

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-101-081	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/26/07	
1 FROM (Agency or establishment) Office of the Comptroller of the Currency		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Financial Management		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Records Management Program			
4 . NAME OF PERSON WITH WHOM TO CONFER Mary Donovan	4 TELEPHONE NUMBER 202-874-4782	DATE 6/3/07	ARCHIVIST OF THE UNITED STATES Allen Wevants
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 2 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 8/22/07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan L. Fallaway</i>		TITLE Agency Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION Bank Fraud Information System	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

Re 6/5/08 copies sent to agency, NWSMU, & PR

This records retention schedule applies to all formats and media in which records are created and maintained at the OCC, including paper, microfilm, and electronic records.

Item 1. Bank Fraud Information System

Purpose. This system tracks and documents complaints or inquiries concerning fraudulent or suspicious financial entities, instruments and transactions. These records assist the OCC in its efforts to protect banks and their customers from fraudulent or suspicious banking activities. Over time, this electronic system will replace hard copy bank fraud investigative case files.

A. Master File

The system contains two subsystems: fraud and anti-fraud. One record in the system is created for each suspect entity, usually a fictitious company or a person.

a) The anti-fraud subsystem contains point of contact information of other federal agencies or other organizations involved in anti-fraud efforts

Disposition: Temporary. Update or delete information when superseded or when no longer needed.

b) The fraud subsystem contains data elements relating to a bank fraud inquiry (date, contact, phone number, comments, and attachments) and data elements relating to a bank fraud entity (suspect entity, location, phone number, operation type, comments, attachments, cross references to hard copy bank fraud investigative case files)

Attachments may contain correspondence between the OCC and the individual or entity submitting a complaint or inquiry, correspondence between the OCC and an OCC-regulated entity, or correspondence between the OCC and other law enforcement or regulatory bodies. Other records maintained in this system may contain arrest, indictment and conviction information, and information relating to administrative actions taken or initiated in connection with complaints or inquiries

Disposition. Temporary Delete/destroy 40 years after the date of the last inquiry on suspect entity.

B. Inputs

Data in the system is input electronically, by manual data entry, or scanning of hard copy documents.

Disposition. Temporary. Delete or destroy after data entered and validated

C. Outputs

The only outputs are electronic copies of the suspect entity's record sent outside OCC or to another OCC unit and these are captured in system.

D. System Documentation

Application software and/or application code, record layouts, technical descriptions of the files, user guides, and other records required for maintenance of system and access/use of data.

Disposition: Temporary Destroy or delete when system is obsolete or superseded, or when no longer needed to access or interpret system data, whichever is later.

E. Bank Fraud Investigative Case Files (hard copy)

Records relating to a bank fraud inquiry including correspondence between the OCC and the individual or entity submitting a complaint or inquiry, correspondence between the OCC and an OCC-regulated entity, or correspondence between the OCC and other law enforcement or regulatory bodies. The records may contain arrest, indictment and conviction information, and information relating to administrative actions taken or initiated in connection with complaints or inquiries

Disposition: Temporary. Destroy 40 years after the date of the last inquiry on suspect entity.