

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-180-12-2</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date received <i>3/27/12</i>	
1 FROM (Agency or establishment) Commodity Futures Trading Commission		<p style="text-align: center;"><b>NOTIFICATION TO AGENCY</b></p> <p>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10</p>	
2 MAJOR SUBDIVISION			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Crystal Zeh	5 TELEPHONE NUMBER 202-418-5035	DATE <i>3/19/2013</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
<p>6 AGENCY CERTIFICATION</p> <p>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>  1  </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,</p> <p style="text-align: center;"> <input checked="" type="checkbox"/> is not required      <input type="checkbox"/> is attached, or      <input type="checkbox"/> has been requested </p>			
DATE March 19, 2012	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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		

# Proposed Disposition Authorities

## 1. Whistleblower Submission Files

Description Records document whistleblower submissions

Records may include, but are not limited to. Forms TCR; Forms WP-APP; records provided by whistleblowers in support of their submissions, memoranda of interviews with whistleblowers, correspondence, such as letters, email, or voicemail that rise to the level of a record, with whistleblowers, and other related records

Disposition. **Temporary.** Close file after last action on relevant Division of Enforcement matter, after final appeal of Whistleblower Award Determination Panel decision is exhausted, or after the award payment to the whistleblower is made, whichever is applicable and whichever is latest. Cut off files at the end of the fiscal year Destroy 15 years after cutoff

Supersedes: New item

## Filing Instruction

### Whistleblower Award Determination Panel Records

Description. The Whistleblower Award Determination Panel acts as the Commission, under delegated authority, to make decisions regarding whistleblower award claims

Records document the decisions of the Whistleblower Award Determination Panel from both the initial determination and any appeal stages Records include but are not limited to: action memoranda and exhibits, and Panel decisions, orders and notices

Filing Instruction Whistleblower Office staff should ensure that records of the Award Determination Panel's decisions are filed in the "Central Files of the Chairman and Commissioners" maintained by the Office of the Secretariat