

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-101-01-1</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>12-7-2000</i>	
1 FROM (Agency or establishment)  Office of the Comptroller of the Currency		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2 MAJOR SUBDIVISION Bank Supervision Policy			
3 MINOR SUBDIVISION Core Policy Development			
4. NAME OF PERSON WITH WHOM TO CONFER Sherry D. Smith	4. TELEPHONE NUMBER 202-874-5035	DATE <i>6-26-01</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
5. 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 needed now for the business for 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 11/15/00	SIGNATURE OF AGENCY REPRESENTATIVE <i>Sherry D. Smith</i>		TITLE OCC Records Manager
7 ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached.	<i>NI-101-94-001</i>	
<i>Copies sent: Agency, NOME, NR</i>			

## OCC RECORDS SCHEDULE

**System Title:** Examiner View

**Program:** Bank Supervision Operations

**NARA Disposal Authority:** To be obtained

**Applicability:** Agency-wide

### **Identifying Information**

**Description:** Examiner View supports OCC in its mission of supervising and examining community, mid-size, and credit card banks. The system includes Examiner View (used principally by field examiners); Office View (used principally by management); and Examiner View Reports (used to query supervision data). The purpose of Examiner View is to maintain information about banking institutions; enable strategic planning of the supervision of individual institutions, including bank examinations; support the examination of individual banks; capture individual bank examination information (including working papers), and provide analytical and monitoring capabilities to examiners and management, both in the districts and in the Washington Office.

Individual inputs include information entered by examiners and other bank supervisory staff; bank examination working papers attached to the system, and inputs from other systems including SMS, Institution Database, and NBSVDS. The system maintains information about institutions' profiles, operations and environment, exam indicators, asset data, matters requiring attention (MRA), violations of law, enforcement actions, significant events, bank surveys, and financial summaries. Bank examination information captured in the system includes module and exam conclusions, the report of examination, and bank examination working papers.

**Specific Restrictions:** Confidential Bank Information  
Privacy Act

**Vital Record:** Yes

**Specific Legal Requirements:** Title 12 of USC

### **Disposition Information:**

#### **1. Inputs.**

The major inputs are institution information (Institution database), exam data (SMS) and financial data (from NBSVDS), and manually entered information input by examiners and the supervisory office.

~~a. Institution Database (Institution information).~~

~~Disposition: Scheduled under N1 101 97 2, Item 3. WITHDRAWN~~

~~b. Supervisory Monitoring System (prior exam data)~~

~~Disposition: Scheduled under N1 101 97 1, Item 3. WITHDRAWN~~

~~c. NBSVDS (financial information, such as found on the Call Report).~~

~~Disposition: Scheduled under N1 101 97 1, Item 1. WITHDRAWN~~

~~d. Records of Supervisory Activity (administrative actions, civil money penalty final actions, correspondence.~~

~~Disposition: Scheduled under N1 101 90 2, Item 2.3. WITHDRAWN~~

e. Bank Examination Working Papers

1. Electronically scanned working papers attached to Examiner View (EV)

a. Paper Originals.

Disposition: Temporary. Destroy paper originals upon verification of the master file.

b. Scanned Copy.

Disposition: Temporary. Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.

2. Electronic documents in various formats attached to Examiner View (EV)

Disposition: None. No input remains after document has been attached to Examiner View.

**2. Master File.**

Types of data and examples of data elements in EV includes: 914 processing, branch summary, CRA Sub ratings, Enforcement Action Article, Institution Insurance and Annuities, Plan Exam Module, Plan Exam Procedure, Rating Category, Supervision Category, Violations, Work Assignments. Disposition of the master file data is determined by the two data components institution data and examination data. Disposition of examination data is managed by the active and inactive status of the bank to which it relates.

a. Institution supervisory data (examples includes Institution Profile, Operations and Environment, Exam Indicators, Asset Data, Matters Requiring Board Attention, Violations of Law, Enforcement Actions, Significant Events, Bank Surveys, and Financial Summaries).

Disposition: Temporary. Break data at the end of each calendar year. Retain 30 years or until no longer needed for administrative, fiscal, or legal purposes, whichever is later.

b. Examination data for active banks (examples include Exam Module, Exam Module Results, Exam Procedures, Exam Procedure Results, Exam Working Papers, Exam/Analysis). Break data at the completion of each examination

Disposition: Temporary. Retain a minimum of three years for safety-and-soundness examinations, then delete if no longer needed for legal or supervisory reasons. Retain two completed examinations a minimum of three years for specialty examinations, then delete if no longer needed for legal or supervisory reasons.

c. Examination data for inactive banks (same as data for active banks) Break documents/ data when the bank becomes inactive.

Disposition: Temporary. Retain for eleven years, then delete if no longer needed for legal or supervisory reasons.

### **3. Outputs.**

~~a. The major outputs are records of supervisory activity (ROEs), various exam status and statistical reports, and examination process tracking reports.~~

~~Disposition: Scheduled under N1-101-90-2, Item 2.3 (records of supervisory activity) and Item 1.5 (status, statistical and tracking reports). WITHDRAWN~~

### **4. Documentation.**

a. Regardless of medium, record layouts, coding sheets/code books, technical description of the file, and users manuals.

Disposition: Temporary. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related data, or upon destruction of the output of the system if the output is needed to protect legal rights, which is latest.