

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>U1-101-97-1</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>1-29-97</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 see attached			
4 NAME OF PERSON WITH WHOM TO CONFER Jeanne Ratchford	5 TELEPHONE (202) 874-5035	DATE <i>7-31-00</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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 ___ 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, or <input type="checkbox"/> has been requested			
DATE <i>1/14/97</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Maizorie Gustafson</i>	TITLE Associate Director Administrative Operations	

7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>see attached</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>[Signature]</i> <u>7/6/00</u> NARA appraiser date Agency representative date</p> <p><i>Agency name NWMU NR</i></p>		

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2. MAJOR SUBDIVISION Bank Supervision Policy			
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DATE <i>1/14/97</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Majorie Gustafson</i>		TITLE Associate Director Administrative Operations
7. Item No	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>see attached</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>[Signature]</i> <u>7/6/00</u> <i>Majorie Gustafson</i> <u>7/6/00</u> NARA appraiser date Agency representative date</p>		

Office of the Comptroller of the Currency (OCC)
Job Number N1-101-97-001

INTERNATIONAL AFFAIRS/INTERNATIONAL BANKING AND FINANCE

1. Foreign Branches

The Foreign Branches system gathered and reported call data on overseas branches of national banks. The Foreign Branches system is inactive. It is being maintained for access to historic data only.

~~1. Inputs~~

- ~~a. Form 030, "Foreign Branch Report of Condition"~~

~~Disposition: Data comes from outside OCC. GRS 20 Item 1b.~~

2. Master File

- a. The data includes: Geographical Code, State Code of Parent Bank, Type of Branch, Charter of Bank, Branch Code, Parent Name, Name of City/State of Parent Bank, Name of Branch, Date Branch Established, Street Address of Branch, Geographical Location of Branch, Trust Code of Bank, Code of Country where Branch is located, Name of Country where Branch is Located, Code of City where Branch is located, Name of City where Branch is located, Class of Bank, Consolidation Code, Date of Call, Call Data.

Disposition: Temporary. Cut off and transfer data off-line when 10 years old. Destroy when 15 years old.

~~3. Outputs~~

- ~~a. Reports that provided a listing of foreign branches sorted by country, and a balance sheet for each foreign branch~~

~~Disposition: Scheduled under N1 101 90 2, Item 1.2e~~

4. Documentation

- a. Regardless of medium, record layouts, coding sheets/code books, technical description of the file, and Users Manuals.

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

BANK SUPERVISION POLICY/CORE POLICY

2. National Bank Surveillance Video Display System

The National Bank Surveillance Video Display System (NBSVDS) is a tool used by the OCC examiners and managers to retrieve an/or analyze financial and other supervisory information on financial institutions. Institutions include: national banks, savings banks, bank holding companies and trust departments/companies.

~~1. Inputs~~

- ~~a. Data received from the Federal Deposit Insurance Corporation (FDIC) and Federal Reserve Board (FRB) and downloaded data from Call Reports provided by the FDIC~~

~~Disposition: Data comes from outside OCC. GRS 20 Item 1b.~~

2. Master File

- a. Types of Data and examples of data elements in NBSVDS includes: Bank Financial Information; Peer Average Ratios and Percentile Ranks; Bank Structure Information; Statistical Data Sheet-information collected for national banks only; and Database Questionnaire information.

Disposition: Temporary. Cut off and destroy data when ten years old or when no longer needed for administrative, legal, audit , or other operational purposes, whichever is later.

~~3. Outputs~~

- ~~a. Customized reports and preformatted reports such as the Uniform Bank Performance Report (UBPR), Supervisory Data Sheet (SDS), and the Bank Holding Company Performance Report (BHCPR).~~

~~Disposition: Scheduled under N1 101 90 2, Item 1.5~~

4. Documentation

- b. Regardless of medium, record layouts, coding sheets/code books, technical description of the file, and Users Manuals.

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

3. Supervisory Monitoring System

The Supervisory Monitoring System (SMS) is an integrated system of automated applications. The objective of the SMS is to construct and maintain an electronic bank file, thereby eliminating the need for numerous paper-based files. SMS serves as the focal point for all types of supervisory activity for any regulated entity regardless of type, size, rating or other characteristics.

~~1. Inputs~~

- ~~a. Exam generated (i.e. type of examination performed); Other Events (i.e. significant events such as board meetings or media coverage); Enforcement Actions(i.e. special supervision activities that are initiated, completed, and/or terminated and whenever civil~~

~~money penalty amounts are recommended, negotiated, or paid); and Institution Indicators (i.e. codes entered to categorize banking institutions.)~~

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

2. Master File

- a. The SMS consists of the following applications: Administrative Actions, Analysis, Security Functions, Bank Expert for SMS, Batch Report Submission, Enforcement Actions, Early Warning, Housekeeping, Incoming Correspondence, Maintenance, Main Menu, Monitor Progress, Other Significant Events, Problem Bank, Profile Report, Referrals, Supervisory Summary Comments, Statistical Data, Scheduling Information, Queue Processing, Supervisory Plan, Scheduling/Tracking Menu, Training Banks, Tracking Information, and Utilities.

Disposition: Temporary. Cut off and transfer data off-line when 15 years old. Destroy when 30 years old or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

~~3. Outputs~~

- ~~a. Institution profile reports, and aggregation lists.~~

~~Disposition: Scheduled under N1 101 90 02, Item 1.2e and Item 1.5.~~

4. Documentation

- c. Regardless of medium, record layouts, coding sheets/code books, technical description of the file, and Users Manuals.

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

4. Text Processing System

The Text Processing system (TX) supports other applications systems by providing users the ability to create and manipulate text data while in an ADS/Online session.

~~1. Inputs~~

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

2. Master File

Disposition: Temporary. Cut off and transfer data off-line when 15 years old. Destroy when 30 years old or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

3. Outputs

- a. none

4. Documentation

- a. Regardless of medium, record layouts, coding sheets/code books, technical description of the file, and Users Manuals.

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