

Request for Records Disposition Authority <small>(See Instructions on reverse)</small>		Leave Blank (NARA Use Only)	
To National Archives and Records Administration (NIR) Washington, DC 20408		Job Number <b>NI-413-09-3</b>	
1 From (Agency or establishment) <b>National Credit Union Administration</b>		Date Received <b>9/29/09</b>	
2 Major Subdivision		<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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3 Minor Subdivision			
4 Name of Person with whom to confer <b>Dieter Blume</b>	5 Telephone (include area code) <b>703-518-6457</b>	Date <b>12/8/11</b>	Archivist of the United States <b>WITHDRAWN</b>
<b>6 Agency Certification</b> 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 <u>5</u> 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 <input type="checkbox"/> has been requested			
Signature of Agency Representative <i>Dieter Blume</i>		Title <b>Records Officer</b>	Date (mm/dd/yyyy) <b>9-29-09</b>
Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
	<b>Office Records Schedule</b>  Series 1: NCUA Board Records (A-F) Series 2: Office of the Chief Financial Officer Records (A-F) Series 3: Office of the General Counsel Records (A-E) Series 4: Office of the Inspector General Records (A-G) Series 5: Office of Public & Congressional Affairs Records (A-D)  See attached 5 page schedule, which includes superseding citations.		

N1-413-09-3 OFFICE RECORDS

This schedule covers records that relate to the mission and programmatic function of individual offices in NCUA. Records related to the running of those offices belong in N1-413-09-2 (Administrative Records) or are covered by the National Archives General Records Schedules. Note that records previously listed under CLF and CDRLP that refer to specific credit unions have been moved to the Program Records schedule (N1-413-09-1). 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 - NCUA Board Records** [Supersedes N1-413-01-1 #1-6, which superseded N1-413-76-1, #9 & 10]

#	Item	Description	Retention
A	Board meeting records	Contains official minutes and related materials from the Board Meeting Binders of open and closed meetings. Includes minutes transcribed from audio tapes, briefing materials for the Board, and forms relating to the operations of the Board. Annual volume 3.25 CF.	PERMANENT. Transfer to the National Archives 20 years after the date of the last meeting in that year.
B	Board audio and video tapes	Contains recordings of Board meetings. The audio tapes are typically used for transcription purposes to produce official minutes. Video records may be kept of Board meetings as well.	TEMPORARY. Delete/destroy 90 days after transcription is complete and verified.
C	Board notational votes	Contains a record of votes on items considered by the NCUA Board outside the regularly scheduled Board meetings. Includes notation vote sheets, background materials, and a record of results. Includes a record of any Board Member or Chairman veto of the notational vote process. Annual volume 2 CF.	PERMANENT. Transfer to the National Archives 20 years after the date of the last meeting in that year.
D	Subject and administrative files of Board Chairman and Members	Contains subject files maintained for the use of the Chairman and Members of the NCUA Board, including correspondence and reports received by them. Also contains background materials on trips taken by the Chairman and Members, including reports produced by credit unions and private organizations, and reports from other financial regulatory agencies. Contains copies (i.e., not the official recordkeeping copy) of internal agency reports, directives, etc.	TEMPORARY. Delete/destroy one year after the Chairman or Board Member leaves office.
E	Correspondence files of Board Chairman and Members	Contains outgoing correspondence of the Board Chairman and Members. Annual volume 3 CF.	PERMANENT. Transfer to the National Archives after 10 years.

F	Speeches of Board Chairman and Members	Contains formal addresses delivered by the Board Chairman and Members of the Board before various public and private groups and organizations. Includes video content from webinars, video-conferencing, electronic town hall meetings, streaming video, and other technologies. Annual volume 2 CF	PERMANENT Transfer to the National Archives after 10 years
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*Series 2 - Office of the Chief Financial Officer Records* [Supersedes N1-413-76-1 #25, 26, 35-38]

#	Item	Description	Retention
A	Budget policies and procedures correspondence and subject files	Contains documents reflecting NCUA's policy and procedures governing budget administration and reflects summary expenditures for agency programs. Annual volume 1 CF	PERMANENT Transfer to the National Archives after 20 years
B	Final budget submissions and supporting documentation files	Contains final budget submissions and supporting documentation, as well as Board Action Memoranda (BAMs). Annual volume 2 CF	PERMANENT Transfer to the National Archives after 30 years
C	Budget background materials files	Contains budget materials leading to, but not included in, the final budget submission	TEMPORARY Delete/destroy after 3 years or when no longer needed for agency business, whichever is later
D	Accounting records, invoices, and vouchers	Contains invoices, vouchers, and other related documents used to support money collected in NCUA's day-to-day operations. Also contains billings, notes, investment schemes, trial balance, listings, and bonds related to NCUA financial activities	TEMPORARY Delete/destroy after 6 years or when no longer needed for agency business, whichever is later
E	Insurance files	Contains premiums, refunds, rebates, FCU loans, deductions, and other supporting documents related to NCUA Guaranty program	TEMPORARY Delete/destroy 3 years after GAO audit
F	Miscellaneous budget reports	Contains periodic reports, like manpower reports, financial statements, budget expenditures, etc	TEMPORARY Delete/destroy when no longer needed for agency business

Series 3 - Office of the General Counsel Records [Supersedes N1-413-76-1 #14-17, 29 and N1-413-02-4 #1,2, 4]

#	Item	Description	Retention
A	General Counsel legal opinions	Contains decisions or opinions rendered by the agency's legal counsel in connection with a variety of topics in which NCUA is involved or has an interest. The files may pertain to such topics as interpretations of statutes and related case law, questions arising out of various activities conducted by the agency, and all personnel questions. Includes any finding aids produced. Annual volume 1 CF	PERMANENT. Transfer to the National Archives after 30 years
B	Litigation and administrative hearings files	Contains documents relating to litigation and administrative hearings by or against the agency resulting from civil or criminal actions. Included are statements, documentary evidence, copies of proceedings and decisions, witnesses lists, research files, supporting documents, requests for advisory opinions on issuance of cease and desist orders, memoranda, reports, correspondence, and related records	TEMPORARY. Delete/destroy after 5 years from the date the case is over or when no longer needed for agency business, whichever is later
C	Rulemaking files	Contains documents submitted to the Federal Register (proposed rules, final rules, advance notices), associated Board Action Memoranda, agency comments from internal review, public comment letters, internal summaries of public and agency comments, and CRA reports. Note beginning in 1994, all rules are electronically available from the Federal Register. Volume on hand of pre-1994 rules is less than 1 CF	(a) For rules promulgated before 1994. The final rules themselves are PERMANENT, to be transferred to the National Archives after 10 years. Any supporting documentation is TEMPORARY and is past the 6 year retention period. (b) For rules promulgated in 1994 and later. TEMPORARY. Delete/destroy after 6 years from the date the regulation is promulgated or when no longer needed for agency business, whichever is later
D	OGC correspondence and subject files	Contains incoming and outgoing correspondence from inside and outside the agency as well as draft and final responses and research materials (cases, prior OGC legal opinions, data, phone notes, e-mails, etc.) Also contains documents associated with internally-generated assignments	TEMPORARY. Delete/destroy after 15 years or when no longer needed for agency business, whichever is later

E	FOIA reports to Congress	Contains annual, recurring, and one-time reports to Congress related to the implementation of the Freedom of Information Act Annual volume 5 CF	PERMANENT Transfer to the National Archives when 25 years old
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*Series 4 - Office of the Inspector General Records* [Supersedes N1-413-76-1 #13, 29 and N1-413-00-1 #1,2]

#	Item	Description	Retention
A	Investigative case files	Contains case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations	TEMPORARY Delete/destroy after 5 years from the date the case is over or when no longer needed for agency business, whichever is later
B	Informal case files	Contains files with allegations of an investigative nature that do not result in the establishment of a formal case file. These files may be referred to as preliminary inquiries and cover anonymous or vague allegations not warranting a full investigation, matters referred to the other components of NCUA or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigative case development	TEMPORARY Delete/destroy after 3 years or when no longer needed for agency business, whichever is later
C	Audit files	Contains audit, review, and survey files that assist management in identifying, analyzing, and resolving program and organizational performance or policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. Annual volume 3 CF	PERMANENT Transfer to the National Archives after 10 years
D	Audit work papers	Contains records created or acquired during the course of the audit and the development of the final report, including notes and work files	TEMPORARY Delete/destroy after 5 years or when no longer needed for agency business, whichever is later
E	Counsel to the IG legal opinions	Contains decisions or opinions rendered by the Inspector General's legal counsel in connection with a variety of topics in which the OIG is involved or has an interest. The files may pertain to such topics as interpretations of statutes and related case law, questions arising out of various activities conducted by the agency, and all personnel questions. Includes any finding aids produced. Annual volume 1 CF	PERMANENT Transfer to the National Archives after 10 years

F	Congressional testimony	Contains transcripts of testimony of the Inspector General or other OIG staff before various Congressional committees concerning OIG independence, audits, investigations, or OIG work in general Annual volume 5 CF Note that Congressional testimony dealing with offices other than OIG is covered in Series 5 of this schedule	PERMANENT Transfer to the National Archives after 10 years
G	Congressional inquiries	Contains correspondence with Members of Congress regarding OIG independence, audits, investigations, or OIG work in general Note that Congressional inquiries dealing with offices other than OIG are covered in Series 5 of this schedule	TEMPORARY Delete/destroy after 3 years or when no longer needed for agency business, whichever is later

*Series 5 - Office of Public and Congressional Affairs Records* [Supersedes N1-413-01-2, #1, 4, 5 and N1-413-76-1 #33]

#	Item	Description	Retention
A	Congressional testimony files	Contains transcripts of testimony of Board Members or other NCUA staff before various Congressional committees concerning agency programs, policies, or the credit union industry in general Annual volume 1 CF	PERMANENT Transfer to the National Archives 10 years after the end of the particular Congress (e.g., 106 <sup>th</sup> )
B	Congressional inquiries	Contains correspondence with members of Congress regarding NCUA-related subjects	TEMPORARY Delete/destroy after 3 years or when no longer needed for agency business, whichever is later
C	News releases	Contains official NCUA news releases and other prepared statements or announcements issued for distribution to the news media Annual volume 5 CF	PERMANENT Transfer to the National Archives after 10 years
D	Biographical files	Contains biographical information on high-level agency officials, including NCUA Board Members and Chairman, the Executive Director, and Office Directors Includes curriculum vitae, notification of appointment, dates of service, etc Annual volume 5 CF	PERMANENT Transfer to the National Archives 10 years after the termination of the appointment