

## Request for Records Disposition Authority

Records Schedule Number      DAA-0180-2012-0004  
Schedule Status                Approved

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                Central Files of the Chairman and Commissioners  
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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	11	0	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0180-2012-0004

Sequence Number	
1	Associated Indices to the Central Files of the Chairman and Commissioners
1.1	Index to the Central Files of Chairman and Commissioners Disposition Authority Number: DAA-0180-2012-0004-0001
1.2	Secretariat Correspondence Locator System
1.2.1	Database. Disposition Authority Number: DAA-0180-2012-0004-0002
1.2.2	Database documentation. Disposition Authority Number: DAA-0180-2012-0004-0003
1.3	Seriatim Log
1.3.1	Official record copy. Disposition Authority Number: DAA-0180-2012-0004-0004
1.4	Federal Register Database Locator System
1.4.1	Database. Disposition Authority Number: DAA-0180-2012-0004-0005
1.4.2	Database documentation. Disposition Authority Number: DAA-0180-2012-0004-0006
2	Central Files of the Chairman and Commissioners
2.1	Official record copy. Disposition Authority Number: DAA-0180-2012-0004-0007
3	Records and Official Minutes of Commission Meetings
3.1	Official record copy. Disposition Authority Number: DAA-0180-2012-0004-0008
3.2	Index to records and official minutes of Commission meetings. Disposition Authority Number: DAA-0180-2012-0004-0009
4	Tapes of Commission Meetings
4.1	Recordings of open and closed Commission meetings. Disposition Authority Number: DAA-0180-2012-0004-0010
4.2	Index to recordings. Disposition Authority Number: DAA-0180-2012-0004-0011

Records Schedule Items

Sequence Number	
1	Associated Indices to the Central Files of the Chairman and Commissioners
1.1	<p>Index to the Central Files of Chairman and Commissioners</p> <p>Disposition Authority Number      DAA-0180-2012-0004-0001</p> <p>This system is the index to the Central Files. This system records the subject file codes and corresponding file titles that are used to index the Central Files and to approximately locate documents in the files by subject. The subject file codes were originally derived from the Master Subject Outline, which was a classification scheme promulgated in the CFTC Records and Disposition Manual around 1980. Over 4,700 file codes and corresponding file titles have been used to date and continue to grow. The Office of the Secretariat adapted the Master Subject Outline to its own filing needs, resulting in a similar classification scheme, known as BIGBOY (and which is the basic table in the Central Files Index. The BIGBOY file code corresponding to the best fitting file title is written on the front page of each document filed in the Central Files. The document is filed for its life in the fiscal year folder for that subject category. This system also records deliberate changes to the BIGBOY table, which occur occasionally to correct errors discovered during research. A secondary purpose of the system is to convert subject file codes to a unique alphanumeric value for use in sorting and linking (the Master Subject Outline, on which the system is based, introduced punctuation unsuitable to reference data, such as the forward slash and the dash). The system also records standardized abbreviations of file types and titles that are included in microfiche headers.</p> <p>Final Disposition                      Permanent</p> <p>Item Status                              Active</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?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p>GRS or Superseded Authority Citation      N1-180-00-1, Item 303</p> <p><b>Disposition Instruction</b></p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives with underlying records when 30 years old.</p>

**Additional Information**

First year of records accumulation **1980**

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

How frequently will your agency transfer these records to the National Archives? **Unknown  
These indices will be transferred at the same frequency as the underlying records (Central Files of Chairman and Commissioners), which is yet to be determined.**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	MB	.5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

**Secretariat Correspondence Locator System**

This system supports the Central Files of the Chairman and Commissioners. The primary purpose of this system is to synopsize each document that passes through the Office of the Secretariat either to or from the Commission, track incoming documents assigned for response to other Divisions/Offices, and record responses and actions taken by or on behalf of the Commission. The system locates each document in the Central Files by the subject file codes applied to the document. Each record in the database corresponds to a document filed in the Central Files. The database has been used since about 1989, however, it is accurate from about 1990 to the present.

