

Request for Records Disposition Authority

Records Schedule Number DAA-0587-2015-0001

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 Division of External Affairs

Minor Subdivision Division of External Affairs

Schedule Subject Division of External Affairs Records

Internal agency concurrences will be provided No

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.

This record schedule covers official records of the Division of External Affairs, Office Communications, Office of Legislative Affairs, and Office of Financial Institutions and Business Liaison.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 10 | 6 | 4 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0587-2015-0001

| Sequence Number | |
|-----------------|---|
| 1 | Master Copies of Press Releases Disposition Authority Number: DAA-0587-2015-0001-0001 |
| 2 | Index of Master Copies of Press Releases Disposition Authority Number: DAA-0587-2015-0001-0002 |
| 3 | Audio/Visual Recordings |
| 3.1 | High-quality/final version Disposition Authority Number: DAA-0587-2015-0001-0003 |
| 3.2 | Scripts Disposition Authority Number: DAA-0587-2015-0001-0004 |
| 4 | Press Conference records Disposition Authority Number: DAA-0587-2015-0001-0005 |
| 5 | Office of Legislative Affairs |
| 5.1 | Legislative Subject Matter Reference Files Disposition Authority Number: DAA-0587-2015-0001-0006 |
| 5.2 | Congressional Correspondence Disposition Authority Number: DAA-0587-2015-0001-0007 |
| 5.3 | Constituent Mail Disposition Authority Number: DAA-0587-2015-0001-0008 |
| 5.4 | Correspondence Tracking System Disposition Authority Number: DAA-0587-2015-0001-0009 |
| 5.5 | Routine Congressional Correspondence Disposition Authority Number: DAA-0587-2015-0001-0010 |

Records Schedule Items

| Sequence Number | | | | | | | | | | | | | | |
|--------------------|---|---------------------|--------------------------|---------------------|--------------------|-------|------|-------|--|--|-----------|--|--|--|
| 1 | Master Copies of Press Releases Disposition Authority Number DAA-0587-2015-0001-0001 Master copies of public information material, including but not limited to press releases, advisories, fact sheets, and remarks released by the Office of Communications. 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 the calendar year in which event has been completed. Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after the last year in the block 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 2016 How frequently will your agency transfer these records to the National Archives? Every 5 Years | | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th></th> <th>Estimated Current Volume</th> <th>Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td>10 MB</td> <td>2 MB</td> </tr> <tr> <td>Paper</td> <td></td> <td></td> </tr> <tr> <td>Microform</td> <td></td> <td></td> </tr> </tbody> </table> | | Estimated Current Volume | Annual Accumulation | Electronic/Digital | 10 MB | 2 MB | Paper | | | Microform | | | |
| | Estimated Current Volume | Annual Accumulation | | | | | | | | | | | | |
| Electronic/Digital | 10 MB | 2 MB | | | | | | | | | | | | |
| Paper | | | | | | | | | | | | | | |
| Microform | | | | | | | | | | | | | | |

2

Hardcopy or Analog Special Media

Index of Master Copies of Press Releases

Disposition Authority Number **DAA-0587-2015-0001-0002**

Spreadsheets and related records used to track public information material. These records may be used as an inventory to the records contained in item 1 of this records schedule.

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 the calendar year in which event has been completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after the last year in the block**

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 2016**

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

| | Estimated Current Volume | Annual Accumulation |
|---------------------------|--------------------------|---------------------|
| Electronic/Digital | 5 MB | 1 MB |
| Paper | | |
| Microform | | |

| | | |
|----------------------------------|--|--|
| Hardcopy or Analog Special Media | | |
|----------------------------------|--|--|

3

Audio/Visual Recordings

Audio/visual recordings, filmed by or for the CFPB from July 21, 2011 to the present, of senior officials. The recordings document the mission of the CFPB, including speeches to groups and organizations, town hall presentations, and other mission-related outreach recordings.

3.1

High-quality/final version

Disposition Authority Number **DAA-0587-2015-0001-0003**

High-quality/final version

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Disposition Instruction

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after the last block**

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 2016**

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

| | Estimated Current Volume | Annual Accumulation |
|--------------------|--------------------------|---------------------|
| Electronic/Digital | 25 GB | 1 GB |
| Paper | | |

| | | |
|----------------------------------|--|--|
| Microform | | |
| Hardcopy or Analog Special Media | | |

3.2

Scripts

Disposition Authority Number **DAA-0587-2015-0001-0004**

Official scripts of recordings

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 the calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after the last year in the block.**

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 2016**

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

| | Estimated Current Volume | Annual Accumulation |
|--------------------|--------------------------|---------------------|
| Electronic/Digital | 10 MB | 1 MB |
| Paper | | |
| Microform | | |

4

Hardcopy or Analog Special Media

Press Conference records

Disposition Authority Number **DAA-0587-2015-0001-0005**

Records documenting periodic press briefings by CFPB officials, including media kits, speech and presentation materials, pre-submitted questions by the press and CFPB responses, and transcripts, notes, and CFPB recordings of press conferences.

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 in 5 year blocks 15 year(s) after last year block**

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 2016**

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

| | Estimated Current Volume | Annual Accumulation |
|--------------------|--------------------------|---------------------|
| Electronic/Digital | 10 MB | 2 MB |
| Paper | | |
| Microform | | |

5

5.1

Hardcopy or Analog Special
Media

Office of Legislative Affairs

Legislative Subject Matter Reference Files

Disposition Authority Number **DAA-0587-2015-0001-0006**

Copies of Congressional correspondence that may be useful for future communications with Congressional and CFPB staff. Records may be maintained in subject matter order.

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? **Yes**

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

5.2

Congressional Correspondence

Disposition Authority Number **DAA-0587-2015-0001-0007**

Correspondence with Congress on the following significant topic areas: mission-related program planning; high-level management of the Bureau; Congressional inquiries and comments related to Congressional hearings on Bureau mission; and annual reports.

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Disposition Instruction

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after last year of the block**

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 2016**

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

| | Estimated Current Volume | Annual Accumulation |
|----------------------------------|--------------------------|---------------------|
| Electronic/Digital | 10 MB | 2 MB |
| Paper | | |
| Microform | | |
| Hardcopy or Analog Special Media | | |

5.3

Constituent Mail

Disposition Authority Number **DAA-0587-2015-0001-0008**

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 **Active**

Is this item media neutral? **Yes**

5.4

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? 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

Correspondence Tracking System

Disposition Authority Number DAA-0587-2015-0001-0009

Spreadsheets and related records created and maintained to track congressional and constituent correspondence.

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? Yes

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

5.5

Routine Congressional Correspondence

Disposition Authority Number DAA-0587-2015-0001-0010

Letters and response (inquiries and comments) of a more routine nature from Congressional offices relating to the following topics: consumer complaints; information governance; suggestions and recommendations not related to high-level Bureau policy; and administrative information on Bureau programs.

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 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

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 |
|------------|--------------------------|---------------|---------------------|--|
| 10/29/2014 | Certify | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 11/06/2015 | 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 |
| 12/19/2016 | Return for Revision | Rania Mahmoud | Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 02/14/2017 | Submit For Certification | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 02/16/2017 | Certify | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 02/23/2017 | Return for Revision | Rania Mahmoud | Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 03/06/2017 | Submit For Certification | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 03/06/2017 | Certify | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 07/12/2017 | Submit for Concurrence | Rania Mahmoud | Appraisal Archivist | National Archives and Records Administration - Records Management Services |

| | | | | |
|------------|---------|------------------|---|--|
| 07/13/2017 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 07/13/2017 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 07/17/2017 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |