

Request for Records Disposition Authority

Records Schedule Number DAA-0587-2017-0002
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 Major Subdivision
Major Subdivision Office of Administrative Adjudication
Schedule Subject Office of Administrative Adjudication Records
Internal agency concurrences will be provided No

Background Information Records created and received by this office relate to the mission-critical functions and the internal administration of the Bureau required for compliance with the governing principles of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	3	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0587-2017-0002

Sequence Number	
1	Case Tracking System Disposition Authority Number: DAA-0587-2017-0002-0001
2	Administrative Hearing and Official Docket Files Disposition Authority Number: DAA-0587-2017-0002-0002
3	Administrative Law Judge's Working Files Disposition Authority Number: DAA-0587-2017-0002-0003
4	Consent Orders and Stipulations Disposition Authority Number: DAA-0587-2017-0002-0004
5	Program Correspondence Files Disposition Authority Number: DAA-0587-2017-0002-0005

Records Schedule Items

Sequence Number

1

Case Tracking System

Disposition Authority Number **DAA-0587-2017-0002-0001**

Electronic tool used to track docket files containing the following fields: document number, short descriptions, filing party, and date.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Solely electronic records.**

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

Do any of the records covered by this item exist as structured electronic data? **Yes**

Disposition Instruction

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

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks when the most recent record is 15 old.**

Additional Information

First year of records accumulation **2013**

What will be the date span of the initial transfer of records to the National Archives? **From 2013 To 2017**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

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Administrative Hearing and Official Docket Files

Disposition Authority Number DAA-0587-2017-0002-0002

Official record files containing all records relating to litigation, administrative, or civil proceedings initiated by CFPB. The records consist of court pleadings, correspondence, briefs, orders, deposition notices and subpoenas, hearing and deposition transcripts, affidavits, opinions, exhibits, miscellaneous reports pertaining to law and litigation, work papers essential to the understanding of decisions, opinions, and other legal matters, and any other materials used in litigation proceedings.

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 the matter is closed and/or policy and procedure are finalized.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks when the most recent record is 15 old.

Additional Information

First year of records accumulation 2013

What will be the date span of the initial transfer of records to the National Archives? From 2013 To 2017

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

	Estimated Current Volume	Annual Accumulation
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Electronic/Digital	5 MB	1 MB
Paper	0.8 Cubic feet	0.16 Cubic feet
Microform		
Hardcopy or Analog Special Media		

3

Administrative Law Judge's Working Files

Disposition Authority Number DAA-0587-2017-0002-0003

Files of judges' working papers arranged by case number or name and used in drafting of decisions, attorney fee requests and appeals.

Final Disposition Temporary

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 Cutoff at the end of the calendar year

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Consent Orders and Stipulations

Disposition Authority Number DAA-0587-2017-0002-0004

Files consist of all terms and conditions of a settlement in an adjudication proceeding signed by the settling parties, and the final order concluding the proceeding with the Director's original signature.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in No

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

Disposition Instruction

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks when the most recent record is 15 old.

Additional Information

First year of records accumulation 2012

What will be the date span of the initial transfer of records to the National Archives? From 2012 To 2016

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	2 MB
Paper	0.8 Cubic feet	0.16 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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Program Correspondence Files

Disposition Authority Number DAA-0587-2017-0002-0005

Files consist of general correspondence of all types, arranged chronologically without regard to subject or content, used primarily as a reading or reference file or general administration of the hearings and appeals program. Subjects include boundary delimitations, and similar matters.

Final Disposition Temporary

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 the calendar year

Retention Period

Destroy 7 year(s) after Cut off

Additional Information

GAO Approval

Not Required

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
05/24/2017	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
12/18/2017	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - RDTP2 Archives II Processing Section
01/23/2018	Submit For Certification	Steven Coney	Records Officer	Operations Division - Administrative Office
01/23/2018	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
01/31/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
02/20/2018	Submit For Certification	Steven Coney	Records Officer	Operations Division - Administrative Office
02/20/2018	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
02/22/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
02/27/2018	Submit For Certification	Steven Coney	Records Officer	Operations Division - Administrative Office
02/27/2018	Certify	Steven Coney	Records Officer	Operations Division - Administrative Office
06/19/2018	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1

06/20/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist