

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2015-0003
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 Major Subdivision
Major Subdivision Division of Enforcement
Schedule Subject Closed Matter Summary Records
Internal agency concurrences will be provided No

Background Information This schedule includes one item, Closed Matter Summary Records, which was on a recently approved schedule as DAA-0180-2012-0003-0004. However, the agency inadvertently omitted the superseded disposition authority from that schedule, which was approved without it. This schedule is intended to correct that error by including the superseded disposition authority for that item.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval



Outline of Records Schedule Items for DAA-0180-2015-0003

Sequence Number	
1	Closed Matter Summary Records Disposition Authority Number: DAA-0180-2015-0003-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="354 389 829 421">Closed Matter Summary Records</p> <p data-bbox="354 442 1162 474">Disposition Authority Number DAA-0180-2015-0003-0001</p> <p data-bbox="354 495 1507 772">Records in this series document the existence of matters (preliminary inquiries, investigations, and litigated cases) that have been closed and provide high-level and summary information on the outcomes and reasons for closure. Information for each matter may include but is not limited to matter closing reports and matter profile information contained in electronic case management tools. Matter profile information may include the party (ies) involved, the date the matter was opened and closed, a short description of the activity investigated, and assigned staff.</p> <p data-bbox="354 793 930 825">Final Disposition Temporary</p> <p data-bbox="354 846 862 878">Item Status Active</p> <p data-bbox="354 900 829 932">Is this item media neutral? Yes</p> <p data-bbox="354 953 829 1081">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 data-bbox="354 1102 816 1187">Do any of the records covered by this item exist as structured electronic data? No</p> <p data-bbox="354 1208 1162 1283">GRS or Superseded Authority Citation N1-180-00-01 Item 407 DAA-0180-2012-0003-0004</p> <p data-bbox="354 1325 672 1357">Disposition Instruction</p> <p data-bbox="354 1378 1507 1495">Cutoff Instruction Close files after last action, as described in the Division of Enforcement procedures. Cut off files at the end of the FY.</p> <p data-bbox="354 1517 1260 1549">Retention Period Destroy/delete when 15 years old.</p> <p data-bbox="354 1591 672 1623">Additional Information</p> <p data-bbox="354 1644 967 1676">GAO Approval Not Required</p>

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
08/25/2015	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
12/22/2015	Submit for Concurrence	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/29/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/29/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/04/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist