funds are obligated. ✓
1490	<u>Administrative Travel Guide</u> Administrative Travel Guide.	Destroy when superseded or rendered obsolete. ✓
1500	<u>Meetings and Conferences</u> Documents related to meetings and conferences sponsored by NCUA and other organizations.	Review at end of yr. and destroy documents which have been superseded or are no longer applicable. ?
1510	<u>Washington Office Sponsored</u> Documents related to meetings and conferences sponsored by the Washington Office.	Review at end of yr. and destroy documents which have been superseded or are no longer applicable. ?
1520	<u>Regional Office Sponsored</u> Documents related to meetings and conferences scheduled by regional offices.	Review at end of yr. and destroy documents which have been superseded or are no longer applicable. ?
1530	<u>Non-NCUA Sponsored</u> Documents related to meetings and conferences scheduled by non-NCUA organizations.	Destroy in CFA after 2 years. ✓
1600	<u>Organizations</u> Organizations having a working relationship with NCUA. Professional societies and boards.	Destroy in CFA after 2 years. ✓
1610	<u>Credit Union Mutual Insurance Society (CUMIS)</u> Documents related to CUMIS such as directives, memos, info letters, bulletins.	Destroy when superseded or obsolete. ✓
1620	<u>Credit Union National Association (CUNA)</u> Documents related to CUNA such as directives, memos, info letters, bulletins.	Destroy when superseded or obsolete. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1630	<u>National Association of Federal Credit Unions (NAFCU)</u> Documents related to NAFCU, such as directives, memos, info letters, bulletins.	Destroy when superseded or obsolete. ✓
1640	<u>Other CU Organizations</u> Documents related to credit union organizations not covered prior.	Destroy when superseded or obsolete. ✓
1650	<u>Credit Union Leagues</u> Documents related to credit union leagues that are filed according to region, state, or those otherwise specified.	Destroy when superseded or obsolete. ✓
1660	<u>Credit Union Chapters</u> Documents related to CU chapters throughout Regions I - VI.	Destroy when superseded or obsolete. ✓
1670	<u>Professional Societies</u> General correspondence related to professional societies.	Destroy after 1 year. Earlier if disposal is authorized. ✓
1680	<u>Federal Executive Board</u> Documents related to meetings to establish policies for Federal agencies.	Destroy in CFA after 2 years or after outstanding projects are completed. ✓
1700	<u>General Services</u> Documents supporting the assistance given NCUA by GSA.	Destroy when superseded or obsolete. ✓
1710	<u>Office Equipment</u> Equipment requests, types, when to order, etc.	Destroy 1 year after completion of action, earlier disposal is authorized. ✓
1711	<u>Inventory</u> Documents related to inventories made, to be made, and related information.	Destroy after next inventory or upon disc., whichever is first. ✓
1712	<u>Repairs</u> Documents related to office repairs on equipment, cost, etc.	Destroy 1 year after completion of action, earlier disposal is authorized. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1713	<u>Supplies</u> Documents related to order, distribution, cost, etc., of supplies for NCUA.	Destroy 1 year after completion of action, earlier disposal is authorized. ✓
1720	<u>Printing</u> Job or project records containing all papers and data pertaining to the planning and execution of printing, bindery, duplication, and distribution of jobs.	Dispose after 3 yrs. ✓
1730	<u>Building Space</u> Documents related to existing space, additional requirements, studies, etc.	Destroy when superseded or obsolete. ✓
1740	<u>GSA Bulletins</u> Bulletins published as directives for information to Federal agencies by GSA.	Destroy when superseded or obsolete. ✓
1750	<u>Federal Records Center</u> Documents related to records forwarded to a Federal Records Center.	Destroy when superseded or obsolete. ✓
1760	<u>Communications Methods</u> Documents related to correspondence, telephone, teletype procedures, installations.	Destroy after 1 yr. or on disc., whichever is first. ✓
1761	<u>Telephone</u> Documents related to installations, changes, programmed changes.	Destroy after 1 yr. or on disc., whichever is first. ✓
1762	<u>Teletype</u> Documents related to changes in procedures, installations, new equipment.	Destroy after 1 yr. or on disc., whichever is first. ✓
1763	<u>Postal Service</u> Documents related to postal service, costs, new procedures.	Destroy after 3 yrs. or on disc., whichever is first. ✓
1800	<u>Directives Control Information</u> Directives published for guidance in NCUA.	Destroy when superseded or cancelled. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
1810	<u>Reports Control Management</u> Documents related to reports control.	Destroy when super- seded or rendered obsolete. ✓
1900	<u>Inspections</u> (1910-1930) Documents related to inspection performed by NCUA, GAO, CSC.	Destroy after second comparable inspection. ✓
2000	<u>Financial Planning</u> Correspondence related to financial plan- ning, staffing, budget authorization.	Destroy in CFA after 2 years. ✓
2010	<u>PPBS - POM's</u> Projected budgets, memos, and planning procedures.	Destroy when super- seded or obsolete. ✓
2020	<u>Budget Authorizations</u> Documents related to authorized expenditures.	Destroy after 3 yrs., earlier destruction is authorized. ✓
2021	<u>Staffing</u> Working papers for salary expend- itures.	Destroy after 3 yrs., earlier destruction is authorized. ✓
2022	<u>Financial</u> Working papers for NCUA's financial expenditures.	Destroy after 5 yrs., earlier destruction is authorized. ✓
2030	<u>Office of Management and Budget</u> Correspondence and related documents to the Office of Management & Budget.	Destroy after 5 years, earlier destruction is authorized. ✓
2100	<u>Fiscal Accounting</u> General accounts ledgers showing debit and credit entries and reflecting expenditures in summary.	Destroy 10 years after close of fiscal year involved. ✓
2105	<u>Financial Reports</u> a. Published documents related to finan- cial status of NCUA. (Record copy)  b. Reference copy	a. <del>Permanent record</del> copy. ?  b. Reference copies authorized for destruction when no longer needed. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
2110	<u>Examination Fees</u> Copies of invoices for fees collected for credit union examinations.	Destroy after 3 yrs. ✓
2115	<u>Supervision Fees</u> Copies of invoices for fees collected from credit union supervision.	Destroy in CFA after 3 years. ✓
2120	<u>Charter Fees</u> Copies of invoices for fees and documents issuances, collected for granting charters.	Destroy in CFA after 3 years. ✓
2125	<u>Insurance Premiums</u> Copies of invoices for fees collected on insurance premiums.	Destroy in CFA after 3 years. ✓
2130	<u>Investments</u> Treasury listing of bills, notes, and bonds of NCUA investment schemes.	Destroy in CFA 3 years after maturity. ✓
2135	<u>Treasury Accounts</u> Monthly trial balance listings.	Destroy after 10 years. ✓
2140	<u>General Accounting Office Accounts</u> Documents related to GAO audits.	Destroy in CFA after 5 years. ✓
2145	<u>Commercial Vouchers</u> Source documents (bills disbursement schemes).	Destroy in CFA after 5 years. ✓
2150	<u>Purchase Orders</u> Documents used for purchase of items.	Destroy record copy in CFA after 5 years. ✓
2155	<u>Requisitions</u> Documents related to requests for items through support services.	Destroy record copy in CFA after 5 yrs. ✓ Destroy reference copy after 2 years.
2160	<u>Bills of Lading</u> Items of cargo or freight.	Destroy record copy in CFA after 5 years. ✓ Destroy reference copy after 2 years. ✓

	<u>Description</u>	<u>Disposition</u>
2165	<u>Contracts</u> Contract correspondence and related papers pertaining to award, receipt, inspection, and payment.  Procurement or purchase organization copy and related papers.  a. Transactions of more than \$10,000.	     a. Destroy 6 years after final payment. ✓ Place in inactive file after final payment; CFA 2 years; to FRC for 4 years.
	b. Transactions of \$10,000 or less.	b. Destroy 3 years after final payment (close file at the end of fiscal year, retain 3 years, and destroy, except files on which actions are pending will be brought forward to the next fiscal year for disposal therewith). ✓
2170	<u>Bills and Estimates</u> Documents reflecting estimates to accomplish a suggested job, also with monetary amounts.	Destroy in CFA after 3 years. ✓
2200	<u>Payroll</u> Documents listing names and monetary amounts supporting the work force of NCUA.	Destroy in CFA after 3 years. ✓
2300	<u>Share Insurance Financial Accountability (2310-2390)</u> Documents supporting the accountability concerning the share insurance.	Destroy in CFA after 3 years. ✓
2400	<u>Examination Program Management</u> Documents related to Examination Program Management.	Destroy in CFA after 3 years. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
2410	<u>Details</u> Documents related to Program Management Details.	Destroy in CFA after 2 years. ✓
2420	<u>District Assignment Lists &amp; Responsibility</u> Documents reflecting assignment lists and responsibilities.	Destroy in CFA after 2 years. ✓
2430	<u>SE Team Schedules &amp; Team Examinations</u> Schedule of Examinations.	Destroy 6 mos. after last scheduled exam. ✓
2500	<u>Productivity</u> Workload schedules & accomplishment.	Destroy in CFA after 3 years. ✓
2510	<u>Examination</u> Documents related to NCUA's examination program of FCU's.	Destroy in CFA after 3 years. ✓
2520	<u>Joint Committee On Productivity (GAO)</u> Documents related to meetings and guidelines by GAO.	Destroy in CFA after 3 years. ✓
2600	<u>Work Classification Codes</u> Published codes for work classifications.	Destroy in CFA after 3 years. ✓
2700	<u>Electronic Funds Transfer</u>	To be determined at a later date. ✓
3000	<u>Legal Opinions</u> a. Legal opinions rendered by General Council. (Record copy)  b. Reference copy	a. <u>Permanent</u> -Offer to National Archives when no longer needed. ✓  b. Destroy when superseded, obsolete, or no longer needed for reference purposes. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
3100	<u>Tort Claims</u> a. Claims against NCUA. (Record copy)  b. Reference copy	<del>a. Permanent-Offer to National Archives when no longer needed.</del> b. Destroy when superseded, obsolete, or no longer needed for reference purposes. ✓
3200	<u>Legislative Actions</u> (3210-3224) a. Laws enacted pertaining to and assisting NCUA. (Record copy)  b. Reference copy	a. <del>Permanent-Offer to National Archives when no longer needed.</del> ✓ b. Destroy when laws are amended, revised, or changed. ✓
3300	<u>State Laws Affecting CU Activities</u> (3310-3330) a. State laws affecting state and Federal credit unions and authorities. (Record copy)  b. Reference copy	<del>a. Permanent-Offer to National Archives when no longer needed.</del> ? b. Destroy when laws are amended, revised, or changed. ✓
3400	<u>Delegations of Authority</u> Authority redelegated to regions and supervisory personnel.	Destroy when delegated authority has been changed or withdrawn. ✓
3500	<u>NCUA Rules and Regulations</u> a. Rules and Regulations for governing FCUs as cited in Chapter VII, Title 12, of the Code of Federal Regulations. (Record copy)  b. Reference copy	<del>a. Permanent-Offer to National Archives when no longer needed.</del> ? b. Destroy when superseded, obsolete, or no longer needed for reference purposes. ✓



<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
3600	<u>Federal Credit Union Act</u> a. An act established for the FCU system, NCUA Manual No. 8002.  b. Reference copy	<del>Permanent</del> -Offer to National Archives when no longer needed.  b. Destroy when laws are amended, revised, or changed.
3700	<u>Federal Credit Union Bylaws</u> a. The Bylaws relate to the scope of credit union activities, and its powers and the duties and responsibilities of its officials. (Record copy)  b. Reference copy	<del>Permanent</del> -Offer to National Archives when no longer needed.  b. Destroy when laws are amended, revised, or changed.
3800	<u>Incidental Powers</u> Additional authority to credit unions in carrying out their programs.	Destroy when superseded or obsolete.
4000	<u>General Supervision Policy</u> (4010-4050) a. Manuals established to aid credit unions to organize, govern, assist, develop, liquidate, and operate. (Record copy)  b. Reference copy	<del>Permanent</del> -Offer to National Archives when no longer needed.  b. Dispose when manuals are revised, superseded, or rendered obsolete.
4060	<u>Officials &amp; Committees</u> Policy governing officials and the different committees.	Dispose when committees are dissolved and officials are changed.
4100	<u>Examiner Supervision and Follow-Up Contacts</u> Correspondence related to Examiner's supervision and follow-up contact on federally-chartered credit unions.	Destroy in CFA after 2 years.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
4200	<u>Newly Chartered</u> NCUA's procedures for newly chartered credit unions.	Dispose when procedures are revised, superseded, or rendered obsolete. ?
4300	<u>Early Warning System</u> a. NCUA's procedures for alerting the administration of possible financial problems in credit unions.  b. Reference copy  c. General correspondence	a. <del>Permanent</del> -copy in current charter file. → <u>20.</u> ✓  b. When policy is superseded or obsolete. ✓  c. Dispose in CFA after 2 years. ✓
4400	<u>Problems</u> Documents related to shortages, special cases, limited income in federal credit unions.	Review at end of yr. Destroy documents which have been superseded or are no longer applicable. ✓
4410	<u>Shortages (Working Papers)</u> Documents, examinations related to shortages.	Hold in CFA for 3 years, transfer to FRC for 7 years, destroy after a total of 10 years. ✓
4420	<u>Special Attention Cases</u> ? a. Unique situations that occur in FCUs that require special attention by NCUA. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Charter file ?  b. Review working papers at end of yr., destroy documents which have been superseded or are no longer applicable. ✓
4430	<u>Limited Income</u> Documents related to limited incomes of FCUs.	Review every 2 years and destroy documents which have been superseded or are no longer applicable. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
4500	<u>Records Preservation Program</u> a. Bulletins, manuals, and documents relative to Records Preservation Program. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded, obsolete, or no longer needed for reference purposes. ✓
4600	<u>Financial Operations</u> (4610-4690) a. Federal credit unions' policies on their individual financial operations. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Working paper will be destroyed when superseded or rendered obsolete. ✓
4700	<u>General Insurance</u> (4710-4790) a. Policies and documents related to the insuring of auto, borrower's protection, accident and sick and life savings. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Working papers will be destroyed when superseded or rendered obsolete. ✓
4800	<u>Miscellaneous Supervisory Procedures</u> Policies and guidelines for security devices established by NCUA.	Destroy when superseded or obsolete. ✓
4810	<u>Security Devices</u> Policies for security devices established by NCUA.	Destroy when superseded or obsolete. ✓
4820	<u>Special Assistance under Title II</u> Policies for special assistance under Title II.	Destroy when superseded or obsolete. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
4830	<u>Catastrophes</u> Policies established by NCUA regarding element disasters.	Destroy when superseded or obsolete. ✓
4900	<u>Administrative Actions</u> (4910-4990) a. Policies related to actions to be used by NCUA, regarding credit unions. b. Reference copy	a. <del>Permanent-Charter Files</del> ? b. Destroy working papers when superseded or rendered obsolete. ✓
5000	<u>General Examination Policy</u> NCUA examination procedures and related documents regarding Federal credit unions.	Destroy when superseded or discontinued. ✓
5100	<u>Initial Examination</u> a. Policy established or related documents regarding an initial Federal credit union examination. (Record copy) b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓ b. Destroy working paper and extra copies when superseded or rendered obsolete. ✓
5200	<u>Regular Supervisory Examinations</u> a. Policy established for supervisory examinations on regular basis and related documents. (Record copy) b. Working papers	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ? b. Destroy when superseded or discontinued. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
5300	<u>Reports of Examinations</u> (5310-5330) <ul style="list-style-type: none"> <li>a. Policy and procedures established regarding examinations and related documents; verification, review, and distribution.</li> <li>b. Charter file</li> <li>c. Working papers</li> </ul>	<ul style="list-style-type: none"> <li>a. <del>Permanent</del>-Offer to National Archives when no longer needed. ?</li> <li>b. Copy destroyed after third year examination. ✓</li> <li>c. Destroy when superseded or discontinued. ✓</li> </ul>
5400	<u>Examiner's Guide</u> <ul style="list-style-type: none"> <li>a. Established procedures for Examiners to follow and related documents. (Record copy)</li> <li>b. Reference copy</li> </ul>	<ul style="list-style-type: none"> <li>a. <del>Permanent</del>-Offer to National Archives when no longer needed. ?</li> <li>b. Destroy when superseded or discontinued. ✓</li> </ul>
5500	<u>Miscellaneous</u> <ul style="list-style-type: none"> <li>a. Miscellaneous policy for use in the examination of FCUs.</li> <li>b. Working papers</li> </ul>	<ul style="list-style-type: none"> <li>a. <del>Permanent</del>. (Record copy of any new procedure or system of NCUA) ?</li> <li>b. Destroy when superseded or discontinued. ✓</li> </ul>
6000	<u>Chartering Policy - Charter Amendments</u> <ul style="list-style-type: none"> <li>a. Policies established by NCUA, referencing chartering and amendments and related documents.</li> <li>b. Reference copy</li> </ul>	<ul style="list-style-type: none"> <li>a. <del>Permanent</del>-Offer to National Archives when no longer needed. ?</li> <li>b. Destroy related papers when superseded or discontinued. ✓</li> </ul>
6100	<u>Bylaw Amendments</u> Correspondence, working papers, and communication concerning amendments of Bylaws by the FCUs.	Destroy when superseded or discontinued. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
6200	<u>Conversions</u> ? a. Policies established by NCUA pertaining to mergers and related documents.  b. Reference copy	<del>a. Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy working paper when superseded or obsolete. ✓
6300	<u>Mergers</u> ? a. Policies established by NCUA pertaining to mergers and related documents.  b. Reference copy	<del>a. Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy working papers when superseded or discontinued. ✓
6400	<u>Applications</u> (6410-6420) Applications or requests for chartering and rejections of chartering requests.	Destroy after 5 years if not chartered. ✓
6500	<u>History</u> a. NCUA history of changes in chartering procedures.  b. Reference copy	<del>a. Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy working papers when superseded or obsolete. ✓
6600	<u>Division of Assets, Liabilities, &amp; Capital (Spin-Offs)</u> a. The procedure of one credit union breaking away from one or more credit unions and related documents.  b. Reference copy	<del>a. Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy working papers when superseded or obsolete. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
6700	<u>Studies and Statistics</u> Studies for conferences and general info.	Destroy in CFA after 3 years. ✓
6710	<u>Chartering Cycle Reports</u> Report compiled by NCUA related to chartering credit unions.	Destroy in CFA after 3 years. ✓
6800	<u>NCUA's Organizer's Recognition Program (6810-6830)</u> Documents relating to NCUA's special recognition of organizing or the process of organizing or assisting credit unions in any manner.	NCUA employee-destroy when separated or transferred. Outside NCUA-destroy in CFA after 3 years or on discontinuance, whichever is first. ✓
6900	<u>Active Charter Files</u> Documents relating to the chartering of CUs, correspondence concerning CUs, examinations, financial statements. Files transferred to 7000 series upon liquidation procedures.	<u>Permanent.</u> Maintenance procedure outlined in paragraph 8.6 of NCUA Staff Manual. ✓
7000	<u>Voluntary Liquidation (7010-7020)</u> (6900) Charter files, checkbooks, journal, cash record, general ledger, members' ledger cards.	Hold in current files area: Check book, open pages of journal, cash record, general ledger, member's ledger cards until charter is cancelled. Balance of records should be forwarded to RC as soon as possible. ✓
7100	<u>Involuntary Liquidations (7110-7130)</u> (6900) Charter files, checkbooks, journals, cash record, general ledger, members' ledger cards.	Hold in current files area: Check book, open pages of journal, cash record, general ledger, member's ledger cards until charter is cancelled. Balance of records should be forwarded to RC as soon as possible. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
7200	<u>Studies and Statistics</u> Staff working papers in preparing studies, statistics for historical values and results. Completed studies are published in Administrator's Annual report and/or their related publications.	Destroy in CFA 2 years after calendar year end. ✓
7300	<u>Supervisory Procedures</u> a. Procedures established for supervisors in liquidations and correspondence relating to liquidations. b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓ b. Destroy when superseded or rendered obsolete. ✓
7400	<u>Agents for the Liquidating Agent/Administrator</u> (7410-7420) Documents related to agents appointed by NCUA for liquidating charters.	Destroy 5 years after cancellation date, hold in CFA 2 years, forward to FRC for 3 years, Destroy. ✓
7500	<u>Liquidation Procedures (Federal)</u> (7510-7530) a. Procedures established by NCUA for liquidation of FCUs. (Record copy) b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓ b. Destroy when superseded or no longer needed for information. ✓
7600	<u>Liquidation Procedures (State)</u> (7610-7630) a. Procedures established by NCUA for state liquidations. (Record copy) b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓ b. Destroy when superseded, obsolete, or no longer needed for reference. ✓



<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
7700	<u>Assistance to Insured Solvent Liquidating Credit Unions (Sec 208)</u> Documents related to assisting credit unions by purchasing assets, making loans, establishing accounts.	Destroy in CFA 5 ✓ years after calendar year end.
7800	(Reserved)	
7900	<u>Charter Cancellations (7910-7950)</u> (6900) Charter file, checkbooks, journals, cash record, general ledger, members' ledger cards.	Upon cancellation, the balance of records will be ✓ forwarded to RC for 5 years from date of cancellation, after which they may be destroyed.
8000	<u>Standards</u> a. Criteria established by the Act implemented thereto for qualifying for NCUA Share Insurance. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded or obsolete. ✓
8100	<u>Special Agreements</u> NCUA's special agreements to qualify for share insurance.	<del>Permanent</del> -File in Charter Files. ?
8200	<u>Federal Credit Union Share Insurance Program</u> NCUA Federal Share Insurance Program.	Destroy when superseded or obsolete. ✓
8300	<u>Federally-Insured State-Chartered Credit Unions (8310-8390)</u> a. Established policies and procedures related to continuity, insurability, and termination of insurance for State credit unions. (Record copy)  b. Reference copy	<del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded or obsolete. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
8400	<u>Share Insurance History</u> a. Chronology of credit union share insurance. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓  b. Destroy when no longer needed for reference. ✓
8500	<u>State Share Insurance Program</u> Information on proposed and existing State share insurance program (private or otherwise).	Destroy when superseded or discontinued. ✓
8600	<u>Studies and Statistics</u> 8610-Tabulation of data pertaining to subjects related to Share Insurance Program.	Destroy 3 years after calendar year end. ✓
9000	<u>NCUA Long-Range Planning Philosophy</u> a. Programmed documents related to NCUA's projected and planned philosophy. (Record copy)  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded or obsolete. ✓
9100	<u>NCUA Long-Range Operating Plan (9110-9140)</u> a. Programmed documents related to NCUA's long-range operating plans.  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ?  b. Destroy when superseded or discontinued. ✓
9200	<u>Program Objectives Memo (PPBS)</u> Programmed documents related to NCUA's operating budget.	<del>Permanent</del> . Transfer to FRC 3-5 years after the close of the fiscal year covered by the budget. ?
9300	<u>NCUA Quarterly Operating Plan</u> Established operational plan of NCUA.	Dispose 5 years after close of year. ✓ Earlier disposal is authorized.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
10000	<u>Research Projects</u> (10010-10020) Working papers pertaining to special reports. <i>where?</i>	Dispose of when determined by competent agency research personnel that the files have served all useful purposes for research. ✓
10100	<u>Financial and Statistical (F&amp;S) Reports</u> Compiled statistics related to CU activities and financial status.	Dispose in CFA after 2 years. ✓
10200	<u>Participating Credit Union Program</u> Programs administered by NCUA source document.	Destroy source documents 90 days after taping. ✓
10300	<u>Purpose-of-Loan Program</u> The Purpose-of-Loan Program with selected credit unions participating and forwarding requested information to NCUA.	Destroy source documents 1 year after taping. ✓
10400	<u>Statistics - General Program</u> Documents related to statistics on FCUs.	Destroy when superseded or obsolete. ✓
10500	<u>Annual Reports</u> a. Record copy  b. Reference copy	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓ b. Destroy when no longer needed for information. ✓
10600	<u>Fiscal Studies</u> Studies pertaining to financial matters.	Destroy when superseded or obsolete. ✓
11000	<u>Special Projects</u> (As directed) <i>reports?</i>	Destroy when superseded or obsolete. ✓

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
12000	<u>Speeches, Articles, and Texts</u> a. Issued by the Administrator, the Washington Office staff, the Regional Office staff, referencing any related subjects. (Record copy)  b. Reference copy	a. <u>Permanent</u> -Offer to National Archives when no longer needed.  b. Review annually and destroy all copies no longer needed for reference.
12100	<u>Awards</u> (12110-12130) Awards to FCUs or individuals associated with FCUs.	Dispose 3 years after calendar year end.
12120	<u>Historical Data</u> Documents related to history of NCUA.	<u>Permanent</u> -Offer to National Archives when no longer needed.
12300	<u>Outside Government Offices</u> (12310-12340) Correspondence with the White House, Congressional, Judicial, and Government-sponsored agencies.	2 years in CFA, 3 years in RHA, and then destroy.
12400	(Reserved)	
12500	<u>Inquiries from Public</u> Inquiries from outside NCUA requesting information.	Dispose after 1 year or on discontinuance whichever is first.
12600	<u>Mailing Lists</u> Correspondence related to updating NCUA's mailing lists.	Destroy when superseded or obsolete.
12700	<u>News Media</u> (12710-12730) a. News releases, biographies, photographs and news clippings. (Record copy)  b. Reference copy	a. <u>Permanent</u> -Offer to National Archives when no longer needed.  b. Destroy news related copies when member has been separated from NCUA for 3 yrs.

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
12800	<u>Publications</u> (12810-12830) <ul style="list-style-type: none"> <li>a. Documents related to items published by NCUA and other organizations for guidance and other informational purposes. (Record copy)</li> <li>b. Working copy</li> </ul>	727 a. <del>Permanent</del> -Offer to National Archives when no longer needed. ✓ b. Destroy when superseded or obsolete. ✓
13000	<u>Regional Office Reports &amp; Supplements</u> Cycle reports prepared by regional offices for consolidated input into the NCUA Progress Report.	CFA for 2 years. ✓ Transfer to RC ✓ 3 years, and then destroy.
13100	<u>Washington Office Reports-Progress Report</u> Progress reports prepared by Washington Office.	CFA for 2 years, ✓ Transfer to RC ✓ for 3 years, then destroy.
13200	<u>Systems Development</u> General correspondence related to new data systems.	CFA for 2 years. ✓ Transfer to RC ✓ for 3 years, then destroy.
13300	<u>Active NCUA Programs</u> <ul style="list-style-type: none"> <li>a. Data Processing Listing (Record copy) ?</li> <li>b. Reference copy</li> </ul>	a. <del>Permanent</del> -Offer to National Archives when no longer needed. ? b. Dispose at termination of Program by either obsolescence, ✓ update, or discontinuance.
13400	(Reserved)	
13500	(Reserved)	

<u>File No.</u>	<u>Description</u>	<u>Disposition</u>
13600	<u>Data Processing Services</u> (13610-13620)	
	a. Master File.	a. <del>Permanent</del> . Master File. ?
	b. Contracts.	b. Destroy 3 years after expiration. ✓
	c. General correspondence.	c. Destroy CFA 2 years. ✓
13700	(Reserved)	