

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

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

H. Lewis

5. TEL. EXT.

~~254-9840~~

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

357-1242

LEAVE BLANK

DATE RECEIVED

JOB NO. JAN 1979

NCU-413-79-1

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

5/29/81
(Date)

WITHDRAWN

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 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

12/19/78

James P. Gering

ASST. ADMIN. IN ADMIN

Date

(Signature of Agency Representative)

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>This disposition schedule renders changes to certain items in the National Credit Union Administration's previously-approved records schedule.</p> <p>This schedule contains the new addition of NCUA's Electronic Data Processing System and Loan Account Records. Additional changes have been made to Audit and Inspection Records.</p> <p><u>Office of Internal Audit and Inspection.</u></p>		
13.	<p>Reports are prepared as a result of NCUA Internal Audits and Investigations. Background files contain correspondence, memoranda, reports, interview records and various other workpapers and documents related to work performed on audits and Investigations.</p> <p>a. <u>Audit Report</u></p> <p>Destroy three years following completion unless it is the last report in which case it will not be destroyed until a current report is produced.</p> <p>b. <u>Background Files - Audits</u></p> <p>Destroy three months following completion of a current audit.</p> <p>c. <u>Investigation Reports and Background Files</u></p> <p>Destroy five years after completion of the Investigation.</p>	<p>1820-1 4130</p> <p>1820-1 4130</p>	<p>WITHDRAWN</p> <p>WITHDRAWN</p> <p>WITHDRAWN</p>

Withdrawn: 5-27-81: K.T.J.

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	<p><u>Office of the Comptroller</u></p> <p>The following machine-readable systems are located in the Division of Information Systems:</p> <p>39.1 <u>Fund Accounting and Reporting System</u> provides general ledger account control over the processing and reporting of financial transactions. System was implemented in FY 1975. The System is updated monthly which generates a series of operational reports. Quarterly the data is transferred to magnetic tape.</p> <p><u>Dispose</u> quarterly magnetic tape one year after completion.</p> <p>39.2 <u>Early Warning System (EWS)</u> monitors the financial and management condition of Federal credit unions. Objectives of the system are to identify Federal credit unions which are found to have problems by examiners, to activate an alarm when problems arise between examiner contacts, and to gauge performance of Federal credit unions. There are three files in this system, the data is on tape and updated monthly. Tape is kept for 90 days.</p> <p>a. <u>Master Credit Union File</u> contains data reported to Washington by Regional Offices and credit union examiners. There is one record for each Federal Credit Union and each Federally Insured State Credit Union, but only the Federal Credit Union records contain data derived from examination visits. Almost all the Federal credit unions are examined each year. Records include the name, location, charter date, number and type of members, number and amount of shares and loans, asset size, various ratios (e.g. reserve to total loans), delinquent loan data, and problem codes. The file, begun in 1973 and cut off annually, is used to generate administrative and management reports.</p> <p>b. <u>Condition History File</u> includes the recorded chronology of all credit union examinations. Input is submitted by credit union examiners (NCUA Form 2010) and by the credit union (NCUA Form 1125). The data submitted by the credit union consists of summary financial data. File was begun in 1973.</p>		WITHDRAWN

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	<p>c. Early Warning System Analysis File includes information on problem credit unions. Input is provided from credit union examiners on NCUA Form 2223.</p> <p><u>Dispose</u> magnetic tape 90 days after update.</p>		WITHDRAWN
39.3	<p><u>Participating Credit Union System</u> contains data submitted by a sample of credit unions which provide monthly information on their financial status (assets, loans made, number of members, etc.). This information is used to produce monthly reports and a year-to-date tape from which summary reports are generated at the end of the year. The purpose of the system is to identify trends. This system was implemented in 1974. Data is used for statistical and research purposes</p> <p><u>Permanent.</u> Offer to National Archives.</p>		
39.4	<p><u>Purpose of Loan System</u> collects monthly data from a small sample of credit unions on the various characteristics of loans made during the month. Data includes type of loans, amounts of loans, and collateral pledged as security. System was implemented in 1974. Data is used for statistical and research purposes.</p> <p><u>Permanent.</u> Offer to National Archives.</p>		
39.5	<p><u>Loan Management System</u> maintains control over outstanding loans managed by the Division of Acquired Assets. The loans are those still outstanding when a credit union liquidates. Reports from the system are provided to management indicating the status of each loan. Non-current loans are deleted from the file. Data is maintained on Disk file and transferred to magnetic tape monthly. Records stripped from active files is maintained cumulative on magnetic tape.</p> <p>a. <u>Dispose</u> magnetic monthly tape 90 days after completion</p> <p>b. <u>Dispose</u> of 3rd quarters cumulative file after quarterly update.</p>		

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39.6	<p><u>Share Insurance Premium and Supervision Fee System</u> captures data on the collection of insurance premiums and supervision fees from credit unions. Edit programs verify the accuracy of the fee computations made by the credit unions. The system, begun in 1970, contains a cumulative record of all fees paid by each credit union, and produces delinquent notices when necessary. Data is maintained on magnetic tape.</p> <p><u>Dispose magnetic tapes after 3 years.</u></p>		WITHDRAWN
39.7	<p><u>Time System</u> is part of the overall Management Information System. Data is collected from weekly employee time reports submitted by all NCUA employees. Periodic reports are generated for management use in monitoring personnel accomplishment. System was begun in 1972. Data is maintained on magnetic tape.</p> <p><u>Dispose magnetic tapes after 3 years.</u></p>		
39.8	<p><u>Inventory File System</u> maintains an inventory of all pieces of equipment purchased by NCUA. Depreciation rates are determined for use in the general ledger accounts. Data is maintained on Disk Pack. All data is transferred to magnetic tape monthly.</p> <p><u>Dispose magnetic tapes after one year.</u></p>		
39.9	<p><u>Financial and Statistical System (F & S)</u> contains information derived from annual reports on operations for the preceding calendar year submitted by Federally Insured State Credit Unions (NCUA Form 5304) and Federal Credit Unions (NCUA Form 5300). There is one tape per year since 1956. Data includes the name and location of the credit union, assets, liabilities and equity, income and expenses, number of loans, delinquent loan data, number of accounts of various sizes, interest paid by quarter, etc. The data is used for statistical purposes in the writing of the Annual Report of NCUA.</p> <p><u>Permanent.</u> Offer annually to National Archives.</p>		
39.10	<p><u>Travel Advance System</u> collects information on travel advances issued to NCUA employees and settlements made of these advances. Issue and settlement dates are included. The system provides identification of outstanding travel advances. System was begun in 1976. Data</p>		

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39.11	<p>is maintained on Disk pack. Data is transferred to magnetic tape monthly.</p> <p><u>Dispose</u> magnetic tape after one year</p> <p><u>Active Loan Folders</u> contains loan applications, notes, credit disclosure forms, security agreements, documents supporting collateral (e.g. certificates of title, deeds of trust, abstracts of title, stock certificates), cancelled checks, payments receipt, payment booklets, routine correspondence, filing of bankruptcies, insurance claim forms, adjustment and charge-off forms.</p> <p>a. Paid-Off Loan Folders. Same</p> <p><u>Transfer</u> to FRC when 1 year old. <u>Destroy</u> when 5 years old.</p> <p>b. Charge-Off Loan Folders. Same</p> <p><u>Transfer</u> to FRC when 1 year old. <u>Destroy</u> when 5 years old.</p>		WITHDRAWN