

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2022-0002

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 Integrated Surveillance System Data

Internal agency concurrences will be provided No

Background Information The records covered by this schedule document the data collected, analyzed and stored in the Integrated Surveillance System or ISS. The current schedules do not meet the needs of the analysts, and in some cases, the retention requirements are difficult to track and implement. The new schedule not only consolidates nine of the previous ISS schedules into one schedule, it also simplifies and expands the overall retention period.

It has been determined that the ISS data should be held for 40 years. The analysts need at least 30 data points to perform reasonable statistical analysis. Because CFTC is the oversight agency for commodities and many of these commodities are crops, for these purposes, 30 data points equates to 30 growing seasons. Each growing season is one year. An additional 10 data points or 10 years is provided for a look back for comparison. This is the basis for the proposed 40-year retention.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0180-2022-0002

Sequence Number

1

Integrated Surveillance System (ISS) Data
Disposition Authority Number: DAA-0180-2022-0002-0001

Records Schedule Items

Sequence Number	
1	<p>Integrated Surveillance System (ISS) Data</p> <p>Disposition Authority Number DAA-0180-2022-0002-0001</p> <p>Records in this system include data submitted by market participants, clearing members and organizations, futures commission merchants, and foreign brokers. These data facilitate CFTC’s monitoring of trading activities by providing information on end-of -day positions for large traders in each futures and options contract, as well as information on the occupational category for these large traders. The information also includes market-level statistics on prices, volume, deliveries, aggregated positions, reportable accounts, and omnibus accounts, over an extended time, and may also include settlement or netting of obligations resulting from agreements, contracts, or transactions cleared by participants in the derivatives clearing organization; retail off-exchange forex contracts or swaps; or settlement or netting of obligations.</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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation N1-180-09-003 / 2 N1-180-09-003 / 3 N1-180-09-003 / 4 N1-180-09-003 / 5 N1-180-09-003 / 6 N1-180-09-003 / 7 N1-180-09-003 / 8 N1-180-09-003 / 9 N1-180-09-003 / 10</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 40 year(s) after Submission</p> <p>Additional Information</p> <p>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
08/12/2022	Return to Submitter	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
08/15/2022	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
11/04/2022	Submit for Concurrence	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
11/07/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/07/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/07/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office