ACTIVE ITEMS. These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

INACTIVE ITEMS. These items may no longer be used to disposition records. They are superseded, obsolete, filing instructions, describe non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items may be annotated on the schedule.
(P) Permanent
(T) Temporary

ITEM	STATUS	WHY INACTIVE
1 / A / 1 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / A / 1 / b	T (Active)	
1 / A / 2 / a	T (Active)	
1 / A / 2 / b	T (Active)	
1 / A / 3 / a / b / c	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / A / 4 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / A / 4 / b	T (Active)	
1 / A / 5	n/a	instructions
1 / B / 1 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / B / 1 / b	T (Active)	
1 / B / 2	n/a	already scheduled
1 / B / 3	T (Active)	
1 / B / 4 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / B / 4 / b	T (Active)	
1 / B / 5	n/a	instructions
1 / C /1 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / C /1 / b	T (Active)	
1 / C / 2	n/a	
1 / C / 3	n/a	
1 / C / 4 / a	P (Active)	
1 / C / 4 / b	T (Active)	
1 / C ./ 5	n/a	instructions
1 / D / 1 Oracle	T (Inactive)	superseded by n1-103-11-001 / 2.3
1 / D / 2 Oracle	T (Active)	
1 / D / 3 Oracle	T (Active)	
1 / D / 4 Oracle	T (Active)	
1 / D / 5 Oracle	n/a	instructions

1 / D / 1 SPSS	T (Active)	
1 / D / 2 SPSS	T (Active)	
1 / D / 3 SPSS	T (Active)	
1 / D / 4 SPSS	T (Active)	
1 / E / 1 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / E / 1 / b	T (Active)	
1 / E / 2	T (Active)	
1 / E / 3	n/a	
1 / E / 4 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / E / 4 / b	T (Active)	
1 / E / 5	n/a	instructions
1 / F / 1 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / F / 1 / b	T (Inactive)	superseded by n1-103-99-002, 8 b
1 / F / 2	T (Active)	
1 / F / 3	n/a	filing instructions
1 / F / 4 / a	P (Inactive)	superseded by n1-103-11-001 / 2.2
1 / F / 4 / b	T (Active)	
1 / F / 5	n/a	instructions
2 / A	T (Active)	
2 / B	n/a	filing instructions
2 / C	P (Active)	
2 / D	T (Active)	
2 / E	n/a	instructions
3 / A	T (Active)	
3 / B	T (Active)	
3 / C	T (Active)	

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

JOB NUMBER *

N1- 103- 93-2

DATE RECEIVED

6-17-93

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

NOTIFICATION TO AGENCY

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

1 FROM (Agency or establishment) Farm Credit Administration	

2 MAJOR SUBDIVISION Data Administration and Records Management Branch	

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE
John von Reyn	(703) 883-4120

DATE 10-7-94

Acting
ARCHIVIST OF THE UNITED STATES
Trudy Huskamp Peterson

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 __10__ 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,

☐ is not required; ☐ is attached, or ☐ has been requested.

DATE 4/21/94	* SIGNATURE OF AGENCY REPRESENTATIVE Cheryl Thomas J. von Reyn for	TITLE Chief, Data Administration and Records Management Branch

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1.	Consolidated Reporting System.	n/a	
2.	Early Warning System	n/a	
3.	Projection System	n/a	
	*Re-submission of NARA job number N1-103-93-2, dated 6/14/93.		

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91)
Prescribed by NARA
36 CFR 1228

1. Consolidated Reporting System (CRS).

The CRS contains a number of ORACLE-based relational databases containing information about the financial condition of the Farm Credit System. These databases are used to create financial reports to assist in examination planning, financial and policy analyses and monitoring of FCS institutions. The data are also used for the Early Warning System and will be used to perform surveillance and monitoring activities on FCS institutions.

Program authority: 12 U.S.C. 2257a, section 5.22A, "Uniform Financial Reporting Instructions."

The CRS contains financial, statistical, and accounting information on all institutions the FCA has regulatory authority over. The system is composed of the following databases:

A. **Uniform Call Report (UCR):** Quarterly financial information on all Farm Credit institutions. Includes: quarterly statements of condition and income and supplemental schedules for the balance sheet and income statement. Database contains data from 12/84 to present.

B. **Historical Database:** Year-end balance sheet and annual summarized income statement information on banks; and aggregate information by district by type of system (i.e., PCA, FLBA, etc.) on associations. Database contains data from 1960 to present.

C. **Ratios Database:** Ratios and data elements necessary to support the Uniform Performance and Key Indicator reports.

D. **Loan Account Reporting System (LARS):** Selected data on individual loans by FCS institutions. The Oracle-based database contains data from March, 1993, to present. Some uncertified data for the period 1984 - December 1992, was entered into earlier SPSS-based systems.

E. **Institution Database:** Descriptive information on each Farm Credit System institution. Contains data from 1986 to present.

F. **FCA 1000 Database:** Contains the results of examinations of each FCS institution, summarized into the CAMEL rating. Information is obtained from page one of FCA Form 1000, which is completed after the examination of each Farm Credit System institution. Information in this database is used in combination with Uniform Call Report data for the Early Warning System. Database contains data from 1986 to present.

Further descriptions of these databases and proposed storage and disposition instructions are attached.

A. **Uniform Call Report (UCR):** Quarterly financial information on all Farm Credit institutions. Includes: quarterly statements of condition and income; and supplemental schedules for the balance sheet and income statement. Contains data from 12/84 to present. Any electronic data existing prior to 12/84 was preliminary in nature and is non-record. The record copy of data before 12/84 is in hardcopy format and is scheduled under N1-103-88-2, item 1.

Storage/disposition:

1) **System data:**

Individual institution and aggregate (district and system level) data:

    a. Permanent copy. - Transfer data off-line in ASCII format when 12 years old in 2 versions (public access; restricted for 30 years). Transfer to National Archives.

    b. FCA copy. -- Store data off-line when 12 years old. Delete data when 30 years old, or when no longer needed, whichever is sooner.

2) **System inputs:**

    a. Call Reports (hardcopy). Transfer to Central files when 2 years old. Destroy hard copy when 30 years old. (NARA disposition NC1-103-88-2, item 1a(1).)

    b. Call Report source data from all Farm Credit institutions (currently received on floppy disk). Delete after data has been transferred to the master file and verified. (GRS 20, item 2b)

3) **System outputs:**

    a. Reports of Operation.
    b. Loan Performance Report.
    c. Other Financial Reports.

Permanent. Transfer to Central Files. Central Files will transfer to Federal Records Center in 5-year blocks. Transfer to the National Archives when 30 years old. (NC1-103-88-2, item 3)

4) **System documentation**

    a. Permanent copy of data descriptions, etc. (record layouts, data dictionary, user manual and Call Report submission instructions). -- Transfer to

National Archives with data [item "1)a"] above.

b. All other documentation. -- Destroy or delete when superseded or obsolete. (GRS 20, item 11)

5) **Related databases:**

Institution database: Used to validate institution data.

B. **Historical Database:** Year-end balance sheet and annual summarized income statement information on individual banks; and aggregate information by district by system (i.e., PCA, FLBA, etc.) on associations. Contains data from 1960 to present. Various sources were used to compile the data: Reports of Operation (1960-1983), Financial and Statistical Reports (F&Rs) 1984-1987. Beginning in 1988 data are aggregated from Uniform Call Report database.

Storage/Disposition:

1) **System data:**

a. Permanent copy of 1960-84 data. -- Transfer data to National Archives in ASCII format at the time of the first transfer of UCR data [item A1)a].

b. FCA copy. -- Retain data until no longer needed for long-term economic analysis of the Farm Credit System.

2) **System inputs:** F&Rs -- already scheduled: (NC1-103-88-2, items 1c.). Reports of Operation - already scheduled: (NC1-103-88-2, item 3a). Call Reports - already scheduled: (NC1-103-88-2, items 1a(2). UCR data: included in this schedule.

3) **System outputs:** No formal reports.

4) **System documentation:**

a. Permanent copy of data descriptions -- 1960-84 data. (records layouts, data dictionary, etc. Transfer to National Archives with 1960-84 data as instructed in item 1a above.

b. All other documentation. -- Destroy or delete when superseded or obsolete. (GRS 20, item 11)

5) **Related Databases:**

Institution Database: Used to validate institution data.
UCR database is the source for post-1987 data.

C. **Ratios Database:** Ratios and data elements necessary to support the Uniform Performance and Key Indicator reports. Data (and calculated data from UCR system) are entered into Ratio_base tables. A view of the ratio base data supplies the numerator and denominator of the ratios calculated. Contains quarterly data from 12/84 to present.

Storage/Disposition:

1) **System data:**

Individual and summary data:

In 5yr blocks

See note: IA 1) 3/22/02

a. Permanent copy. - Store data off-line in ASCII format when ~~12~~ 5 years old. Transfer to National Archives. (All data restricted for 30 years).

b. FCA copy. -- Store data off-line when 12 years old. Delete data when 30 years old, or when no longer needed, whichever is sooner.

Justification: Storage needs are based on need to retain data as a baseline for the Early Warning System (EWS). The EWS requires 10 years of data plus the previous year to calculate ratios.

2) **System inputs:** Uniform Call Report data.

3) **System outputs:** None. (Uniform Performance Reports and Key Indicator Reports are generated on-line as needed. Formal reports are not produced in hardcopy.)

4) **System documentation:**

a. Permanent copy of data descriptions, etc. (record layouts, data dictionary, user manual) Transfer to National Archives with data in item 1)a above.

b. All other documentation. -- Destroy or delete when superseded or obsolete. (GRS 20, item 11)

5) **Related databases:**

Institution database: Used to validate institution data.
Uniform Call Report database: UCR data is the source of the ratio data.
CAMEL view: Ratio data is used for CAMEL view, which is used by EWS.

D.   **Loan Account Reporting System (LARS):** Selected data on individual loans made by FCS institutions. Supports substantive types of analyses, e.g. quarterly studies of categories of loans - confirming validity of and classification of loans, allowance for losses, asset quality and internal controls of institution. The data submitted since March, 1993, have been entered into an ORACLE-based system. Data submitted by the financial institutions prior to March, 1993, were entered into earlier SPSS-based systems.

Storage/Disposition:

ORACLE-based System

1)   **System data:**

Individual loans: Store data off-line after each quarter. Delete data when 5 years old.

Aggregate data (district and system): Store data off-line when 5 years old. Delete data when 30 years old.

2)   **System inputs:** Source data from bank. - Return tapes to reporting bank after information has been transferred to the master file and verified. (GRS 20, item 2b)

3)   **System outputs:** No formal reports in hardcopy. Electronic system is the record copy.

4)   **System documentation:** Maintain for duration of system. Destroy or delete when superseded or obsolete. (GRS 20, item 11)

5)   **Related Databases:**

Institution database: Used to validate institution data.
UCR database used to validate selected loan data.

SPSS-based System

During the period 1984 - 1986 sample data only were submitted by the financial institutions. From 1986 - 1987, a borrower survey was submitted. From 1988 through December, 1992, borrower data were submitted quarterly and loaded into the "LARS-M" system. However, the format of the data submitted by the financial institutions to these SPSS systems was inconsistent and the data is considered less reliable for analytical purposes.

1) **System data:**

Individual loans: Store all data off-line in April, 1993. Evaluate annually. Delete data when no longer needed for agency needs or April, 1998, whichever is sooner.

Aggregate data (district and system): None.

2) **System inputs:** Source data from bank. - Return tapes to reporting banks after information has been transferred to the master file and verified. (GRS 20, item 2b)

3) **System outputs:** Electronic system is the record copy.
Destroy any hardcopy printouts when no longer needed for agency purposes, or when electronic data is deleted, whichever is sooner.

4) **System documentation:** Maintain for duration of system. Destroy or delete when superseded or obsolete. (GRS 20, item 11)

E. **Institution Database:** Information on each Farm Credit System institution. Contains official and abbreviated name of institution, "UNINUM" (unique institution number containing system, district and association code), address (includes telephone number and county), CEO's name, type of institution, status (active, inactive, liquidated), charter number, charter date, de-charter date, merge consolidation date, territory served, and new UNINUM if institution was involved in a merger. Basic data are received from institutions. Charter number, charter date, and merger/liquidation information is received from FCA's Corporate Affairs Division. UNINUM, abbreviated name of institution, and new UNINUM are received from Accounting and Reporting in the Technical and Operations Division. Contains data on institutions since 1986.

Storage/Disposition:

1) **System data:**

   a. Permanent copy. - Transfer copy of data in ASCII format to National Archives annually with UCR data [item A1)a].

   b. FCA copy. -- Revise, correct, and update institution data as necessary. Maintain data until no longer needed for administrative purposes or by other FCA systems.

   Justification: Institution table is the master CRS table and is used by many FCA relational databases.

2) **System inputs:** Delete after information has been transferred to the master file and verified. (GRS 20, item 2b)

3) **System outputs:** None.

4) **System documentation:**

   a. Permanent copy of data descriptions, etc. (records layouts, data dictionary, user manual) Transfer to National Archives with institution data in item "1)a" above.

   b. All other documentation. -- Destroy or delete when superseded or obsolete. (GRS 20, item 11)

5) **Related databases:**

   Institution Database is used to validate institution data in UCR, historical, ratio, LARS, and FCA 1000 databases and the Agency Time Tracking System (ATTS).

F. **FCA 1000 Database:** Contains quantitative examination results on each FCS institution, including the CAMEL rating. Information is obtained from page one of FCA form 1000, which is completed after the examination of each Farm Credit System institution. System contains data from 1986 to present.

Storage/Disposition:

1) **System data:**

   a. Permanent copy. -- Transfer 2 versions (public access; restricted access for 30 years) to National Archives when data is ~~10~~ years old.
       in 5 yr blocks

   b. FCA copy. - Delete data when 10 years old.

   see note 1A 1) 3/22/02

   Justification: Data needed for computing CAMEL ratings for Early Warning System.

2) **System inputs:** Non-record copy of FCA Form 1000 received from the Office of Examination - Destroy after information has been transferred to the master file and verified. (GRS 20, item 2a)

3) **System outputs:** Information used to create Semi-Annual Update of FCS Institution Camel Ratings. Send record copy to Central Files as part of FCA's publication file. (NC1-103-77-1, item 14)

4) **System documentation:**

   a. Permanent copy of data descriptions, etc. (record layouts, data dictionary, user manual) Transfer to National Archives with FCA 1000 data as instructed in item 1a above.

   b. All other documentation. -- Destroy or delete when superseded or obsolete. (GRS 20, item 11)

5) **Related databases:**

   Institution database: Used to validate institution data.
   Personnel Listing System: Used to validate Examiner-in- charge.
   ATTS/Examination Table: Used to validate overall CAMEL rating and exam date.
   CAMEL view: Provides data to CAMEL view.

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2. Early Warning System (EWS)

The EWS is a PC-based system that calculates CAMEL ratings on a quarterly basis using data from the FCA 1000 database, Institution database, and Ratio database (V-ratio). Each quarter, the data in these systems that is the closest to the "as of date" of the examinations are pulled into CAMEL view. CAMEL view data is then downloaded to a PC where it is manipulated by SPSS and other programs.

Storage/Disposition:

A. **System data:** Delete each quarter from PC. (Hardcopy report is the official copy.)

B. **System inputs:** Data from FCA 1000, Institution, and Ratio databases. - Scheduled separately under these systems.

C. **System outputs:** Data are used to produce Quarterly Early Warning Reports and Exception Report (Deteriorating institutions.) - Permanent. Send record copy to Central Files as part of FCA's publication file. (NARA disposition: NC1-103-77-1, item 14)

D. **System documentation:** Maintain for duration of system.
    (GRS 20, item 11)

E. **Related databases:**

    FCA 1000, Institution, and Ratio databases. EWS will use 10 years of Ratio data as a baseline, plus the previous year to calculate ratios.

3. Projection System

The Projection System is no longer an operational system. It was an Oracle-based system that contained the current-month actual, and three-month projected, balance sheet, income statement, and collateral position for all banks in the Farm Credit System. The Projection System contained data from July, 1987, through January, 1992, and was updated monthly.

Storage/Disposition:

A. **System data:** Destroy when no longer needed. Hardcopy reports are the record copy.

B. **System inputs:** Hardcopy report received from all banks in the Farm Credit System - Destroy when 30 years old.

C. **System outputs:** Monthly aggregate report entitled "Financial Position Information: Current and Prospective Financial Information" - Destroy when 30 years old.

D.   **System documentation:** Maintain for duration of system.
     (GRS 20, item 11)

E.   **Related Databases:** Institution database.