

Request for Records Disposition Authority

Records Schedule Number DAA-0587-2013-0003

Schedule Status Approved

Agency or Establishment Consumer Financial Protection Bureau

Record Group / Scheduling Group Records of the Consumer Financial Protection Bureau

Records Schedule applies to Major Subdivision

Major Subdivision Office of the Director

Schedule Subject Executive Secretary Records

Internal agency concurrences will
 be provided Yes

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

- 1) Consumers are protected from unfair, deceptive, or abusive acts and practices and from discrimination;
- 2) Federal consumer financial law is enforced consistently without regard to the status of a person as a depository institution; and
- 3) Markets for consumer financial products and services operate transparently and efficiently to facilitate access and innovation.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 5 | 1 | 4 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0587-2013-0003

| Sequence Number | |
|-----------------|---|
| 1 | Executive Secretary Clearance Records Disposition Authority Number: DAA-0587-2013-0003-0001 |
| 2 | Executive Secretary Congressional Correspondence Disposition Authority Number: DAA-0587-2013-0003-0002 |
| 3 | Executive Secretary Correspondence and Clearance Document tracking systems Disposition Authority Number: DAA-0587-2013-0003-0003 |
| 4 | Special Advisor Advice Files Disposition Authority Number: DAA-0587-2013-0003-0004 |
| 5 | Periodic Reports Disposition Authority Number: DAA-0587-2013-0003-0005 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>Executive Secretary Clearance Records</p> <p>Disposition Authority Number DAA-0587-2013-0003-0001</p> <p>Clearance records, including drafts of and comments to speeches, articles, statements before congressional committees, press releases, publications, policies, procedures, decision memoranda, and related CFPB internal and external communications and documents received by the office of the Executive Secretary for review, circulation, and approval by officials in the office of the Director. The official recordkeeping copy is maintained at the program office level.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off files at the end of the calendar year in which clearance process has been completed.</p> <p>Retention Period Destroy 5 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 2 | <p>Executive Secretary Congressional Correspondence</p> <p>Disposition Authority Number DAA-0587-2013-0003-0002</p> <p>Correspondence from and with members of Congress, consisting of congressional inquiries and comments. The official congressional correspondence files are maintained by the CFPB Division of External Affairs – Office of Legislative Affairs.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> |

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Disposition Instruction

Cutoff Instruction Cut off files at the end of the calendar year in which clearance process has been completed.

Retention Period Destroy 2 year(s) after cutoff

Additional Information

GAO Approval Not Required

Executive Secretary Correspondence and Clearance Document tracking systems

Disposition Authority Number DAA-0587-2013-0003-0003

Tracking systems for correspondence and clearance documents, including spreadsheets and other records created to track the receipt of and response to correspondence and clearance records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

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

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Special Advisor Advice Files

Disposition Authority Number DAA-0587-2013-0003-0004

Advice and guidance provided by the special advisor(s) to the Bureau Director, Chief of Staff, Deputy Director, Associate Directors, and their designees. Records include memoranda, opinions, analysis, and related records that advise the Office of the Director in the formulation of and support the activities associated with Bureau policy and direction.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in

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

Disposition Instruction

Cutoff Instruction **Cut off files at the end of each calendar year in which the final records have been created.**

Retention Period **Destroy 15 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

Periodic Reports

Disposition Authority Number **DAA-0587-2013-0003-0005**

Non-Congressional high-level CFPB periodic reports.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cut off files at the end of each calendar year in which activity has been completed.**

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

Additional Information

First year of records accumulation **2011**

What will be the date span of the initial transfer of records to the National Archives? **From 2011 To 2015**

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

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

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

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

| Date | Action | By | Title | Organization |
|------------|--------------------------|------------------|---|--|
| 11/30/2012 | Certify | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 01/13/2016 | Return for Revision | Rania Mahmoud | Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 01/13/2016 | Submit For Certification | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 01/13/2016 | Certify | Steven Coney | Records Officer | Operations Division - Administrative Office |
| 05/03/2016 | Submit for Concurrence | Rania Mahmoud | Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 05/09/2016 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 05/09/2016 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 05/11/2016 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |