

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-180-09-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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 2b 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## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 2a was superseded by DAA-GRS-2017-0008-0003 (GRS 5.7, item 030)

Item 2c was superseded by DAA-GRS-2017-0008-0003 (GRS 5.7, item 030)

Item 3a was superseded by DAA-GRS-2017-0006-0001 (GRS 5.6, item 010)

Item 3b was superseded by DAA-GRS-2017-0006-0016 (GRS 5.6, item 120)

Item 3c was superseded by DAA-GRS-2017-0006-0012 (GRS 5.6, item 090)

These supersessions by the GRS were proposed by the agency, December 10, 2021.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-180-09-1</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date received <i>9/15/09</i>	
1 FROM (Agency or establishment) Commodity Futures Trading Commission		<b>NOTIFICATION TO AGENCY</b>  In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Crystal Zeh	5 TELEPHONE NUMBER 202-418-5035	DATE <i>Sept 11</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6 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 on the attached <u>3</u> page(s) are not needed now for the business for 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,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE September 9, 2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>Crystal Zeh</i>		TITLE Records Management Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached		

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
1	<p><del>Calendars, Schedules and Logs of Daily Activities</del></p> <p><i>Records Description</i>                    <b>WITHDRAWN</b></p> <p><del>Records may include but are not limited to calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of federal employees while serving in an official capacity.</del></p> <p><del>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.</del></p> <p><i>Records Disposition Instructions</i></p> <p><del>a— Records containing substantive information relating to official activities when not incorporated into official files.</del></p> <p><del>(1) Senior officials including the Chairman, Chief of Staff, Commissioners, General Counsel, Executive Director, Chief Economist, International Affairs Director, Division of Enforcement Director, Division of Market Oversight Director, and Division of Clearing and Intermediary Oversight Director.</del></p> <p><del>Disposition—PERMANENT—Close at the end of the calendar year—Transfer to the National Archives 10 years after closed.</del></p> <p><del>(2) All other employees.</del></p> <p><del>Disposition—Temporary—Close at the end of the calendar year—Destroy/delete 2 years after closed.</del></p> <p><del>b— Records containing substantive information that has already been incorporated into official files, and information containing no substantive information relating to official activities.</del></p> <p><del>Disposition—Temporary—Destroy/delete when no longer needed.</del></p>	<p>GRS 23, Item 5a</p> <p>GRS 23, Item 5b</p>	

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2	<p><b>Administrative Policies and Procedures</b></p> <p><i>Records Description</i></p> <p>Records include Commission-wide, Division-specific, or Office-specific administrative operating policies and procedures, which may clarify, supplement, and/or interpret Federal laws and regulations. This item does not include policies and procedures related to the agency mission. Policies and procedures may be distributed as instructions, advisories, memos, notices, or orders.</p> <p>Records may include but are not limited to drafts, comments, final versions, and related correspondence.</p> <p>The Division or Office responsible for promulgating a policy or procedure is responsible for the record copy file for that particular policy or procedure.</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.</p> <p><i>Records Disposition Instructions</i></p> <ul style="list-style-type: none"> <li>a Human resources-related policies and procedures <p>Disposition Temporary Close file when policy or procedure is superseded or cancelled Destroy/delete 6 years after closed</p> </li> <li>b All other policies and procedures <p>Disposition Temporary Close file when policy or procedure is superseded or cancelled Destroy/delete 2 years after closed</p> </li> <li>c Policies and procedures not finalized <p>Disposition Temporary Destroy/delete 3 years after development abandoned</p> </li> </ul>	<p>N1-180-00-1, Item 104a</p> <p>N1-180-00-1, Item 104b</p>	

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
3	<p><b>Badging and Security System Records</b></p> <p><i>Records Description</i></p> <p>Records document the issuance, tracking, and deactivation of staff badges and electronic security cards. Records may include but are not limited to reconciliation reports, badge forms, and data in the badging system.</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.</p> <p><i>Records Disposition Instructions</i></p> <ul style="list-style-type: none"> <li>a Monthly badging and security system reconciliation reports <p>Disposition Temporary Close file at the end of fiscal year Destroy/delete when 2 years old</p> </li> <li>b Badge forms <p>Disposition Temporary Destroy/delete employee forms 90 days after employee separates from Commission</p> </li> <li>c Badging system data <p>Disposition Temporary Destroy/delete employee record 90 days after employee separates from Commission</p> </li> </ul>		