

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2012-0002
Schedule Status Modified Approved Version

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 Internal Committees, Management Studies, & Mission Policies
Internal agency concurrences 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0180-2012-0002

Sequence Number	
1	Internal Agency Committee and Workgroup Records
1.1	Records of groups making policy decisions or recommendations related to the agency mission and/or having significant agency-wide impact. Disposition Authority Number: DAA-0180-2012-0002-0008
1.2	Records of groups making policy decisions or recommendations related to the agency function, including records of CIO-sponsored or CIO-led groups. Disposition Authority Number: DAA-0180-2012-0002-0002
2	Management Studies, Analyses, Surveys, and Project Reports Disposition Authority Number: DAA-0180-2012-0002-0003
3	Mission-Related Policies and Procedures Disposition Authority Number: DAA-0180-2012-0002-0004

Records Schedule Items

Sequence Number	
1	<p>Internal Agency Committee and Workgroup Records Records document the organization, discussions, and decisions of internal Agency committees, task forces, workgroups, conferences, and boards (collectively referred to as “groups”) that are not established under the Federal Advisory Committee Act (FACA). Records for groups established under FACA are covered by GRS 26. Groups covered by this schedule may focus on either Agency mission issues or administrative issues. This schedule makes a retention distinction between groups making policy decisions or recommendations related to the Agency mission that have significant agency-wide impact and groups making decisions or recommendations related to the Agency mission, but that don’t have significant agency-wide impact. Records of the former have permanent retention. Records of the latter have temporary retention. In making such a distinction, consider the membership of the group. Groups composed entirely of associate or deputy director level or higher staff likely produce records with permanent retention. Similarly, groups studying or effecting major agency changes, such as reorganization likely produce records with permanent retention. Examples of groups not related to the Agency mission include committees tasked with organizing events; overseeing volunteer activities; or employee recreational activities. Records include but are not limited to committee charters; committee operating policies; membership rosters; other organizational documents; agendas; meeting minutes, summaries or transcripts; committee reports; background papers; administrative committee records; and other related documents.</p>
1.1	<p>Records of groups making policy decisions or recommendations related to the agency mission and/or having significant agency-wide impact.</p> <p>Disposition Authority Number DAA-0180-2012-0002-0008</p> <p>Final Disposition Permanent</p> <p>Item Status Inactive</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0180-2018-0006-0001</p> <p>Disposition Instruction</p>

Cutoff Instruction Cut off files when group is terminated; at the end of the fiscal year; or at the end of the calendar year, whichever is applicable.

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after cutoff

Additional Information

First year of records accumulation 2011

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
See Attachment

How frequently will your agency transfer these records to the National Archives? **Unknown**
See Attachment

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.2 **Records of groups making policy decisions or recommendations related to the agency function, including records of CIO-sponsored or CIO-led groups.**

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

Final Disposition Temporary

Item Status Inactive

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 GRS 27, Item 5

Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: GRS 6.3 / 010 (DAA-GRS-2017-0009-0001)

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Disposition Instruction

Cutoff Instruction Cut off files when group is terminated; at the end of the fiscal year; or at the end of the calendar year, whichever is applicable.

Retention Period Destroy 6 year(s) after cutoff

Additional Information

GAO Approval Not Required

Management Studies, Analyses, Surveys, and Project Reports

Disposition Authority Number DAA-0180-2012-0002-0003

Records document the study, analysis, survey, or other assessment of agency organizational structures, policies and procedures, programs, or operating methods. This item covers assessments that are administrative in nature, focused on the operations of the agency and not the operations of the markets or regulated entities that the agency oversees. Records include but are not limited to requests and authorizations to conduct the assessment; data; plans; recommendations; evaluations; interim or status reports; final reports; or other finished products or documents detailing actions taken as a direct result of the assessment. The records are final products and other records deemed necessary for a complete understanding of the final product.

Final Disposition Temporary

Item Status Inactive

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 107

Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0180-2018-0005-0001

Disposition Instruction

Cutoff Instruction Cut off when study, analysis, survey, project, or assessment is final or abandoned.

Retention Period Destroy 6 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Mission-Related Policies and Procedures

Disposition Authority Number **DAA-0180-2012-0002-0004**

Records document agency mission-related policies and procedures. Records include but are not limited to internal policies, procedures, guidelines, and manuals related to the agency mission. Records documenting external guidance to the industry and regulated entities are not covered under this series. Nor are external publications or administrative policies and procedures.

Final Disposition **Temporary**

Item Status **Active**

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**

Disposition Instruction

Cutoff Instruction **Cut off when policy or procedure superseded or cancelled.**

Retention Period **Destroy 20 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

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
08/17/2012	Certify	Crystal Zeh	Records Management Officer	Commodity Futures Trading Commission - Commodity Futures Trading Commission
07/20/2013	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
08/02/2013	Submit For Certification	Kimberly Neutzling	Records Management Specialist	CFTC - CFTC
08/02/2013	Return to Submitter	Crystal Zeh	Records Management Officer	Commodity Futures Trading Commission - Commodity Futures Trading Commission
08/02/2013	Submit For Certification	Kimberly Neutzling	Records Management Specialist	CFTC - CFTC
08/20/2013	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
08/19/2014	Submit For Certification	Kimberly Neutzling	Records Specialist	Commodity Futures Trading Commission - Commodity Futures Trading Commission
08/19/2014	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
01/29/2015	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration

				- Records Management Services
05/04/2015	Submit For Certification	Kimberly Neutzling	Records Specialist	Commodity Futures Trading Commission - Commodity Futures Trading Commission
05/05/2015	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
08/05/2015	Submit for Concurrence	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
08/06/2015	Return to Submitter	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/09/2015	Submit for Concurrence	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
09/16/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/16/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/18/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist