COMMODITY FUTURES TRADING COMMISSION
RECORDS DISPOSITION SCHEDULE

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
CFTC- Wide Files							
ALL	100	**Office Organization Files**	Organization and functional charts, staffing and assignment documents.	Temporary	Destroy when superseded, obsolete, or no longer needed.	N1.180.00.1-100	Paper
ALL	101	**Reading or Chronological Files**	Copies of correspondence, memos, etc., maintained by originating office for reference.	Temporary	Destroy 1 year after end of FY or when reference value has ended	N1.180.00.1-101	Paper
ALL	102	**Individual or Staff Working Papers**	Project background records such as drafts, studies, analyses, notes, etc., used to create the paper record copy of a document.				
	102a		a. Paper version	Temporary	Destroy 6 months after final action or 3 years after completion of report if no final action is taken.	N1.180.00.1-102a	Paper
	102b		b. Electronic version used to produce paper working or final documents.	Temporary	Destroy within 180 days after the recordkeeping copy has been produced or when no longer needed.	N1.180.00.1-102b	Electronic
ALL	103	**Program Subject Files**	Program correspondence, interoffice and interagency memos, reports, studies, proposals, and related materials dealing with CFTC program matters.				
	103a		a. Records documenting the programs of the CFTC, which are not sent to the central files of the Chairman or Commissioners.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-103a	Paper
ALL	104	**Administrative Policies and Procedures**	Records include Commission-wide, Division-specific, or Office-specific administrative operating policies and procedures, which may clarify, supplement, or interpret Federal laws and regulations. Policies and procedures may be distributed as instructions, advisories, memos, notices, or orders. This item does not include policies and procedures related to the agency mission. The Division or Office responsible for promulgating a policy or procedure is responsible for maintaining the record copy.				

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	104a		a. Human resources-related policies and procedures.	Temporary	Close file when policy or procedure is superseded or cancelled. Destroy/delete 6 years after closed.	N1.180.09.1-2a	Media neutral
	104b		b. All other policies and procedures.	Temporary	Close file when policy or procedure is superseded or cancelled. Destroy/delete 2 years after closed.	N1.180.09.1-2b	Media neutral
	104c		c. Policies and procedures not finalized.	Temporary	Destroy/delete 3 years after development abandoned	N1.180.09.1-2c	Media neutral
ALL	105	**Publications**	Pamphlets, reports, manuals, and other published documents	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-105	Paper
ALL	106	**Organizational Files**	Official organizational charts, narrative histories, functional charts, and related records that document the organization and function of the CFTC.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-106	Paper
ALL	107	**Recurring Management Reports**	Internal management reports, including monthly reports, Quarterly Objectives, GPRA and strategic planning documents and management tools (other than budget documents.)	Temporary	Destroy when 3 years old or no longer needed, whichever is longer.	N1.180.00.1-107	Paper
ALL	108	**Rules and Regulations File**	Working documents of briefs, drafts and other documents pertaining to preparation, review and clearance of CFTC rules and regulations	Temporary	Destroy when 5 years old.	N1.180.00.1-108	Paper
ALL	109	**Conference and Meeting Documents**	Agendas, speeches, and minutes of professional or educational meetings.				
ALL	109a		a. Sponsored by CFTC	Temporary	Destroy 5 years after meeting,	N1.180.00.1-109a	Paper
ALL	109b		b. Attended by CFTC staff	Temporary	Destroy 2 years after meeting or when no longer needed, whichever is longer.	N1.180.00.1-109b	Paper
ALL	110	**Time and Attendance Records**	Timesheets, leave applications, overtime authorizations, and supporting documentation. Also includes records used to input time and attendance data into the payroll system.	Temporary	Cut off files at the end of each pay year. Transfer to offsite storage when 2 years old. Destroy when 6 years old.	GRS 6, Items 7 & 8	Paper, Electronic
ALL	111	**Travel Records**	Records include original vouchers and supporting documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents.	Temporary	Destroy when 6 years old.	GRS 9, Item 1a	Paper, Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
ALL	112	**Contracting, Procurement and COTR Files**	Records include), specifications, bids, schedules of delivery, requisitions, authorizations, contracts and modifications, and records of receipt, inspection, and payment.			GRS 3, Item 3a1(a), 3a1(b) and 5c1	Paper, Electronic
	112a		Records for procurements over the FAR simplified acquisition threshold of $2,500.	Temporary	Destroy 6 years and 3 months after final payment.		
	112b		Records for procurements at or below the FAR simplified acquisition threshold of $2,500, **including US Govt. Purchase Card purchases.**	Temporary	Destroy 3 years after final payment.		
	112c	Cancelled Solicitations	Formal solicitations (e.g. Invitations for Bids, RFPs, RFQs), which were cancelled prior to award of a contract. Files include pre-solicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation.	Temporary	Destroy 5 years after date of cancellation.		
ALL	113	**Supervisors' Personnel Files**	Files contain correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the official personnel file (OPF). **NOTE:** This item does not apply to the OPF maintained by OHR.	Temporary	Destroy within 1 year after employee's separation or transfer.	GRS 1, Item 18a	Paper, Electronic
ALL	114	**Transitory Records**	Records of short-term interest such as: • Routine requests for information and copies of replies that require no administrative action, policy decision or special research to reply; • Originating & receiving office copies of letters of transmittal that don't add info to the transmitted material; • Quasi-official memos, such as notices of holidays or charity events; • Routine reminders and scheduling records that contain no other information • Task lists, suspense and tickler files	Temporary	Destroy immediately or when no longer needed for reference.	GRS 23, Item 7	Paper, Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
ALL	115	**Office Administrative Files**	Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. Records included document office organization, staffing, communications, expenditure of funds. Also includes copies of internal activity reports (including those prepared in the office an forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.	Temporary.	Destroy when 2 years old.	GRS 23, Item 1	Paper, electronic
Office of the Inspector General Files							
OIG	200	**OIG Audit Case Files**	Case files of internal audits of agency programs, operations, and procedures and of external audits of contractors and grantees.				Paper
	200a		a. Case files of significant value, i.e., those that involve as subjects the Chairman, Commissioners, Division Directors, or Office Heads, substantive changes in agency policy, or investigations that draw national media attention.	Permanent	Offer to NARA when 10 years old.	N1.180.00.1-200a	Paper
	200b		b. All other case files not covered by item a.	Temporary	Destroy 20 years after FY in which audit is completed.	N1.180.00.1-200b	Paper
OIG	201	**OIG Investigation Case Files**	Investigations of agency employees or contractors and grantees in response to hotline or other requests.	Temporary	Destroy 20 years after FY in which investigation is completed.	N1.180.00.1-201	Paper
OIG	202	**OIG Index to Investigations**	Database Index to OIG Investigations Case Files	Temporary	Destroy 20 years after FY in which investigation is completed.	N1.180.00.1-202	Electronic
OIG	203	**Semi-Annual Report to Congress**	Report to Chairman and Congress summarizing activities of the OIG, in accordance with Sect. 5 of the IG Act.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-203	Paper

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
Administrative Support Files							
HR	286	**Official Personnel Files (OPFs)**					
	286a	OPFs for Transferred Employees		Temporary	See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.	GRS 1, Item 1a	Media neutral
	286b	OPFs for Separated Employees		Temporary	Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.	GRS 1, Item 1b	Media neutral
HR	287	**Vacancy Announcement Case Files (Examining and Certification Records)**	Case files may include but are not limited to: SF-52, position description, vacancy announcement, applications, and certificate of eligibles, acknowledgement letters, and offer letters. Case files may also include position classification records. Files are organized by vacancy number. **NOTE:** This item also applies to electronic administrative systems and reports, for example, Recruit to Hire and SF-52 tracking database.				
	287a	Delegated Agreements		Temporary	Destroy 3 years after termination of agreement.	GRS 1, Item 33a	Media neutral
	287b		Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.	Temporary	Cut off annually. Destroy 1 year after cutoff.	GRS 1, Item 33b	Media neutral
	287c		Correspondence or notices received from eligibles indicating a change in name, address, or availability.	Temporary	Destroy 90 days after updating the appropriate record in the registry or inventory.	GRS 1, Item 33c	Media neutral
	287d	Test Material Stock Control	Stock control records of examination test material including running inventory of test material in stock.	Temporary	Destroy when test is superseded or obsolete.	GRS 1, Item 33d	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	287e	Application Record Card (OPM Form 5000A, or equivalent).		Temporary	Cut off after examination. Destroy no later than 90 days after cutoff.	GRS 1, Item 33E	Media neutral
	287f	Examination Announcement Case Documentation Files	Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.	Temporary	Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off.	GRS 1, Item 33f	Media neutral
	287g		Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).	Temporary	Destroy 2 years after the date on which the register of inventory is terminated.	GRS 1, Item 33g	Media neutral
	287h		Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).	Temporary	Cut off annually. Destroy 1 year after cutoff.	GRS 1, Item 33h	Media neutral
	287i	Test Answer Sheets	Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	Temporary	Destroy when 6 months old.	GRS 1, Item 33i	Media neutral
	287j	Lost or Exposed Test Material Case Files	Records showing the circumstances of loss, nature of the recovery action, and corrective action required.	Temporary	Cut off files annually. Destroy 5 years after cutoff.	GRS 1, Item 33j	Media neutral
	287k		Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.	Temporary	Cut off annually. Destroy 1 year after cutoff.	GRS 1, Item 33k	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	287 l(1)	Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.	On an active register or inventory.	Temporary	Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any).	GRS 1, Item 33l(1)	Media neutral
	287m		Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.	Temporary	Cut off annually. Destroy 2 years after cutoff.	GRS 1, Item 33m	Media neutral
	287n		Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.	Temporary	Cut off annually. Destroy 2 years after cutoff.	GRS 1, Item 33n	Media neutral
	287o		Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.	Temporary	Cut off annually. Destroy 1 year after cutoff.	GRS 1, Item 33o	Media neutral
	287p		Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.	Temporary	Cut off annually. Destroy 2 years after cutoff.	GRS 1, Item 33p	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	287q		Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.	Temporary	Cut off annually. Destroy 2 years after cutoff.	GRS 1, Item 33q	Media neutral
	287r		Interagency Placement Program (IPP) application and registration sheet.	Temporary	Destroy upon expiration of employee's DEP eligibility.	GRS 1, Item 33r	Media neutral
	287s		DEP control cards, if maintained.	Temporary	Cut off annually. Destroy 2 years after cut off.	GRS 1, Item 33s	Media neutral
	287t		Reports of audits of delegated examining operations.	Temporary	Destroy 3 years after date of the report.	GRS 1, Item 33t	Media neutral
HR	288	**Chron Files of SF 50s**	Copies of SF 50s arranged chronologically, exclusive of the copy in the OPF.	Temporary	Destroy when 2 years old	GRS 1, Item 14	Media neutral
HR	289	**Employee Performance Management Files**					
	289 a(1)	Non-SES appointees	Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents.	Temporary	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.	GRS 1, Item 23a(1)	Media neutral
	289 a(2)	Non-SES appointees	Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Temporary	Destroy when superseded.	GRS 1, Item 23a(2)	Media neutral
	289 a(3) (a)	Non-SES employees - Performance-related records pertaining to a former employee.	Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.	Temporary	Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.	GRS 1, Item 23a(3)(a)	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	289 a(3) (b)	Non-SES employees - Performance-related records pertaining to a former employee	All other performance plans and ratings.	Temporary	Destroy when 4 years old.	GRS 1, Item 23a(3)(b)	Media neutral
	289 a(4)	Non-SES employees	All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Temporary	Destroy 4 years after date of appraisal.	GRS 1, Item 23a(4)	Media neutral
	289 a(5)	Non-SES employees	Supporting documents.	Temporary	Destroy 4 years after date of appraisal.	GRS 1, Item 23a(5)	Media neutral
	289 b(1)	SES appointees (as defined in 5 U.S.C. 3132a(2)).	Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Temporary	Destroy when superseded.	GRS 1, Item 23b(1)	Media neutral
	289 b(2) (a)	SES appointees - Performance-related records pertaining to a former SES appointee	Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.	Temporary	Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.	GRS 1, Item 23b(2)(a)	Media neutral
	289 b(2) (b)	SES appointees - Performance-related records pertaining to a former SES appointee	All other performance ratings and plans.	Temporary	Destroy when 5 years old.	GRS 1, Item 23b(2)(b)	Media neutral
	289 b(3)	SES appointees	All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment.	Temporary	Destroy 5 years after date of appraisal.	GRS 1, Item 23b(3)	Media neutral
	289 b(4)	SES appointees	All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Temporary	Destroy 4 years after date of appraisal.	GRS 1, Item 23b(4)	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
LO	290	**Lost, Stolen, Damaged, or Destroyed (LSDD) Government and Personal Property Records**	Records document the reporting of, and decisions regarding employee liability for lost, stolen, damaged, or destroyed government property. Records also document the reporting of and, if applicable, decisions regarding reimbursement for personal property lost or damaged in the workplace or on official business.				
	290a	LSDD government property and personal property reports and decisions	Records may include but are not limited to LSDD government or personal property reports which contain the report of the individual reporting the loss, theft or damage, the recommendations, and decisions regarding employee liability or employee reimbursement (depending on whether government or personal property), and any additional supporting documentation, which is necessary for a full understanding of the report, the recommendation, or the decision.	Temporary	Close file when decision is final. Cut off files at the end of the FY. Destroy when 7 years old.	N1.180.11.2-1	Media neutral
	290b	Working files not required to support reports, recommendations, or decisions	Records include but are not limited to working files, which are not necessary to provide a full understanding of LSDD government or personal property reports, recommendations, or decisions.	Temporary	Close file when decision is final. Cut off files at the end of the FY. Destroy when 1 year old.	N1.180.11.2-2	Media neutral
All	291	**Intranet Content Records**	Includes but is not limited to pages containing information and links to other pages and documents. **NOTE:** This item does not include other record types that are posted on the intranet, such as policies and procedures, but governed by another records disposition schedule. These records should be managed in accordance with the appropriate disposition schedule.	Temporary	Delete when content is superseded, obsolete, or no longer needed for agency business	N1.180.11.1-1	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
OED/ ODT	292	**Web Site Operations Records**	These items apply to records created in the process of administering any internal- or external-facing agency web site.				
	292a	Content management records	Records include but are not limited to records documenting the process of content publishing and management, such as design records, standards describing the look and feel of the site, and procedures describing the process by which information is added, changed, or deleted. Also includes training and technical manuals and records documenting changes and additions to pages, such as content providers' requests for modifications to existing pages and requests for new pages.	Temporary	Delete when superseded, obsolete, or when no longer needed for agency business	N1.180.11.1-2	Media neutral
	292b	Technical management records	Records include but are not limited to user logs, search logs, traffic logs, server configuration files, and software records that describe software products user to create and maintain web content.	Temporary	Delete when superseded, obsolete, or when no longer needed for agency business	N1.180.11.1-3	Media neutral
LO	293	**Visitor Logs**	Logs used to record names and other information of contractors, service personnel, visitors, and/or employees admitted to areas.	Temporary	Destroy 2 years after final entry or 2 years after date of document, as appropriate	GRS 18, Item 17b	Media neutral
LO	294	**Personnel Clearance Records**	Records document the processing and maintenance of background investigations on current or prospective employees and contractors, including volunteers and interns. Records include but are not limited to case files, copies of SF 312, and the Personnel Clearance System (PCS). **NOTE:** These records are covered under Privacy Act System of Records Notices CFTC-44 and OPM/Central-9. These records contain sensitive personally-identifiable information (PII). See the "Safeguarding PII" policy for more information about security and storage.	Temporary	Cut off files upon employee separation, transfer or expiration of contract relationship. Destroy upon notification of death or not later than 5 years after separation or transfer of employee or not later than 5 years after contract relationship expires, whichever is applicable.	GRS 18, Item 22a	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
LO/HR	295	**Classified Information Nondisclosure Agreements**	Records include nondisclosure agreements, such as SF 312 Classified Information Nondisclosure Agreement, signed by employees with access to information that is classified under standards put forth by Executive orders governing security classification. These forms should be maintained separately from personnel security clearance files. For civilian employees, these forms may be filed on the right side of the employee's official personnel file (OPF). **NOTE:** These records are covered under Privacy Act System of Records Notices OPM/Govt-1. These records contain sensitive personally-identifiable information (PII). See the "Safeguarding PII" policy for more information about security and storage.	Temporary	File original copies of agreements in the employee's OPF.	GRS 18, Item 25b	Media neutral
LO	296	**Badging and Security System Records**	Records document the issuance, tracking, and deactivation of staff badges and electronic security cards. Records may include but are not limited to reconciliation reports, badge forms, and data in the badging system.				
	296a		a. Monthly badging and security system reconciliation reports.	Temporary	Close file at the end of fiscal year. Destroy/delete when 2 years old.	N1.180.09.1-3a	Media neutral
	296b		b. Badge forms.	Temporary	Destroy/delete employee forms 90 days after employee separates from Commission.	N1.180.09.1-3b	Media neutral
	296c		c. Badging system data.	Temporary	Destroy/delete employee record 90 days after employee separates from Commission.	N1.180-.09.1-3c	Media neutral
HR	297	**Administrative Grievance, Disciplinary, and Adverse Action Files**	Records consist of case files relating to grievances raised by employees (except EEO complaints) and adverse actions and performance-based actions against employees. **NOTE:** These records contain sensitive personally-identifiable information (PII). See the "Safeguarding PII" policy for more information about security and storage.	Temporary	Transfer to offsite storage when volume warrants. Destroy 7 years after case closed.	GRS 1, Item 30	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
ODT	298	**Information System Development and Maintenance Records**					
	298a	Development documentation	Includes test plans, requirements and specifications, quality assurance plans, quality guidelines, configuration management plans, detailed design documents, use cases, and other related materials.	Temporary	Destroy/delete 1 year after system is superseded or obsolete.	GRS 20, Item 11a1	Media neutral
	298b	System monitoring and maintenance documentation	Includes logs created to test system performance. Also includes logs to monitor system usage, such as log-in files, password files, audit trails, and system usage files.	Temporary	Destroy/delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, Items 1a & 1c	Media neutral
	298c	User manuals, handbooks and guides – temporary records	Includes user manuals, handbooks, and guides for records and data, which are scheduled as temporary records.	Temporary	Destroy/delete when superseded or obsolete.	GRS 20, Item 11a1	Media neutral
	298d	User manuals, handbooks and guides – permanent records	Includes user manuals, handbooks, and guides for records and data, which are scheduled as permanent records.	Permanent	Transfer to NARA with the permanent electronic records to which the documentation relates.	GRS 20, Item 11a2	Media neutral
HR	299	**Telework Records**					
	299a	Approved requests	Requests, agreements, safety checklists, notifications of agreement termination, and other related records.	Temporary	Destroy 1 year after the end of the employee's participation in the program.	GRS 1, Item 42a	Paper, electronic
	299b	Unapproved requests	Requests, agreements, safety checklists, and other related records.	Temporary	Destroy 1 year after request is rejected.	GRS 2, Item 42b	Paper , electronic
ODT	300	**Long-range ADP Plans**	Long-range plans for computer hardware and software support.	Temporary	Destroy 5 years after the close of the period covered by the plan.	N1.180.00.1-300	Paper
HR	301	**52 Tracking System Reports**	Bi-weekly reports prepared on status of personnel actions.	Temporary	Destroy 2 years after close of FY in which report prepared.	N1.180.00.1-301	Paper
HR	302	**Training Records**	Training materials developed by the Commission.	Temporary	Destroy when 10 years old or when replaced or no longer needed for training purposes.	N1.180.00.1-302	Paper, Video tape
Central Commission Files							
Sect.	303	**File Subject Code and Title Key to Central Files of the Chairman and Commissioners**	Electronic database containing file title and subject code keys for documents in Central Files of the Chairman and Commissioners (307).	Permanent	Offer to NARA with underlying records in 10 year blocks when 20 years old.	N1.180.00.1-303	Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
Sect.	304a	**Secretariat Correspondence Locator System**	a. Electronic database that tracks and indexes documents received by the Commission and referred to other departments for action.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-304a	Electronic
	304b		b. Documentation: Regardless of medium, record layouts, coding sheets/code books, technical description of file. User manuals and any other background information that would be useful or necessary to a researcher using the file.	Permanent	Transfer a copy of the documentation with the file to NARA. Transfer updates and changes with subsequent transfer of the file.	N1.180.00.1-304b	Paper, Electronic
Sect.	305	**Seriatim Log**	Chronological listing and locator of all seriatim (“sign-off”) decisions of the Commission.				
	305a		a. Paper version.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-305a	Paper
	305b		b. Microfiche and electronic versions.	Temporary	Destroy when 20 years old or no longer needed.	N1.180.00.1-305b	Microfiche, Electronic
Sect.	306a	**Federal Register Database Locator System**	a. Electronic system that cross references Federal Register notices with records in Central Files (307).	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-306a	Electronic
	306b		b. Documentation: Regardless of medium, record layouts, coding sheets/code books, technical description of the file. User manuals and any other background information that would be useful or necessary to a researcher using the file.	Permanent	Transfer a copy of the documentation with the file to NARA. Transfer updates and changes with subsequent transfer of the file.	N1.180.00.1-306b	Paper, Electronic
Sect.	307	**Central Files of the Chairman and Commissioners**	Official documents signed off on by the Chairman and Commissioners.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-307	Paper, Microfiche
Sect.	308	**Records and Official Minutes of Commission Meetings**	Staff documents, agendas, supporting documentation presented to Commissioners, meeting transcripts, record of votes and similar material. Sub-categories of records are:				
	308a		a. Microform records				
	308a-1		a.1. Microform records of open and closed meetings.	Permanent	Offer silver halide master, plus one diazo or vesicular copy to NARA in 10 year blocks when 20 years old.	N1.180.00.1-308a-1	Microform

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	308a-2		a.2. Public version microform records of open meetings.	Permanent	Offer silver halide master, plus one diazo or vesicular copy to NARA in 10 year blocks when 20 years old.	N1.180.00.1-308a-2	Microform
	308b		b. Paper Records	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-308b	Paper
	308c		c. Index to records and official minutes of Commission meetings.	Permanent	Transfer with underlying records in 10 year blocks when 20 years old.	N1.180.00.1-308c	Electronic
Sect.	309a	**Tapes of Commission Meetings**	a. Recordings of open and closed Commission meetings.	Permanent	Cut off annually. Transfer analog recordings to NARA when 10 years old. Pre-accession digital recordings to NARA when 3 years old. Transfer legal custody to NARA when 10 years old.	N1.180.00.1-309a (as amended by DAN-180-2011-001)	Media neutral (Audio Tape, Digital Audiovisual, Digital Audio)
	309b		b. Index to recordings. Electronic index including but not limited to the following information: recording dates, brief statement of meeting topic, number of tapes to record each meeting, and any recording flaws.	Permanent	Cut off annually. Pre-accession to NARA when 3 years old. Transfer legal custody to NARA when 10 years old.	N1.180.00.1-309b	Electronic
Sect.	310	**Speeches and Testimony**	Official speeches and Congressional testimony on CFTC policies and programs by the Chairman and Commissioners.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-310	Paper
FOIA	311	**Freedom of Information Act (FOIA) Reports**	Annual FOIA report to OMB for Congress.	Permanent	Offer to NARA in 10 year blocks when 15 years old.	N1.180.00.1-311	Paper
Sect.	312	**Privacy Act Reports**	Annual Privacy Act report to OMB for Congress.	Permanent	Offer to NARA in 10 year blocks when 15 years old.	N1.180.00.1-312	Paper
FOIA	313a	**Petitions for Confidential Treatment of Documents and Information**	a. Petitions for confidential treatment of regulatory filings. Maintained as a separate item for FOIA purposes per Executive Order 12600.	Temporary	Cut off by fiscal year. Transfer to microfiche in two years. Destroy in 10 year blocks when 20 years old.	N1.180.00.1-313a	Paper, Microfiche
	313b		b. Index to petitions for confidential treatment.	Temporary	Cut off by fiscal year. Transfer to microfiche in two years. Destroy in 10 year blocks when 20 years old.	N1.180.00.1-313b	Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
FOIA	314	**FOIA Case Files**	Files created in response to requests for information under FOIA. Files include granted, denied, partially granted, and denied requests.	Temporary.	Destroy 6 years date of reply or final determination, whichever is later	GRS 14, Item 11a3a & 11a3b	Paper, Electronic, Microfiche
OGC	315	**FOIA Appeals Files**	Files created in responding to administrative appeals under FOIA for release of information denied by the agency.	Temporary	Destroy 6 years after final determination, 6 years after requester could file suit, or 3 years after final adjudication, whichever is later	GRS 14, Item 12	Paper, Electronic
Offices of the Chairman Files							
OEA	400	**Congressional Correspondence**	Letters signed by the Director, Office of Legislative and Intergovernmental Affairs, dealing with constituent requests and transmittal of information to Members of Congress.	Temporary	Destroy one year after calendar year in which Member departs Congress.	N1.180.00.1-400	Paper
OEA	401	**Press Release Files**	Official CFTC press releases and media advisory file.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-401	Paper
OEA	402	**CFTC Backgrounders**	In-depth news releases, weekly advisories and opinions updates.	Temporary	Destroy when 3 years old or when no longer needed, whichever is longer.	N1.180.00.1-402	Paper
OPA	403	**Press Clippings**	Contains electronically scanned compilation of news relevant to the CFTC, distributed as the Daily News Clips.	Temporary	Destroy after 5 years or when no longer needed for research, whichever is longer.	N1.180.00.1-403	Electronic
OEA	404	**Biography Files**	Biographical data and photographs of the Chairman and Commissioners.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-404	Paper, Photos
Investigatory and Litigation Files							
Proc./ Enf.	405	**Customer and Official Inquiry Files**	Responses to letters requesting information on the reparations program, the short form recording reparations complaint information and correspondence regarding complaints received against non-registrants.	Temporary	Destroy 3 years after end of the FY.	N1.180.00.1-405	Paper, Electronic
Enf.	406	**Investigatory Files**	Customer complaints, reparations claims, referrals, interview notes, affidavits, depositions, witness statements, and other relevant documentation.				

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	406a		a. Investigatory file closed when investigation reaches litigation and matter becomes case file.	Temporary	Investigation becomes case file (see 406b).	N1.180.00.1-406a	Paper, Video, Audio, Diskette
	406b		b. In matter closed without litigation, (1) transcripts of testimony taken during the investigation and all exhibits to such transcripts; (2) all "official" documents generated during the course of the investigation such as opening and closing reports, formal orders of investigation, subpoenas, requests for confidential treatment, Wells submissions and FOIA requests; (3) other inter- or intra-agency memos and correspondence, including important notes or documents prepared by staff which staff believes should be retained; (4) other documents identified by staff as important to retain; (5) case material which must be held due to FOIA or Privacy Act concerns.	Temporary	Transfer to off-site storage 90 days after close of investigation. Destroy/delete 5 years after close of investigation.	N1.180.07.1-1	Paper, Video, Audio, Electronic
	406c		c. If matter is closed without litigation, documents and other materials not material to the decision to close the investigation (i.e., materials other than those described in 406b.)	Temporary	Destroy or return documents to person who submitted them to the Commission within 90 days after close of investigation.	N1.180.00.1-406c	Paper, Video, Audio
Enf.	407	**Enforcement Investigation Database Tracking System**	Lists status of matters under investigation	Temporary	Destroy 15 years after close.	N1.180.00.1-407	Electronic
Enf.	408	**Enforcement Case Files**	Correspondence, pleadings, subpoenas, exhibits and all documents relating to persons or companies believed in violation of CFTC regulations or the Act.				

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	408a		a. Unique enforcement case files selected by CFTC as precedent-setting and that meet one or more of the following criteria: 1. The case was the subject of extensive litigation. 2. The case received widespread news media attention. 3. The case was reviewed at length in the narrative portions of the CFTC annual report.	Permanent	Break at completion of case. Offer to NARA in 10 year blocks when 20 years old. Provide paper records, transcripts of audiotapes and printouts of electronic records. Destroy audio and electronic versions prior to transfer to NARA.	N1.180.00.1-408a	Paper, Video, Audio, Diskette
	408b		b. In closed enforcement cases, (1) transcripts of testimony taken during the investigation and all exhibits to such transcripts; (2) all "official" documents generated during the course of the investigation such as opening and closing reports, formal orders of investigation, subpoenas, requests for confidential treatment, Wells submissions and FOIA requests; (3) other inter- or intra-agency memos and correspondence, including important notes or documents prepared by staff which staff believes should be retained; (4) documents that have been introduced as evidence in an injunctive or administrative proceeding; (5) other documents identified by staff as important to retain; (6) case material which must be held due to FOIA or Privacy Act concerns.	Temporary	Transfer to off-site storage 90 days after close of case. Destroy/delete 15 years after close of case.	N1.180.07.2	Paper, Video, Audio, Electronic
	408c		c. In closed enforcement cases, documents and materials not material to the decision to close the case (i.e., materials other than those described in 408b.	Temporary	Destroy or return documents to person who submitted them to the Commission within 90 days after close of investigation.	N1.180.00.1-408c	Paper, Video, Audio
Proc.	409	**Reparations Complaint Files**	Original case files of reparations cases closed in the complaint section.	Temporary	Transfer to off-site storage 3 years after FY in which case is closed. Destroy/delete 10 years after FY in which case is closed.	N1.180.07.1-3	Paper, Electronic
OGC	410	**OGC Litigation Files**	Pleadings, briefs, hearings, opinions, and correspondence related to litigation CFTC is involved or had interest in.				

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	410a		a. Routine cases	Temporary	Transfer to off-site storage when 3 years old. Destroy/delete when 15 years old.	N1.180.07.1-2	Paper, Electronic
	410b		b. Cases selected by CFTC with concurrence of NARA using the following criteria: 1. The case was subject to extensive litigation. 2. The case received widespread news media attention. 3. The case was reviewed at length in the narrative portion of the CFTC annual report.	Permanent	Transfer to off-site storage when 3 years old. Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-410b	Paper
	410c		c. Attorney working papers. Includes litigation attorney work product including drafts, working papers, interview notes, legal research material and other inter or intra agency memorandum and correspondence prepared in support of litigation of a case at all stages, including investigation, formal litigation, and any settlement, including papers or other media identified by litigating attorney as important to rating as background for a deeper understanding of the case and as documentation of the attorney work process.	Temporary	Transfer to off-site storage 90 days after close of litigation. Destroy 5 years after close of litigation.	N1.180.08.1-410c	Applies to records in all media
Proc.	411	**Original Docket Files**	Reparations and enforcement cases in proceedings before the Administrative Law Judges. Record categories:				
	411a		a. Unique or precedent-setting cases selected by CFTC that meet the at least one of the following criteria: 1. The case was subject to extensive litigation. 2. The case received widespread news media attention. 3. The case was reviewed at length in the narrative portion of the CFTC annual report.	Permanent	Transfer to off-site storage 3 years after close. Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-411a	Paper, Audio, Electronic
	411b		b. Enforcement Cases	Temporary	Transfer to off-site storage 3 years after close. Destroy 15 years after close.	N1.180.00.1-411b	Paper, Audio, Electronic
	411c		c. Reparations Cases	Temporary	Close case after completing appeal. Transfer to off-site storage 2 years after close. Destroy 10 years after close.	N1.180.00.1-411c	Paper, Audio, Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	411d		d. Docket tracking systems that track status of enforcement and reparations cases.				
	411d.1.		d.1. Enforcement case tracking system	Temporary	Destroy 10 years after close of case.	N1.180.00.1-411d.1	Electronic
	411d.2.		d.2. Reparations case tracking system	Temporary	Destroy 15 years after close of case.	N1.180.00.1-411d.2	Electronic
OGC	412	**Opinion Case Files**	Options memoranda, draft decisions, and related research materials prepared in the development of Commission opinions in reparation and enforcement cases appealed to the Commission.	Temporary	Transfer to off-site storage when 3 years old. Destroy when 10 years old.	N1.180.00.1-412	Paper
Program Office Files							
DMO, DCR, DSIO	500	**Records Related to Rule Review**	Correspondence, copies of proposed rule changes, decisions memos, and related documents.	Temporary	Destroy 10 years after date of submission or when no longer needed, whichever is longer.	N1.180.00.1-500	Paper
DMO, DCR, DSIO, OGC	501	**Staff Interpretative Letters**	Letters responding to public inquiry regarding legal implications of provisions of the Commodity Exchange Act, or requests for interpretation, or no-action position or an exemption.				
	501a		a. Unique interpretive letters selected by CFTC because they set precedent and they were subject to litigation, received widespread attention in the legal press, or were reviewed at length in the Annual Report.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-501a	Paper
	501b		b. All other staff letters	Temporary	Destroy when 15 years old.	N1.180.00.1-501b	Paper
DMO	502	**Contract Market Designation and Rule Change Reviews**	Exchange submissions for contract market designations, rule changes, decision memoranda, comment letters, and supporting documentation.	Temporary	Transfer to off-site storage 3 years after vacation of designation. Destroy 20 years after designation is vacated.	N1.180.00.1-502	Paper
DMO	503	**Changes to Terms and Conditions of Contracts**	Contract market notification to CFTC of minor modifications in contracts where no CFTC action is required.	Temporary	Destroy 2 years after end of FY.	N1.180.00.1-503	Paper

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
NFA	504	**Applications for Registration**	Registration applications and related documentation, including supplementary attachments, correspondence with the applicant, reports, memoranda regarding information about applicant. Types of registrations include: Futures Commission Merchants (FCMs), Introductory Brokers (IBs), Commodity Pool Operators (CPOs), Commodity Trading Advisors (CTAs), Leverage Transaction Merchants (LTMs), their respective Associated Persons (APs) and Floor Brokers (FBs), Agricultural Trade Option Merchants and Floor Traders.	Temporary	After registrant becomes inactive, records retained at NFA for 2 years, then retained off-site for 8 years. Destroy 10 years after registrant becomes inactive or when no longer needed, whichever is longer.	N1.180.00.1-504	Paper, Electronic
DSIO, NFA	505	**Registration Fitness Investigations**	Fingerprint cards and “rap sheets” for all applicants. Applications to withdraw registration and other applications, documents and investigative reports describing disciplinary history for applicants subject to investigation or litigation.	Temporary	Destroy 10 years after case closed.	N1.180.00.1-505	Paper, Electronic
NFA	506	**Registrant Financial Reports and Disclosure Documents**	Financial reports filed by FCMs, IBs, LTMs, commodity pools; disclosure documents filed by CPOs and CTAs; report review forms of audit branch staff that are not the subject of investigation or litigation.	Temporary	Destroy when 5 years old.	N1.180.00.1-506	Paper, Electronic
NFA	507	**Registration Directories**	All alphabetic, geographic, or numeric registration directories.	Temporary	Destroy when 40 years old or when no longer needed, whichever is longer.	N1.180.00.1-507	Paper, Microform
DSIO	508	**Financial Surveillance Files**	Audit records consisting of examination work papers, related correspondence, notices from registrants and documentation of ongoing surveillance activities. Non-routine projects and analyses relating to enforcement of financial, reporting and recordkeeping rules.	Temporary	Destroy work papers and correspondence files 5 years after completion of audit unless litigation is involved (in which case file becomes litigation file under 408b). Destroy correspondence file documents 5 years after generation unless document relates to current registrant/SRO policies and procedures.	N1.180.00.1-508	Paper
DSIO	509	**Financial Examination Control Records**	Audit branch project control records.	Temporary	Destroy 6 months after close of fiscal year or when no longer needed, whichever is later.	N1.180.00.1-509	Paper, Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
DMO	510	**Trade Practice Investigations**	In-depth report of investigations of trade practices of a commodity exchange. To include notes, findings, conclusions and related records.	Temporary	Destroy when 10 years old.	N1.180.00.1-510	Paper
	511	**Integrated Surveillance System (ISS) & Supporting Environment**	ISS allows the agency to monitor the daily activities of large traders, key price relationships, and relevant supply and demand factors. ISS data enables the agency to analyze the composition of the market, such as the participation in the market by commercial versus non-commercial traders and the open interest held by certain occupational categories. It is also used to detect market anomalies. ISS collects and processes daily futures and options position data for large traders from reporting firms (futures commission merchants, clearing members, and foreign brokers) and daily open interest, volume, price and clearing member data from exchanges. This data is further supplemented by collecting and processing related cash market price data from a variety of sources. In addition, identifying information concerning each large trader and reportable account is entered and stored in ISS.				
	System Input						
	511-1	Data loaded or keyed into system.	Electronic data files and paper and electronic inputs loaded or keyed into the system. For example, this item covers the paper or electronic copies of Forms 40 and 102 that **are** scanned and uploaded into the system. See items 511-2 and 511-3 below for retention instructions for paper and electronic copies of Forms 40 and 102 **not** scanned and not uploaded into the system.	Temporary	Delete when data have been entered into the database and verified, or when no longer required to support reconstruction of the database, whichever is later.	GRS 20, Items 2a(4) & 2b	Media neutral
	511-2	Special Account Identification (form 102) and supporting documents	Includes documents **not** scanned and not uploaded into the system. Data is required by 17 CFR § 17.01 to be submitted to the Commission by a futures commission merchant, clearing member, or foreign broker when a special account is reported for the first time.	Temporary	Delete when data for an account has not been received for 3 years.	N1-180-09-3, Item 2	Media neutral
	511-3	Statement of Reporting Trader (form 40) and supporting documents	Includes documents **not** scanned and not uploaded into the system. Data is required by 17 CFR § 18.04 to be submitted to the Commission by traders (or their designee) holding reportable positions in response to a special call by the Commission for such documentation.	Temporary	Delete when data for a trader has not been received for 10 years.	N1-180-09-3, Item 3	Media neutral
	System Content						
	511-4	Aggregated clearing member position data	Includes electronic data for all futures combined, no individual strike price or expiration months. Data is required by 17 CFR §16.00 to be submitted to the Commission by the exchanges each business day for each clearing member.	Temporary	Delete when 5 years old.	N1-180-09-3, Item 4	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	511-5	All other clearing member position data	Includes electronic data required by 17 CFR §16.00 to be submitted to the Commission by the exchanges each business day for each clearing member.	Temporary	Delete when no less than 6 months old, or when no longer needed for business, but no more than 13 months old.	N1-180-09-3, Item 5	Media neutral
	511-6	Trading volume, open contracts, exchanges of futures, prices, critical dates, and cash price data	Includes electronic data required by 17 CFR § 16.01 to be submitted to the Commission by the exchanges each business day.	Temporary	Delete when 10 years old or when no longer needed, whichever is longer	N1-180-09-3, Item 6	Media neutral
	511-7	Large trader positions, deliveries, exchanges of futures, and Exempt Commercial Market (ECM) data	Includes electronic data required by 17 CFR § 17.00 and 17 § 36.3(b)(ii)(A) to be submitted to the Commission by each futures commission merchant, clearing member, and foreign broker each business day.	Temporary	Delete when 10 years old.	N1-180-09-3, Item 7	Media neutral
	511-8	Special Account Identification (form 102) and supporting documents	Data entered into system from Special Account Identification forms 102, scanned forms 102, and scanned supporting documents. Includes documents required by 17 CFR § 17.01 to be submitted to the Commission by a futures commission merchant, clearing member, or foreign broker when a special account is reported for the first time.	Temporary	Delete when data for an account has not been received for 3 years.	N1-180-09-3, Item 8	Media neutral
	511-9	Statement of Reporting Trader (form 40) and supporting documents	Data entered into system from Statement of Reporting Trader forms 40, scanned forms 40, and scanned supporting documents. Includes documents required by 17 CFR § 18.04 to be submitted to the Commission by traders (or their designee) holding reportable positions in response to a special call by the Commission for such documentation.	Temporary	Delete when data for a trader has not been received for 10 years.	N1-180-09-3, Item 9	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	511-10	Data from forms 204 and 304	Data entered into system from Statement of Cash Positions forms 204 (grains and soybean products) and 304 (cotton). Includes documents required by 17 CFR § 19.01 and 19.02 to be submitted routinely (weekly or monthly) to the Commission by persons holding or controlling certain futures and options positions.	Temporary	Destroy/delete when 10 years old.	N1-180-09-3, Item 10	Media neutral
	511-11	Owner-level hedge exemption request records	Data and documents entered into system relating to hedge exemptions at the owner level. Includes documents required by 17 CFR § 1.47 and 1.48 to be submitted to the Commission by persons engaging in hedging. **NOTE:** See Record Codes 522-1 for the authorized disposition of documents relating to owner-level hedge exemptions that are not entered into system.	Temporary	Destroy/delete when data for traders under the owner have not been received for 10 years.	N1-180-09-3, Item 11	Media neutral
	511-12	Trader-level hedge exemption request records	Data and documents entered into system relating to hedge exemptions at the trader level. Includes documents required by 17 CFR § 1.47 and 1.48 to be submitted to the Commission by persons engaging in hedging. **NOTE:** See Record Codes 522-2 for the authorized disposition of documents relating to trader-level hedge exemptions that are not entered into system.	Temporary	Destroy/delete when data for trader has not been received for 10 years.	N1-180-09-3, Item 12	Media neutral
	System Output						
	511-13	Market reports	Reports generated from ISS data including but not limited to the Commitments of Traders report and the Cotton On-Call report. **NOTE:** See also Record Code 298d, which requires that user manuals, handbooks, and guides explaining these reports be transferred to NARA as well.	Permanent	Cut off annually. Transfer paper records to NARA when 20 years old. Pre-accession electronic records to NARA when 3 years old. Transfer legal custody to electronic records to NARA when 20 years old.	N1-180-09-3, Item 13	Media neutral
	511-14	Bank Participation reports	Aggregate large-trader position data of banks participating in various financial and non-financial commodity futures.	Temporary	Destroy/delete when 25 months old.	N1-180-09-3, Item 14	Media neutral
	511-15	Outputs that support another programmatic function	Outputs, such as printouts or copied, extracted, or merged data generated from ISS that support another programmatic function.		Destroy in accordance with disposition authority that applies to records of the other programmatic function.		

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	511-16	Ad hoc outputs	All other outputs, such as printouts or copied, extracted, or merged data files used for ad hoc or one-time inspection, analysis, or review, which do not contain substantive information not already included in ISS.	Temporary	Destroy/delete when no longer needed for business.	GRS 20, Items 6 & 16	Media neutral
DMO	512	**Records Relating to Deliveries**	Consists of two categories of records:				
	512a		a. Reports and correspondence pertaining to default cases.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1.180.00.1-512a	Paper
	512b		b. Correspondence related to deliveries, delivery notices and related work papers.	Temporary	Destroy when 5 years old.	N1.180.00.1-512b	Paper
DMO	513	**Log Book of Speculative Limit Violations**	Listings and related papers concerning speculative limit violations.	Temporary	Destroy 5 years after end of FY.	N1.180.00.1-513	Paper
DMO	515	**Special Call Records**	Records include information obtained from traders, brokers, or others as part of “special calls” authorized by 17 CFR § 18.01, 18.05, 21.01, and 21.05.				
DMO	515-1		Final submissions.	Temporary	Destroy/delete when 10 years old.	N1-180-09-3, Item 20	Media neutral
DMO	515-2		Draft or preliminary submissions.	Temporary	Destroy/delete after final submission received.	N1-180-09-3, Item 21	Media neutral
DMO, DCR, DSIO	517	**Self-Regulatory Organization Reviews**	Correspondence, interoffice memos, reports, studies, proposals, and related material dealing with program reviews.	Temporary	Close when completed, destroy 10 years after close.	N1.180.00.1-517	Paper
DMO, DSIO, NFA	518	**Disciplinary Actions**	Correspondence, interoffice memos, reports, studies, and related material dealing with exchange disciplinary actions.				
	518a		a. Paper records retained by CFTC	Temporary	Close when complete, destroy 10 years after close.	N1.180.00.1-518a	Paper
	518b		b. Beginning August 1999, electronic records kept by NFA.	Temporary	Destroy 10 years after close or when no longer needed, whichever is longer.	N1.180.00.1-518b	Electronic
DMO, OCE	519	**Trade Surveillance System (TSS)**	Record of all cleared trades and time-and-sales data from all domestic commodity exchanges.				
	519a	Original File	CTR GLOBEX, Time and Sales, Trade Register.	Temporary	Destroy 10 years after the end of the FY in which the data was submitted.	N1.180.00.1-519a	Electronic
	519b	Standard Formatted File	CTR, GLOBEX, Time and Sales, Trade Register.	Temporary	Destroy 10 years after the end of the FY in which the data was submitted.	N1.180.00.1-519b	Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	519c	Reports	EDBS Reports, End User Extractions, CME Cross-Reference Commodity Code File, CBT Account Mask File, Commodity Code Description File, Trade Type Code file.	Temporary	Destroy 10 years after the end of the FY in which the data was submitted.	N1.180.00.1-519c	Paper, Electronic
	519d	Documentation	Metadata	Temporary	Destroy or delete when superseded or obsolete, or upon authorized deletion of the related system if the output is needed to protect legal rights, whichever is latest.	N1.180.00.1-519d	Electronic
DSIO	520	**Regulatory Statement Review (RSR) Express**	RSR is used to receive and review financial statements submitted to the Commission by registrants called futures commission merchants (FCMs) and dually-registered FCM/broker dealers, in accordance with Commission rules.				
	System Input						
	520a 1	Paper input documents	Paper documents source documents, which are scanned or data entered into RSR.	Temporary	Destroy when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever is later.	GRS 20, Item 2a4	Paper
	520a 2	Electronic input documents	Electronic source documents, which are scanned or data entered into RSR.	Temporary	Delete when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever is later.	GRS 20, Item 2c	Electronic
	System Content						
	520b 1	Financial statement data and notes	Includes electronic data required by 17 CFR § Part 1.10(b) to be submitted to the Commission by registrants.	Temporary	Delete 5 years after the statement date.	N1-180-09-2, Item 1b1	Electronic
	520b 2	Edit check formulas		Temporary	Delete when system is no longer operational.	N1-180-09-2, Item 1b2	Electronic
	520b 3	Registrant (firm) data	Includes electronic data about registrants, such as firm name, address, and other identifying information. Also includes contact names and contact information. Also includes notes about registrants.	Temporary	Delete when there are no longer any financial statements for a particular registrant (firm) in system.	N1-180-09-2, Item 1b3	Electronic
	520b 4	PIN agreements and data	Includes PIN agreements and PIN-related data.				

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	520b 4a	PIN agreements and data	Includes agreements and data prior to 1/2010, such as PIN numbers, tax IDs, and PIN agreements.	Temporary	Destroy/delete 5 years after the end date of the PIN agreement.	N1-180-09-2, Item 1b4a	Media neutral
	520b 4b	PIN agreements and data	Includes data after 1/2010, such as tax IDs	Temporary	Destroy/delete 5 years after the end of the PIN agreement.	N1-180-09-2, Item 1b4b	Media neutral
	520b 5	Notice letters and data entered into the system regarding notices	Includes notice letters required by 17 CFR § Part 1.12, among others, to be submitted by registrants to the Commission notifying staff of a possible rule violation or other event. Also includes information about analysis and action undertaken by Commission staff as a result of the notice.	Temporary	Delete 5 years after the notice date.	N1-180-09-2, Item 1b5	Media neutral
	520b 6	Entity data	Includes electronic data about contacts at designated clearing organizations.	Temporary	Delete 5 years after the end date of a contact.	N1-180-09-2, Item 1b6	Media neutral
	System Output						
	520c 1		Outputs, such as printouts or copied, extracted, or merged data files generated from the system that support another programmatic function.	Temporary	Destroy/delete in accordance with disposition authority that applies to records produced from other programmatic function.	Filing instruction	
	520c 2		All other outputs, such as printouts or copied, extracted, or merged data files used for ad hoc or one-time inspection, analysis, or review, which do not contain substantive information already included in the system.	Temporary	Destroy/delete when no longer needed to conduct business.	GRS 20, Items 5 and 16	Media neutral
DCR	521	**Stressing Positions at Risk (SPARK)**	SPARK is used to identify large traders whose positions may pose financial risk to the industry or a clearing firm. SPARK obtains some of its data from the ISS (511) and RSR (519) systems.				
	System Input						
	521a	Data loaded or keyed into SPARK	Electronic data files and other paper and electronic inputs loaded or keyed into SPARK.	Temporary	Delete when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever is later.	GRS 20, Items 2a4 and 2b	Media neutral
	System Content						
	521b	Contracts data	Data may include but is not limited to contract market code, name, exchange, and ISS exchange commodity code. Data is imported from ISS.	Temporary	Delete when 10 years old or when no longer needed for business purposes, whichever is longer.	N1-180-09-4, Item 2	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	521c	Margin rate data for flagship contracts	Margin rates are set by the exchanges for each contract trading on the exchange. Flagship contracts are those that have been identified by the agency as the largest on an exchange. Data may include but is not limited to margin rates for flagship contracts and beginning and end dates of the rates.	Temporary	Delete when 10 years old or when no longer needed for business purposes, whichever is longer.	N1-180-09-4, Item 3	Media neutral
	521d	Margin rate data for all other contracts	Margin rates are set by the exchanges for each contract trading on the exchange. Data may include but is not limited to margin rates for all non-flagship contracts and beginning and end dates of the rates.	Temporary	Delete when 10 years old.	N1-180-09-4, Item 4	Media neutral
	521e	Top traders by contract data	Data identifies the largest net long traders and the largest net short traders on the daily price report. Data may include but is not limited to trader, reporting firm, number of net long and net short contracts, owner ID, trader suffix, reporting firm ID, and account number by contract market. Data is imported from ISS.	Temporary	Delete when 3 years old.	N1-180-09-4, Item 5	Media neutral
	521f	Margin by trader data	Data identifies the margin requirements for all large trader positions. Data may include but is not limited to trader, reporting firm, long and short option values, long and short future values, initial total margin, etc.	Temporary	Delete when 10 years old.	N1-180-09-4, Item 6	Media neutral
	521g	Hedge fund report and supporting data	Some data originates from ISS.	Temporary	Delete when data for a trader have not been received in 10 years.	N1-180-09-4, Item 7	Media neutral
	521h	New York Mercantile Exchange watch list data	Data includes accounts for which NYMEX gathered additional information from clearing firms. NOTE: As of September 2009, this data is no longer received.	Temporary	Delete when 3 years old.	N1-180-09-4, Item 8	Media neutral
	521i	CFTC watch list data	Includes accounts that CFTC staff would like to watch more closely.	Temporary	Delete 3 years after end date.	N1-180-09-4, Item 9	Media neutral
	521j	Firm financial data	Includes data required by 17 CFR Part 1.10(b) to be submitted to the agency. Data may include but is not limited to excess net capital for futures commission merchants (FCM) and FCM broker/dealers. Data is imported from RSR.	Temporary	Delete when superseded.	N1-180-09-4, Item 10	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	521k	Currency conversion rates	Data may include but is not limited to daily currency conversion rates.	Temporary	Delete when 10 years old or when no longer needed for business purposes, whichever is longer.	N1-180-09-4, Item 11	Media neutral
	521l	Monthly margin report data	Includes reports received on a monthly basis from designated clearing organizations (DCO) listing margin requirements and the margin collateral on deposit by clearing member.	Temporary	Delete when data from a DCO have not been received for 10 years.	N1-180-09-4, Item 12	Media neutral
	System Output						
	521m	Outputs that support another programmatic function	Outputs, such as printouts or copied, extracted or merged data files generated from SPARK that support another programmatic function.	Temporary	Destroy/delete in accordance with disposition authority that applies to records produced from other programmatic function.	Filing instruction	
	521n	Ad hoc outputs	All other outputs, such as printouts or copied, extracted or merged data files used for ad-hoc or one-time inspection, analysis.	Temporary	Destroy/delete when no longer needed to conduct business.	GRS 20, Items 5 and 6	Media neutral
DMO	522	**Hedge Exemption Request Records**	Records document the Commission's approval or disapproval of requests from the regulated community to exceed the trading and position limits currently in effect for the purposes of hedging. Requests are submitted to the Commission by members of the regulated community in accordance with 17 CFR § 1.47 and 1.48. Records include request letters and responses and related documentation. **NOTE:** See Record Codes 511-11 and 511-12 for the authorized disposition of data entered into information systems relating to hedge exemptions.				
DMO	522-1	Owner-level hedge exemption request records		Temporary	Destroy/delete when data for traders under the owner have not been received for 10 years.	N1-180-09-3, Item 22	Media neutral
DMO	522-2	Trader-level hedge exemption request records		Temporary	Destroy/delete when data from trader has not been received for 10 years.	N1-180-09-3, Item 23	Media neutral