

Request for Records Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

To **National Archives and Records Administration (NIR)**
Washington, DC 20408

1 From (Agency or establishment)

National Credit Union Administration

2 Major Subdivision

3 Minor Subdivision

4 Name of Person with whom to confer

Dieter Blume

5 Telephone (include area code)

703-518-6457

Job Number

N1-413-09-02

Date Received


9/29/09

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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

Archivist of the United States

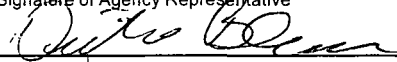
19 Dec 2012 

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 1 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 ☐ has been requested

Signature of Agency Representative



Title

Records Officer

Date (mm/dd/yyyy)

7/25/2012

Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
7	<p>Administrative Records Schedule</p> <p>Series 1: Agency Directives & Manuals Series 2: Subject Files Series 3: Chronological (Reading) Files Series 4: Individual Working Files Series 5: Reports & Historical Files (A-D) Series 6: Miscellaneous Files (A-B) Series 7: Delegations of Authority Series 8: Training Files (A-B) Series 9: Photographs (A-B) Series 10: Publications (A-C) Series 11: Records from Meetings (A-E) Series 12: E-Mail Records (A-C)</p> <p>See attached 7 page schedule, which includes superseding citations.</p>		

N1-413-09-2 ADMINISTRATIVE RECORDS

This schedule covers records that relate to the running of the agency vs the chartering, insuring, and supervision of individual credit unions. Records created in multiple offices can usually be located in this schedule. All records scheduled here may be moved to offsite storage when the volume warrants. All cutoffs are annual unless otherwise specified. All records in this schedule are media-neutral, unless otherwise specified.

Series 1 - Agency Directives and Manuals [Supersedes N1-413-02-1 #1 which superseded N1-413-76-1 #1]

Description	Retention
Contains official files for internal agency directives and operating manuals prescribing policies, organization, or procedures, or providing information essential to the administration or operation of the agency. Includes a printed copy of the directive or manual signed by the appropriate official, record of clearances and approvals, and significant background documents. Annual volume 5 CF	PERMANENT. Transfer to NARA 20 years after the directive or manual is superseded or cancelled.

Series 2 - Subject Files [Supersedes N1-413-02-1 #2 which superseded N1-413-76-1 #6]

Description	Retention
Contains subject files that are not associated with an individual credit union. Sometimes referred to as SSIC files. Includes copies of correspondence, articles, other documents, and printed material used for reference purposes, and other working files. It does not apply to subject files accumulated within the Office of the Board.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy when 3 years old or when no longer needed for agency business, whichever is later.

Series 3 - Chronological (Reading) Files [Supersedes N1-413-02-1 #3]

Description	Retention
Contains copies usually but not exclusively of outgoing correspondence and other documents created by various offices in the agency. This does not apply to chronological or reading files created within the Office of the Board.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy when 1 year old or when no longer needed for agency business, whichever is later.

Series 4 – Individual Working Files [Supersedes N1-413-02-1 #4, which superseded N1-413-76-1 #7, and N1-413-02-3 #2]

Description	Retention
Contains documents compiled and used by staff as aids in completing records like reports (if not scheduled separately), studies, or projects. Excludes working files for subject files, court cases, or other document types that are scheduled separately. This category refers to working files that were instrumental to the final document, that directly guided decision making, and that were presented for review at least at the office level. Note that many working files generated by individual staff members are not records. Working files used in the preparation or analysis of a document are not records if they were not circulated for official purposes and do not contain unique information that informed agency decision-making.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy when 3 years old or when no longer needed for agency business, whichever is later.

Series 5 – Reports and Historical Files [Supersedes N1-413-76-1 #2, 3, 19-21, 28, 39, 50, N1-413-02-3 #1, N1-413-02-4 #3, N1-413-01-4]

#	Item	Description	Retention
A	Management and planning studies	Contains reports on management projects, including management improvement reports, as well as long-range planning or policy studies, together with supporting documents.	PERMANENT. Cut off at end of fiscal year. Transfer to the National Archives after 20 years.
B	History files	Contains historical information pertaining to NCUA and predecessors on topics like share insurance and chartering. Does not include historical files related to individual credit unions. Annual volume. 5 CF.	PERMANENT. Cut off at end of fiscal year. Transfer to the National Archives after 20 years.
C	Externally-mandated reporting files	Contains the NCUA Strategic Plan, Annual Performance Plan, Annual Operating Plan (for the central and regional offices), the Annual Performance Report, the Continuity of Operations Plan (regional office and agency-wide), the GPRA Report, the FISMA report, FOIA reports, reports submitted to agencies such as the Office of Management and Budget or the General Services Administration, and other externally-mandated reports. Annual volume. 2 CF.	PERMANENT. Cut off at end of fiscal year. Transfer to the National Archives after 20 years.

D	Other studies and reports	Contains special economic studies as well as supporting documents, the final version of the monthly management report that details the operations and activities of NCUA's central and regional offices, internal and one-time, non-legislatively-mandated reports, and interim reports like the semi-annual performance reports, the Continuity Status Reports, and the Continuity Evaluation Tool reports	TEMPORARY Cut off at end of fiscal year Delete/destroy after 3 years or when no longer needed for agency business, whichever is later
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Series 6 - Miscellaneous Files [Supersedes N1-413-76-1 #4, 8, 18]

#	Item	Description	Retention
A	Special programs	Contains studies, notes, and papers pertaining to programs like the blood donor program and the Combined Federal Campaign	TEMPORARY Cut off at end of fiscal year Delete/destroy after 24 months or when no longer needed for agency business, whichever is later
B	Logs, finding aids, indexes, and research files	Contains material used as reference sources and research tools, maintained for the convenience and use of NCUA staff Does not include files related to court cases Note that many reference documents are not records and are, therefore, not covered by this item Note also that computerized logs are covered by the NCUA Electronic Records Schedule	TEMPORARY Cut off at end of fiscal year Delete/destroy after 18 months or when no longer needed for agency business, whichever is later

Series 7 - Delegations of Authority [Supersedes N1-413-76-1 #12, which was superseded by N1-413-01-1 #6]

Description	Retention
Contains documents related to delegations of authority granted (either permanently or temporarily) at the office (not the Board) level Delegations granted at the Board level are included in the official Board minutes (N1-413-09-3, Series 1A Includes actual delegations of authority manuals as well as any correspondence related to issues surrounding delegations of authority	TEMPORARY Cut off at end of fiscal year Delete/destroy after 3 years or when no longer needed for agency business, whichever is later

Series 8 – Training Files [Supersedes N1-413-76-1 #23, 24, 30 and N1-413-01-3]

#	Item	Description	Retention
A	Training course materials potentially granting Continuing Education Units (CEUs)	Contains documents related (either used in the courses or in the development of the courses) to NCUA’s training programs, including examiner training, Management Development Program training, supervisory and communications training, and other programs. Does not include on-the-job training materials.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy after 5 years or when superseded, obsolete, or otherwise no longer needed for agency business, whichever is later.
B	Other training course materials	Contains documents related (either used in the courses or in the development of the courses) to other training classes where the course materials are developed by NCUA staff (including contractors) and offices.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy after 18 months or when superseded, obsolete, or otherwise no longer needed for agency business, whichever is later.

Series 9 – Visual Images [Supersedes N1-413-01-2 #2 and N1-413-76-1 #11]

#	Item	Description	Retention
A	Permanent photographs and videos	Contains photographs, slides, and films that depict the mission, programs, significant mission-related activities, and functions of the agency. Also contains photographic materials produced or collected for use in agency publications, exhibits, or other media productions. Includes official portraits of senior agency officials. Refer to the NCUA Records Management Procedures Manual for information on captioning and other metadata required or desired for these records. Annual volume. 5 CF.	PERMANENT. Cut off at end of fiscal year. Transfer all pre-2007 photographs to the National Archives upon approval of the schedule. Thereafter, transfer photographs to the National Archives after 5 years.
B	Temporary photographs and videos	Contains photographs, slides, and films that depict people, ceremonies, and events, including award ceremonies, EEO and other commemorative events, training activities, etc.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy when no longer needed for agency business.

Series 10 – Publications – [Supersedes N1-413-76-1 #22 and N1-413-01-2 #6]

#	Item	Description	Retention
A	Publications for the public	Contains publications produced specifically for the public, credit unions, or other agencies like the “Your Insured Funds” brochure, “Accounting Manual for Federal Credit Unions,” and NCUA signs and decals Does not include publications listed elsewhere in this or other NCUA schedules Annual volume 5 CF	PERMANENT Cut off at end of fiscal year Transfer to the National Archives when 20 years old
B	Internal publications	Contains the telephone directory and other material published for internal use Includes posters and other materials developed in support of special programs like training, EEO events, Combined Federal Campaign, etc	TEMPORARY Cut off at end of fiscal year Delete/destroy after 3 years or when superseded, obsolete, or otherwise no longer needed for agency business, whichever is later
C	Posters	Contains posters relating to agency officials, objectives, operations, achievements, historical commemorations, banking and finance issues, and other mission-related subjects	PERMANENT Transfer two copies of each poster to the National Archives upon publication Destroy copies retained onsite when no longer needed for agency business

Series 11 – Records from Meetings [Supersedes N1-413-76-1 #19, 20, 21] This series does not include records from NCUA Board meetings All items in this series include video content from webinars, electronic town hall meetings, video-conferencing, streaming video, and other technologies Note that records created by groups established under the Federal Advisory Committee Act are covered by NARA’s General Records Schedule #26, Item 2

#	Item	Description	Retention
A	Major NCUA-wide committee or task force meeting records	Contains agendas, minutes, final reports, and other associated documentation of meetings of (a) formally established, agency-wide groups that are formed largely from the executive or management staff, like the National Training Council or the Strategic Planning Committee, (b) formally established, agency-wide groups tasked with mission-related issues of national importance, like significant policy shifts, reorganizations, the development of multi-year plans, etc Annual volume 1 CF	PERMANENT Cut off at end of fiscal year Transfer to the National Archives after 20 years

B	Other mission-related committee or task force meeting records	Contains agendas, minutes, final reports, and other associated documentation of meetings of groups convened (or self-organized) to deal with specific mission-related projects or issues. Examples include groups dealing with issues like sub-prime lending and groups guiding the development of major custom software projects, like the Online 5300. (Groups formed after the rollout of an IT system to deal with maintenance and enhancement issues are excluded.)	TEMPORARY. Cut off at end of fiscal year. Delete/destroy after 3 years or when no longer needed for agency business, whichever is later.
C	Conference records	Contains agendas, minutes, final reports, and other associated documentation for meetings that are part of the published schedule (i.e., not informal, ad hoc meetings that happen to occur during these events) for regional, management, administrative, and other conferences. Records associated with training at these events would be covered under Series 8 of this schedule.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy after 3 years or when no longer needed for agency business, whichever is later.
D	Supervisory Examiner Group meeting records	Contains agendas, minutes, final reports, and other associated documentation for Supervisory Examiner group meetings. Records associated with training at these events would be covered under Series 8 of this schedule.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy after 18 months or when no longer needed for agency business, whichever is later.
E	Other meeting records	Contains agendas, minutes, final reports, and other associated documentation (where such documentation exists) of meetings of groups related to planning or facilitating events, dealing with short-fused emergencies, office or sub-office staff meetings, one-on-one meetings, informational meetings, including presentations, post-production custom software maintenance meetings, and other meetings that are not part of a type of group scheduled elsewhere in this record schedule.	TEMPORARY. Cut off at end of fiscal year. Delete/destroy when no longer needed for agency business.