

| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | Leave Blank (NARA Use Only) | |
|---|---|---|---------------------------------|
| To National Archives and Records Administration (NIR) Washington DC 20408 | | Job Number NI-543-00-1 | |
| 1 From Office of Federal Housing Enterprise Oversight (OFHEO) Record Group 543 | | Date Received 10/29/1999 | |
| 2/3 Major Subdivision Office of Information Technology | | Notification to Agency | |
| 4 Name of Person with Whom to Confer Alice Gannon, CRM | 5 Telephone 202-414-3791 | In accordance with the provisions of 44 USC 3303a the disposition request including amendments is approved except for items that may be marked disposition not approved or withdrawn in column 10. Date Archivist of the United States 12-12-01 <i>John W. Paul</i> | |
| 6 Agency Certification I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested | | | |
| Date 10/7/99 | Signature of Agency Representative Alice Gannon, CRM <i>Alice Gannon, CRM</i> | Title Records Management Officer | |
| 7 Item No. | 8 Description of Item and Proposed Disposition | 9 GRS or Superseded Job Citation | 10 Action Taken (NARA Use Only) |
| | See attached. | | |
| cc: Agency, NWMD, NWME, NWCT | | | |
| 115-109 | NSN 7540-00-634-4064 Previous Edition Not Usable | Standard Form 115 (Rev 3-91) Prescribed by NARA 36 CFR 1228 | |

Office of Federal Housing Enterprise Oversight (OFHEO) - Record Group 543 ID: 127
OFHEO Records Management Program: SF115 Data - Electronic Information Systems

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| Medium - Group: | EIS |
| Office of Record: | OIT - Office of Information Technology - Records Management Officer |
| System Popular Name: | MARTY - Masterlist of Agency Record Types |
| NARA Job#: | NI-543-00-01/01 |
| Use and Purpose: | Database documenting the Records Management Inventory of OFHEO electronic information systems and paper file categories for each OFHEO Office Each electronic information system and paper file category is described in terms of its business use and purpose and its lifecycle management, including its retention and disposition |

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| System Software: | Access 97 for Windows 98 |
| System Input: | Data sheets gathered during the records management inventory/interviews |
| System Data: | Data describing each OFHEO electronic information systems and each paper filing category |
| System Output/Reports: | SF115s and the full descriptions of each OFHEO EIS and Paper file Additional reports include Office Filing Plans, Vital Records Protection Plans, Privacy Act Systems of Records Lists Paper SF115s will be submitted to NARA for approval |
| System Documentation: | System-generated documentation |

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|--------------------------------------|------------------|
| Software Dispo Authority: | SF115 |
| Input Disposition Authority: | SF115 |
| Data Disposition Authority: | SF115 |
| Output Dispo Authority: | SF115 |
| Doct'n Dispo Authority: | SF115 |

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| Software Total Retention: | Temporary - Dispose of software after data is migrated, or when superseded or obsolete |
| <i>1a</i> Input Total Retention: | NI-543-00-01/01a Temporary - Destroy data sheets when data has been verified |
| <i>1b</i> Data Total Retention: | NI-543-00-01/01b Temporary - Delete with related records when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later |
| Output Total Retention: | Temporary - Records copies of Office File Plans and Records Retention Schedules and other reports are filed in the Records Management Program File. |
| <i>1c</i> Doct'n Total Retention: | NI-543-00-01/01c Temporary - Destroy or delete when superseded or obsolete , or upon authorized deletion of the related master file or database, or upon destruction of the output of the system, whichever is latest |

Office of Federal Housing Enterprise Oversight (OFHEO) - Record Group 543 ID: 96
OFHEO Records Management Program: SF115 Data - Electronic Information Systems

Medium - Group: EIS

Office of Record: OIT - Office of Information Technology - RMO

System Popular Name: OSCAR (the Officewide System for Capture and Retrieval)

NARA Job#: NI-543-00-01/02

Use and Purpose: Database, used as a finding aid, which tells what the document is, in which Office's official files it is IOER - CAted, in which file category it is filed, and for which file folder label the user should look to find the document
 When data entry is completed into OSCAR for each agency record, an OSCAR Sheet prints out and is attached to that record, and filed with that "official record" in order that a requester may validate that this is the record they searched for on OSCAR

System Software: Microsoft ACCESS 97 for Windows 98

System Input: Record copies of documents to be filed in the Official files of OFHEO Offices

System Data: Data about documents and their physical IOER - CAtion

System Output/Reports: OSCAR Sheets are attached to and filed with the record copies of the documents, thus enabling the requester to verify that they have found the record(s) being requested

System Documentation: OSCAR Data Dictionary and the system-generated data dictionary

~~Software Dispo Authority: SF115~~

Input Disposition Authority: Record copies of documents to be filed in the Official files of OFHEO Offices are scheduled separately

Data Disposition Authority: SF115

Output Dispo Authority: Record copies of documents to be filed in the Official files of OFHEO Offices, including their OSCAR Sheets, are scheduled separately

Doct'n Dispo Authority: SF115

~~Software Total Retention: Temporary - SF115 - Dispose of software after data is migrated, or when superseded or obsolete~~

~~Input Total Retention: Temporary - Record copies of documents to be filed in the Official files of OFHEO Offices are scheduled separately~~

2a **Data Total Retention:** NI-543-00-01/02a Temporary - SF115 - Delete with related records when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

~~Output Total Retention: Temporary - Record copies of documents to be filed in the Official files of OFHEO Offices, including their OSCAR Sheets, are scheduled separately.~~

2b **Doct'n Total Retention:** NI-543-00-01/02b Temporary - SF115 - Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest

Office of Federal Housing Enterprise Oversight (OFHEO) - Record Group 543 ID: 100
OFHEO Records Management Program: SF115 Data - Electronic Information Systems

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| Medium - Group: | EIS |
| Office of Record: | OIT - Office of Information Technology |
| System Popular Name: | Data Warehouse |
| NARA Job#: | NI-543-00-01/03 |
| Use and Purpose: | An electronic information system called the Data Warehouse, which includes extensive data on the historical performance of loans purchased by each Enterprise, as well as on the Enterprises' current assets, liabilities, and off-balance sheet obligations. Historical data provides a basis for evaluating how each Enterprise may perform under economic stress. Current and historical data is used to monitor Enterprise financial performance and to establish starting positions for simulations of Enterprise performance. The Financial Safety and Soundness Act of 1992 requires that OFHEO's risk-based capital regulation be based upon actual risk exposures of each Enterprise. To achieve this, OFHEO needs Enterprise data at a highly-disaggregated level. To minimize regulatory reporting requirements, OFHEO collects and processes instrument-level data (e.g., data on individual mortgages, debentures, or swaps) as provided by the Enterprises. The Enterprises maintain their data in different formats and database structures. In order to make the data consistent, OFHEO created this single-format database to normalize the data. In addition to the QSL data OFHEO will be receiving data from the HUD Federal Housing Administration (FHA) and MIC (Mortgage Information Corporation). The data is significant because it contains unique financial data about the GSEs, and also because it captures a primary function of OFHEO, that of monitoring the financial safety and soundness of the GSEs and ensuring that the GSEs remain adequately capitalized. Data from the 4th quarter financial statements also provide informational value about the financial health of the housing industry, a leading indicator of the overall health of the national economy. The data is especially valuable because it is a historical file, one that enables users to analyze change over time in the financial industry regarding housing. Researchers can perform a wide range of statistical analyses to study these changes. |
| System Software: | Languages: Perl and SAS. Tools: Sybase, Informatica Powermart, and Brio Enterprise. |
| System Input: | System Input includes extensive data on the historical performance the Enterprises FHA, and MIC, as well as on the Enterprises' current assets, liabilities, and off-balance sheet obligations. Input data, submitted electronically quarterly. |
| System Data: | The system data is extensive, raw, non-normalized, and normalized data on the historical performance of loans purchased by the Enterprises, as well as on the Enterprise's current assets, liabilities, and off-balance sheet obligations. |
| System Output/Reports: | Credit Risk, Market Risk, and Financial Reporting |
| System Documentation: | Documentation will be online on the OFHEO Intranet |
| Software Dispo Authority: | SF115 |
| Input Disposition Authority: | SF115 |

Office of Federal Housing Enterprise Oversight (OFHEO) - Record Group 543 ID: 100
 OFHEO Records Management Program: SF115 Data - Electronic Information Systems

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| | Data Disposition Authority: | SF115 |
| | Output Dispo Authority: | SF115 |
| | Doct'n Dispo Authority: | SF115 |
| 38 | Software Total Retention: | Temporary - SF115 - Dispose of software after data migration of current and historical data, or when superseded or obsolete |
| 3a | Input Total Retention: | N1-543-00-01/03a Temporary - SF115 - Transfer to offline storage in 10 years, or when volume warrants Destroy in 3-year segments when most recent records are 20 years old |
| 3b | Data Total Retention: | N1-543-00-01/03b Permanent - SF115 - When the yearly results of the 4Q financial statement records are finalized each year, transfer the yearly results records to NARA in accordance with 36 CFR 1220.188, or the applicable regulation in force at the time. N1-543-00-01/03c |
| 3c | | Temporary - SF115 - Transfer the yearly results data from the 1st to the 3rd quarters yearly financial statement records to offline storage in 10 years, or when volume warrants Destroy in 3-year segments when most recent records are 20 years old |
| 3d | Output Total Retention: | N1-543-00-01/03d Temporary - SF115 - Transfer output records to offline storage when 10 years old, or when volume warrants, and destroy when most recent records are 20 years old |
| 3e | Doct'n Total Retention: | N1-543-00-01/03e Permanent - SF115 - Transfer the documentation for the yearly 4Q financial statement records when the yearly results of the 4Q financial statement records are transferred N1-543-00-01/03f |
| 3f | | Temporary - SF115 - Destroy or delete the remaining documentation when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest |

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Records Management Officer

Record Series Name FOIA File

Medium - Group Paper

NARA Job#: GRS 14, item 15

File Plan Category Name FOIA File

Use and Purpose Document packages which include FOIA request letter, FOIA response letter and attached released documents which may be redacted, copies of the same documents which are unredacted, but annotated, to show what information was redacted, and invoices when applicable

Filing Instructions File numerically by FOIA Request number

Volume 1-1/4 file drawers

Volume Growth 1 foot/year

Total Retention: Years/Event Temporary Records For FOIA Request Files, when the requests have been wholly granted, destroy 2 years after date of reply For the FOIA Request Files, when the responses to the requests concern nonexistent records, responses to requesters who provide inadequate descriptions, and responses to requesters who fail to pay agency reproduction fees, if the request is not appealed, destroy 2 years after date of reply For the FOIA Request Files, when the responses to the requests concern nonexistent records, responses to requesters who provide inadequate descriptions, and responses to requesters who fail to pay agency reproduction fees, if the request is appealed, destroy in accordance with GRS 14 12 For the FOIA Request Files, which deny access to all or part of the records requested, if the request is not appealed, destroy 6 years after date of reply For the FOIA Request Files, which deny access to all or part of the records requested, if the request is appealed, destroy in accordance with GRS 14 12 For the Annual FOIA Reports to Congress or to the Attorney General, transfer to offsite storage in 10-year segments when most recent records are 10 years old, or when volume warrants, Destroy in 10-year segments when most recent records are 30 years old Follow OFHEO procedures for transferring applicable electronic copies to the OFHEO website After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision

Disposition Authority GRS14 11a(1), GRS 14 11a(2)(a)&(b), GRS14 11a(3)(a) &(b), GRS14 12, and GRS14 14

If no Dispo Auth NA

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Records Management Officer

Record Series Name Information Systems Security Program File

Medium - Group Paper

NARA Job#: NI-543-00-01/04

File Plan Category Name Information Systems Security Program File

Use and Purpose Documents associated with program management including security awareness training materials and information systems security training records

Filing Instructions File chronologically by date

Volume 1/2 file drawer

Volume Growth 6" per year

4a Total Retention: Years/Event NI-543-00-01-04a Temporary Records Destroy system security plans when they are superseded or obsolete NI-543-00-01-04b Temporary Records Destroy system training records when the general support system or major application is terminated and all system records deleted or migrated to another general support system or major application NI-543-00-01-04c Temporary Records Destroy annual information systems security awareness training and incoming/exit briefings when they are 5 years old NI-543-00-01-04d Temporary Records After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision

4b

4c

4d

Disposition Authority SF115

If no Dispo Auth SF115

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Records Management Officer

Record Series Name OFHEO Guidelines File

Medium - Group Paper

NARA Job#: NI-543-00-01/05

File Plan Category Name OFHEO Guidelines File

Use and Purpose Record copies of signed, approved OFHEO Guidelines The OFHEO Guidelines File includes those directives, procedural issuances, and operating manuals which have been issued under the OFHEO Guidelines Program Some OFHEO Guidelines may be related to OFHEO's program functions, while other OFHEO Guidelines may relate to routine administrative functions

Filing Instructions File Numerically by number of OFHEO Guideline

Volume 1 file drawer

Volume Growth 6" per year

5a Total Retention: Years/Event NI-543-00-01/05a Permanent Records Retain, as Permanent records (lifetime of the USA) each approved version of those OFHEO Guidelines that relate to OFHEO's specific mission Transfer to offsite storage in 10-year segments when the most recent records in the transferring segment are 10 years old, or when volume warrants Offer to NARA in 10-year segments when most recent records in that segment are 30 years old NI-543-00-01/05b Temporary Records Retain onsite each approved version of those OFHEO Guidelines that relate to routine administrative functions for the lifetime of the version plus the lifetime of its succeeding version, or for the lifetime of those transactional records which were created or received in the implementation of that version, whichever is longer NI-543-00-01/05c Temporary Records After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision

Disposition Authority SF115

If no Dispo Auth SF115

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Records Management Officer

Record Series Name Records Management Program File

Medium - Group Paper

NARA Job#: GRS

File Plan Category Name Records Management Program File

Use and Purpose Documents associated with Program management including Office File Plans, records Retention Schedules, NARA submittal packages, and training documents

Filing Instructions File chronologically by date

Volume I file drawer

Volume Growth 1/2 file drawer per year

Total Retention: Years/Event Temporary Records Destroy 6 years after documents are superseded, canceled, or voided After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision

Disposition Authority GRS16 7

If no Dispo Auth GRS16 7

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Software Engineering

Record Series Name Chron Files - Fannie Mae and Freddie Mac

Medium - Group Paper

NARA Job#: NI-543-00-01/06

File Plan Category Name Fannie Mae Chron File, and Freddie Mac Chron File

Use and Purpose These four separate chron files contain copies of substantive documents sent to and/or received from Fannie Mae and Freddie Mac. The files are set up as follows "From Fannie Mae," "From Freddie Mac," and "To Fannie Mae," and "To Freddie Mac."

Filing Instructions File chronologically by date into either the Fannie Mae or the Freddie Mac file

Volume ? file drawers

Volume Growth Unknown at this time

6a Total Retention: Years/Event NI-543-00-01/06a Temporary Records Transfer to offsite storage in 5-year segments when most recent records in the transferring segment are 10 years old, or when volume warrants. Destroy in 5-year segments when most recent records in the segment to be destroyed are 20 years old. NI-543-00-01/06b Temporary Records After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision.

Disposition Authority SF115

If no Dispo Auth SF115

Handwritten note: 20 yrs old. Change made with the concurrence of the agency records officer. See 6/15/00

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Software Engineering

Record Series Name Data Warehouse Project File

Medium - Group Paper

NARA Job#: NI-543-00-01/07

File Plan Category Name Data Warehouse Project File

Use and Purpose A "project" case file of substantive documents created or received to support the design, development, review, and approval of the Data Warehouse. The file includes copies of contract-related documents and the official files of work products related to the Stress Test. The Data Warehouse contains confidential, financial, proprietary data submitted by the GSEs.

Filing Instructions File alphabetically into the subject category, then chronologically by date.

Volume 2 file drawers

Volume Growth 2 file drawers per year

7a
7b

Total Retention: Years/Event NI-543-00-01/07a Temporary Records Retain onsite for 5 years after the close of the project. NI-543-00-01/07b Temporary Records After paper record copy capture, delete all copies of electronic source records, except the copy retained as a template for updating or revision.

Disposition Authority SF115

If no Dispo Auth SF115

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Software Engineering

Record Series Name GSE Submittals Files - Fannie Mae and Freddie Mac (aka the OLGA File)

Medium - Group Paper

NARA Job#: NI-543-00-01/08

File Plan Category Name GSE Submittal Files (aka the OLGA Files) - Fannie Mae and Freddie Mac

Use and Purpose Record copies of the quarterly, monthly, and ad hoc document and data submittals to OFHEO from the GSEs under 12 CFR 1750.12. The submittals include paper documents, disks and magnetic tapes. GSE Submittals are used in the Financial Simulation Model to apply the Stress Test. The data is required from the GSEs in order that OFHEO may determine the amount of total capital required for each GSE to maintain positive capital during the stress period.

Filing Instructions File chronologically into either the Fannie Mae or the Freddie Mac "GSE Submittals" file.

Volume 12 file drawers

Volume Growth 2.5 file drawers per year

Total Retention: Years/Event NI-543-00-01/08 Temporary Files Break Files annually Transfer to offsite storage in 10 years or when volume warrants Destroy in 3-year segments when most recent records are 20 years old

Disposition Authority None

If no Dispo Auth SF115

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record OIT - Office of Information Technology - Systems Engineering

Record Series Name IT Operations File - OA LAN and RSE LAN

Medium - Group Paper

NARA Job#: NI-543-00-01/09

File Plan Category Name IT Operations File

Use and Purpose Documents created and received in the operations, maintenance, quality control, and continuous improvement of the OFHEO LANs. This file includes such documents as the various revisions of LAN Documentation, emergency operation procedures, and the Business Continuity/Disaster Recovery Plans

Filing Instructions File alphabetically by subcategory name (e.g., LAN Name), then chronologically by date.

Volume Unknown at this time

Volume Growth Unknown at this time

qa Total Retention: Years/Event NI-543-00-01/09a Temporary Records Break Files Annually Destroy routine operations and maintenance documents after 3 years NI-543-00-01/09b Destroy revisable documents, such as the LAN Documentation and the Business Continuity Plan, after two supersessions NI-543-00-01/09c Temporary Records After paper record copy capture, delete all copies of electronic source records, except the copy retained as a template for updating or revision

Disposition Authority SF115

If no Dispo Auth SF115

Office of Federal Housing Enterprise Oversight (OFHEO) - Record Group 543 ID: 65
OFHEO Records Management Program: SF115 Data - Electronic Information Systems

Medium - Group: EIS

Office of Record: OIT - Office of Information Technology

System Popular Name: Risk-Based Capital Simulation (RBCSim)

NARA Job#: NI-543-00-0108/0

Use and Purpose: The Risk-Based Capital Simulation Model (RBCSim), currently in development, is a series of interlocking computer programs and models that simulate the financial performance of the Enterprises under varying economic assumptions. The development of the RBCSim is used to implement a Stress Test that will set quarterly risk-based capital requirements for the Enterprises. OFHEO is the first Federal financial regulator statutorily required to apply a Stress Test as part of its capital regulation.

System Software: Languages: SQR, C++, and Perl. Tools: Sybase, Rational Rose, Rogue Wave Libraries, and Intex Libraries.

System Input: Quarterly Enterprise data, publicly available data on house prices, rentals, and vacancies, and the constant values as defined in the RBC Rule at 12 CFR 1750.

System Data: The RBCSim is comprised of models, to be run quarterly, that: simulate the performance of Enterprise assets and obligations, simulate cash flows, implement assumptions about the Enterprises' operations, and translate cash flows into pro forma financial statements. The RBCSim includes the following: 1) models to simulate interest rates relevant to the Enterprises' and house price trends, 2) models of default and prepayment and loss severity for single-family and multi-family mortgages, which produce simulated default rates, loss severities, and prepayment rates for mortgages with common sets of characteristics (e.g., product type, origination year, region, original LTV), 3) simulated cash flows of the Enterprises' assets, liabilities, and off-balance sheet obligations (e.g., mortgage-backed securities and interest rate swaps), and 4) software that translates cash flows of each Enterprise's financial instruments and activities into pro forma financial statements.

System Output/Reports: Quarterly pro forma financial statements, extensive analytic and diagnostic reports, and risk-based capital requirements, which are used to determine the capital adequacy of each Enterprise quarterly. The database, named the Data Warehouse, and the RBCSim are the foundation for the development and operation of the risk-based capital stress test.

System Documentation: Drafts of the Installation Guide, the Software Users Manual, the Software Architecture Documentation (Unified Modeling Language (UML) Diagrams and Notifications), and the Software Application Programmers Interface (API) documentation.

Software Dispo Authority: SF115

Input Disposition Authority: Input data is scheduled separately.

Data Disposition Authority: SF115

Output Dispo Authority: SF115

Office of Federal Housing Enterprise Oversight (OFHEO) - Record Group 543 ID: 65
 OFHEO Records Management Program: SF115 Data - Electronic Information Systems

| Doct'n Dispo Authority: | SF115 |
|-------------------------------|---|
| 10g Software Total Retention: | Temporary - SF115 - Dispose of software after migration of current and historical data, or when superseded or obsolete. |
| 10a Input Total Retention: | Input data is scheduled separately. |
| 10b Data Total Retention: | NI-543-00-01/09a Temporary - SF115 - Transfer the yearly results data from the 1st through 4th quarters yearly financial statement records to offline storage in 10 years, or when volume warrants Destroy in 3-year segments when most recent records are 20 years old. |
| 10c Output Total Retention: | NI-543-00-01/09b Permanent - SF115 - Transfer to NARA yearly the output records that were used to create the 4Q Risk-Based Capital Standard number, in accordance with 36 CFR 1220 188, or the applicable regulation in force at the time NI-543-00-01/09d Temporary - SF115 - Transfer the remaining output records to offline storage when 10 years old, or when volume warrants, and destroy or delete when most recent records are 20 years old. |
| 10e Doct'n Total Retention: | NI-543-00-01/09e Permanent - SF115 - Transfer the documentation for the yearly 4Q financial statement records when the yearly results of the 4Q financial statement records are transferred Transfer these records in accordance with 36 CFR 1220 188, or the regulation in force at the time NI-543-00-01/09f Temporary - SF115 - Destroy or delete the remaining documentation when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. |
| 10f | |