

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0413-2022-0002

Status: APPROVED
Date Approved: 12/06/2023

Item Count

Total number of disposition items: 2

Number of Temporary disposition items: 1

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0413-2022-0002

Status: APPROVED
Date Approved: 12/06/2023

Outline of Records Schedule Items for DAA-0413-2022-0002

| Item # | Title | Disposition |
|--------|---|-------------|
| 0001 | MERIT System Data : Routine Examination Records | Temporary |
| 0002 | MERIT System Data : Historically significant examination records. | Permanent |

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0413-2022-0002

Status: APPROVED
Date Approved: 12/06/2023

Records Schedule Items

| | |
|-----------------------------|--|
| Group Title | MERIT System Data |
| Group Description | In MERIT, the exam team can record scope tasks, the results of reviews conducted under scope tasks (including exam work papers), CAMELS (Capital Adequacy, Asset Quality, Management, Earnings, Liquidity and, effective April 1, 2022, Sensitivity to Market Risk) ratings, risk ratings, and findings. As part of the exam or contact, the exam team can use MERIT to send survey questionnaires and document requests to a credit union, and survey questionnaires to the exam team. MERIT consolidates the data input during the exam process into an exam report. NCUA managers use a survey in MERIT to conduct a Documented Secondary CAMELS Review (DSCR) and Pre-release Secondary Review (PSR) of the exam report, prior to the NCUA finalizing the exam report, issuing it to the credit union, and closing the exam. Closed exams are stored in MERIT. For contacts that do not result in a report issued to the credit union, the exam team uses MERIT to generate an Internal Summary Review Report. The Internal Summary Review Reports are also stored in MERIT. The Examiner-in Charge or Co-Examiners-in-Charge of the exam complete an exam form in MERIT to record certain general information about the exam. |
| DAA-0413-2022-0002-0001 | STATUS: Active |
| ITEM GENERAL INFORMATION | |
| Item Title | Routine Examination Records |
| Item Description | Includes completed scope tasks and results of review (including work papers); CAMELS ratings, risk ratings, and findings (and related resolution documentation); survey questionnaires and responses; document requests; documents the exam team attaches as part of the exam record (e.g., Documents of Resolution, Letters of Understanding and Agreement, documents provided by the credit union, and examiner-generated supporting documents); the DSCR and PSR of the exam and other quality assurance/control reports (and attachments); the examination report issued to the credit union at the close of the exam; the Internal Summary Review Report; and general information about the exam from the exam form. |
| Is this item media neutral? | No |
| Media limitation | See Dossier |

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0413-2022-0002

Status: APPROVED
Date Approved: 12/06/2023

| | |
|---|--|
| Is this item a Big Bucket? | No |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | No |
| Is this item a deviation from the GRS? | No |
| DISPOSITION INSTRUCTION | |
| Final Disposition | Temporary |
| Cutoff Instructions | Other: Cutoff at the end of the calendar year in which the exam or other contact is closed. |
| Retention Period | Destroy 15 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Are any of the records covered by this item national security classified? | No |
| GAO Approval Required | No |
| DAA-0413-2022-0002-0002 STATUS: Active | |
| ITEM GENERAL INFORMATION | |
| Item Title | Historically significant examination records. |
| Item Description | Examination records exhibiting the following criteria: • Established a primary source of information on an issue of far-reaching national or international importance; information on topics that are less far-reaching but significant to America's heritage or culture, relative to supervision and regulation of the credit union system and protection of credit union members and consumers; • Had a significant impact on the NCUA by pioneering NCUA entry into an issue of national or international importance, laying the groundwork for applying new and/or advanced mission methodologies, or resulting in major changes to NCUA policy; • Resulted in extensive national or international media attention; or • Resulted in the approval of new legislation by Congress, or substantive changes to existing legislation. Examples include (but may not be limited to): examination records that provide significant information concerning financial crises, credit union involvement in new financial products, industry/market disruptions impacting loans made by credit unions, NCUA financial inclusion initiatives, and the NCUA virtual examination program; and records of examinations conducted by the Office of National Examinations and Supervision (i.e., examinations of corporate credit unions and |

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0413-2022-0002

Status: APPROVED
Date Approved: 12/06/2023

| | |
|--|---|
| | natural person credit unions with assets in excess of a set threshold). |
| Is this item media neutral? | No |
| Media limitation | See Dossier |
| Is this item a Big Bucket? | No |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | No |
| Is this item a deviation from the GRS? | No |
| DISPOSITION INSTRUCTION | |
| Final Disposition | Permanent |
| Cutoff Instructions | Other: Cutoff at the end of the calendar year in which the exam or other contact is closed. |
| Are there multiple instructions for this item? | No |
| Transfer Instruction | Transfer to the National Archives 15 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Current Records Format | Structured data formats:2 TB |
| Approximate first year of records covered by this authority | 2019 |
| End year of records covered by this authority | Still being created |
| Date span of the initial transfer | From: --/--/2019 To: --/--/2019 |
| Frequency of transfer | 1 |
| Are any of the records covered by this item subject to a FOIA exemption? | Yes |
| FOIA Exemption(s) | FOIA (b)(8) Regulation or Supervision of Financial Institutions, FOIA (b)(6) Personal Information |

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0413-2022-0002

Status: APPROVED
Date Approved: 12/06/2023

Signatory Information

| Action | User | Date |
|---------|----------------|------------|
| Accept | Data Migration | 09/23/2022 |
| Approve | Colleen Shogan | 12/06/2023 |