

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0180-2024-0001

Status: APPROVED
Date Approved: 05/05/2026

General Information

Agency or Establishment	Commodity Futures Trading Commission
Record/Scheduling Group	0180 - Records of the Commodity Futures Trading Commission
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Secretariat's Office
Schedule Subject	Official Communications, Actions, Decisions, and Guidance
Additional Schedule Information	This schedule updates the disposition for records in series Official Communications, Actions, Decisions, and Guidance, which includes disposition for digitized records of the Commission Central Files, which are not in compliance with 36 CFR 1236 Subpart E, Regulations for Digitizing Permanent Records.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No - the records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 1

Number of Permanent disposition items: 2

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0180-2024-0001

Item #	Title	Disposition
0001	Official Communications, Actions, Decisions, and Guidance	Permanent
0002	Non-compliant Digitized Records from the Commission Central Files from October 2013 to June 2024	Permanent
0003	Source Records for the Non-compliant Digitized Records from the Commission Central Files from October 2013 to June 2024	Temporary

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Records Schedule Items

DAA-0180-2024-0001-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Official Communications, Actions, Decisions, and Guidance	
Item Description	<p>This record series documents the official actions, decisions, policies, procedures, and communications to and from the Commission that impact the CFTC; registered entities and intermediaries; and potential Whistleblowers.</p> <p>- These records encompass the official internal and external correspondence to and from the Chairman and Commissioners that document decisions that go through the seriatim, absent objection, and informational memo processes such as exemptive orders, exemptive staff letters, and interpretations that consist of official legal or interpretive guidance provided by the CFTC, as well as no action and interpretive letters issued by staff; the review and interpretation of the official actions, decisions, or imposed legal requirements; work products, including drafts, generated or circulated by the Chairman, Commissioners, or their staff; recordings, transcripts, minutes, or other methods of documenting open and closed Commission meetings; records compiled from rulemaking records such as federal register notices, public comments, and related documentation; and any other documentation that records the decisions of the Chairman and Commissioners.</p> <p>- Information used by the Chairman, Commissioners, and other senior officials to prepare for meetings and briefings such as substantive notes, invitations and acceptances, itineraries and schedules, calendars, and logs of daily activities; work products that document their activities and decision-making that provide substantive annotations or comments showing the thought process behind the decisions, actions, or strategies.</p>	

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- Delegations of Authority issued by the Chairman or Commission, or those that relate to or implement Commission core mission activities; mission-related governance records which document the internal mission functions of the CFTC and relay substantive policies, procedures, and goals such as official organizational charts, narrative histories, functional statements, formal policies, procedures, or manuals; files that document the development of new programs or major shifts in the focus or mission initiatives of existing programs; substantive records of CFTC committees and working groups that make policy decisions which significantly impact the agency mission or the agency as a whole; records of Federal Advisory Committees, which document their establishment, formation, membership, meetings and hearings, findings and recommendations, correspondence on decisions and actions, termination, and any similar records relating to advisory committees or subcommittees; and Whistleblower Claims Review Staff records, which document the decisions made about whistleblower award claims subject to Commission review such as action memoranda and exhibits, preliminary determinations, proposed final dispositions and determinations, and final orders and notices.

- Systems that manage and store these records include the Secretariat Correspondence Locator System, Federal Register Database Locator System, Commission Staff Letters (CSL), Comments Online, Organizations, Products, Events, Rules, and Actions (OPERA), Filings and Actions (FILAC), the seriatim log which synthesizes, identifies, and tracks each “sign-off” decision of the Commission; transcription services and other management systems or collaboration or review platforms and finding aids associated with these records.

Is this item media neutral? Yes

Is this item a Big Bucket? Yes

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities? Yes

Superseded Items

Superseded Item	Item Superseded in Part?	Explanation
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DAA-0180-2018-0006-0001	Yes	In part for records that are born-digital and digitized records that are compliant with 36 CFR 1236 Subpart E
Is this item a deviation from the GRS?	Yes	
GRS Disposition Authority List		
Disposition Authority	Title	
DAA-GRS-2015-0001-0001		
Justification for GRS Deviation	The deviation from using GRS 6.2, item 010 applies to Federal Advisory Committee (FACA) records only. The agency's standard business process for managing those records does not align with the disposition instruction of the GRS.	
DISPOSITION INSTRUCTION		
Final Disposition	Permanent	
Cutoff Instructions	Other: Cut off annually.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 30 year(s) after cut off.	
ADDITIONAL INFORMATION		
Current Records Format	Textual data: At least 36GB ; Paper-based textual records: 701 cf	
Approximate first year of records covered by this authority	1981	
End year of records covered by this authority	Still being created	
Date span of the initial transfer	From: 10/01/1981 To: --/--/1994	
Frequency of transfer	1	
Are any of the records covered by this item subject to a FOIA exemption?	Yes	
FOIA Exemption(s)	FOIA (b)(3) Statute, FOIA (b)(4) Trade Secrets and Commercial or Financial Information, FOIA (b)(6) Personal Information	
What is the related statute for the FOIA B(3) exemption?	7 U.S.C. 12(a)(1)	

DAA-0180-2024-0001-0002	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Non-compliant Digitized Records from the Commission Central Files from October 2013 to June 2024

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Item Description
<p>This item includes only select digitized records in the Commission Central Files from October 2013 to June 2024. The records were produced from the gathering and classifying of paper records from the Commission Central Files that required digitization as part of a routine business process.</p> <p>The records were not produced in compliance with 36 CFR 1236 Subpart E, Regulations for Digitizing Permanent Records. They consist of:</p> <p>Official internal and external correspondence to and from the Chairman and Commissioners that document decisions that go through the seriatim, absent objection, and informational memo processes such as exemptive orders, exemptive staff letters, and interpretations that consist of official legal or interpretive guidance provided by the CFTC, as well as no action and interpretive letters issued by staff; the review and interpretation of the official actions, decisions, or imposed legal requirements; work products, including drafts, generated or circulated by the Chairman, Commissioners, or their staff; and any other documentation that records the decisions of the Chairman and Commissioners.</p>

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Delegations of Authority issued by the Chairman or Commission, or those that relate to or implement Commission core mission activities; mission-related governance records which document the internal mission functions of the CFTC and relay substantive policies, procedures, and goals such as official organizational charts, narrative histories, functional statements, formal policies, procedures, or manuals; files that document the development of new programs or major shifts in the focus or mission initiatives of existing programs; substantive records of CFTC committees and working groups that make policy decisions which significantly impact the agency mission or the agency as a whole; records of Federal Advisory Committees, which document their establishment, formation, membership, meetings and hearings, findings and recommendations, correspondence on decisions and actions, termination, and any similar records relating to advisory committees or subcommittees; and Whistleblower Claims Review Staff records, which document the decisions made about whistleblower award claims subject to Commission review such as action memoranda and exhibits, preliminary determinations, proposed final dispositions and determinations, and final orders and notices.

Is this item media neutral? No

Media limitation Digital only

Is this item a Big Bucket? No

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities? Yes

Superseded Items

Superseded Item	Item Superseded in Part?	Explanation
DAA-0180-2018-0006-0001	Yes	In part for records for digitized records that were created between October 2013 - June 2024, and are not in compliance with 36 CFR 1236 Subpart E.

Is this item a deviation from the GRS? Yes

GRS Disposition Authority List

Disposition Authority	Title
DAA-GRS-2015-0001-0001	

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Justification for GRS Deviation	The deviation from using GRS 6.2, item 010 applies to Federal Advisory Committee (FACA) records only. The agency's standard business process for managing those records does not align with the disposition instruction of the GRS.
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off annually.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 30 year(s) after cutoff
ADDITIONAL INFORMATION	
Current Records Format	Textual data:36 GB
Approximate first year of records covered by this authority	2013
End year of records covered by this authority	Year: 2024
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	Yes
FOIA Exemption(s)	FOIA (b)(3) Statute, FOIA (b)(6) Personal Information, FOIA (b)(4) Trade Secrets and Commercial or Financial Information
What is the related statute for the FOIA B(3) exemption?	7 U.S.C. 12(a)(1)

DAA-0180-2024-0001-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Source Records for the Non-compliant Digitized Records from the Commission Central Files from October 2013 to June 2024
Item Description	Records in analog format that were used to produce digitized records covered by Item 0002 of this schedule.
Is this item media neutral?	No
Media limitation	Paper/analog only
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No

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DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	There is no cutoff instruction
Retention Period	Destroy immediately after schedule is approved
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Edward Forst (Acting Archivist)	05/05/2026



Office of the Chief
Records Officer for the
U.S. Government

This schedule was signed outside of the ERA system using Standard Form 115.

NARA staff updated ERA to reflect this approval, moving the record schedule into an approved status. The approved status allows for generation of a PDF indicating that the schedule has been approved, and allows an agency to use the schedule in ERA to create transfer requests. The approved date in the system and on the PDF version of the records schedule reflects the system actions.