

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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 4 | 0 | 4 | 0 |

GAO Approval

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

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

Records Schedule Items

| Sequence Number | | | | | |
|-----------------|---|-----------------|--------------|-----|--|
| 1 | <p>Administrative Management Records</p> <p>Disposition Authority Number DAA-0180-2018-0005-0001</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 Temporary</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? No</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 DAA-0180-2012-0002-0003</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut-off when superseded, revoked, completed, or abandoned.</p> <p>Retention Period Destroy 3 year(s) after cut-off</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> | Manual Citation | Manual Title | 111 | |
| Manual Citation | Manual Title | | | | |
| 111 | | | | | |

2

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**

| Manual Citation | Manual Title |
|-----------------|--------------|
| 112 | |

Disposition Instruction

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

Additional Information

GAO Approval **Not Required**

3

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

| Manual Citation | Manual Title |
|-----------------|--------------|
| 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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| Manual Citation | Manual Title |
|-----------------|--------------|
| 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 |