

WITHDRAWN – RETURNED WITHOUT ACTION

Request for Records Disposition Authority

Records Schedule Number DAA-0587-2016-0001

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 Agency-wide

Schedule Subject CFPB Email Management "Capstone Approach"

Internal agency concurrences will be provided No

Background Information

Emails created and received by offices of the Bureau relate to the mission, 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 Managing Government Records Directive (OMB-M-12-18) requires that by December 31, 2016, Federal agencies must manage all email records in an electronic format that support records management and litigation requirements. The Consumer Financial Protection Bureau is requesting approval to manage email records in accordance with the "GRS 6.1 Email Managed Under a Capstone Approach." Implementing this approach will ensure that the bureau emails are managed based on roles, positions, and responsibilities of senior officials and employees. To achieve this goal, the bureau has identified and organized email accounts into four Tiers categories.

Email accounts of senior agency officials designated as "Capstone Officials" and assigned the Tier-1 identifier within the email system will support the proper management of permanent emails in accordance with DAA-GRS-2014-0001, item 0001. Tier-1 email accounts documents high-level policy and operation decisions including significant and historically valuable communications of the Bureau.

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Email accounts of "Non-Capstone Officials - Employees" and assigned the Tier-3 identifier within the email system will support the proper management temporary emails in accordance with DAA-GRS-2014-0001, item 0002. Tier-3 email accounts include positions and emails not covered by items 010, 012, and Executive and Senior Managers accounts.

Email accounts of "Support and/or Administrative –Employee" and assigned the Tier-4 identifier within the email system will support the proper management of temporary emails in accordance with DAA-GRS-2014-0001, item 0002. Tier-3 email accounts include positions and emails not covered by items 010, 011, and Executive and Senior Managers accounts.

Senior officials, executives and senior managers, and employees will have the responsibility of removing non-record and personal emails from their email accounts prior to the system capturing and transferring official records in all four Tiers. In addition, bureau employees will receive training on the process for transferring eligible email records to a longer retention Tier grouping for storage.

This schedule is day-forward beginning in FY-2011

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	1

GAO Approval

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0587-2016-0001

Outline of Records Schedule Items for DAA-0587-2016-0001

Sequence Number	
1	Executives and Senior Managers Email Accounts Disposition Authority Number: DAA-0587-2016-0001-0001

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Records Schedule Items

Sequence Number	
1	<p>Executives and Senior Managers Email Accounts</p> <p>Disposition Authority Number DAA-0587-2016-0001-0001</p> <p>Email accounts of Executives, Senior Managers and selected program and policy analysts. This second Tier includes Directors/Chiefs of Business Operating offices that are direct reports to Capstone Officials. It may include other positions that are view as having value to warrant longer retention of email. Approximately 100 accounts identified.</p> <p>Final Disposition Temporary</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>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the Calendar Year.</p> <p>Retention Period Destroy 15 year(s) after Cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
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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
03/03/2016	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
03/15/2016	Return Without Action	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services

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