

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2012-0001

Schedule Status Returned Without Action

Agency or Establishment Commodity Futures Trading Commission

Record Group / Scheduling Group Records of the Commodity Futures Trading Commission

Records Schedule Applies to Agency-wide

Schedule Subject Legislative Records, Congressional Requests, Brief Banks, Opinion Case Files

Internal agency concurrence will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	4

GAO Approval

Returned Without Action

Outline of Records Schedule Items for DAA-0180-2012-0001

Sequence Number	
1	Legislative Records
1.1	Legislative Records - Significant Disposition Authority Number: DAA-0180-2012-0001-0001
1.2	Legislative Records - Nonsignificant Disposition Authority Number: DAA-0180-2012-0001-0002
2	Legal Research Tools Disposition Authority Number: DAA-0180-2012-0001-0003
3	Opinion Case Files Disposition Authority Number: DAA-0180-2012-0001-0004

Returned Without Action

Records Schedule Items

Sequence Number	
1	<p>Legislative Records Records include but are not limited to legislation, testimony, and reports mandated by Congress on programs within the Agency purview; legislation, testimony, and reports drafted within the Agency; legislation, testimony, and Congressionally-mandated reports that have been referred to the Agency for comment; opinions, interpretations, and advice on matters related to legislation as presented or intended for presentation to Congress (e.g., draft bills, reports, analyses, and correspondence with sponsors, other Agencies, and organizations); specifications for legislative proposals; documentation supporting the Agency's response to Congressional requests; correspondence to/from Members of Congress and correspondence related to constituent requests; and related records.</p>
1.1	<p>Legislative Record - Significant Disposition Authority Number: DAA-0180-2012-0001-0001 Records include those that serve as evidence of the decisions, functions, policies, procedures, operations, or other activities of the Agency. Final Disposition: Temporary Item Status: Withdrawn Is this item media neutral? Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes Do any of the records covered by this item exist as structured electronic data? Yes Disposition Instruction Cutoff Instruction: Cut off at the end of each Congress; when legislation is passed or terminated; when Member departs Congress; or when Congressional request is satisfied. Transfer to Inactive Storage: Transfer records to offsite storage as volume warrants. Retention Period: Destroy 20 year(s) after cutoff Additional Information GAO Approval: Not Required</p>

Returned Without Action

1.2

Legislative Records - Nonsignificant

Disposition Authority Number DAA-0180-2012-0001-0002

Records include working files, drafts, and materials that do not provide evidence of decisions, functions, policies, procedures, operations, or other activities of the Agency; and do not merit long-term retention.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-180-00-1, Item 400

Disposition Instruction

Cutoff Instruction Out of at the end of each Congress; when Member departs Congress; when legislation is passed or terminated; or when Congressional request is satisfied

Transfer to Inactive Storage Transfer to off site storage as volume warrants.

Retention Period Destroy when no longer needed

Additional Information

GAO Approval Not Required

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Legal Research Tools

Disposition Authority Number DAA-0180-2012-0001-0003

The purpose of these tools are to facilitate research into legal opinions and briefs from past CFTC (and predecessor agency) matters and litigated cases. Information contained in the tools may include but is not limited to: copies of Commission opinions and other documents issued/prepared in response to Reparations and Administrative Enforcement cases appealed to the Commission; copies of legal briefs prepared for matters and litigated cases; copies of decisions and opinions issues in cases brought before administrative law judges or the U.S. Courts; and other similar documents.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Retention Period Destroy when superseded, obsolete, or no longer needed for business purposes.

Additional Information

GAO Approval Not Required

Opinion Case Files

Disposition Authority Number DAA-0180-2012-0001-0004

Records document the preparation and development of Commission opinions in Reparations and Enforcement cases that have been appealed to the Commission. Records may include but are not limited to options memoranda, draft decisions, copies of materials forwarded from the Office of Proceedings, research materials, and other related documents.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-180-00-1, Item 412

Disposition Instruction

Cutoff Instruction Cut off file after all appeal rights are exhausted/ expired.

Transfer to Inactive Storage If desired, transfer to offsite storage when 3 years old.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

Returned Without Action

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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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
05/06/2013	Certify	Crystal Zeh	Records Management Officer	Commodity Futures Trading Commission - Commodity Futures Trading Commission
08/07/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
01/20/2015	Return Without Action	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services

Returned Without Action