# REQUEST FOR RECORDS DISPOSITION AUTHORITY

**To** NATIONAL ARCHIVES & RECORDS ADMINISTRATION  
8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001

**FROM (Agency or establishment)**  
Commodity Futures Trading Commission

**DATE received** 3/27/12

**NOTIFICATION TO AGENCY**

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

**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 _1_ 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,

- [ ] is not required  
- [ ] is attached, or  
- [ ] has been requested

**DATE** March 19, 2012  
**SIGNATURE OF AGENCY REPRESENTATIVE**  
Crystal Zeh  
**TITLE**  
Records Management Officer

**ITEM NO**  
**DESCRIPTION OF ITEM AND PROPOSED DISPOSITION**

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