

## Request for Records Disposition Authority

Records Schedule Number      DAA-0180-2016-0003  
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                Office of the Inspector General  
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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	3	3	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0180-2016-0003

Sequence Number	
1	<b>OIG Audit Case Files</b>
1.1	<b>Historically-Significant Audit Case Files</b> Disposition Authority Number: DAA-0180-2016-0003-0001
1.2	<b>All Other Audit Case Files</b> Disposition Authority Number: DAA-0180-2016-0003-0002
2	<b>OIG Investigation Case Files</b>
2.1	<b>Historically-Significant Investigation Case Files</b> Disposition Authority Number: DAA-0180-2016-0003-0003
2.2	<b>Allegation Files</b> Disposition Authority Number: DAA-0180-2016-0003-0004
2.3	<b>All Other Investigation Case Files</b> Disposition Authority Number: DAA-0180-2016-0003-0005
3	<b>Semi-Annual Report to Congress</b> Disposition Authority Number: DAA-0180-2016-0003-0006

## 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> Disposition Authority Number      <b>DAA-0180-2016-0003-0001</b></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                              <b>Permanent</b></p> <p>Item Status                                      <b>Active</b></p> <p>Is this item media neutral?                  <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?              <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                                  <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>N1-180-00-001 / 200/A</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                              <b>Cut off files at the end of fiscal year in which the audit is completed.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives in 5 year blocks 30 year(s) after cut off</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>2015</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 2015 To 2020</b></p>

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	700 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

**All Other Audit Case Files**

Disposition Authority Number **DAA-0180-2016-0003-0002**

All other audit case files not covered by item 0001.

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? **Yes**

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

GRS or Superseded Authority Citation **N1-180-00-001 / 200/B**

**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,

2.1

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.

**Historically-Significant Investigation Case Files**

Disposition Authority Number      **DAA-0180-2016-0003-0003**

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**

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 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 in 5 year blocks 30 year(s) after cut off**

**Additional Information**

First year of records accumulation      **1995**

What will be the date span of the initial transfer of records to the National Archives?      **From 1995 To 2000**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	300 MB	40 MB
Paper		
Microform		

Hardcopy or Analog Special Media		
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2.2

**Allegation Files**

Disposition Authority Number      **DAA-0180-2016-0003-0004**

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.

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 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

**All Other Investigation Case Files**

Disposition Authority Number      **DAA-0180-2016-0003-0005**

**All other case files not covered by items 0003 or 0004.**

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**

GRS or Superseded Authority Citation      **N1-180-001 / 201**

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**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

**Semi-Annual Report to Congress**

Disposition Authority Number        DAA-0180-2016-0003-0006

**Report to Chairman and Congress summarizing activities of the OIG, in accordance with Sect. 5 of the IG Act.**

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

GRS or Superseded Authority Citation    N1-180-00-001 / 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 1 year(s) after cut off

**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 1989 To 2011

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	1 Cubic feet	

Microform		
Hardcopy or Analog Special Media		



## 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
05/19/2016	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
07/26/2016	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
08/15/2016	Submit For Certification	Kimberly Neutzling	Records Specialist	Commodity Futures Trading Commission - Commodity Futures Trading Commission
08/15/2016	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
11/18/2016	Submit for Concurrence	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
11/23/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/28/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/01/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist