

Request for Records Disposition Authority

Records Schedule Number DAA-0587-2013-0002
Schedule Status Approved
Agency or Establishment Consumer Financial Protection Bureau
Record Group / Scheduling Group Records of the Consumer Financial Protection Bureau
Records Schedule applies to Agency-wide
Schedule Subject Permanent records of High-Level Officials of the Bureau
Internal agency concurrences will be provided Yes.

Background Information The permanent records created and received by most offices of the Bureau relate to the mission-critical functions and the internal administration of the Bureau, and are required for compliance with 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 permanent records of the Bureau are created and maintained by the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees, and by several offices of the Bureau. Designees are defined as those Assistant Directors and other senior staff that act on behalf of the Bureau's leadership and on behalf of their Associate Director.

Record types include, but are not limited to high-level official speeches and calendars, reports and testimonies to Congress, delegations of authority, organizational charts, publications, congressional correspondence, and policies and procedures. Permanent electronic records will be transferred to the National Archives and Records Administration (NARA) in accordance with 36 CFR 1235.44 – 1235.50.

The official records of the office of the Director, Deputy Director, Chief of Staff, Executive Secretariat, and the CFPB Associate Directors may be created, received, and stored in several formats, including: paper records, scanned images, PDF files, data files, data sets,

digital photographs, 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
10	10	0	0

GAO Approval

Outline of Records Schedule Items for DAA-0587-2013-0002

Sequence Number	
1	Official Briefing Books of High-Level Officials Disposition Authority Number: DAA-0587-2013-0002-0001
2	Correspondence Files of High-Level Officials Disposition Authority Number: DAA-0587-2013-0002-0002
3	Delegations of Authority Files Disposition Authority Number: DAA-0587-2013-0002-0003
4	Organization Charts Disposition Authority Number: DAA-0587-2013-0002-0004
5	Biographical Files Disposition Authority Number: DAA-0587-2013-0002-0005
6	Speech Files Disposition Authority Number: DAA-0587-2013-0002-0006
7	Congressional Testimony Files Disposition Authority Number: DAA-0587-2013-0002-0007
8	Reports to Congress Disposition Authority Number: DAA-0587-2013-0002-0008
9	Senior Staff Meeting Minutes Disposition Authority Number: DAA-0587-2013-0002-0009
10	Consolidated set of Bureau Policies and Standard Operating Procedures Disposition Authority Number: DAA-0587-2013-0002-0010

Records Schedule Items

Sequence Number											
1	<p>Official Briefing Books of High-Level Officials</p> <p>Disposition Authority Number DAA-0587-2013-0002-0001</p> <p>Record copy of daily schedules/calendars, agendas, speeches, notes, speaking points, annotated speeches and testimonies, final speeches and testimonies, background/ supporting information, travel information, copies of policies and decision papers, and any other information appropriate for filing in the briefing books of the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees in order to prepare them for their daily activities and to keep them informed of major policy and program developments.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</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>Disposition Instruction</p> <p>Cutoff Instruction Cut off files at the end of each calendar year in which activity has been completed.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</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? From 2011 To 2011</p> <p>How frequently will your agency transfer these records to the National Archives? Every 1 Years</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td>2 MB</td> <td>2 MB</td> </tr> <tr> <td>Paper</td> <td></td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	2 MB	2 MB	Paper		
	Estimated Current Volume	Annual Accumulation									
Electronic/Digital	2 MB	2 MB									
Paper											

Microform		
Hardcopy or Analog Special Media		

2

Correspondence Files of High-Level Officials

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

Official correspondence and memoranda of the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees.

Final Disposition **Permanent**

Item Status **Active**

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 activity has been completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

3

Delegations of Authority Files

Disposition Authority Number **DAA-0587-2013-0002-0003**

Signed program and administrative delegations of authority and revocation of those authorities.

Final Disposition **Permanent**

Item Status **Active**

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 activity has been completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

4

Organization Charts

Disposition Authority Number **DAA-0587-2013-0002-0004**

Record copy of organizational charts, function statements, and documentation of reorganization activities.

Final Disposition **Permanent**

Item Status **Active**

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 information has been superseded.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

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Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

5

Biographical Files

Disposition Authority Number **DAA-0587-2013-0002-0005**

Biographical information and official photographs of the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees.

Final Disposition **Permanent**

Item Status **Active**

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 at the end of each calendar year in which individual has separated from the Bureau.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

6

Speech Files

Disposition Authority Number **DAA-0587-2013-0002-0006**

Speeches of the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees at such public events as town hall meetings, before professional organizations, and related public events.

Final Disposition **Permanent**

Item Status **Active**

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 activity has been completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

7

Congressional Testimony Files

Disposition Authority Number **DAA-0587-2013-0002-0007**

Testimonies of the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees.

Final Disposition **Permanent**

Item Status **Active**

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 activity has been completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

8

Reports to Congress

Disposition Authority Number **DAA-0587-2013-0002-0008**

Periodic reports to Congress by the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees.

Final Disposition **Permanent**

Item Status **Active**

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 meeting has been completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

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Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

9

Senior Staff Meeting Minutes

Disposition Authority Number **DAA-0587-2013-0002-0009**

Formal minutes and agenda documenting the meetings of senior Bureau staff (the Director, the Director's immediate senior staff (e.g., Chief of Staff, Advisors, etc.), Deputy Director, Associate Directors, and their designees.)

Final Disposition **Permanent**

Item Status **Active**

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 report has been completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

10

Consolidated set of Bureau Policies and Standard Operating Procedures

Disposition Authority Number **DAA-0587-2013-0002-0010**

Records set of Bureau policies and standard operating procedures.

Final Disposition **Permanent**

Item Status **Active**

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 the calendar year in which document has been finalized/ approved.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 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? **From 2011 To 2011**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

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Electronic/Digital	1 MB	1 MB
Paper		
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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
12/07/2012	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
09/30/2015	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/30/2015	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/30/2015	Submit For Certification	Steven Coney	Records Officer	Operations Division - Administrative Office
11/30/2015	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
01/07/2016	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/07/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/07/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/08/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist