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Description of document: Correspondence regarding records scheduling between the National Archives (NARA) and the Consumer Financial Protection Board (CFPB), 2011 - 2012

Requested date: 25-June-2012

Released date: 31-August-2012

Posted date: 26-October-2012

Source of document: FOIA Officer
National Archives and Records Administration
8601 Adelphi Road, Room 3110
College Park, MD 20740
Fax: (301) 837-0293
Email: foia@nara.gov

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NATIONAL
ARCHIVES

August 31, 2012

Re: Freedom of Information Act Request NGC12-176

This is our final response to your Freedom of Information Act (FOIA) request of June 25, 2012, for a copy of correspondence between the National Archives and the Consumer Financial Protection Board from January 1, 2011 to the present that pertain to records scheduling and similar matters. Your request was received in this office on July 2, 2012, and assigned tracking number NGC12-176.

The CFPB completed their review of the 84 pages concerning their equity. After reviewing NARA's equity in these pages and considering the CFPB's recommendations, I am releasing 67 pages in full. The remaining 17 pages are released in part and withheld in part pursuant to 5 U.S.C. § 552(b)(6), an unwarranted invasion of personal privacy. This concludes the processing of your request.

You may appeal by writing to the Deputy Archivist (ND), National Archives and Records Administration, 8601 Adelphi Road, College Park, Maryland 20740. Your appeal should be received within 35 calendar days of the date of this letter and it should explain why you feel the withheld information should be released. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." All correspondence should reference the tracking number NGC12-176.

Sincerely,

JAY OLIN
NARA Deputy FOIA Officer
Office of General Counsel

Enclosures

NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION

8601 ADELPHI ROAD
COLLEGE PARK, MD 20740-6001
www.archives.gov

From: <Hannah.Bergman@treasury.gov>
To: <Lauren.Crisler@nara.gov>
Date: 7/19/2011 1:50 PM
Subject: RE: transfer question

I agree. Also, something to think about is when an agency moves records from one cloud provider to another -- what sort of portability, metadata, and authenticity issues arise?

Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Tuesday, July 19, 2011 1:49 PM
To: Bergman, Hannah (CFPB)
Subject: RE: transfer question

I brought it to the attention of the electronic records policy team so it is on their radar. With more agencies moving to the cloud, I assume we will see this happen again in the near future.

>>> <Hannah.Bergman@treasury.gov> 7/19/2011 1:43 PM >>>
Thanks - we caught the schedule number issue as well.

I appreciate you checking into this. It's comforting to know that this issue hasn't been addressed by other agencies.

Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Tuesday, July 19, 2011 1:41 PM
To: Bergman, Hannah (CFPB)
Subject: RE: transfer question

From what I have ascertained, there has not been an instance where agencies transferred legal custody of records while in a cloud environment and you should consult the vendor to determine what is needed.

The MOU looks fine although correct the schedule number is N1-207-05-01. Using the schedule as the primary descriptor is sufficient but since the schedule was written 6 years ago, it is worthwhile to confirm that all ILS records are covered by the existing schedule. There are several lined off items on the schedule and it should be determined if those records are to be transferred as well.

Lauren

>>> <Hannah.Bergman@treasury.gov> 7/14/2011 10:32 AM >>>
Here's the document as it exists now that would transfer ownership of the records/documents/items. Please don't share it outside of NARA at this point since it's not been finalized. But I think it will clarify what I asking about in terms of adequately describing documents.

Thanks,
Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, July 13, 2011 5:01 PM

To: Bergman, Hannah (CFPB)
Subject: Re: transfer question

Hello,

This series of questions requires additional research. I should have some, if not all, of the questions answered by 7/18 COB. Also, could you clarify your question regarding describing documents?

Lauren

>>> <Hannah.Bergman@treasury.gov> 7/13/2011 11:58 AM >>>

I have another question related to the transfer of legal custody of the HUD ILS records - I understand your position that NARA need not approve the transfer and that everything will have to be rescheduled. Still I'm hoping you might be able to provide some guidance on the logistics of the transfer of electronic documents. I'm comfortable with what needs to happen to transfer the paper records, but I want to make sure I've covered my basis with regard to the transfer of electronic records.

Are you aware of any situations where agencies have transferred ownership of electronic, cloud stored records? If so, how have they constructed the transfer documentation? Have they done so in consultation with the cloud vendor? Have they just informed the vendor? Any ideas about how to adequately describe the documents?

Thanks,
Hannah

Hannah Bergman
Attorney
General Law and Regulation
Office of General Counsel
Consumer Financial Protection Bureau
(202) 435-7114
hannah.bergman@treasury.gov

From: <Hannah.Bergman@treasury.gov>
To: <Lauren.Crisler@nara.gov>
Date: 7/8/2011 4:21 PM
Subject: RE: Statute Information

Right, but these records have a seven year retention after they are closed. We will transfer over records that will, under the HUD schedule as it exists now, be eligible for destruction a year from now.

If we have to reschedule them as CFPB, will NARA rubber stamp that submitted schedule, or will it take the usual amount of time to review the schedule, forcing CFPB to hold on the records?

Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Friday, July 08, 2011 4:15 PM
To: Bergman, Hannah (CFPB)
Subject: RE: Statute Information

The records do not need to be scheduled to transfer custody. However the schedules will have to be revisited in the future to ensure their form and/or function has not changed.

Lauren

>>> <Hannah.Bergman@treasury.gov> 7/8/2011 3:17 PM >>>

Thanks - I was actually under the impression there are different interpretations of "required by statute." Title X does not talk about records transfer specifically and there seemed to be some question within NARA as to what to do in that situation. However, I'm delighted to not need the NARA approval.

I also understood that there was a process in place to transfer the schedules with the records without having to reschedule them. It doesn't make sense to have to go through a rescheduling process when the only thing that is changing is the agency owner.

Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Friday, July 08, 2011 3:13 PM
To: Bergman, Hannah (CFPB)
Subject: Statute Information

Hello,

I understand you have a question about a HUD division moving to CFPB. Below is the applicable CFR regulation; according to the regulation, the records will transfer to CFPB without NARA approval. CFPB will need to schedule the records as their new owner. Please feel free to ask any additional questions.

Have a good day,
Lauren

§ 1231.18 When are records transferred between executive agencies without NARA approval?

Records are transferred between executive agencies without NARA approval when:

- (a) Records are transferred to a NARA or agency-operated records center or to the National Archives of the United States in accordance with Parts 1232, 1233, and 1235 of this subchapter;
- (b) Temporary records are loaned for official use;
- (c) The transfer of records or functions or both is required by statute, Executive Order, Presidential reorganization plan, or Treaty, or by specific determinations made thereunder;
- (d) The records are transferred between two components of the same executive department; or
- (e) Records accessioned into the National Archives of the United States are later found to lack sufficient value for continued retention in the National Archives. The disposition of such records is governed by § 1235.34 of this subchapter.

Lauren Crisler
Appraisal Archivist
National Archives and Records Administration
8601 Adelphi Road
NWML, room 2200
College Park, MD 20740
301.837.0663
lauren.crisler@nara.gov

From: Lauren Crisler
To: Yvonne.Wilson@cfpb.gov
Date: 3/8/2012 4:29 PM
Subject: Re: schedule approval dates

Hello,

I know the answer to most of these off the top of my head but I want to double check the number of days for a couple. I'm having server troubles and am not able to access our official SOPs at the moment. I'll check these out and get back to you tomorrow.

Thanks!
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 3/8/2012 9:09 AM >>>
Hi Lauren,

I am creating a one-page visual image of the records schedule approval timeline to go with our NARA appraisal visit instructions. I need a refresher from you on the number of days some of the steps can take.

14 (?) calendar days from the date of receipt of the draft records schedule for NARA to register the submission or to return to agency for correction

Number of appraisal (records review and memo writing days) contingent on the complexity of the records schedule

What are the number of calendar days for NARA internal stakeholder review? 20?

30 calendar days for the FR notice

If a request for copy comes in, NARA has 14 (?) calendar days from the date of receipt of the request to send out a copy of the schedule and the appraisal report

From the date of the NARA letter or email or fax to the requestor, the requestor has 30 calendar days (?) to submit comments to NARA

If substantive comments come in, then NARA reserves the right to discuss the comments with the agency and recommend changes to the records schedule or to not discuss/recommend changes and proceed with records schedule approval (signature by the Archivist). If the changes are of such a substance that for example the disposition is changed from permanent to temporary, the revised schedule has to go through the Federal Register process again.

Archivist signature - within 14 (?) days of receipt by the Archivist or his designee

Agency notification, generally through the monthly records schedule status report.

Please correct!

Thank you so much.

Yvonne

Yvonne K. Wilson

Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Office of Records, Privacy, and FOIA
1700 G Street, NW
Room 6W-033
Washington, DC 20006
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov

Thanks! Meanwhile, I'll keep working on the land sales schedule.

Happy Friday,
Lauren

Lauren Crisler
Appraisal Archivist
National Archives and Records Administration
8601 Adelphi Road
NWML, room 2200
College Park, MD 20740
301.837.0663
lauren.crisler@nara.gov >> <Yvonne.Wilson@cfpb.gov> 5/18/2012 7:56 AM >>>
Hi Lauren,

We will take care of the changes to the Ombudsman's records schedule and to the AV records schedule. Once I have the approvals to the changes, I will send you the revisions.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Records Management Program
1700 G Street, NW
Room 6133W
Washington, DC 20552
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov

-----Original Message-----

From: Lauren Crisler [<mailto:Lauren.Crisler@nara.gov>]
Sent: Thursday, May 17, 2012 12:06 PM
To: Wilson, Yvonne (CFPB)
Subject: Re: Ron Howard Script

Hello,

After looking at the script and conferring with the appropriate stakeholder units, the scripts should be permanent as well. If I have your approval, I can make a pen and ink change to the submitted SF-115 changing the item to permanent or you can send in a new version. I will also note in my appraisal report that there are not scripts written for all of the permanent videos.

Thanks for your help!

Lauren

Lauren Crisler
Appraisal Archivist
National Archives and Records Administration
8601 Adelphi Road
NWML, room 2200
College Park, MD 20740
301.837.0663
lauren.crisler@nara.gov

>>> <Yvonne.Wilson@cfpb.gov> 5/14/2012 7:54 AM >>>

Hi Lauren,

Attached is the script for the CFPB Ron Howard narrated video. We are searching for the Elizabeth Warren script for the video that we showed you, the one where we filmed her in the big room you were in at 1801 L St. As we discussed, the remaining videos are mostly of town hall meetings and of staff talking about the mission of the Bureau. These were either free-form or if there were formal speeches or presentations, these would be captured in the speeches/presentation records of those officials/staff.

Please let me know if NARA believes that the attached script is permanent.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB) Records Management Program
1700 G Street, NW
Room 6133W
Washington, DC 20552
Tel: 202-435-7578
Cell: FOIA(b) (6)
yvonne.wilson@cfpb.gov

Now the story of a market that fell apart, and the new consumer agency that's charged with putting it back together.

When you shop for a consumer financial product or service—whether it's a home loan, a credit card, or a student loan—how do you know you're getting the best deal? After wading through all the advertising and page after page of fine print, side-by-side comparisons can be hard. That lack of clarity makes it all too easy to end up with a deal that doesn't work for you and your family.

This has real-life consequences—for you and for the whole economy.

For years, the financial system has been loaded with more and more dangerous loans, including millions of risky and unaffordable mortgages. Many government agencies supervised different parts of the system, making it nearly impossible for people to hold any one agency accountable. This fractured and outdated system was slow to adjust to the built up of risk in our economy, and we all know what happened then.... [*“collapse” illustrated, not stated verbally*]

It was time for a change. In July 2010, Congress passed the Dodd-Frank Wall Street Reform and Consumer Protection Act and President Obama signed it into law. Instead of important consumer protection powers being scattered across the federal government, they would all be under one roof. Now a single entity has the oversight authority to make sure that consumer financial markets work for all of us—not just for the big guys. It's the Consumer Financial Protection Bureau or CFPB. Its job is to make credit products and other consumer financial services safer and easier to understand – by making sure that prices are clear up front and risks are easy to see.

Think about it like this: When you go to the store to buy a toaster, you have several models to choose from. But you know that whatever model you buy, the thing isn't going to burn your house down. No manufacturer gets to boost its profits by putting in cheap wiring that you can't see. If someone wants to compete for your business, they need to lower the price or add new features.

The new Consumer Financial Protection Bureau will work to cut down on the fine print, which means there won't be places to hide nasty surprises. It will also work to make the prices and risks clear for mortgages, credit cards, and other kinds of financial products and services. That way, families can do some comparison shopping and choose the products that are best for them.

The CFPB will be a cop on the beat, making sure that every lender follows the same rules. When banks or other financial companies break the law, they will be held accountable.

The Consumer Financial Bureau is brand new. Right now, it's putting in place the basic tools so that it can tackle all of these responsibilities. Stay in touch as the CFPB works to fix the broken consumer credit market and to help prevent future economic crises.

ENDING 1: Want more info about the CFPB? [Click here.](#)

ENDING 2: Continue reading to find out more about the CFPB.

From: Lauren Crisler
To: Yvonne.Wilson@cfpb.gov
CC: Steven.Coney@cfpb.gov
Date: 5/22/2012 1:48 PM
Subject: Re: Revised Ombudsman's records schedule

Hello,

Thank you for the updated schedule.

Talk to you soon,
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 5/22/2012 12:37 PM >>>
Hi Lauren,

Attached the revised records schedule for the CFPB Office of the Ombudsman. We concur with changing item 3 from permanent to temporary.

Please let us know if you have any questions.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
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Attachment to SF 115

Consumer Financial Protection Bureau (CFPB), RG 587

Office of the CFPB Ombudsman

Records created and received by this office relate to the mission-critical functions and the internal administration of the Consumer Financial Protection Bureau (CFPB) Ombudsman's Office required for compliance with the governing principles of the Dodd-Frank Act:

- 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.

The official records of the Office of the Ombudsman may be created, received, and stored in several formats, including: paper records, scanned images, PDF files, data files, data sets, digital photographs and audio recordings, web-based records (such as SharePoint portals, web pages, wikis, blogs, tweets, etc.), and electronic mail and word processing formats.

Record types include, but are not limited to: work papers, final reports and studies, official correspondence and subject files, policies and procedures, education products, staffing and communication files, office administration records (such as budget, supervisor's copy of personnel information, staff training and travel information, routine procurement files, etc.), and information obtained from federal and non-federal sources in support of the function of the office. Permanent electronic records will be transferred to the National Archives and Records Administration (NARA) in accordance with 36 CFR 1235.44 – 1235.50.

The CFPB Office of the Ombudsman is an independent office that reports to the CFPB Deputy Director with access to the Director and adheres to the ombudsman principles of independence, impartiality, and confidentiality. The CFPB Ombudsman's statutory mission is to "act as a liaison between the Bureau and any affected person with respect to any problem that such party may have in dealing with the Bureau, resulting from the regulatory activities of the Bureau...." Dodd-Frank, § 1013(a)(5).

Item 1. Ombudsman Official Correspondence

Non-inquiry specific correspondence, documenting communications with such entities as the United States Ombudsman Association.

Disposition: TEMPORARY. Cut off files at the end of each calendar year in which activity has been completed. Destroy/delete 3 years after cutoff.

Item 2. Ombudsman Calendars

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls.

Disposition: TEMPORARY. Cut off files when activity has been completed. Destroy/ delete 90 days after cutoff or when no longer needed, whichever is later.

Item 3. Speeches and Presentations

Official copies of briefing materials, speeches, testimonies, accepted invitations, presentations and other records documenting the mission-critical work of the Ombudsman and their designee(s).

Disposition: TEMPORARY. Cut off files at the end of each calendar year in which activity has been completed. Destroy/delete 3 years after cutoff.

5/21/2012 change from 12/6/2011 SF115 submission to NARA – changed from permanent to temporary.

Item 4. Inquiries and Resolutions

Records include inquiries from the public, reviews and analysis, correspondence, status updates, resolutions, and responses.

Disposition: TEMPORARY. Cut off files when activity has been completed. Destroy/delete 90 days after cutoff.

Item 5. Inquiries – No Action

Records created and received in the course of CFPB business that did not result in any analysis by the CFPB Office of the Ombudsman.

Disposition: TEMPORARY. Cut off files when no action was taken. Destroy/delete 90 days after cutoff.

Item 6. Statistical Tracking Records

Records created to track the number and subject matter of inquiries.

Disposition: TEMPORARY. Cut off at the end of each calendar year. Destroy/delete 3 years after cutoff.

Item 7. Ombudsman Reports

Periodic and annual reports to internal and external officials, and to Congress.

Disposition: PERMANENT. Cut off files at the end of each calendar year in which the report was issued. Transfer to the National Archives 5 years after cutoff.

Item 8. Congressional Correspondence

Correspondence from and with members of Congress, consisting of congressional program management questions and comments, and requests for testimony.

Disposition: TEMPORARY. Cut off files at the end of each calendar year in which activity has been completed. Destroy/delete 3 years after cutoff.

Item 9. Program Policies and Procedures

Final copy of program policies and procedures developed and finalized in the Office of the Ombudsman.

Disposition: PERMANENT. Cut off files at the end of each calendar year in which document has been finalized and issued. Transfer to the National Archives 5 years after cutoff.

Item 10. Program Management Records

Staffing decisions, periodic workload reports, progress plans, and other records documenting the management and administration of the program.

Disposition: TEMPORARY. Cut off files at the end of each calendar year in which activity has been completed. Destroy/delete 5 years after cutoff.

Item 11. Non-inquiry Work Papers

Drafts of reports, research and analysis records, correspondence, policies, procedures, speeches, testimonies, and related records from and external to the Office of the Ombudsman circulated for substantive internal edits. These records do not pertain to inquiries and resolutions.

Disposition: TEMPORARY. Cut off at the end of the calendar year in which the final records have been created. Destroy/delete 2 years after cutoff or when no longer needed, whichever is later.

Item 12. Non-inquiry Drafts and Notes

Drafts of records and notes created by staff in the course of the development of work papers. The difference between the drafts/notes and work papers is that the drafts/notes are not circulated for internal review and edits. These records do not pertain to inquiries and resolutions.

Disposition: TEMPORARY. Destroy/delete when no longer needed to support the information contained in the circulated work papers.

From: [Kamenshine, Wendy \(CFPB\)](#)
To: [Wilson, Yvonne \(CFPB\)](#)
Subject: RE: Emailing: CFPB Records Schedule - Office of the CFPB Ombudsman 5_18_2012 Revised Per NARA
Date: Monday, May 21, 2012 5:52:22 PM

Hi Yvonne -- Thanks again for your help on this and I concur, as I understand this will be in keeping with the schedule for the CFPB as a whole.

Thanks again!

Wendy

Wendy E. Kamenshine

Ombudsman
CFPB Ombudsman's Office

Tel: 202 435 7699 (Direct Dial)

Tel: 202 435 7880 (Main Number)

Fax: 202 435 7888

consumerfinance.gov

Confidentiality Notice: If you received this email by mistake, you should notify the sender of the mistake and delete the e-mail and any attachments. An inadvertent disclosure is not intended to waive any privileges.

-----Original Message-----

From: Wilson, Yvonne (CFPB)

Sent: Friday, May 18, 2012 7:54 AM

To: Kamenshine, Wendy (CFPB)

Subject: Emailing: CFPB Records Schedule - Office of the CFPB Ombudsman 5_18_2012 Revised Per NARA

Hi Wendy,

Attached is the revised records schedule, changing the disposition of item 3 from permanent to temporary. I have attached a copy of the original CFPB submission to NARA for your reference/comparison.

Please send me an email letting me know that you concur.

Thank you.

Yvonne

From: Lauren Crisler
To: Yvonne.Wilson@cfpb.gov
CC: Steven.Coney@cfpb.gov
Date: 11/17/2011 3:17 PM
Subject: Re: Records Schedules

Hello,

I'll send them off for registration.

Thanks!
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 11/17/2011 3:09 PM >>>
Good afternoon, Lauren,

Attached are two records schedules from the CFPB. The original ink signature copies are in the mail.

Please let us know if you have any questions.

Thank you.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Office of Records, Privacy, and FOIA
1700 G Street, NW
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Washington, DC 20006
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov

Attachment to SF 115

Consumer Financial Protection Bureau (CFPB), RG 587

Office of Media Relations

Item 1. Historically Significant Audio/Visual Recordings of the Consumer Financial Protection Bureau

These records consist of the audio/visual recordings, filmed by or for the Consumer Financial Protection Bureau (CFPB), of Professor Elizabeth Warren in her role as the Special Advisor to the President of the United States and to the Secretary of the Treasury and of other senior level officials of the CFPB. The recordings document presentations about the establishment of the CFPB by the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 and the mission of the CFPB. Recordings include speeches to community bankers, the Credit Union National Association, and other groups and organizations; a film introducing the CFPB (narrated by actor/director Ron Howard); and related recordings. All the videos are in HD (720p or 1080p) H.264 Quicktime files.

A. High-quality/final version

Disposition: **PERMANENT**. Transfer immediately upon approval of this records schedule to the National Archives.

B. Raw footage and Scripts

Disposition: **TEMPORARY**. Delete upon approval of this records schedule.

Inventory

Jan 28, 2011
Open for Suggestions
Elizabeth Warren
About CFPB
1:50

Feb 2, 2011
Welcome to the Consumer Financial Protection Bureau (CFPB) – featuring narration by Ron Howard
Ron Howard
About CFPB - Animation
3:18

Feb 3, 2011
Working with state regulators to protect consumers
Richard Cordray
About CFPB
0:48

Feb 3, 2011
Working at CFPB
Anna Canfield
About CFPB
0:31

Feb 7, 2011
Making mortgage disclosures easier
Pam Blumenthal
About CFPB
1:08

Feb 8, 2011
Consumer Financial Education
Alejandra Lopez-Fernandini
About CFPB
0:29

Feb 8, 2011
Changes in credit card terms
Marla Blow
About CFPB
0:58

Feb 8, 2011
Transparency and Disclosure: Publishing Elizabeth Warren's Calendar
Stephanie Gorski
About CFPB
0:25

Feb 9, 2011
Improving the mobile experience at ConsumerFinance.gov
Merici Vinton and Matt Burton
About CFPB
0:51

Feb 9, 2011
Building the Consumer Response Center
Andrew Trueblood
About CFPB
0:49

Feb 10, 2011
Protecting American Service Members
Holly Petraeus
About CFPB
1:26

Feb 15, 2011
Working with community bankers
Elizabeth Vale
About CFPB
0:45

Feb 15, 2011
Educating consumers on credit scores
Corey Stone
About CFPB
1:56

Feb 16, 2011
Making credit agreements simpler and safer
Zixta Martinez
About CFPB
1:19

Feb 17, 2011
Drawing on diverse expertise to build the CFPB
Raj Date
About CFPB
1:18

Feb 17, 2011
The need for a new consumer bureau
Len Kennedy
About CFPB
2:09

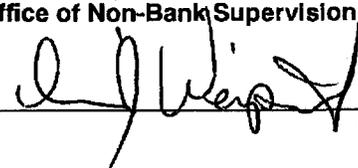
Feb 22, 2011
Helping us build a stronger consumer bureau
Elizabeth Warren
About CFPB
2:03

Mar 1, 2011
Elizabeth Warren's speech to the Credit Union National Association
Elizabeth Warren
External Speech
1:47

Apr 13, 2011
Professor Warren speaks to Community Bankers
Elizabeth Warren
External Speech
1:10

May 3, 2011
Remesas - Transferencias Internacionales de Dinero
Flavio Cumpiano
About CFPB
2:16

May 3, 2011
Improving Remittance Fee Disclosure (International Money Transfers)
Zixta Martinez
About CFPB
2:15

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received	
1. FROM (Agency or establishment) Consumer Financial Protection Bureau		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Supervision and Enforcement			
3. MINOR SUBDIVISION Non-Bank Supervision			
4. NAME OF PERSON WITH WHOM TO CONFER Dennis Weipert	5. TELEPHONE NUMBER 202-435-7567	DATE	ARCHIVIST OF THE UNITED STATES
6. 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 on the attached <u>2</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11/17/2011	SIGNATURE OF AGENCY REPRESENTATIVE Steven L. Coney	TITLE Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Media Neutral Records Schedule for Interstate Land Sales (ILS) Registration Records and System (see attached) CFPB Approvals (signature and date): Office of Non-Bank Supervision:  11/4/11 (Signature & Date) Office of General Counsel:  (Signature & Date)	Formerly scheduled under Department of Housing and Urban Development N1-207-05-1, items 1a, b, and c	

Attachment to SF 115: Request for Records Disposition Authority for Interstate Land Sales (ILS)
Records

Consumer Financial Protection Bureau (CFPB), RG 587

Office of Supervision and Enforcement, Non-Bank Supervision

Background: Title X of the Dodd-Frank Wall Street Reform and the Consumer Protection Act (Act) establishes the Consumer Financial Protection Bureau (CFPB, Bureau), an independent bureau with authority to regulate the offering and provision of consumer financial products or services under Federal consumer financial laws, as set forth in the Act. Pursuant to section 1061(b)(7) of the Act, the HUD functions of the Interstate Land Sales Full Disclosure Act (ILSA), 15 U.S.C. 1701 et seq., transferred to the Bureau on July 21, 2011, pursuant to section 1062 of the Act. See the regulation published on this matter at 75 Fed. Reg. 57,252 (Sept. 20, 2010).

Item 1. Interstate Land Sales (ILS) Registration System

- a. **Input:** Paper and electronic copies of ILS records – paper and electronic records (e.g., CD-ROM, email attachments, etc.) received from developers, from the start of the ILS program (1969 to the present), including records inherited from the Department of Housing and Urban Development (HUD) on and after July 21, 2011. Records were previously scheduled as temporary in NARA Job No. N1-207-05-1, items 1a, b, and c.

Disposition: TEMPORARY. Destroy after verification against the ILS Registration System electronic files.

- b. **Master File:** The records consist of but are not limited to statements of records, which contain full and current disclosure about the ownership of land, the state of the land title, land physical characteristics, planned availability of roads, service, and utilities, and other information. The case files also include property reports, correspondence, developer filings of land offered for sale, maps, subdivision registrations, annual reports, regulatory exemption opinions, advisory opinions, and developer notices to the government of voluntary suspension of ownership of the property. Additional records may include subpoenas, notices of hearings, investigatory documentation, and public complaints.

Disposition: TEMPORARY. Cut off file at the end of the calendar year in which case is closed. Delete/Destroy 3 years after cutoff.

Note 1: Definition of closed – 1) when a property developer does not file an annual report within 24 months, 2) when through legal proceedings the CFPB closes the case, or 3) when a property developer files a voluntary suspension notice.

Note 2: The records were formerly scheduled with a 7-year retention in NARA Job No. N1-207-05-1, items 1a, b, and c, as "Main Filing Case Files."

c. Output: Routine system queries, sorts, and data entry validation checklists

Disposition: TEMPORARY. Delete when no longer needed for administrative, legal, audit, or other operational purposes.

~~d. Documentation: Data systems specifications, file specifications, codebooks, record layouts, user guides, and output specifications.~~

~~Disposition: TEMPORARY. Destroy/delete upon authorized deletion of the related electronic records. (GRS 20, item 11a(1))~~

From: <Steven.Coney@treasury.gov>
To: <Lauren.Crisler@nara.gov>
CC: <Donald.Rosen@nara.gov>, <Hannah.Bergman@nara.gov>, <ken.hawkins@nara.gov>
Date: 6/8/2011 12:16 PM
Subject: RE: Records Management Resources

Hi Lauren, and thanks for providing additional information regarding records management services. I look to reviewing the information you provided, and discussing with CFPB staff the possibility of scheduling a more detail meeting /briefing on the services. Thanks again.

r/Steven

Steven Coney
Records Manager
Consumer Financial Protection Bureau (CFPB)
Department of the Treasury
202-435-7495
Email: Steven.coney@treasury.gov

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, June 08, 2011 12:02 PM
To: Coney, Steven (CFPB)
Cc: Donald Rosen; Hannah Bergman; Kenneth Hawkins; Robert Spangler
Subject: Records Management Resources

Hello Steven,

It was a pleasure meeting with you and other CFPB staff members to discuss developing the agency's records management program.

As we discussed at our meeting on May 17, 2011, NARA has supported the Object Management Group's (OMG) Government Domain Task Force in the issuance of a technical specification for records management services without the constraints of traditional records management applications (RMAs).

For the current status of the RMS specification and to contact vendors who have used it to code working prototypes, navigate to: <http://gov.omg.org/> Under the left-hand column find the GovtDTF Meeting Results describing the RMS workshop held in March of this year. The minutes linked there contain further detail and direct links to presentations by Paul Wester, Chief Records Officer, and others, including the vendors (with contact information) that over-viewed their implementations of the RMS specification in live environments.

