

## Request for Records Disposition Authority

Records Schedule Number           DAA-0180-2018-0005

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                   Administrative Records

Internal agency concurrences will be provided   **No**

Background Information            The records covered by this schedule document agency-wide administrative program management and related support functions. These records document mission and routine operations not related the performance of the agency mission. These administrative functions include human resources, information technology, facilities, safety and security, financial management, and other CFTC compliance activities. This record schedule covers CFTC administrative support records specific to agency and not covered by the General Records Schedule (GRS).

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>4</b>	<b>0</b>	<b>4</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0180-2018-0005

Sequence Number	
1	<b>Administrative Management Records</b> Disposition Authority Number: DAA-0180-2018-0005-0001
2	<b>Emergency Incident and Response Records</b> Disposition Authority Number: DAA-0180-2018-0005-0002
3	<b>Submission Data Validation and Tracking Records</b> Disposition Authority Number: DAA-0180-2018-0005-0003
4	<b>Employee Training and Professional Development Records</b> Disposition Authority Number: DAA-0180-2018-0005-0004

## Records Schedule Items

Sequence Number					
1	<p><b>Administrative Management Records</b></p> <p>Disposition Authority Number      <b>DAA-0180-2018-0005-0001</b></p> <p>This series includes recurring management reports, such as internal management reports, including monthly reports, quarterly objectives, strategic planning documents, and management tools. Further, this series includes administrative management studies, analyses, surveys, or other assessments of organizational structures, policies, procedures, programs or operating methods; administrative assessments that focus on the operations of the CFTC, including 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 result of the assessment. Also included are delegations of authority, which document the division or assignment of responsibility to CFTC personnel to perform operational functions and to sign agreements, memoranda of understanding, contracts, and other binding documents without further approval. Records also document the revocation of delegations.</p> <p>Final Disposition                      <b>Temporary</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>No</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">111</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>DAA-0180-2012-0002-0003</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut-off when superseded, revoked, completed, or abandoned.</b></p> <p>Retention Period                         <b>Destroy 3 year(s) after cut-off</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>	Manual Citation	Manual Title	111	
Manual Citation	Manual Title				
111					

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**Emergency Incident and Response Records**

Disposition Authority Number      **DAA-0180-2018-0005-0002**

This series contains records of activities completed in response to emergency events or situations as described within emergency planning documentation such as the Continuity of Operations Plan (COOP) and the Market Disruption Contingency Plan (MDCP). Records include notifications and correspondence sent or received regarding possible, impending, or ongoing threat to staff, facilities, or the market; logs or files that account for staff, contractors, or other types of personnel during and after an emergency; records created during the process of responding to the threat event, or incident including after-action reports, and supporting documentation.

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**

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112	

**Disposition Instruction**

Retention Period                      **Destroy when 10 years old.**

**Additional Information**

GAO Approval                          **Not Required**

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**Submission Data Validation and Tracking Records**

Disposition Authority Number      **DAA-0180-2018-0005-0003**

This series contains records of administrative activities and actions taken related to the collection and submission information from registered and regulated entities as required by the Commodity Exchange Act (CEA), and CFTC rules and requirements. Included are submission standards, technical guidance documents which contain naming conventions, submission procedures, data dictionaries, and account registration requirements, and agency guidance related to the submission and collection process. Also included are records which track the loading, validation, and update activities of the data received from registered or regulated entities, and records created during regular data management activities

such as audits and quality or trend monitoring, working papers, and compiled reports documenting this function and activity.

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**

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121	

**Disposition Instruction**

Cutoff Instruction **Cut-off when all actions are completed.**

Retention Period **Destroy 5 year(s) after cut-off or when superseded or obsolete, whichever is later.**

**Additional Information**

GAO Approval **Not Required**

**Employee Training and Professional Development Records**

Disposition Authority Number **DAA-0180-2018-0005-0004**

This series contains records of both agency-wide and Division/Office specific training produced by the agency, which cover administrative or mission related topics, objectives, activities, or specific regulatory/financial market information. Records include course case files, course materials including presentations and videos, training materials specific to mission-related licenses, certifications, and credentials required by the agency to be obtained and maintained as requisite to an employee's job.

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**

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132	

GRS or Superseded Authority Citation      **N1-180-00-001 / 302**

**Disposition Instruction**

Cutoff Instruction      **Cut-off when superseded or obsolete.**

Retention Period      **Destroy 6 year(s) after cut-off.**

**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
09/17/2018	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
04/26/2019	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/09/2019	Submit For Certification	Kimberly Neutzling	Records Specialist	CFTC - CFTC
05/09/2019	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
11/08/2019	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/14/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/14/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/15/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist