

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2018-0007

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 Agency-wide

Schedule Subject External Outreach

Internal agency concurrences will be provided No

Background Information This schedule covers records that are created and maintained in support of the CFTC’s domestic and international cooperation and coordination efforts. Derivatives markets are global and events taking place in markets outside the United States may affect U.S. markets and persons and vice versa. Effective regulation of such interconnected markets therefore requires cooperation and coordination with numerous domestic and international authorities. Effective regulation also requires active outreach to the public, market participants, and other interested parties. Records covered by this schedule document CFTC efforts to interface with all external entities including the general public, international authorities, Congress, other agencies, and similar entities.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	2	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0180-2018-0007

Sequence Number	
1	Inquiries and Responses Disposition Authority Number: DAA-0180-2018-0007-0001
2	Education, Awareness, and Innovation Disposition Authority Number: DAA-0180-2018-0007-0002
3	Agreements, Information Sharing Arrangements, or Related Controls Disposition Authority Number: DAA-0180-2018-0007-0003
4	International Coordination Disposition Authority Number: DAA-0180-2018-0007-0004
5	International Policy and Official Foreign Government Coordination Disposition Authority Number: DAA-0180-2018-0007-0005
6	Official Public Statements and Releases Disposition Authority Number: DAA-0180-2018-0007-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 699 411">Inquiries and Responses</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0180-2018-0007-0001</p> <p data-bbox="345 485 1520 1052">This record series documents routine inquiries, comments, and responses to external entities such as routine Congressional and interagency correspondence and transmittal of information to relevant members of Congress or other agencies; public questions and comments received, and the formal responses given, such as those regarding general information on CFTC programs, processes, and activities; requests and responses that deal with CFTC mission areas and require some research and development; recommendations, comments, and feedback on regulations and requirements for regulated entities, where the request was not submitted through the formal rulemaking public comment process; complaints or allegations which are not considered significant, do not relate to a specific action or activity, or are referred to other constituents for disposition; biographical information on nominees for presidential appointees and Senate-confirmed (PAS) appointees to positions in the CFTC and background information received on the nomination and confirmation process; and related indexes or tracking documentation to support this series.</p> <p data-bbox="345 1073 919 1104">Final Disposition Temporary</p> <p data-bbox="345 1125 850 1157">Item Status Active</p> <p data-bbox="345 1178 818 1209">Is this item media neutral? Yes</p> <p data-bbox="345 1230 805 1262">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="345 1377 1500 1524">GRS or Superseded Authority Citation N1-180-00-001 / 400 DAA-0180-2016-0003-0004 In Part, all except "support files providing general information that may prove useful to OIG investigations"</p> <p data-bbox="345 1566 659 1598">Disposition Instruction</p> <p data-bbox="345 1619 1308 1650">Cutoff Instruction Cut-off at the end of the calendar year.</p> <p data-bbox="345 1671 1187 1703">Retention Period Destroy 6 year(s) after cut-off.</p> <p data-bbox="345 1745 656 1776">Additional Information</p> <p data-bbox="345 1797 951 1829">GAO Approval Not Required</p>
2	Education, Awareness, and Innovation

Disposition Authority Number **DAA-0180-2018-0007-0002**

These records document the activities, guidance, and recommendations to raise awareness and educate external entities about CFTC actions, the derivatives markets, fraud awareness, and related topics such as records created in the process of providing education, training, outreach, research, and assistance to external entities; records that document CFTC events activities, projects, guidance, and outreach which promote the competition, advancement and innovation of financial and regulatory technologies to ensure market innovation; and agendas, speeches, minutes and other records documenting professional and educational meetings or conferences in which CFTC participates or hosts such as public round tables, internal and external colloquia, brown bags, discussions, and economic and financial research seminars.

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 **N1-180-00-001 / 109/a
N1-180-00-001 / 109/b
N1-180-00-001 / 302
N1-180-00-001 / 403**

Disposition Instruction

Cutoff Instruction **Cut-off at the end of the calendar year.**

Retention Period **Destroy 7 year(s) after cut-off.**

Additional Information

GAO Approval **Not Required**

Agreements, Information Sharing Arrangements, or Related Controls

Disposition Authority Number **DAA-0180-2018-0007-0003**

These records document the management and control of the sharing of information and relationships between CFTC and external entities through memoranda of understanding, information sharing arrangements and other arrangements and controls such as related documentation put in place to comply with the terms of the agreements or arrangements that ensure the appropriate and lawful protection and distribution of information to external entities.

Final Disposition **Temporary**

Item Status **Active**

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4	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 / 313/a N1-180-00-001 / 313/b
	Disposition Instruction	
	Retention Period	Destroy 5 year(s) after completion, termination, expiration, or supersession.
	Additional Information	
	GAO Approval	Not Required
	International Coordination	
	Disposition Authority Number	DAA-0180-2018-0007-0004
	These records document the routine activities and actions that facilitate cooperation and coordination with international authorities. Records in this series are comprised of foreign information requests, technical assistance and related correspondence with individual countries during routine international affairs and coordination activities; agendas, minutes, reports, and related background information created or received during participation in international organizations, forums, and meetings including the indexes and tracking systems that track coordination and resolution of activities and actions.	
5	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 at the end of the calendar year.
	Retention Period	Destroy 20 year(s) after cut-off.
	Additional Information	
	GAO Approval	Not Required
	International Policy and Official Foreign Government Coordination	
Disposition Authority Number	DAA-0180-2018-0007-0005	

These records document the CFTC's participation in and development of international policy and CFTC's international or multilateral and bilateral relations. This series of records documents participation in commissions, or committees sponsored or hosted by the CFTC on substantive policy or programmatic issues or substantial international meetings and discussions in which the Chairman, Commissioners, and their staff participate that directly impact the policy, rules and regulations promulgated by the CFTC and international entities. These records are comprised of any official agendas, minutes, transcripts, recordings, briefing books, summaries, presentations or other methods of documenting official foreign government coordination on international policy development.

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 at the end of the fiscal year in which the policy, meeting, or event is finalized.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 20 year(s) after cut-off**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2007 To 2027**

How frequently will your agency transfer these records to the National Archives? **Every 20 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	152 GB	16.8 GB
Paper		
Microform		

Hardcopy or Analog Special Media		
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Official Public Statements and Releases

Disposition Authority Number **DAA-0180-2018-0007-0006**

Records are comprised of the final press releases, advisories, reports, speeches, formal publications, and testimony that officially communicate CFTC functions, organization, activities, and procedures to external entities; biographical data and photographs of the Chairperson and Commissioners including the final or official record and supporting materials, correspondence, and transcripts.

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation
N1-180-00-001 / 105
DAA-0180-2016-0003-0006
N1-180-00-001 / 310
N1-180-00-001 / 311
N1-180-00-001 / 312
N1-180-00-001 / 401
N1-180-00-001 / 402
N1-180-00-001 / 404
N1-180-09-003 / 13

Disposition Instruction

Cutoff Instruction **Cut-off at the end of the calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cut-off.**

Additional Information

First year of records accumulation **1975**

What will be the date span of the initial transfer of records to the National Archives? **From 1975 To 1987**

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

Unknown

Exact process has not been defined. Paper records will be transferred to the National Archives or WNRC before 2022, and the electronic files process to transfer electronic records is still in discussion with relevant Divisions and Offices.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 MB	1.2 MB
Paper	114.5 Cubic feet	2.8 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
09/17/2018	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
10/23/2019	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/31/2019	Submit For Certification	Kimberly Neutzling	Records Specialist	CFTC - CFTC
10/31/2019	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
02/11/2020	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/18/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/18/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/20/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

ITEM	BUCKET TITLE	New Retention	Series Level Cut off Instructions, where applicable	Current Series Title include file / manual code if applicable	Superseded Authority	Superseded Retention	FOR PERMANENT RECORDS Office of Record*
DAA-0180-2018-0007-0001	Inquiries and Responses	Temporary - Destroy 6 years after cut-off	Cut-off at the end of the calendar year	Congressional Correspondence	N1-180-00-1-400	Temporary. Destroy one year after calendar year in which Member departs Congress.	n/a
				Allegation files - Files containing information, complaints or allegations which are of an investigative nature but do not relate to a specific investigation	DAA-0180-2016-0003-0004	Temporary. Cut off files at the end of the fiscal year. Destroy 5 years after cut off	Office of the Inspector General
DAA-0180-2018-0007-0002	Education, Awareness, and Innovation	Temporary -Destroy 7 years after cut-off	Cut-off at the end of the calendar year	Conference and Meeting Documents Sponsored by CFTC	N1-180-00-1-109a	Temporary. Destroy 5 years after meeting.	n/a
				Conference and Meeting Documents Attended by CFTC staff	N1-180-00-1-109b	Temporary. Destroy 2 years after meeting or when no longer needed, whichever is longer.	
				Training Records: Training materials developed by the Commission	N1-180-00-1-302	Temporary. Destroy when 10 years old or when replaced or no longer needed for training purposes.	
				Press Clippings	N1-180-00-1-403	Temporary. Destroy after 5 years or when no longer needed for research, whichever is longer.	
DAA-0180-2018-0007-0003	Agreements, Information Sharing Arrangements, and Related Controls	Temporary. Destroy five years after completion, termination, expiration, or supersession		Petitions for Confidential Treatment of Documents and Information	N1-180-00-1-313a	Temporary. Cut off by fiscal year. Transfer to microfiche in two years. Destroy in 10 year blocks when 20 years old.	
				Index to petitions for confidential treatment.	N1-180-00-1-313b	Temporary. Cut off by fiscal year. Transfer to microfiche in two years. Destroy in 10 year blocks when 20 years old.	
DAA-0180-2018-0007-0004	International Coordination	Temporary -Destroy 20 years after cut-off	Cut-off at the end of the calendar year				n/a
DAA-0180-2018-0007-0005	International Policy and Official Foreign Government Coordination	Permanent -Transfer to the National Archives when records are 20 years old	Cut-off at the end of the calendar year in which the policy, meeting, or event is finalized				Office of International Affairs
DAA-0180-2018-0007-0006	Official Public Statements and Releases	Permanent -Transfer to the National Archives when records are 15 years old	Cut-off at the end of the calendar year	Publications	N1-180-00-1-105	Permanent. Offer to NARA in 10 year blocks when 20 years old.	ALL
				Semi-Annual Report to Congress	N1-180-00-1-203	Permanent. Cut off at the end of the fiscal year in which the report is submitted to Congress. Transfer to the National Archives in 5 year blocks 1 year after cut off.	Office of Inspector General
				Speeches and Testimony	N1-180-00-1-310	Permanent. Offer to NARA in 10 year blocks when 20 years old.	Office of the Secretariat
				Freedom of Information Act (FOIA) Reports	N1-180-00-1-311	Permanent. Offer to NARA in 10 year blocks when 15 years old.	Office of General Counsel

