

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-180-07-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/27/2021

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 2 remains active

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 was superseded by DAA-0180-2012-0003-0003

Item 3 was superseded by DAA-0180-2018-0006-0003

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-180-07-1	
1 FROM (Agency or establishment) Commodity Futures Trading Commission (CFTC)		DATE RECEIVED 3/23/07	
2 MAJOR SUBDIVISION Division of Enforcement		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION Office of General Counsel			
4 NAME OF PERSON WITH WHOM TO CONFER Janis A Vitols	5 TELEPHONE 202 418-5176	DATE 7/16/07	ARCHIVIST OF THE UNITED STATES <i>Alan W...</i>

6 AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached 0 page(s) are not needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached, or  has been requested

DATE 3/19/2007	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janis A. Vitols</i>	TITLE Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p><b>Ammendment of CFTC Records Disposition Schedule. This request is for disposition authority to amend the "Medium" block for items 406b, 410a and 409, approved by NARA under Jobs No. N1.180.00.1-406, N1.180.00.1-410a, and N1.180.00.1-409 respectively, and add "electronic" to each Medium block.</b></p> <p>The business needs of the CFTC have changed as ever more business is transacted electronically. This includes conducting investigations, Item, 406b, and preparing litigation cases, Item 410a and 409. The CFTC recently implemented an electronic case management system, e-Law, to streamline case management.</p> <p>As a result of these changed business needs, the CFTC wants to store these temporary records in electronic medium, as well as paper, video and audio. Therefore we request authority to:</p>		
1	Add "electronic" to the Medium column for Item 406b, Enforcement Investigatory Files	N1.180.00.1-406b	
2	Add "electronic" to the Medium column for Item 410a, Office of General Counsel Litigation Files	N1.180.00.1-410a	
3	Add "electronic" to the Medium column for Item 409, Reparation Complaint Files	N1.180.00.1-409	

*8/27/30/07 copies sent to Agency, numbers*

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	<p><b><i>The proposed disposition instructions for the following record series apply to records in all media and formats.</i></b></p> <p><b>ITEM 406b INVESTIGATORY FILES</b>            b In matter closed without litigation, (1) transcripts of testimony taken during the investigation and all exhibits to such transcripts, (2) all "official" documents generated during the course of the investigation such as opening and closing reports, formal orders of investigation, subpoenas, requests for confidential treatment, Wells submissions and FOIA requests, (3) other inter-or-intra agency memos and correspondence, including important notes or documents prepared by staff which staff believes should be retained, (4) other documents identified by staff as important to retain, (5) case material which must be held due to FOIA or Privacy Act concerns</p> <p>Disposition Temporary Transfer to off-site storage 90 days after close of investigation <b>Destroy/delete</b> 5 years after close of investigation</p>	N1-180-00-1	
2	<p><b>ITEM 409 REPARATIONS COMPLAINT FILES</b>            Original case files of reparations cases closed in the complaint section</p> <p>Disposition Temporary Transfer to off-site storage 3 years after fiscal year in which case is closed  <b>Destroy/delete</b> 10 years after fiscal year in which case is closed</p>	N1-180-00-1	
3	<p><b>ITEM 410a OFFICE OF GENERAL COUNSEL LITIGATION CASE FILES</b>            a Routine Cases</p> <p>Disposition Temporary Transfer to off-site storage when 3 years old <b>Destroy/delete</b> when 15 years old</p>	N1-180-00-1	