

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-101-97-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 3/17/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

System Documentation Items 1.4.a, 2.4.a, and 4.4.a are superseded by GRS 3.1 Item 051 (DAA-GRS-2013-0005-0003)

System Documentation Item 3.4.a superseded by GRS 3.1 Item 050 (DAA-GRS-2013-0005-0002)

Item 4.2.a Shared National Credit Masterfile superseded by N1-101-07-002 item 1

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-101-97-2</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>1-29-97</i>	
1 FROM (Agency or establishment) <i>Office of the Comptroller of the Currency</i>		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 <i>Bank Supervision Operations</i>			
3 MINOR SUBDIVISION <i>see attached</i>			
4 NAME OF PERSON WITH WHOM TO CONFER <i>Jeanne Ratchford</i>	5 TELEPHONE <i>(202) 874-5035</i>	DATE <i>7-14-00</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</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>Majoire Gustafson</i>		TITLE <i>Associate Director Administrative Operations</i>
7 Item No	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<i>see attached</i>		
<p>All changes to this proposed schedule have been approved by:</p> <p><i>[Signature]</i> <i>3/9/00</i> <i>Majoire Gustafson</i> <i>3/20/00</i> NARA appraiser date Agency representative date</p> <p><i>Agency, NR, NWMWA, NWM E</i></p>			

Office of the Comptroller of the Currency (OCC)
Job Number N1-101-97-002

BANK SUPERVISION OPERATIONS/LICENSING POLICY AND SYSTEMS

Item 1. Corporate Activities Information System (CAIS)

The CAIS maintains information on corporate filings for national banks and branches, and it tracks and reports on the corporate licensing processes at the OCC.

~~1. Inputs~~

- ~~a. Data is manually entered from information obtained from corporate filing applications submitted by financial institutions or individuals for the banks, and from analyses by OCC licensing staff members.~~

~~Disposition: Scheduled under N1-101-90-2, Item 2.2~~

2. Master File

- a. The data includes information concerning corporate filing activity, proposals, decisions, comments for the applications and from other regulators, corporate information on new bank charters, mergers, reorganizations, conversion of state banks to national charters, operating subsidiaries, branches, ATM's, relocations, capital changes, and filing institution information such as type, name, and address.

Disposition: Temporary. Cut off and transfer data off-line when 15 years old. Destroy when 30 years old.

~~3. Outputs~~

- ~~a. Weekly bulletins, a quarterly journal, and a variety of reports including those for senior management, for legal purposes, and for other bank regulators.~~

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

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 OPERATIONS/COMPLIANCE MANAGEMENT

Item 2. Fair Housing Loan Data System (FHHLDS)

The FHHLDS was intended to maintain information on mortgage applicants and granted mortgages, and to conduct statistical analyses to support determinations on whether or not banks were discriminating in lending practices. Information in FHHLDS did not prove to be useful and the OCC stopped collecting data for this system. These data are not used for analyses and the system was not superseded.

~~1. Inputs~~

~~a. Data submitted to the OCC by banks on a voluntary basis.~~

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

2. Master File

- a. Currently the system contains 2 years of incomplete data. Data elements may include the following: charter number, center-number, application number, amount requested, months-maturity, county, state, number-units, year-built, purpose of loan, app-age, app-marital, is there a coapp, coapp-age, coapp-marital, app-income, coapp-income, housing-payment, price, other-debt, app-race, app-sex, coapp-race, coapp-sex, bank-relationship, census-tract, appraised-value, loan-disp, commit-date, type of mortgage, private-insur, loan-amount, simple-int-rate, points-to-buyer, maturity, downpayment, status-flag, last-process-date, error-status, and app-date.

Disposition: Temporary. Destroy data when it is ten years old.

3. Outputs

~~a. Statistical Reports~~

~~Disposition: Scheduled under N1 101 90 002, Item 1.2b.~~

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 OPERATIONS/BANK ORGANIZATION AND STRUCTURE

Item 3. Institution Database

The Institution database provides a centralized source for institutional structure data (i.e., bank name, location, titles, ownership, contracted services, transformation, trust and classification) to support the OCC's supervision, licensing, and administrative functions.

~~1. Inputs~~

- ~~a. Manually entered data from information submitted to the OCC by institutions and data entered electronically from cartridges provided by the Federal Insurance Corporation (FDIC) and by the Board of Governors of the Federal Reserve System (FRB).~~

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

2. Master File

- a. Examples of data elements include: Contracted Service, Contracted Service Provider, Contracted Service Receiver, Contracted Service Type Code, Institution History Full Name, Institution History Location, Institutional History Mail, Institution Short Name, Institution Active Code, Institution Branch/Agency, Institution Branch, Institution Domestic Bank, Institution EDP Provider, Institution Established, Institution FDIC, Institution FRB, Institution, Institution Location, Institution Mailing, Institution Transfer Agent, Institution Trust Activity, Institution Trust Powers Code, Institution Type Code, Institution Ownership, Institution Trust Activity, Institution Type Code, Institution Ownership, Institution Owned Institution Identifier; and Institution Transformation Date.

Disposition: Permanent. Cut-off by calendar year and transfer public use version in five year blocks to the National Archives and Records Administration according to 36 CFR 1228.188:
270

~~3. Outputs~~

- ~~a. Error Report~~

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

4 Documentation

- a. Regardless of medium, record layouts, coding sheets/code books, technical description of the file, Users Manuals, and any other background information that would be useful or necessary to a researcher using the file.

Disposition: Permanent. Transfer a copy of the documentation with the file to NARA. Transfer updates and changes with subsequent transfer of the file.

BANK SUPERVISION OPERATIONS/MULTINATIONAL BANKING

Item 4. Shared National Credit

The SNC provides information in support of the OCC's responsibility for direct supervision of national banks. The system tracks the shared loans and provides information to bank examiners and senior management. Each shared national credit is reviewed at its agent bank or a designated review bank. The examiners assign a credit rating to each loan. This rating is reported to all participating banks and is used during bank examinations.

~~1 Inputs~~

- a. ~~Reports from banks that participate in the SNC sent on diskettes to OCC. Other data are input from Federal Reserve Board Tapes (FRB) tapes, from examiner's data, and from the OCC Institution Database which is scheduled for permanent disposition under N1 101 97 002, Item 3.~~

~~Disposition: Scheduled under N1 101 90 002, Item 1.5.~~

2. Master Files

- a. The data consists of general information on each shared national credit, including name/location of borrower; type/purpose of credit; agreement, amendment and final maturity dates; total commitment amount and outstanding balance; name of agent/co-agent bank; review bank name and location; SNC rating and internal bank rating; name and location of participating lenders and commitment amount/RSSD number for each.

Disposition: Temporary. Cut off and transfer data off-line when 5 years old. Destroy when 15 years old.

~~3. Outputs~~

- a. ~~Master List of Credits Reviewed report, Report of Lenders and Their Borrowers, and the Shared Credit Review Report. Other reports include: Voting Records Report, Summary Industry Report, Special SIC Borrowers Report, Agent Bank Index, Industry Summary by District of Review, and Basis Structure Record Listing.~~

~~Disposition: Scheduled under N1 101 90 002, Item 1.5~~

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.