

### Request for Records Disposition Authority

Records Schedule Number DAA-0587-2013-0001  
Schedule Status Returned Without Action

Agency or Establishment Consumer Financial Protection Bureau  
Record Group / Scheduling Group Records of the Consumer Financial Protection Bureau  
Records Schedule Applies to Major Subdivision  
Major Subdivision Division of External Affairs  
Minor Subdivision Office of Legislative Affairs  
Schedule Subject Legislative Affairs Records  
Internal agency concurrences will be provided Yes

Background Information

Records created and received by this office documents communications with the public and Congress on the governing principles of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010:

- 1) Consumers are protected from unfair, deceptive, or abusive acts and practices and from discrimination;
- 2) Federal consumer financial law is enforced consistently without regard to the status of a person as a depository institution; and
- 3) Markets for consumer financial products and services operate transparently and efficiently to facilitate access and innovation.

The official records of the Division of External Affairs, Office Legislative Affairs may be created, received, and stored in several formats, including: paper records, scanned images, PDF files, data files, data sets, digital photographs and audio recordings, web-based records (such as SharePoint portals, web pages, wikis, blogs, tweets, etc.), and electronic mail and word processing formats.

The records disposition instructions are media neutral, unless otherwise stated.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	7

GAO Approval

**Returned Without Action**

### Outline of Records Schedule Items for DAA-0587-2013-0001

Sequence Number	
1	Testimonies of CFPB High-level Officials Disposition Authority Number: DAA-0587-2013-0001-0001
2	Legislative Subject Matter Files Disposition Authority Number: DAA-0587-2013-0001-0002
3	Congressional Correspondence
3.1	Formal Correspondence Disposition Authority Number: DAA-0587-2013-0001-0003
3.2	Routine Congressional Correspondence Disposition Authority Number: DAA-0587-2013-0001-0004
3.3	Congressional Document Requests Disposition Authority Number: DAA-0587-2013-0001-0005
4	Constituent Mail Disposition Authority Number: DAA-0587-2013-0001-0006
5	Correspondence Tracking System Disposition Authority Number: DAA-0587-2013-0001-0007

Retained Without Action

Records Schedule Items

Sequence Number			
1	<p><b>Testimonies of CFPB High-level Officials</b></p> <p>Disposition Authority Number      DAA-0587-2013-0001-0001</p> <p>Official copies of the testimonies, hearings and briefings of CFPB High-level Officials, including but not limited to the Bureau Director, Deputy Director, Associate Directors, and their designees. Records consist of invitations, memos, reports, and related background materials used for reference during Congressional hearings and Legislative briefings.</p> <p>Final Disposition                      Permanent</p> <p>Item Status                                Withdrawn</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?      No</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at the end of the calendar year in which event has been completed.</p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives 5 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>First year of records accumulation      2011</p> <p>What will be the date span of the initial transfer of records to the National Archives?      Unknown The records span should stop at the end of 2012.</p> <p>How frequently will your agency transfer these records to the National Archives?      Every 5 Years</p>		
		Estimated Current Volume	Annual Accumulation
	Electronic/Digital	1 MB	1 MB
	Paper		
	Microform		

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Hardcopy or Analog Special Media		
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**Legislative Subject Matter Files**

Disposition Authority Number      DAA-0587-2013-0001-0002

Copies of Congressional correspondence and associated background material that are routine in nature, do not have significant precedential or historic value, and are maintained solely for reference purpose. Records may be maintained in subject matter order.

Final Disposition                      Temporary

Item Status                              Withdrawn

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

**Disposition Instruction**

Cutoff Instruction                      Cut off file at the end of each calendar year.

Retention Period                        Destroy/delete 1 year after cutoff or when no longer needed for CFPB's business or convenience of reference, whichever is later.

**Additional Information**

GAO Approval                            Not Required

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**Congressional Correspondence**

Correspondence with Congress on the program planning and management of the Bureau, as well as congressional inquiries and comments.

3.1

**Formal Correspondence**

Disposition Authority Number      DAA-0587-2013-0001-0003

Congressional letters and responses on CFPB policy and congressional action items that impact the CFPB.

Final Disposition                      Permanent

Item Status                              Withdrawn

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in

No

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electronic format(s) other than e-mail and word processing?

**Disposition Instruction**

Cutoff Instruction                      Cut off files at the end of each calendar year in which action has been completed.

Transfer to the National Archives for Accessioning      Transfer to the National Archives 5 year(s) after cutoff

**Additional Information**

First year of records accumulation      2011

What will be the date span of the initial transfer of records to the National Archives?      Unknown  
Records accumulation will end at the end of 2012.

How frequently will your agency transfer these records to the National Archives?      Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

3.2

**Routine Congressional Correspondence**

Disposition Authority Number      DAA-0587-2013-0001-0004

Letters and responses of a more routine nature (inquiries and comments).

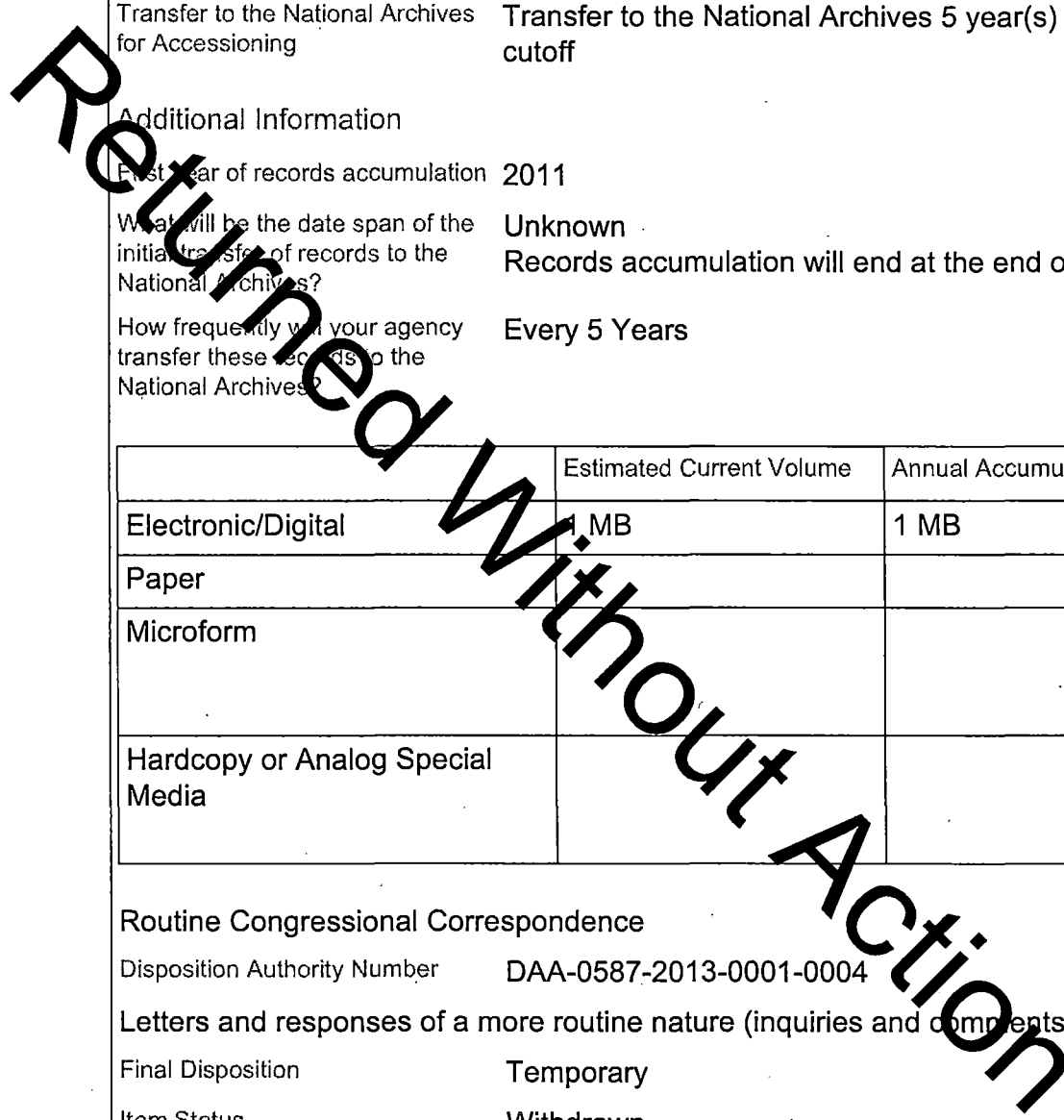
Final Disposition                      Temporary

Item Status                              Withdrawn

Is this item media neutral?              Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No

**Disposition Instruction**



3.3

Cutoff Instruction Cut off files at the end of each calendar year in which action has been completed.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Congressional Document Requests

Disposition Authority Number DAA-0587-2013-0001-0005

Requests from Congress for copies of CFPB documents.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off files at the end of each calendar year in which action has been completed.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Constituent Mail

Disposition Authority Number DAA-0587-2013-0001-0006

Copies of mail received from and responses to consumers, where the correspondence is received either from Congress, directly from consumers, or from CFPB offices and sent to Legislative Affairs for response. Note: Consumer complaint records are maintained by the Office of Consumer Response.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Returned Without Action

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Cutoff Instruction	Cut off files at the end of each calendar year in which action has been completed.
Retention Period	Destroy 3 year(s) after cutoff
Additional Information	
GAO Approval	Not Required
<b>Correspondence Tracking System</b>	
Disposition Authority Number	DAA-0587-2013-0001-0007
Spreadsheets and related records created and maintained to track congressional and constituent correspondence.	
Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
<b>Disposition Instruction</b>	
Cutoff Instruction	Cut off files at the end of each calendar year in which action has been completed.
Retention Period	Destroy 3 year(s) after cutoff
Additional Information	
GAO Approval	Not Required

Returned Without Action



### 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
11/14/2014	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
10/02/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/17/2014	Return Without Action	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services

Returned Without Action