

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: **DAA-0180-2015-0002**

## Request for Records Disposition Authority

Records Schedule Number: DAA-0180-2015-0002  
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: Department-wide  
Schedule Subject: Office of the Inspector General Records  
Internal agency concurrences will be provided: No

Background Information: The Office of Inspector General (OIG) conducts and supervises audits and investigations of programs and operations of the CFTC and makes recommendations to promote economy, efficiency and effectiveness in CFTC programs and operations and to prevent and detect fraud, waste and abuse.

### 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	8

GAO Approval

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0180-2015-0002

## Outline of Records Schedule Items for DAA-0180-2015-0002

Sequence Number	
1	OIG Audit Case Files
1.1	Historically-Significant Audit Case Files Disposition Authority Number: DAA-0180-2015-0002-0001
1.2	All Other Audit Case Files Disposition Authority Number: DAA-0180-2015-0002-0002
2	OIG Investigation Case Files
2.1	Historically-Significant Investigation Case Files Disposition Authority Number: DAA-0180-2015-0002-0003
2.2	Non-Investigative Case Files Disposition Authority Number: DAA-0180-2015-0002-0004
2.3	All Other Investigation Case Files Disposition Authority Number: DAA-0180-2015-0002-0005
2.4	Index to OIG Investigation Case Files
2.4.1	Index to Historically-Significant Investigation Case Files Disposition Authority Number: DAA-0180-2015-0002-0006
2.4.2	Index to All Other Investigation Case Files Disposition Authority Number: DAA-0180-2015-0002-0007
3	Semi-Annual Report to Congress Disposition Authority Number: DAA-0180-2015-0002-0008

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Records Schedule: DAA-0180-2015-0002

## Records Schedule Items

Sequence Number	
1	<p><b>OIG Audit Case Files</b> Case files of internal audits of agency programs, operations, and procedures and of external audits of contractors and others associated with CFTC programs and operations.</p>
1.1	<p><b>Historically-Significant Audit Case Files</b></p> <p>Disposition Authority Number      DAA-0180-2015-0002-0001</p> <p>Relevant criteria for designating case files as historically significant include: those that involve as subjects the Chairman, Commissioners, Division Directors, or Office Heads; those that result in substantive changes in agency policy; or audits that draw significant public interest as reflected in widespread news media attention, Congressional interest, and/or market participant inquiries.</p> <p>Final Disposition                      Permanent</p> <p>Item Status                              Withdrawn</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 200a</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off files at the end of fiscal year in which the audit is completed.</p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives 30 year(s) after cut off</p> <p><b>Additional Information</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?              Unknown Unknown</p> <p>How frequently will your agency transfer these records to the National Archives?              Unknown Unknown</p>

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Records Schedule: **DAA-0180-2015-0002**

1.2

## All Other Audit Case Files

Disposition Authority Number      DAA-0180-2015-0002-0002

All other audit case files not covered by item 0001.

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 200b

## Disposition Instruction

Cutoff Instruction      Cut off files at the end of fiscal year in which audit is  
completed

Retention Period      Destroy 10 year(s) after cut off

## Additional Information

GAO Approval      Not Required

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## OIG Investigation Case Files

Investigations of agency employees or contractors and others associated with CFTC programs and operations. Files include employee and hotline complaints, and other miscellaneous complaint or allegation files received through multiple sources including but not limited to: the internet, telephone, facsimile, email, postal mail and interviews. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

2.1

## Historically-Significant Investigation Case Files

Disposition Authority Number      DAA-0180-2015-0002-0003

Relevant criteria for designating case files as historically significant include: those that involve as subjects the Chairman, Commissioners, Division Directors, or Office Heads; those that result in substantive changes in agency policy; or investigations that draw significant public interest as reflected in widespread news media attention, Congressional interest, and/or market participant inquiries.

Final Disposition      Permanent

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Records Schedule: DAA-0180-2015-0002

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**

Disposition Instruction

Cutoff Instruction **Cut off files at the end of the fiscal year in which the Inspector General signs the closing memo.**

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

Additional Information

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

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	300 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2

## Non-Investigative Case Files

Disposition Authority Number **DAA-0180-2015-0002-0004**

Files containing information, complaints or allegations which are of an investigative nature but do not relate to a specific investigation. Records include anonymous or vague complaints or allegations not warranting an investigation, matters referred to other constituents for handling including other Federal agencies, Divisions or Offices within the CFTC and/or private partners, such as the NFA or FINRA, and support files providing general information that may prove useful in OIG investigations.

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Records Schedule: **DAA-0180-2015-0002**

	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
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of the fiscal year.
	Retention Period	Destroy 5 year(s) after cut off
	Additional Information	
	GAO Approval	Not Required
2.3	<b>All Other Investigation Case Files</b>	
	Disposition Authority Number	DAA-0180-2015-0002-0005
	<b>All other case files not covered by items 0003 or 0004.</b>	
	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	N1-180-001 item 201
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of the fiscal year in which the Inspector General signs the closing memo.
	Retention Period	Destroy 10 year(s) after cut off
	Additional Information	
	GAO Approval	Not Required
2.4	<b>Index to OIG Investigation Case Files</b>	
	Index tracks all OIG Investigations Case Files. Index includes subject name, report closing date, report title, other concerned persons, other CFTC divisions or offices, referral information, cross-references to related investigations as appropriate, notes and disposition date.	

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2.4.1

## Index to Historically-Significant Investigation Case Files

Disposition Authority Number DAA-0180-2015-0002-0006

Index includes data for all investigations that meet the criteria listed in item 0003.

Final Disposition Permanent

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

### 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? From 2013 To 2043

How frequently will your agency transfer these records to the National Archives? Every 30 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	7 MB	2 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.4.2

## Index to All Other Investigation Case Files

Disposition Authority Number DAA-0180-2015-0002-0007

Index includes data for all other investigations not covered by item 0006.

Final Disposition Temporary

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Records Schedule. DAA-0180-2015-0002

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 202
Disposition Instruction	
Cutoff Instruction	Cut off files after final report date or after Inspector General signs the closing memo.
Retention Period	Destroy 10 year(s) after cut off
Additional Information	
GAO Approval	Not Required
Semi-Annual Report to Congress	
Disposition Authority Number	DAA-0180-2015-0002-0008
Report to Chairman and Congress summarizing activities of the OIG, in accordance with Sect. 5 of the IG Act.	
Final Disposition	Permanent
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	N1.180.00.1-203
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the fiscal year in which the report is submitted to Congress.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 30 year(s) after cut off
Additional Information	
First year of records accumulation	1989

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Records Schedule: **DAA-0180-2015-0002**

What will be the date span of the initial transfer of records to the National Archives? **From 1989 To 2019**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	105 MB	30 MB
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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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
04/30/2015	Return to Submitter	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
05/05/2015	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
11/06/2015	Return Without Action	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services

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