

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

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

1. FROM (Agency or establishment)  
 Office of Thrift Supervision

2. MAJOR SUBDIVISION  
 Washington Operations

3. MINOR SUBDIVISION  
 Policy

4. NAME OF PERSON WITH WHOM TO CONFER  
 Colleen M. Devine

5. TELEPHONE  
 906-6025

LEAVE BLANK (NARA use only)

JOB NUMBER  
 NI-483-93-9

DATE RECEIVED  
 1-6-93

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
 5-20-94

ARCHIVIST OF THE UNITED STATE  
*Cindy Huskamp Petrus*

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 8 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 12/17/92	SIGNATURE OF AGENCY REPRESENTATIVE <i>Colleen M. Devine</i>	TITLE Director Directives Management Division
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NAF USE ONLY)
	See Attached		

All changes to this proposed schedule have been approved by:

*[Signature]* 3/2/94 NARA appraiser date  
*Colleen M. Devine* 2/24/94 Agency representative date

OFFICE OF THRIFT SUPERVISION  
POLICY

All of the documents on this schedule pertain to the functions and responsibilities of the Office of Thrift Supervision (OTS) and concern the establishment and implementation of national examination and supervisory policies, procedures and standards.

Some of the documents originate from the time the functions and responsibilities were assigned to the Federal Home Loan Bank Board (FHLBB) and subsequently to a private organization. Most of the records were created when the organization became part of the Office of Thrift Supervision (OTS) under the Financial Institutions Reform, Recovery and Enforcement Act of 1989 (FIRREA). OTS continues to maintain and use these records.

ITEM NO. DESCRIPTION

1. POLICY PROGRAM/PROJECT/SUBJECT FILES

Documents include reports, memos, letters and issue papers that set forth policy development and interpretation, communications and oversight regarding examination and supervisory policies, procedures and standards.

Included are research information and special projects resulting from requests and questions posed by agency officials and other government enterprises.

Programs and projects include but are not limited to: Regulatory Programs; Credit Risk Policy; Affiliates Policy; Supervision; Interest Rate Risk; Capital Markets/Capital Issues; Consumer Affairs; Compliance, EDP and Trust Programs.

a. Documentation regarding policy issues, management of the program or project and historic files.

(a.1) FHLBB records

Volume: 450 cubic feet  
Cut off: Completed in 1988.  
Disposition: Permanent. Transfer records to FRC upon approval of schedule then transfer to NARA in 2010.  
Privacy Act: No  
Inclusive Dates: 1964 - 1988

(a.2) OTS records. FHLBB and other related records that are necessary and used for current business are included.

Volume: 113 cubic feet  
Cut off: At the end of the calendar year.  
Disposition: Permanent. Retain in office for 3 years. Transfer to FRC for 17 years. Transfer to NARA when 20 years old.  
Privacy Act: No  
Inclusive Dates: 1989 - Present  
Annual Growth: 21 cubic feet

b. Supporting background information, working papers and other material pertaining solely to Policy's administrative functions.

Volume: 188 cubic feet  
Cut off: At the end of the calendar year.  
Disposition: Temporary. Retain in office for 5 years then destroy.  
Privacy Act: No  
Inclusive Dates: 1964 - Present

2.

**ASSISTANT DIRECTOR'S (AD) SUBJECT FILES**

Letters and memos on special OTS issues and concerns. Included are questions and policy issues posed by the AD to the staff. Files also contain duplicate copies of memos and letters for AD's signature prepared by the staff.

Volume: 29 cubic feet  
Cut off: At the end of the calendar year.  
Disposition: Temporary. Retain in office for 2 years. Transfer to FRC for 3 years. Destroy when records are 5 years old.  
Privacy Act: No  
Inclusive Dates: 1987 - Present  
Annual Growth: 7 cubic feet

3.

**REGULATORY HANDBOOKS**

Included are drafts of chapters, field staff's comments, issue and working papers, format changes, updates and historic copies of the handbooks. Background information, revisions and all documentation concerning regulations, policy and procedures.

Handbooks include but are not limited to: the Compliance Laws and Regulations; the Compliance Self-Assessment; the Trust; the EDP; the Holding Company; and Thrift Activities.

a. Complete Record Set (Active)

Volume: 22 cubic feet  
Cut off: Revised or Superseded.  
Disposition: Permanent. Retain in office until revised or superseded then transfer to Historical File (3b).  
Privacy Act: No  
Inclusive Dates: 1978 - Present

b. Historical files including revisions.

Volume: 5 cubic feet  
Cut off: At the end of the calendar year.  
Disposition: Permanent. Transfer to the FRC when 10 years old. Transfer to NARA in 5 year blocks when newest records are 20 years old.  
Privacy Act: No  
Inclusive Dates: 1978 - Present  
Annual Growth: 1 cubic foot

c. Working Papers and background information.

Volume: 5 cubic feet  
Cut off: At the end of the calendar year.  
Disposition: Temporary. Retain in office for 5 years then destroy.  
Privacy Act: No  
Inclusive Dates: 1978 - Present

4.

**COMMITTEE FILES**

Meeting minutes and documentation regarding issues brought before committees. Included are letters and memos that concern questions, decisions and issues of the committees.

Committees include but are not limited to: the Supervisory Policy Review Committee; the Interagency Risk-based Capital Working Group; and internal OTS working groups including representatives from the regions/districts.

Volume: 9 cubic feet  
Cut off: At the end of the calendar year.  
Disposition: Permanent. Retain in office for 5 years. Transfer to FRC for 5 years. Transfer to NARA when records are 10 years old.  
Privacy Act: No  
Inclusive Dates: 1990 - Present  
Annual Growth: 5 cubic feet

5.

**PUBLICATIONS**

a. Record set of active FHLBB and OTS publications: Special Reports; Research Papers; Invited Papers; and OTS Weekly Paper Series.

(a.1) FHLBB records

Volume: 55 cubic feet  
Cut off: Completed 1988  
Disposition: Permanent. Transfer records to FRC upon approval of schedule. Transfer to NARA in 1996.  
Privacy Act: No  
Inclusive Dates: 1969 - 1988

(a.2) OTS records

Volume: 6 cubic feet  
Cut off: At the end of the calendar year in which published.  
Disposition: Permanent. Transfer to NARA in 5 year blocks when oldest records are 5 years old then transfer to NARA.  
Privacy Act: No  
Inclusive Dates: 1989 - Present  
Annual Growth: 3 cubic feet

b. Supporting background information and working papers.

Volume: 3 cubic feet  
Cut off: At the end of the calendar year in which published.  
Disposition: Temporary. Destroy when records are no longer needed.  
Privacy Act: No  
Inclusive Dates: 1990 - Present  
Annual Growth: 2 cubic feet

6.

**POLICY BULLETINS**

A series of memos which set forth and interpret FHLBB/OTS policy and procedures and address the policy, procedures and objectives which are germane to improving the supervisory process.

Memoranda files include but are not limited to the following series: Regulatory Bulletins; Thrift Bulletins; Technical Memoranda; Regulatory Memoranda; Alert Bulletins; and Supervisory Procedures.

a. Record set

Volume: 1 cubic foot  
Cut off: When revised or superseded.  
Disposition: Permanent. Retain in office until revised or superseded then transfer to Item 6c, Rescinded Bulletins Files.  
Privacy Act: No  
Inclusive Dates: 1967 - Present  
Annual Growth: 1 cubic foot

b. Working Papers.

Volume: 9 cubic feet  
Cut off: When corresponding bulletin becomes obsolete.  
Disposition: Permanent. When records are cutoff, then transfer to Item 6c, Rescinded Bulletins Files.  
Privacy Act: No  
Inclusive Dates: 1989 - present  
Annual Growth: 4 cubic feet

c. Rescinded bulletin files and associated papers.

(c.1) FHLBB records

Volume: 4 cubic feet  
Cut off: Completed in 1988  
Disposition: Permanent. Transfer eligible records to FRC upon approval of schedule then transfer to NARA in 1996.  
Privacy Act: No  
Inclusive Dates: 1967 - 1988

(c.2) OTS records

Volume: 2 cubic feet  
Cut off: At the end of the calendar year in which bulletin becomes obsolete.  
Disposition: Permanent. Retain in office for 10 years. Transfer to NARA in 5 year blocks when newest records are 10 years old then transfer to NARA.  
Privacy Act: No  
Inclusive Dates: 1989 - present  
Annual Growth: 1 cubic foot

7.

**CHRON FILES**

Copies of letters, memos and Program/Project/Subject file documents.

Volume: 13 cubic feet  
Cut off: At the end of the calendar year.

Disposition: Temporary. Retain in office  
for 3 years then destroy.  
Privacy Act: No  
Inclusive Dates: 1988 - Present

8. **HOLDING COMPANY COURSE FILES**

Documents include instructor guides, participant  
guides and case study material.

Volume: 3 cubic feet  
Cut off: At the end of the calendar  
year.  
Disposition: Temporary. Retain records in  
office for 5 years. Transfer  
to FRC for 5 years. Destroy  
when records are 10 years old.  
Privacy Act: No  
Inclusive Dates: 1989 - Present  
Annual Growth 1 cubic foot

9. **OES/ORPOS TRANSITION RECORDS**

Records relating to the creation and organization  
of the Office of Regulatory Policy, Oversight, and  
Supervision.

Volume: 1 cubic foot  
Cut off: Completed 1987  
Disposition: Permanent. Immediately  
transfer to FRC. Transfer to  
NARA in 2010.  
Privacy Act: No  
Inclusive Dates: 1985 - 1987