

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		N1-82-1899-01	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED 3-9-99	
1. FROM (Agency or establishment)  Board of Governors of the Federal Reserve System		<b>NOTIFICATION TO AGENCY</b>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION  Office of the Secretary			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER  Jeanne Young	5. TELEPHONE  202-452-2033	DATE 8-16-99	ARCHIVIST OF THE UNITED STATES <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 12/15/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>Jennifer J. Johnson</i>	TITLE Secretary of the Board	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

**COMPUTER OPERATIONS RECORDS**

The Federal Reserve Board maintains a number of computer systems in support of the Board's mission. The activities supported include statistical data modeling, work group document sharing, electronic mail, word processing, website distribution of information, and records management. Configurations currently include mainframe, local area networks, wide area networks, personal computers. Operating systems currently include mainframe, Unix, and Windows (NT). Configurations and operating systems will change over time. Records related to the design, implementation, testing, and maintenance of the various systems and operations are maintained in paper project files, identified by the name of the project, or in electronic files, also identified by the name of the project.

1. **PROJECT RECORDS, COMPUTER OPERATIONS**  
 Records related to the development, installation, testing, operation, and maintenance of computer applications, work stations, networks, websites, or other systems

*HA Agency, NWMD, NWML*

installed to carry out the mission of the Board. The records are created in both paper and electronic format and are filed or identified by project name. This item does NOT apply to the data within any program run on any of the systems. Project is considered open until the system is no longer in use.

**DISPOSITION: Temporary.** Close files when the project is completed. Destroy 1 year after files are closed.

## CENTURY DATE CONVERSION (Y2K) RECORDS

Records related to the initiative undertaken to ensure that automated systems will continue to function reliably when the date changes to the year 2000. The project related to activities conducted by all entities in the Federal Reserve System.

### 2. PROJECT RECORDS, CENTURY DATE CONVERSION (Y2K)

Records are created in both electronic and paper media, including word processing and electronic mail (SEE Item 3 below). For delegated functions, records may be created by the Federal Reserve Banks. Files may include but are not limited to:

Records related to overall Year 2000 efforts, plans, strategies, testing plans and criteria, monitoring and tracking efforts, research papers, publications, and policy letters.

Lists of all applications (or systems) reviewed or assessed with notation of those requiring remedial work; scope of work needed to bring nonconforming applications or systems into compliance.

Testing documentation such as descriptions of types of tests performed on various systems (e.g., baseline, unit, regression, etc.); types of test systems used; procedures involved in testing; information sufficient to support the decisions to choose particular tests and to establish the validation of tests conducted; descriptions of extent of particular tests; information, such as summaries of test results and sign-offs, sufficient to establish the Year 2000 readiness of applications and systems tested; deviations from prescribed test results; criteria to determine ~~that~~ an application or system is Year 2000 ready; plans for retesting computers, applications or systems that fail a Year 2000 test and documentation as to how the failure was corrected; and information sufficient to explain changes to applications or systems for Year 2000 readiness.

Reviews of the Year 2000 program conducted by the Board's Inspector General, the General Accounting Office, or conducted by an outside auditing firm.

Contracts (not including purchase orders) in which Year 2000 compliance is a stated requirement and contracts with outside consultants to address the century date change.

Records of correspondence with external vendors, such as documentation from Websites or certification letters, describing the Year 2000 status of vendor products and services used by the Board. Records of correspondence, including website postings, by the Board with customers, supervised institutions, and/or the public describing the agency's Year 2000 status.

**DISPOSITION: Temporary.** Close files at the end of the year 2000. Destroy 7 years after files are closed.

NL-82-44-1

**ELECTRONIC MAIL AND WORD PROCESSING FILES, ELECTRONIC FORMAT**

While the Board is developing an electronic records management system, the Board's policy for managing electronic mail and word processing documents, in effect since January 1997, directs staff members to print, annotate, if necessary, and file record-content documents with related records.

**3. RECORD CONTENT ELECTRONIC MAIL MESSAGES AND WORD PROCESSING DOCUMENTS RETAINED ON BACKUP TAPES**

WITHDRAWN

**DISPOSITION:** Temporary. Destroy during regular recycling of backup tapes (30 day, 60-day, 90-day, and 180-day intervals, depending on system).

**EMPLOYEE PERFORMANCE RECORDS.** The Board requests disposition authority for records normally covered by GRS 1, items 23a(3)(b) and 23b(2)(b). The Board has separate statutory authority to manage issues regarding its employees. In light of the fact that the courts have permitted plaintiffs to submit ten-year-old performance files into evidence, the Board requests authority to retain employee performance files for 10 years.

**4. EMPLOYEE PERFORMANCE CASE FILES.**

Files include the performance rating form and may include relevant related records such as performance plans, job elements, and the standards upon which the ratings are based. Records exist in paper and electronic format.

**a. PAPER FORMAT.** Record copy until an electronic recordkeeping system is established.

**DISPOSITION:** Temporary. Cut off files at the end of the calendar year in which the rating was given. Destroy 10 years after cutoff.

**b. ELECTRONIC FORMAT.**

(1) Files created prior to establishment of an electronic recordkeeping system.

**DISPOSITION:** Temporary. Destroy when the recordkeeping copy has been printed and filed with related records.

(2) Electronic recordkeeping copy (when established).

**DISPOSITION:** Temporary. Destroy 10 years after the end of the calendar year in which the rating was given.

**c. MANAGERS' FILE COPIES (ALL FORMATS).**

Performance rating files with supporting documentation in addition to the record components listed above (e.g. notes, memos, correspondence, copies of forms or certificates).

**DISPOSITION:** Temporary. Destroy when recordkeeping copies, either paper or electronic, have been placed in the files.