1.2.1

**Database.**

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

**Database tracks and indexes documents received by the Commission and referred to other Divisions/Offices for action.**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation This item covers only a database.

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 304a

**Disposition Instruction**

Transfer to the National Archives for Accessioning Transfer to the National Archives with underlying records when 30 years old.

**Additional Information**

First year of records accumulation 1989

What will be the date span of the initial transfer of records to the National Archives? Unknown  
To be determined

How frequently will your agency transfer these records to the National Archives? Unknown  
These records will be transferred at the same frequency as the underlying records (Central Files of the Chairman and Commissioners), which is yet to be determined.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	250 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2.2

**Database documentation.**

Disposition Authority Number DAA-0180-2012-0004-0003

Database documentation includes record layouts, coding sheets/codebooks, technical description of the data, user manuals, and any other background information that would be useful or necessary to a researcher using the data.

Final Disposition **Permanent**

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? **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 304b**

**Disposition Instruction**

Transfer to the National Archives for Accessioning **Transfer a copy of the documentation to the National Archives at the time the data is transferred. Transfer documentation updates and changes with subsequent data transfers.**

**Additional Information**

First year of records accumulation **1989**

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

How frequently will your agency transfer these records to the National Archives? **Unknown  
These records will be transferred at the same frequency as the underlying records (Central Files of the Chairman and Commissioners), which is yet to be determined.**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	.5 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.3

**Seriatim Log**

1.3.1

The primary purpose of this system is to synopsize, identify, and track each seriatim or "sign-off" decision of the Commission. The system tracks the seriatim documents through the Commissioners' offices and into the Central Files. The seriatim documents are document packages recording the votes of the Commissioners, the underlying staff recommendations, any concurrences or dissents of the Commissioners, background documentation, and revisions or edits of orders and other Commission issuances that occur at the Commission level. The system locates each seriatim package in the Central Files by the subject file codes applied to the document.

**Official record copy.**

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

Official record copies consist of bound books for 1978-1982, microfiche for 1982-1995. Beginning in 1996, official record copies are maintained in electronic format.

Final Disposition                      Permanent

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?      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 305a

**Disposition Instruction**

Transfer to the National Archives for Accessioning      Transfer to the National Archives when 30 years old.

**Additional Information**

First year of records accumulation      1978

What will be the date span of the initial transfer of records to the National Archives?      Unknown  
To be determined

How frequently will your agency transfer these records to the National Archives?      Unknown  
To be determined

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	15 MB	

Paper	.5 Cubic feet	
Microform	1 Linear feet of microfiche Microfilm rolls	
Hardcopy or Analog Special Media		

1.4

**Federal Register Database Locator System**

This system relates notices published by the CFTC in the Federal Register to their underlying documents in the Central Files of the Chairman and Commissioners. It is primarily used as a research tool by staff in the Office of the Secretariat.

1.4.1

**Database.**

Disposition Authority Number      DAA-0180-2012-0004-0005

**Database cross-references** Federal Register notices with records contained in Central Files.

Final Disposition                      Permanent

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?      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 306a

**Disposition Instruction**

Transfer to the National Archives for Accessioning      Transfer to the National Archives with underlying records when 30 years old.

**Additional Information**

First year of records accumulation      1975

What will be the date span of the initial transfer of records to the National Archives?      Unknown  
To be determined

How frequently will your agency transfer these records to the National Archives?      Unknown  
These records will be transferred at the same frequency as the underlying records (Central Files of

the Chairman and Commissioners), which is yet to be determined.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	14 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.4.2

**Database documentation.**

Disposition Authority Number **DAA-0180-2012-0004-0006**

Database documentation includes record layouts, coding sheets/codebooks, technical description of the data, user manuals, and any other background information that would be useful or necessary to a researcher using the data.

Final Disposition **Permanent**

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**

Transfer to the National Archives for Accessioning **Transfer a copy of the documentation to the National Archives at the time the data is transferred. Transfer documentation updates and changes with subsequent data transfers.**

**Additional Information**

First year of records accumulation **1975**

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

How frequently will your agency transfer these records to the National Archives? **Unknown  
These records will be transferred at the same frequency as the underlying records (Central Files**

of Chairman and Commissioners), which is yet to be determined.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	178 MB	
Paper	7 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2

**Central Files of the Chairman and Commissioners**  
Records may include but are not limited to official, internal and external correspondence to and from the Commission. Records also include the official decisions of the Chairman and Commissioners.

2.1

**Official record copy.**

Disposition Authority Number      **DAA-0180-2012-0004-0007**

The official record copy of the Central Files consists of microfiche for the years 1975 to approximately 1991. Around 1991, paper became the official record copy format. Beginning in 2013, the Commission began to transition to keeping portions of the official record copy of the Central Files in electronic format.

Final Disposition                      **Permanent**

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?      **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 307**

**Disposition Instruction**

Cutoff Instruction                        **Most files are cut off at the end of the fiscal year. Some files may be cut off at the end of the calendar year or at the end of a particular event.**





GRS or Superseded Authority Citation **N1-180-00-1, Item 308c**

**Disposition Instruction**

Transfer to the National Archives for Accessioning **Transfer data to the National Archives with underlying records when 30 years old.**

**Additional Information**

First year of records accumulation **1975**

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

How frequently will your agency transfer these records to the National Archives? **Unknown  
To be determined**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	15 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

4  
4 1

**Tapes of Commission Meetings**

**Recordings of open and closed Commission meetings.**

Disposition Authority Number **DAA-0180-2012-0004-0010**

Analog recordings commenced in 1975 and continued until 2008, when electronic recordings were gradually phased in. Analog recordings were phased out entirely by the end of 2011. For Commission meetings occurring between 2008 and 2011, there is a mix of analog and electronic recordings.

Final Disposition **Permanent**

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-180-00-1, Item 309a (as amended by DAN-180-2011-001)**

**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply **Analog Sound Recordings**

Cutoff Instruction **Cut off at the end of the calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 30 year(s) after cut off**

**Additional Information**

First year of records accumulation **1975**

End year of records accumulation **2011**

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

How frequently will your agency transfer these records to the National Archives? **Unknown  
To be determined**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>		
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>	<b>16 Tape boxes</b>	

**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Cut off at the end of the calendar year.**

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

**Additional Information**

First year of records accumulation      2008

What will be the date span of the initial transfer of records to the National Archives?      Unknown  
To be determined

How frequently will your agency transfer these records to the National Archives?      Unknown  
To be determined

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	20 GB	
Paper		
Microform		
Hardcopy or Analog Special Media		

4.2

**Index to recordings.**

Disposition Authority Number      DAA-0180-2012-0004-0011

The index may include but is not limited to the following information: recordings dates; brief statement of meeting topic; metadata describing meeting discussion topics; number of tapes, DVDs, etc. used to record each meeting; and (for analog recordings) any recording flaws.

Final Disposition      Permanent

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?      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 309b (as amended by DAN-180-2011-001)



## 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
09/17/2012	Certify	Crystal Zeh	Records Management Officer	Commodity Futures Trading Commission - Commodity Futures Trading Commission
02/07/2013	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
04/30/2013	Submit For Certification	Crystal Zeh	Records Management Officer	Commodity Futures Trading Commission - Commodity Futures Trading Commission
04/30/2013	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
09/17/2014	Submit For Certification	Kimberly Neutzling	Records Specialist	Commodity Futures Trading Commission - Commodity Futures Trading Commission
09/17/2014	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
02/05/2015	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
02/12/2015	Submit For Certification	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch

02/12/2015	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
03/24/2015	Submit for Concurrence	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
03/25/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/25/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/26/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist