

**COMMODITY FUTURES TRADING COMMISSION
RECORDS DISPOSITION SCHEDULE**

Office	Rcrrd 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	Temporary	Destroy when superseded, obsolete, or no longer needed.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.				
	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	Temporary	Close file when policy or procedure is superseded or cancelled.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

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	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	Temporary	Close file when policy or procedure is superseded or cancelled.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 2, Items 6, 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 after final payment or cancellation.	GRS 1.1, Item 010	Paper, Electronic

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ALL	112	Financial transactions: procurement, accounting, debt collection and bill paying	Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity.				
	112a		Includes the official record held in the office of record.	Temporary	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. Supersedes RDS record codes 112a,b,c and GRS 3, items 3a1a,b and 5c1.	GRS 1.1, item 010	Media neutral
	112b		All other copies.	Temporary	Destroy when business use ceases.	GRS 1.1, item 011	Media neutral
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: <ul style="list-style-type: none"> • 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 and 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 others associated with CFTC programs and operations.				
	200a	Historically-significant audit case files	Relevant criteria for designating case files as historically significant include: those that involve, as subjects, the Chairman, Commissioners, Division Directors, or Office Heads; those that result in substantive changes in agency policy; or audits that draw significant public interest as reflected in widespread news media attention, Congressional interest, and/or market participant inquiries.	Permanent	Cut off files at the end of fiscal year in which the audit is completed. Transfer to the National Archives in 5 year blocks 30 years after cut off.	DAA-0180-2016-0003-0001	Media neutral
	200b	All other audit case files	b. All other case files not covered by item 200a.	Temporary	Cut off files at the end of the fiscal year in which the audit is completed. Destroy 10 years after cut off.	DAA-0180-2016-0003-0002	Media neutral
OIG	201	OIG Investigation Case Files	Investigations of agency employees or contractors and others associated with CFTC programs and operations. Files include employee and hotline complaints, and other miscellaneous complaint or allegation files received through multiple sources including but not limited to: the internet, telephone, facsimile, email, postal mail and interviews. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.				
OIG	201a	Historically-significant investigation case files	Relevant criteria for designating case files as historically significant include: those that involve as subjects the Chairman, Commissioners, Division Directors, or Office Heads; those that result in substantive changes in agency policy; or investigations that draw significant public interest as reflected in widespread news media attention, Congressional interest, and/or market participant inquiries.	Permanent	Cut off files at the end of the fiscal year in which the Inspector General signs the closing memo. Transfer to the National Archives in 5 year blocks 30 years after cut off	DAA-0180-2016-0003-0003	Media neutral

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OIG	201b	Allegation files	Files containing information, complaints or allegations which are of an investigative nature but do not relate to a specific investigation. Records include anonymous or vague complaints or allegations not warranting an investigation, matters referred to other constituents for handling including other Federal agencies, Divisions or Offices within the CFTC and/or private partners, such as the NFA or FINRA, and support files providing general information that may prove useful in OIG investigations.	Temporary	Cut off files at the end of the fiscal year. Destroy 5 years after cut off.	DAA-0180-2016-0003-0004	Media neutral
OIG	201c	All other investigation case files	All other case files not covered by items 201a or 201b.	Temporary	Cut off files at the end of the fiscal year in which the Inspector General signs the closing memo. Destroy 10 years after cut off.	DAA-0180-2016-0003-0005	Media neutral
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	Cut off at the end of the fiscal year in which the report is submitted to Congress. Transfer to the National Archives in 5 year blocks 1 year(s) after cut off.	DAA-0180-2016-0003-0006	Media neutral
Administrative Support Files							
FM/OIG	225	Agency financial statements and related audits	Records supporting compilation of agency financial statements and related audit, and all records of all other reports including records such as, schedules and reconciliations prepared to support financial statements; documentation of decisions re accounting treatments and issue resolutions; audit reports, management letters, notifications of findings, and recommendations; documentation of legal and management representations and negotiations; correspondence and work papers; and interim, quarterly and other reports.	Temporary	Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue.	GRS 1.1, Item 020	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
FM	226	Property, Plant and Equipment (PP&E) and Other Asset Accounting	Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E. Exclusion: Records concerning a historically significant structure or other stewardship assets.	Temporary	Destroy 2 years after asset is disposed of and/or removed from agency's financial statement.	GRS 1.1, Item 030	Media neutral
FM	227	Cost Accounting for Inventory and Materials	Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency	Temporary	Destroy when 3 years old	GRS 1.1, Item 040	Media neutral
FM	228	Construction Contractors' Payroll Files	Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.	Temporary	Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action	GRS 1.1, item 050	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
FM	229	CEA Enforcement Debt Collection Case Files	<p>Financial obligations can arise from a Final Order upon parties deemed in violation of the Commodity Exchange Act and/or CFTC regulations (among other relief). There are two types of Final Orders: (1) Orders issued by the Commission, either by adjudication or by consent of the parties, or (2) Judgment Orders issued by a Federal Court Judge, either by adjudication or by consent of the parties. Financial obligations can take one or more of the following forms: (1) Civil monetary penalties, which are imposed as a deterrent to the offender and others, (2) Disgorgement, which is imposed to ensure that offenders do not retain any monetary gains from their improper actions, (3) Restitution, which is imposed to compensate victims for their losses, and (4) Pre-judgment interest, which is added to and included in the debt principal. Judgment orders may appoint a third party, such as the National Futures Association or a receiver, to monitor judgment debts. CFTC maintains case files for both CFTC-monitored debts as well as those monitored by third parties. Debt collection is governed by statutes and regulations of the Departments of Treasury and Justice, including 31 U.S.C. Chapter 37, Subchapter II: Claims of the United States Government (3711-3720E); the Federal Claims Collection Standards (31 CFR Chapter IX (Parts 900-904)); and OMB Circular A-129 issued by the Office of Management and Budget. CEA Enforcement Debt Collection Case Files document the collection of monetary sanctions. Records may include but are not limited to: Commission or U.S. Court Orders; final judgment forms; transmittal forms; Dunning letters and certified mail receipts; copies of IRS forms 1099C; write-off memos which document internal CFTC approval to compromise or write off debts; claims collection litigation reports (CCLR); copies of wire transfers or checks, sworn release agreements, and other records. In the case of restitution payments, records may also include but are not limited to: correspondence between CFTC staff in the Division of Enforcement and court-appointed receivers and CFTC staff and the National Futures Association, regarding restitution payments. If the Commission discharges (i.e. "closes out") a debt, records may also include but are not limited to: documentation containing internal CFTC approvals to close out the debt and correspondence between the Commission and the Departments of Treasury and/or Justice approving the close out of the debt (if such approvals are necessary) and related records. Case Files are organized by docket number (either the number assigned by the Office of Proceedings for administrative cases or the U.S. Court for injunctive cases) and then by individual's name.</p>	Temporary	<p>Close CEA Enforcement Debt Collection Case file after payment (i.e. civil monetary penalties, disgorgement, and/or restitution) has been satisfied in full or by means of a compromise agreement, or after a delinquent debt has been discharged/closed out in accordance with the provisions of 31 CFR 903.5(a)/OMB Circular A-129.</p> <p>Transfer to offsite storage as necessary.</p> <p>Destroy 7 years after file closed.</p>	DAA-0180-2013-0002-0001	Media neutral

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HR	277	Compensation Records	Records include but are not limited to records establishing the agency's pay-for-performance compensation system; the final annual merit pay calculation, which is based on the results of the annual performance appraisal cycle (i.e. the Annual Pay Adjustment Calculator (APAC) calculation or spreadsheets from prior to APAC); and other related documentation.	Temporary	Cut off annually. Destroy 75 years after cutoff	N1.180.12.1-277	Media neutral
HR	278	Non-Title 5 Benefits Files	Records document the administration of benefits offered by the agency in addition to the federal government benefits offered through the U.S. Office of Personnel Management (OPM). Such benefits may include but are not limited to student loan repayment, dental benefits and lifecycle fund. Records may include but are not limited to applications and supporting documentation, approvals and denials, service agreements, panel recommendations, determinations, and other related records.	Temporary	Cut off annually. Destroy 7 years after the year in which the benefit was offered, or 7 years after the end of the service period specified in an agency agreement, whichever is later.	N1.180.12.1-278	Media neutral
HR	279	Chairman's and Agency-wide Employee Awards	Records document the process of soliciting nominations and selecting recipients of the Chairman's and agency-wide honorary awards. Records may include but are not limited to nomination forms, recommendations to Chairman or approving official(s), approved nominations, correspondence, and related records.	Temporary	Cut off at the end of the award cycle. Destroy 7 years after cut off.	N1.180.12.1-279	Media neutral
HR	280	Employee Monetary Award Files	Records document the nomination, approval and administrative processing of monetary awards. Records may include but are not limited to CFTC forms, bank reconciliation records, and other NFC reconciliation records. Includes awards from Performance Management Cycle, as well as Spot awards (i.e. Time off, Star and Special Choice).	Temporary	Cut off annually. Destroy 4 years after cut off.	N1.180.12.1-280	Media neutral
HR	281	Allotment Authorizations	Records include pre-tax allotments such as; parking fees, union dues and other pre-tax savings.	Temporary	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2, item 15b	Media neutral

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HR/O MWI	282	<p>Reasonable Accommodation: Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. [Note] All documentation that the CFTC obtains in connection with a request for reasonable accommodation will be kept in safeguarded files separate from the individual's Official Personnel File (OPF)</p>					
	282a	General Files	Records may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's EEO office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.	Temporary	Destroy 3 years after supersession or when no longer needed for reference whichever is later.	GRS 1, Item 24a	Media neutral
	282b	Employee Case Files	Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. Includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, e-mails, records of oral conversations, medical documentation, and notes. [Note: These records are neither part of an employee's OPF nor part of a supervisor's unofficial personnel file. All medical records must be maintained separately and access must be limited to designated personnel. See the Safeguarding PII policy for more information about security and storage.	Temporary	Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later.	GRS 1, Item 24b	Media neutral

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	282c	Supplemental Files	Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, e-mails, notes. [Note: These records are neither part of an employee's OPF nor part of a supervisor's unofficial personnel file. (N1-GRS-04-2 item 1c Note)]	Temporary	Destroy 3 years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later. (N1-GRS-04-2 item 1c)	GRS 1, Item 24c	Media neutral
	282d	Tracking System	Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance.	Temporary	Delete/destroy 3 years after compliance report is filed or when no longer needed for reference.	GRS 1, Item 24d	Media neutral
OMWI	283a	Official Discrimination Complaint Case Files	Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.	Temporary	Destroy 4 years after resolution of case.	GRS 1, Item 25a	Media neutral
	283b	Copies of Complaint Case Files	Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.	Temporary	Destroy 1 year after resolution of case.	GRS 1, Item 25b	Media neutral
	283c 1	Preliminary and Background Files	Background records not filed in the Official Discrimination Complaint Case Files.	Temporary	Destroy 2 years after final resolution of case.	GRS 1, Item 25c1	Media neutral
	283c 2		Records documenting complaints that do not develop into Official Discrimination Complaint Cases.	Temporary	Destroy when 2 years old.	GRS 1, Item 25c2	Media neutral
	283d 1	Compliance Review Files	Reviews, background documents, and correspondence relating to contractor employment practices.	Temporary	Destroy when 7 years old.	GRS 1, Item 25d1	Media neutral
	283d 2	EEO Compliance Reports		Temporary	Destroy when 3 years old.	GRS 1, Item 25d2	Media neutral

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	283f	Employment Statistics Files	Employment statistics relating to race and sex. NOTE: Electronic master files and data bases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS.	Temporary	Destroy when 5 years old.	GRS 1, Item 25f	Media neutral
	283g	EEO General Files	General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.	Temporary	Destroy when 3 years old or when superseded or obsolete, whichever is applicable.	GRS 1, Item 25g	Media neutral
	283h 1	EEO Affirmative Action Plans (AAP)	Agency copy of consolidated AAP(s)	Temporary	Destroy 5 years from date of plan.	GRS 1, Item 25h1	Media neutral
	283h 2		Agency feeder plan to consolidated AAP(s)	Temporary	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.	GRS 1, Item 25h2	Media neutral
	283h 3		Report of on-site reviews of Affirmative Action Programs	Temporary	Destroy 5 years from date of report.	GRS 1, Item 25h3	Media neutral
	283h 4		Agency copy of annual report of Affirmative Action accomplishments	Temporary	Destroy 5 years from date of report.	GRS 1, Item 25h4	Media neutral
ODT	284a	Files/Records relating to the Creation, Use, Monitoring and Maintenance of Computer Systems, Applications, and Electronic Records	Generally, electronic files and hardcopy printouts created to monitor system usage and to test system performance. Including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.	Temporary	Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use. (Use this retention period, unless other retention is specified in 284a1 and 284a2)	GRS 3.1, item 020	Media neutral
	284a 1	Systems not requiring special accountability for access.	These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	Temporary	Destroy when business use ceases.	GRS 3.2, Item 030	Media neutral
	284a 2	Systems requiring special accountability for access.	These are user identification records associated with systems which are highly sensitive and potentially vulnerable.	Temporary	Destroy 6 years after password is altered or user account is terminated.	GRS 3.2, Item 031	Media neutral

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	284b	Mobile Device Management Logs (WEAMS, MaaS360, and Smartphones)		Temporary	Delete/destroy when 1 year old.	GRS 3.2, Item 030	Media neutral
	284c	Guest Registration Network Registration Data		Temporary	Delete 30 days after a user's access expires.	GRS 3.2, Item 030	Media neutral
ODT	285	Telephone Use Data	Information captured in the eCAS system and any other related systems. Documents outgoing and incoming telephone calls including; originating number, destination number, originating and destination location, date and time of use, and duration of the call. This item does not include records accumulated in connection with substantive investigations, litigations and audits or GRS 6, Accountable Officers' Accounts Records.	Temporary	Cut off on a monthly basis. Destroy when 3 years old.	GRS 12, Item 4	Media neutral
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

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	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
	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 year after cutoff. Retain for a total of 3 years.	GRS 1, Item 33f	Media neutral
	287h		Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).	Temporary	Cut off annually. Destroy 2 year after cutoff. Retain for a total of 3 years.	GRS 1, Item 33h	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
	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. Retain for a total of 3 years.	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. Retain for a total of 3 years	GRS 1, Item 33n	Media neutral

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	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 2 years after cutoff. Retain for a total of 3 years	GRS 1, Item 33c	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. Retain for a total of 3 years	GRS 1, Item 33p	Media neutral
	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. Retain for a total of 3 years	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
	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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	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
	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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	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
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, recommendation, 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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
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
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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
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
LO/H R	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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
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 4 years after case closed.	GRS 1, Item 30	Media neutral
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 5 years after the project terminated but longer retention is authorized if required for business use.	GRS 3.1, Item 010	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 5 years after the project/activity/transaction is completed or superseded, or associated system id terminated or the associated data are migrated to a successor system, but longer retention is authorized is required for business use.	GRS 3.1, Item 051	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 3.1, Item 050	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 1, 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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
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	Index to the Central Files of Chairman and Commissioners	This system is the index to the Central Files. This system records the subject file codes and corresponding file titles that are used to index the Central Files and to approximately locate documents in the files by subject. The subject file codes were originally derived from the Master Subject Outline, which was a classification scheme, promulgated in the CFTC Records and Disposition Manual around 1980. Over 4,700 file codes and corresponding file titles have been used to date and continue to grow. The Office of the Secretariat adapted the Master Subject Outline to its own filing needs, resulting in a similar classification scheme, known as BIGBOY (and which is the basic table in the Central Files Index. The BIGBOY file code corresponding to the best fitting file title is written on the front page of each document filed in the Central Files. The document is filed for its life in the fiscal year folder for that subject category. This system also records deliberate changes to the BIGBOY table, which occur occasionally to correct errors discovered during research. A secondary purpose of the system is to convert subject file codes to a unique alphanumeric value for use in sorting and linking (the Master Subject Outline, on which the system is based, introduced punctuation unsuitable to reference data, such as the forward slash and the dash). The system also records standardized abbreviations of file types and titles that are included in microfiche headers.	Permanent	Transfer to the National Archives with underlying records when 30 years old.	DAA-0180-2012-0004-0001	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
Sect.	304	Secretariat Correspondence Locator System	This system supports the Central Files of the Chairman and Commissioners. The primary purpose of this system is to synopsise each document that passes through the Office of the Secretariat either to or from the Commission, track incoming documents assigned for response to other Divisions/Offices, and record responses and actions taken by or on behalf of the Commission. The system locates each document in the Central Files by the subject file codes applied to the document. Each record in the database corresponds to a document filed in the Central Files. The database has been used since about 1989; however, it is accurate from about 1990 to the present.				
Sect.	304a	Database	Database tracks and indexes documents received by the Commission and referred to other Divisions/Offices for action.	Permanent	Transfer to the National Archives with underlying records when 30 years old.	DAA-0180-2012-0004-0002	Database
Sect.	304b	Database documentation	Database documentation includes record layouts, coding sheets/codebooks, technical description of the data, user manuals, and any other background information that would be useful or necessary to a researcher using the data.	Permanent	Transfer a copy of the documentation to the National Archives at the time the data is transferred. Transfer documentation updates and changes with subsequent data transfers.	DAA-0180-2012-0004-0003	Media neutral
Sect.	305	Seriatim Log	The primary purpose of this system is to synopsise, identify, and track each seriatim or "sign-off" decision of the Commission. The system tracks the seriatim documents through the Commissioners' offices and into the Central Files. The seriatim documents are document packages recording the votes of the Commissioners, the underlying staff recommendations, any concurrences or dissents of the Commissioners, background documentation, and revisions or edits of orders and other Commission issuances that occur at the Commission level. The system locates each seriatim package in the Central Files by the subject file codes applied to the document. Official record copies consist of bound books for 1978-1982, microfiche for 1982-1995. Beginning in 1996, official record copies are maintained in electronic format.	Permanent	Transfer to the National Archives when 30 years old.	DAA-0180-2012-0004-0004	Media neutral
Sect.	306	Federal Register Database Locator System					
Sect.	306a	Database	Database cross-references Federal Register notices with records contained in the Central Files.	Permanent	Transfer to the National Archives with underlying records when 30 years old.	DAA-0180-2012-0004-0005	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
Sect.	306b	Database documentation	Database documentation includes record layouts, coding sheets/codebooks, technical description of the data, user manuals, and any other background information that would be useful or necessary to a researcher using the data.	Permanent	Transfer a copy of the documentation to the National Archives at the time the data is transferred. Transfer documentation updates and changes with subsequent data transfers.	DAA-0180-2012-0004-0006	Media neutral
Sect.	307	Central Files of the Chairman and Commissioners	Records may include but are not limited to official, internal and external correspondence to and from the Commission. Records also include the official decisions of the Chairman and Commissioners. The official record copy of the Central Files consists of microfiche for the years 1975 to approximately 1991. Around 1991, paper became the official record copy format. Beginning in 2013, the Commission began to transition to keeping portions of the official record copy of the Central Files in electronic format.	Permanent	Most files are cut off at the end of the fiscal year. Some files may be cut off at the end of the calendar year or at the end of a particular event. Transfer to the National Archives 30 years after cut off.	DAA-0180-2012-0004-0007	Media neutral
Sect.	308	Records and Official Minutes of Commission Meetings	Records include staff documents, agendas, supporting documentation presented to Commissioners, meeting transcripts, record of votes, and similar material.				
Sect.	308a	Official record copy	Records include official record copies of Commission meeting records from 1975 to the present. Records include a file of open and closed meeting records for each Commission meeting.	Permanent	Cut off at the end of the calendar year. Transfer to the National Archives 30 years after cut off	DAA-0180-2012-0004-0008	Media neutral
Sect.	308b	Index to records and official minutes of Commission meetings	This system locates subjects addressed at Commission meetings by relating subjects to Commission meeting dates and open/closed status of the meetings.	Permanent	Transfer data to the National Archives with underlying records when 30 years old.	DAA-0180-2012-0004-0009	Media neutral
Sect.	309	Tapes of Commission Meetings					
Sect.	309a	Recordings of open and closed Commission meetings	Analog recordings commenced in 1975 and continued until 2008, when electronic recordings were gradually phased in. Analog recordings were phased out entirely by the end of 2011. For Commission meetings occurring between 2008 and 2011, there is a mix of analog and electronic recordings.	Permanent	Cut off at the end of the calendar year. Transfer to the National Archives when 30 years old.	DAA-0180-2012-0004-0010	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
Sect.	309b	Index to records and official minutes of Commission meetings	The index may include but is not limited to the following information: recordings dates; brief statement of meeting topic; metadata describing meeting discussion topics; number of tapes, DVDs, etc. used to record each meeting; and (for analog recordings) any recording flaws.	Permanent	Cut off at the end of the calendar year. Transfer to the National Archives when 30 years old.	DAA-0180-2012-0004-0011	Media neutral
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
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							
OLA	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
OPA	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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
OPA	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
OPA	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							
Enf.	405	Customer and Official Inquiry Files	Records consist of leads (which are tips, complaints, referrals; including referrals from interagency offices such as Whistleblower referrals, and other inquiries received from the public, from Federal, state or local agencies, and from other entities), preliminary inquiries, and other related records.				
	405a	Leads, preliminary inquiries, etc. that proceed to an Investigation			Lead, preliminary inquiry, referral, etc. becomes Investigatory File.	CFTC Filing Instruction. See Record Code 406 Investigatory Files.	Media Neutral
	405b	Leads, preliminary inquiries, etc. that do not proceed to an Investigation		Temporary	Close files after last action, as defined by the Enforcement procedures. Cut off files at the end of the FY. Destroy/delete 5 years after the end of the FY.	DAA-0180-2012-0003-0001	Media Neutral
Enf.	406	Investigatory Files	Records in this series include any records carried over from "Customer and Official Inquiry Files." Investigatory files document the investigation of persons or companies suspected of violating the Commodity Exchange Act or Commission regulations. Records may also include but are not limited to customer complaints, reparations claims, referrals, memos to the Commission, interview notes, affidavits, transcripts of testimony and exhibits thereto, formal orders of investigation, subpoenas, requests for confidential treatment, Wells submissions, witness statements, website captures, attorney work product, transaction records, documents received from third parties, economic analyses, documents resulting from cooperation with international regulators and authorities, and other relevant documentation.				
	406a	Investigations that proceed to litigation	Investigatory File is closed when the Investigation reaches litigation and the matter becomes an Enforcement Case File.		Investigatory File becomes Enforcement Case File (see 408).	CFTC Filing Instruction.	Media Neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	406b	Investigations closed without litigation.	Records may include those listed in the main description of "Investigatory Files."	Temporary	Close matter file after last action, as described in the Division of Enforcement procedures. Transfer to off-site storage 30 days after last action. Destroy/delete 5 years after last action.	DAA-0180-2012-0003-0003	Media Neutral
	406c	Nonrecords in Investigations closed without litigation	Information includes nonrecord material, such as duplicate copies of documents; nonrecord drafts; short-term temporary drafts and working files; and any original evidence not required to be retained as record material.	Temporary	Destroy/delete or return documents to person who submitted them to the Commission within 30 days after matter file is closed.	CFTC Filing Instruction.	Media Neutral
	406d	Historically-significant Investigations	<p>Historically-significant Investigations meet one or more of the following criteria:</p> <ol style="list-style-type: none"> 1. Is the subject of significant public interest as reflected in widespread news media attention, Congressional interest, and/or market participant inquiries. 2. Resulted in new legislation or regulations or substantive changes to existing legislation or regulations. 3. Prosecuted as a criminal case by the Department of Justice. <p>The permanent records of a historically-significant Investigation may include the following:</p> <ul style="list-style-type: none"> • Opening/closing reports. • Memos to the Commission (if any) and the attachments. • Requests for confidential treatment (if any). <p>Other records (if any) that summarize the nature and scope of the Investigation.</p>	Permanent	Cut off after last action, as described in the Division of Enforcement procedures. Transfer electronic records to the National Archives for pre-accessioning 5 years after last action. Transfer to the National Archives 30 years after last action.	DAA-0180-2012-0003-0002	Media Neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
Enf.	407	Closed Matter Summary Records	Records in this series document the existence of matters (preliminary inquiries, investigations, and litigated cases) that have been closed and provide high-level and summary information on the outcomes and reasons for closure. Information for each matter may include but is not limited to matter closing reports and matter profile information contained in electronic case management tools. Matter profile information may include the party (ies) involved, the date the matter was opened and closed, a short description of the activity investigated, and assigned staff.	Temporary	Close files after last action, as described in the, Division of Enforcement procedure. Cut off files at the end of the FY. Destroy/delete when 15 years old.	DAA-0180-2015-0003-0001	Media Neutral
Enf./O GC	408	Enforcement Case Files	Records in this series include any records carried over from "Customer and Official Inquiry Files" (Item 405b) and Investigatory Files (Item 406b). Enforcement Case Files document the prosecution of persons or companies believed in violation of the Commodity Exchange Act or Commission regulations. Enforcement Case Files may also include but are not limited to pleadings, subpoenas, exhibits, case preparation files and work papers, transcripts of depositions or court hearings, documents produced by third parties, court or Commission orders, documents that have been introduced as evidence in an injunctive or administrative proceeding; criminal referrals opinions, memoranda of law and briefs; documents resulting from cooperation with international regulators and authorities; and other documents identified by staff as important to retain which are related to the enforcement of the Commodity Exchange Act and/or Commission regulations. This series applies to records maintained by the Division of Enforcement and the Office of the General Counsel.				

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	408a	Historically-significant Enforcement Cases	<p>Historically-significant Enforcement Cases meet one or more of the following criteria:</p> <ol style="list-style-type: none"> 1. Is the subject of significant public interest as reflected in widespread news media attention, Congressional interest, and/or market participant inquiries. 2. Resulted in new legislation or regulations or substantive changes to existing legislation or regulations. 3. Decision issued or sanctions imposed set precedent. 4. Prosecuted as a criminal case by the Department of Justice. <p>The permanent records of a historically-significant Enforcement Case may include the following:</p> <ul style="list-style-type: none"> • Opening/closing reports. • Memos to the Commission and the attachments (including those from the Investigatory phase). • Requests for confidential treatment (if any). • Dispositive or Substantive Motions. • Supporting memoranda. • Dispositive Orders or Orders on Substantive Issues. • Pleadings. • Exhibits. • Trial transcripts. • Notices of appeal. • Appeal briefs. 	Permanent	Cut off after last action, as described in the Division of Enforcement procedures. Transfer electronic records to the National Archives for pre-accessioning 5 years after last action. Transfer to the National Archives 30 years after last action.	DAA-0180-2012-0003-0005	Media Neutral
	408b	All other Enforcement Cases not meeting one or more of the criteria in "Historically-significant Enforcement Cases."	Records may include those listed in the main description of "Enforcement Case Files."	Temporary	Cut off when final appeal is exhausted. Transfer to offsite storage 30 days after final appeal is exhausted. Destroy/delete 15 years after final appeal exhausted.	DAAs-0180-2012-0003-0006	Media Neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	408c	Nonrecords in all other Enforcement Cases not meeting one or more of the criteria in “Historically-significant Enforcement Cases.”	Information includes nonrecord materials; such as duplicate copies of documents and nonrecord drafts; short-term temporary drafts and working files; and original evidence not required to be retained as record material.	Temporary	Destroy/delete or return documents to producing party who submitted them to the Commission within 30 days after final appeal exhausted.	CFTC Filing Instruction.	Media Neutral
OGC	410	OGC Litigation Files	Pleadings, briefs, hearings, opinions, and correspondence related to litigation CFTC is involved or had interest in.				
	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:				

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	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
	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
WBO	413	Whistleblower Submission Files	Records document whistleblower submissions. Records may include, but are not limited to: Forms TCR; Forms WP-APP; records provided by whistleblowers in support of their submissions; memoranda of interviews with whistleblowers; correspondence, such as letters, email, or voicemail that rise to the level of a record, with whistleblowers; and other related records	Temporary	Close file after last action on relevant Division of Enforcement matter, after final appeal of Whistleblower Award Determination Panel decision is exhausted, or after the award payment to the whistleblower is made, whichever is applicable and whichever is latest. Cut off files at the end of the fiscal year. Destroy 15 years after cutoff	N1.180.12.2	Media Neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
WBO	414	Whistleblower Award Determination Panel Records	The Whistleblower Award determination Panel acts as the Commission, under delegated authority, to make decisions regarding whistleblower award claims. Records document the decisions of the Whistleblower Award Determination Panel from both the initial determination and any appeal stages. Records include but are not limited to: action memoranda and exhibits; and Panel decisions, orders and notices.	Permanent	Whistleblower Office staff should ensure records of the Award Determination Panel's decisions are filed in the "Central Files of the Chairman and Commissioners" maintained by the Office of the Secretariat	CFTC Filing Instructions. See Rcrd Code 307, Central Files of the Chairman and Commissioners	Media Neutral
ENF/ OGC/ SEC/ WBO	416	Unsubstantiated Claims, Comments and Complaints	Allegations, tips, complaints, referrals, criticism, suggestions, and commendations, including related information, submitted to the Commission, which are unsubstantiated or determined to have no real merit and are closed without further action. Blanket communications such as promotions, advertising, requests for postings of commercial links on CFTC systems and/or physical objects are not records and are not covered by this schedule.	Temporary	Destroy/Delete when 3 months old	GRS 14, item 5	Media Neutral
PRO C	425	Reparations Program Inquiry Files	Records document inquiries received and response about the Reparations program. Records include but are not limited to 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	Close file after 1 year. Cut off files at the end of the FY in which the files were closed. Destroy 3 year(s) after end of the FY in which the files were closed .	DAA-0180-2015-0001-0001	Media Neutral
PRO C	426	Reparations Complaint Files	Original case files of Reparations cases closed in the Complaint section. Records include complaints that are not within Reparations program jurisdiction, deficient complaints in which complainants did not correct the deficiencies, and complaints settled or terminated in the Complaint section.	Temporary	Close file when case is closed. Cut off files at the end of the FY in which the files were closed. If desired, transfer to offsite storage 3 years after cutoff. Destroy 15 year(s) after the end of the FY in which the files were closed.	DAA-0180-2015-0001-0002	Media Neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
PRO C	427	Docket File Tracking Systems	Records consist of many different docket file tracking systems that have been used over the years in the Office of Proceedings, including but not limited to the Administrative Enforcement Case Tracking System (AECTS), the Reparations Case Tracking System (RepCase), CFTC Docs II, and starting in FY10 and beyond, summary information maintained in Practice Manager.	Temporary	Destroy when no longer needed for business.	DAA-0180-2015-0001-0003	Media Neutral
PRO C	428	Administrative Wage Garnishment Case Files	Records consist of hearing requests, supporting documentation and evidence from the debtor and any information required by the Presiding Official to establish the Commission's right to collect a delinquent debt through administrative wage garnishment. Records may include but are not limited to: hearing requests; court documents and letters; requests for Extensions of Time; copies of cancelled checks and receipts, transcripts of the hearing; procedural orders, notices and rulings; and decisions.	Temporary	Close docket file when case is closed. Cut off at the end of the FY in which the docket file is closed. If desired, transfer to offsite storage 3 years after cutoff. Destroy 15 year(s) after the end of the FY in which the docket file is closed.	DAA-0180-2015-0001-0004	Media Neutral
PRO C	429	Presiding Official Working Files	Records and other information generated while cases are pending before Presiding Officials not included in the docket files.	Temporary	Cut off file upon issuance of Presiding Official's final disposition. Destroy when no longer needed for the case or reference.	DAA-0180-2015-0001-0005	Media Neutral
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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
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
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
DCR/ DSIO	508	Financial Surveillance Files	Audit records consisting of notices from registrants and documentation of ongoing surveillance activities. Non-routine projects and analyses relating to enforcement of financial, reporting and recordkeeping rules. NOTE: See 524 for Examination Records.	Temporary	Destroy correspondence file documents 5 years after generation unless document relates to current registrant/SRO policies and procedures.	N1.180.00.1-508 and DAA-0180-2016-0002	Paper

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium	
DCR/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	
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.					
<i>System Input</i>								
	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 4.3, Items 012 & 020	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	

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	<i>System Content</i>						
	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
	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
<i>System Output</i>							
	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 4.3, Items 030 & 031	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, 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
	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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	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.				
<i>System Input</i>							
	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 4.3, item 010 & 012	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 4.3, Item 020	Electronic
<i>System Content</i>							
	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.				
	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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium	
	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	
<i>System Output</i>								
	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 4.3, Items 030 & 031	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.					
<i>System Input</i>								
	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 4.3, Items 010, 012 & 020	Media neutral	
<i>System Content</i>								
	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	
	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	

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	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
	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

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
	<i>System Output</i>						
	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 4.3, Item 031	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
DCR	523	Global Risk	The Commission's mission is to protect market participants and the public from fraud, manipulation, abusive practices, and systemic risk. The Global Risk system enables the Commission to create hypothetical fiscal projections to assess potential risks to the cleared futures, options, and swaps markets. Staff create these projections on a daily basis using copies of data received from market participants. (Note: The retention periods for the original data received from market participants are covered under other records disposition schedules.) Staff may create stress test scenarios, run the data through the scenarios, analyze the outputs, and create reports or other documentation of issues identified and actions taken in response.				
DCR	523a	Input data	Copies of data extracted from other Commission systems for input into Global Risk.	Temporary	Delete when 7 calendar days old.	GRS 4.3 Item 20 (DAA-GRS-2013-0001-0004)	Electronic
DCR	523b	Scenarios		Temporary	Delete when superseded or obsolete.	DAA-0180-2014-0001-0001	Media neutral
DCR	523c	Hypothetical fiscal projection data output	Hypothetical fiscal projections generated by applying the scenarios to copies of data received from market participants. Staff may generate multiple files of data each day. Data are extremely voluminous.	Temporary	Delete when 90 calendar days old.	DAA-0180-2014-0001-0002	Electronic

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
DCR	523d	Reports & other documentation from review / analysis of hypothetical fiscal projection data output	Reports, which may include but are not limited to, Summary reports, Trader Risk Review reports, Benchmark Monthly Margin reports, Major Market Move reports, Daily Price reports, and other documentation. Reports vary in size and scope depending on the issues identified and actions taken.	Temporary	Cut off when report finalized. Destroy 10 years after cutoff.	DAA-0180-2014-0001-0003	Media neutral
DCR, DMO, DSIO	524	Examinations of Registered Entities and Intermediaries	<p>Registered Entities may include but are not limited to: self-regulatory organizations (SRO) (i.e. designated self-regulatory organizations (DSRO) such as the National Futures Association) and designated contract markets (DCM); derivatives clearing organizations (DCO); swap execution facilities (SEF); and swap data repositories (SDR).</p> <p>Intermediaries may include but are not limited to: swap dealers (SD); major swap participants (MSP); futures commission merchants (FCM); introducing brokers (IB); retail foreign exchange dealers (RFED); commodity pool operators (CPO); and commodity trading advisors (CTA).</p> <p>This record series covers an examination, audit, or review of an Entity's or Intermediary's compliance with applicable statutes, regulations, or rulings (together described as "Examinations"). Examinations may include but are not limited to:</p> <ul style="list-style-type: none"> • SRO & NFA Compliance Reviews and other Reviews (DSIO Managed Funds Unit) • Reviews of NFA Actions and Rules, including Review of Disclosure Documents Assessment program (DSIO Managed Funds Unit) • DSRO Reviews (including core principle reviews and others) (DSIO Major Review Branch) • DCO Reviews (including core principle reviews and others) (DCR Examinations Branch) • Rule Enforcement Reviews (DMO Compliance Branch & DSIO Examinations Branch) • 8c Reviews (DMO Compliance Branch) • Compliance Reviews and other Reviews of FCMs, IBs, CPOs, and CTAs (DSIO Examinations Branch) • FCM Risk Audits (17 CFR 1.73) (DCR Risk Surveillance Branch) <p>NOTE: See 510 for Trade Practice Investigations; see 518 for Disciplinary Action Reviews of 9.11 notices; see 520 for DCO, FCM, and FCM/Broker Dealer financial and regulatory statement reviews.</p>				
DCR, DMO, DSIO	524a	Final reports & corrective activity records	<p>Final reports of Examinations; copies of administrative actions; corrective plans; correspondence related to the final report or corrective plan; and other related records.</p> <p>NOTE: Some final reports are captured into the Commission central files (see 307) and maintained permanently.</p>	Temporary	Close and cut off file when Examination is completed, abandoned, or otherwise final. If desired, transfer to offsite records storage when 3 years old or when volume warrants. Destroy 10 years after cut off.	DAA-0180-2016-0002-0001	Media neutral

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
DCR, DMO, DSIO	524b	Staff working papers & supporting documents	Staff working papers and supporting documents related to examinations including: engagement letters, examination scope letters, notices or filings, staff analyses, audit program records, checklists, substantive correspondence, and other related records. These records are created by CFTC staff or the staff of the National Futures Association (NFA) in cases where the Commission has delegated examining authority to the NFA.	Temporary	<p>Close and cut off file when Examination is completed, abandoned, or otherwise final. If desired, transfer to offsite records storage when 3 years old or when volume warrants.</p> <p>FLEXIBLE RETENTION:</p> <ul style="list-style-type: none"> • DCR Examinations Branch: Destroy 5 years after cut off. • DCR Risk Surveillance Branch: Destroy 5 years after cut off. • DMO Examinations Branch: Destroy 10 years after cut off. • DSIO Examinations Branch – Destroy 5 years after cut off. 	DAA-0180-2016-0002-0002	Media neutral
DCR, DSIO	524c	Documents received from Registered Entities or Intermediaries	Documents received from Registered Entities or Intermediaries to facilitate an examination of that Entity or Intermediary.	Temporary	<p>Close and cut off file when Examination is completed, abandoned, or otherwise final. If desired, transfer to offsite records storage when 3 years old or when volume warrants.</p> <p>FLEXIBLE RETENTION:</p> <ul style="list-style-type: none"> • DCR Examinations Branch: Destroy 5 years after cut off. • DCR Risk Surveillance Branch: Destroy 5 years after cut off. • DMO Examinations Branch: Destroy 10 years after cut off. • DSIO Examinations Branch – Destroy 10 years after cut off. 	DAA-0180-2016-0002-0003	Media neutral