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| 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 NI-413-09-4 | |
| 1 From (Agency or establishment) National Credit Union Administration | | Date Received 9/29/09 | |
| 2 Major Subdivision | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. | |
| 3 Minor Subdivision | | | |
| 4 Name of Person with whom to confer Dieter Blume | 5 Telephone (include area code) 703-518-6457 | Date | Archival or Records States WITHDRAWN |

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 10 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 <i>Dieter Blume</i> | Title Records Officer | Date (mm/dd/yyyy) 9-29-09 |
|---|---------------------------------|-------------------------------------|

| 7 Item Number | 8 Description of Item and Proposed Disposition | 9 GRS or Superseded Job Citation | 10 Action taken (NARA Use Only) |
|---------------|--|----------------------------------|---------------------------------|
| | <p>Electronic Records Schedule</p> <p>Series 1: Credit Union Online (A-D) Series 2: 5310 Corporate Credit Union Call Report System (A-D) Series 3: Automated Integrated Regulatory Examination System (AIRES) (A-E) Series 4: Corporate Examination Program System (A-D) Series 5: Corporate 110 System (A-D) Series 6: Management Information System (MIS) (A-D) Series 7: Central Liquidity Facility (CLF) Accounting System (A-D) Series 8: Emergency Management System (EMS) (A-D) Series 9: Field of Membership Internet Application (FOMIA) (A-D) Series 10: Management Automated Resource System (MARS) (A-D) Series 11: Office & Individual Database and Spreadsheet Systems (A-D) Series 12: Display, Lookup, & Other Minor Agency-Wide Systems (A-D) Series 13: EDS Direct (A-D) Series 14: Asset Management & Assistance Center Systems (A-D)</p> <p>See attached 10 page schedule, which includes superseding citations.</p> | | |

N1-413-09-4 ELECTRONIC RECORDS

This schedule covers content held in or produced by or for NCUA's custom application software. All records scheduled here may be moved to offsite storage when the volume warrants. All cutoffs are annual unless otherwise specified.

Series 1 - Credit Union Online [Supersedes N1-413-02-2 first #4 (5300) and second #4 (ROO)]

Office of Primary Interest Office of Examination and Insurance

Description of System A web-based program to capture and display credit union information. It includes an online application for credit unions to manage profile information and submit their 5300 Call Report and Report of Officials data. This system was rewritten and deployed in 2009. It has subsumed several other systems in its functionality, specifically the Report of Officials (ROO), the Forms Management System (FMS), and the Letters and Assignments Management Process System (LAMPS).

| # | Item | Description | Retention |
|---|----------------------|---|--|
| A | System inputs | 5300 call report data collected from natural person credit unions Note: there is no longer an input file per se. The credit unions using this web-based system interact directly with the central database. | Not applicable |
| B | System data | Data submitted by individual credit unions containing information on the institution's financial condition and activities. The tables include information about assets, liabilities, income, expenses, net worth, balances due, investments, accruals, performance of loans, commitments, and collateral. | TEMPORARY Delete/destroy when 30 years old or when no longer needed for agency business, whichever is later. |
| C | System outputs | Financial reports showing trend, aggregate, and individual credit union data as well as ad hoc reports. | TEMPORARY Delete/destroy when no longer needed for agency business. |
| D | System documentation | Online help files, data dictionary | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded. |

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Series 2 - 5310 Corporate Credit Union Call Report System [Supersedes N1-413-02-2 #6]

Office of Primary Interest Office of Corporate Credit Unions

Description of System Financial and statistical data collected on corporate credit unions. The data, collected monthly, is stored in tables and used by several systems within the agency. Includes quarterly statements of condition and income, and supplemental schedules for the balance sheet and income statement

| # | Item | Description | Retention |
|---|----------------------|--|---|
| A | System inputs | The 5310 call report data collected from corporate credit unions | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified |
| B | System data | Data submitted by individual credit unions containing information on the institution's financial condition and activities. The tables include information about assets, liabilities, income, expenses, net worth, balances due, investments, accruals, performance of loans, commitments, and collateral | TEMPORARY Delete/destroy when 30 years old or when no longer needed for agency business, whichever is later |
| C | System outputs | Monthly financial reports showing aggregate and individual credit union data. Reports are also created on an ad hoc basis by select users in the agency | TEMPORARY Delete/destroy when no longer needed for agency business |
| D | System documentation | Online help files, data dictionary | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded |

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Series 3 - Automated Integrated Regulatory Examination System (AIRES) [Supersedes N1-413-02-2 #2 & 3]

Office of Primary Interest Office of Examination and Insurance

Description of System Data collected from annual examinations of credit unions by Federal and state examiners in evaluating the safety and soundness of the institution

| # | Item | Description | Retention |
|---|---|---|---|
| A | System inputs (personally identifiable information) | Loan and share data and any other data that includes personally identifiable information about credit union members | TEMPORARY Delete/destroy immediately after the file has been uploaded |

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|---|--------------------------------------|---|--|-------------------|
| B | System inputs - all other | Data from credit unions, data entered by examiners | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified | GRS 20 |
| C | System data | Financial data from and about credit unions, spreadsheets, examiner data, examination reports | TEMPORARY Delete/destroy when 7 years old or when no longer needed for agency business, whichever is later | |
| D | System outputs | Reports of Examination and other reports | TEMPORARY Delete/destroy when no longer needed for agency business | GRS 20 |
| E | System documentation | Users manual, electronic help files built into application, data dictionary | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded | GRS 20 |

Series 4 - Corporate Examination Program System [Supersedes N1-413-02-5]

Office of Primary Interest Office of Corporate Credit Unions

Description of System Data collected from annual examinations of corporate credit unions and used by corporate credit union examiners in evaluating the financial safety and soundness of the institution

| # | Item | Description | Retention | |
|---|---------------------------------|---|--|-------------------|
| A | System inputs | Loan, share, and investment data, plus data entered by the examiner | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified | GRS 20 |
| B | System data | Financial data from and about credit unions, spreadsheets, examiner data, examination reports | TEMPORARY Delete/destroy when 7 years old or when no longer needed for agency business, whichever is later | |
| C | System outputs | Reports of Examination and work papers | TEMPORARY Delete/destroy when no longer needed for agency business | GRS 20 |
| D | System documentation | Users manual, electronic help files built into application, data dictionary | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded | GRS 20 |

Series 5 - Corporate 110 System [Supersedes N1-413-02-2 #7]

Office of Primary Interest Office of Corporate Credit Unions

Description of System Database used to track examination information. It is used in conjunction with the Corporate Examination Program System

| # | Item | Description | Retention | |
|---|----------------------|---|--|--------|
| A | System inputs | Data input by examiners | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified | GRS 20 |
| B | System data | Financial data on individual corporate credit unions | TEMPORARY Delete/destroy when 7 years old or when no longer needed for agency business, whichever is later | |
| C | System outputs | One page report summarizing corporate examination information | TEMPORARY Delete/destroy when no longer needed for agency business | GRS 20 |
| D | System documentation | Data dictionary | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded | GRS 20 |

Series 6 -Management Information System (MIS) [Supersedes N1-413-02-2, #1]

Office of Primary Interest Office of Examination and Insurance

Description of System A system containing information about each credit union (natural person and corporate) in the agency database. MIS tracks the current status and history of active and inactive credit unions nationwide. MIS is also used to reserve credit union names

| # | Item | Description | Retention | |
|---|---------------|---|---|--------|
| A | System inputs | Data entered by staff in the regional and central offices based on information from credit unions and CUA staff | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified | GRS 20 |
| B | System data | Charter numbers, CU type, address information, status, events (like mergers, liquidations, etc) and the reasons for those events, Congressional districts, year first opened, chartering data, insurance data, etc | TEMPORARY Delete/destroy 10 years after the dissolution of the charter or when no longer needed for agency business, whichever is later | |

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|---|----------------------|---|---|
| C | System outputs | Directories of credit unions, ad hoc reports. The system also creates data that is used as input for most program-related systems in the agency | TEMPORARY Delete/destroy when no longer needed for agency business |
| D | System documentation | Data dictionary | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded |

Series 7 - Central Liquidity Facility (CLF) Accounting System [Supersedes N1-413-02-2 #8]

Office of Primary Interest Office of Capital Markets & Planning, Central Liquidity Facility

Description of System Database used to record accounting entries to account for regular and agent member stock subscriptions and liquidity reserve accounts and loan transactions and the Central Liquidity Facility's investment income and expenses and budget preparation. It contains confidential credit union information.

| # | Item | Description | Retention |
|---|----------------------|---|--|
| A | System input | Bank statements and cancelled checks, etc., written and verbal instructions from members, billing invoices, member deposits and requests for funds, cash receipts/disbursements and non-cash journal vouchers and supporting documentation, wire transfer authorizations, data disks, electronic data files from corporate credit union, membership applications, loan applications, and loan documentation | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified. Some of these inputs are scheduled in N1-413-09-1, Series 5 a through c and that schedule governs their retention |
| B | System data | Annual stock subscription billing statements, regular and agent member quarterly dividend statements, financial statement packages, general ledger line item summaries, member total reports, trial balances, general ledger account summaries | TEMPORARY Delete/destroy 5 years after membership is terminated or when no longer needed for agency business, whichever is later |
| C | System outputs | General Ledger Account Summaries, Annual Stock Subscription Billing Statements, Quarterly Regular and Agent Member Account Statements, Trial Balances, General Ledger Line Item Summaries, Member Total Reports, Agency Budget Reports for calculating CLF portion of NCUA's operating expenses | TEMPORARY Delete/destroy after 3 years or when no longer needed for agency business, whichever is later |
| D | System documentation | Online help files, desktop procedural manuals | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded |

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Series 8 -Emergency Management System (EMS)

Office of Primary Interest Office of Capital Markets and Planning

Description of System A system used to track and monitor the operational status of credit unions that are affected by any emergency, such as hurricanes and other natural and man-made disasters

| # | Item | Description | Retention |
|---|----------------------|--|--|
| A | System inputs | Initial load is from MIS Credit unions can edit certain fields through interaction with the Magic Help Desk System. NCUA staff input data directly into the system | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified |
| B | System data | MIS data, status data The data in the system is of transitory relevance | TEMPORARY Delete/destroy 7 years after the emergency situation has fully cleared or when the data are no longer needed for agency business, whichever is later |
| C | System outputs | Online reports and displays of operating status | TEMPORARY Delete/destroy when no longer needed for agency business |
| D | System documentation | User documentation | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded |

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Series 9 -Field of Membership Internet Application (FOMIA) [Supersedes N1-413-02-2, #9]

Office of Primary Interest Office of Examination and Insurance

Description of System System used for credit unions to submit Field of Membership applications for adding associational and/or occupational groups of 2,999 potential members or less

| # | Item | Description | Retention |
|---|---------------|---|---|
| A | System inputs | Data supplied by credit unions | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified. |
| B | System data | Information related to Field of Membership expansions | TEMPORARY Delete/destroy after 7 years or whenever no longer needed for agency business, whichever is later |

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|---|----------------------|-------------------------------|---|--------|
| C | System outputs | Standard and ad hoc reports | TEMPORARY Delete/destroy when no longer needed for agency business | GRS 20 |
| D | System documentation | Users manual, data dictionary | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded | GRS 20 |

Series 10 -Management Automated Resource System (MARS)

Office of Primary Interest Office of Examination and Insurance

Description of System Management information system and an automated system for budget management and resource allocation (workload budget) The system is used primarily by Supervisory Examiners to manage their SE groups It provides a view of credit union data, like 5300 data, examination information, etc Only the unique information managed by the system is included here

| # | Item | Description | Retention | |
|---|----------------------|--|--|--------|
| A | System inputs | Data entered by examiners, supervisory examiners, and office staff | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified | GRS 20 |
| B | System data | Workforce budget data | TEMPORARY Delete/destroy when 5 years old or when no longer needed for agency business, whichever is later | |
| C | System outputs | Various reports | TEMPORARY Delete/destroy when no longer needed for agency business | GRS 20 |
| D | System documentation | Online help screens | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded | GRS 20 |

Series 11 -Office and Individual Database and Spreadsheet Systems

Office of Primary Interest Varies

Description of System Office-level systems used primarily to track work, perform analyses, and other tasks The type of system used (Access, Excel, SQL, etc) is irrelevant, and systems may still be covered in this category if data are transferred from the system to the agency's main database

| # | Item | Description | Retention |
|---|----------------------|---|---|
| A | System inputs | These systems are often, but not always, fed to some extent from the central databases. They are often supplemented by user-entered data. There may be no formal input files or documents. For log systems, the inputs may be items of correspondence, which are covered elsewhere in the NCUA records schedules. | TEMPORARY. If present and not otherwise covered by approved agency records schedules, delete/destroy after the data have been entered into the system and verified. |
| B | System data | This item refers to the actual contents of the system. For many small systems, this is the only item that actually exists. | TEMPORARY. Delete/destroy when the system is superseded or becomes obsolete. |
| C | System outputs | Reports, extracts, screenshots, printouts, etc. | TEMPORARY. Delete/destroy when no longer needed for agency business. |
| D | System documentation | Varies. Often there is no documentation for these systems. | TEMPORARY. Delete/destroy when no longer needed for agency business or when superseded. |

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Series 12 - Display, Lookup, and Other Minor Agency-Wide Systems

Office of Primary Interest Varies

Description of System OCIO builds and maintains a variety of systems, usually but not exclusively web-based, to provide access to information stored in agency databases. These systems may be targeted for the general public, credit unions, agency staff, or some combination of these audiences.

| # | Item | Description | Retention |
|---|----------------------|--|---|
| A | System inputs | Generally credit union data and/or data from the agency's financial management system. | These records are detailed elsewhere in this schedule. |
| B | System data | Generally there is little or no unique data. User interaction is primarily to target desired information and has no lasting value. | TEMPORARY. Delete/destroy when the system is superseded or becomes obsolete. |
| C | System outputs | Reports, extracts. | TEMPORARY. Delete/destroy when no longer needed for agency business. |
| D | System documentation | Online help. | TEMPORARY. Delete/destroy when no longer needed for agency business or when superseded. |

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Series 13 - EDSDirect

Office of Primary Interest Office of Small Credit Union Initiatives

Description of System EDS Direct is a web-based application used to manage, monitor and report the results of NCUA's small credit union program. Users enter specific requests for assistance and the requests flow to the regional office and then to OSCUI for approval. For proposed charter groups, EDSs enter contact reports in EDS Direct to document how their time was spent with each group. For chartered credit unions, much of the information is entered into AIRES.

| # | Item | Description | Retention | |
|---|----------------------|--|--|--------|
| A | System inputs | Data entered by examiners, supervisory examiners, economic development specialists, and office staff | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified | GRS 20 |
| B | System data | Data from and about existing and proposed credit unions, reports from economic development specialists | TEMPORARY Delete/destroy when 7 years old or when no longer needed for agency business, whichever is later | |
| C | System outputs | Various reports | TEMPORARY Delete/destroy when no longer needed for agency business | GRS 20 |
| D | System documentation | Online help screens | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded | GRS 20 |

Series 14 - Asset Management and Assistance Center Systems

Office of Primary Interest Asset Management and Assistance Center

Description of System This is a collection of systems that provide the computing platform for the accounting functions of credit unions involved in the process of liquidation.

| # | Item | Description | Retention | |
|---|---------------|---|---|--------|
| A | System inputs | The inputs are primarily from credit unions, supplemented with data from liquidation analysts and other staff | TEMPORARY Delete/destroy after the data have been transferred to the master file and verified | GRS 20 |

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|---|----------------------|--|---|
| B | System data | Data used to control the liquidation process | TEMPORARY Delete/destroy when 10 years old or when no longer needed for agency business, whichever is later |
| C | System outputs | Various reports | TEMPORARY Delete/destroy when no longer needed for agency business |
| D | System documentation | Online and printed help | TEMPORARY Delete/destroy when no longer needed for agency business or when superseded |

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