For more detailed technical information, including the specification and platform-specific models, navigate to the link on the lower right of the page for the RTF: Records Management Services V1.1 (<http://gov.omg.org/gov-rtf-rms-v1.1.htm>).

You will note that NARA's Robert Spangler, cc'd in this message, is co-chair of the OMG's U.S. Government Working Group Steering Committee, and he can provide further information about the RMS specification and next steps.

Presentations from the OMG meeting are available online and can be accessed through the following links.

<http://doc.omg.org/gov/2011-03-06>

<http://doc.omg.org/gov/2011-03-10>

In addition, there are several resources online which provide information regarding DoD 5015.2 requirements. The information is available through the following links.

- NARA Bulletin 2008-07 - Endorsement of DoD Electronic Records Management Software Applications Design Criteria Standard, version 3: <http://www.archives.gov/records-mgmt/bulletins/2008/2008-07.html>
- DoD 5015.02-STD RMA Design Criteria Standard: <http://jitic.fhu.disa.mil/recmgmt/standards.html>
- DoD 5015.02-STD Compliant Product Registers: <http://jitic.fhu.disa.mil/recmgmt/register.html>
- Toolkit for Managing Electronic Records: <http://www.archives.gov/records-mgmt/toolk>

Please let me know if there is any way myself or my colleagues can help.

Looking forward to talking to you soon,
Lauren

Lauren Crisler
Appraisal Archivist
National Archives and Records Administration
8601 Adelphi Road
NWML, room 2200
College Park, MD 20740
301.837.0663
lauren.crisler@nara.gov

From: <Hannah.Bergman@treasury.gov>
To: <Lauren.Crisler@nara.gov>
Date: 6/8/2011 12:12 PM
Subject: RE: Re: Records Management Resources

Thanks! I haven't gotten through that email yet.

Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, June 08, 2011 12:12 PM
To: Bergman, Hannah (CFPB)
Subject: Fwd: Re: Records Management Resources

This was sent to your NARA address by mistake.

From: <Steven.Coney@cfpb.gov>
To: <Lauren.Crisler@nara.gov>, <Yvonne.Wilson@cfpb.gov>
Date: 2/24/2012 9:48 AM
Subject: RE: Recorded Call Center Phone Calls

Thanks, and I got it.

I established the policy for keeping the recordings, mostly because of the high visibility of Consumer Response program, and I feel more comfortable maintaining the records until the CR system schedule is approved.

Steven

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Friday, February 24, 2012 9:17 AM
To: Coney, Steven (CFPB); Wilson, Yvonne (CFPB)
Subject: Recorded Call Center Phone Calls

Good morning,

Typically, recorded phone calls are considered transitory and are covered under GRS 23.7. The rationale for this is the assumption that the informational content would be captured in other records, such as documentation of any follow up actions or entered into a tracking database.

However, an agency may declare the recorded phone call a non-transitory record and, if so, should maintain it accordingly.

Have a good day,
Lauren

Lauren Crisler
Appraisal Archivist
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NWML, room 2200
College Park, MD 20740
301.837.0663
lauren.crisler@nara.gov

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Office of Records, Privacy, and FOIA
1700 G Street, NW
Room 6W-033
Washington, DC 20006
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov

From: <Yvonne.Wilson@cfpb.gov>
To: Lauren.Crisler@nara.gov
Date: 1/31/2012 7:56 AM
Subject: RE: Office of the CFPB Ombudsman appraisal visit appointment

I'm trying to set up the historical AV one for the same day. I'll let you know.

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Tuesday, January 31, 2012 7:45 AM
To: Wilson, Yvonne (CFPB)
Subject: Re: Office of the CFPB Ombudsman appraisal visit appointment

Thank you for setting this up and I'm looking for to seeing you again.

Lauren

>>> <Yvonne.Wilson@cfpb.gov> 1/31/2012 7:42 AM >>>
Hi Lauren,

I'm not sure if your system accepts appointments from mine, so here is the appointment for the Ombudsman appraisal visit.

Yvonne

From: Wilson, Yvonne (CFPB)
Sent: Tuesday, January 31, 2012 7:40 AM
To: Wilson, Yvonne (CFPB); Coney, Steven (CFPB); Kamenshine, Wendy (CFPB); Lauren Crisler
Subject: Site visit by the National Archives: Appraisal of Ombudsman Records
When: Monday, February 06, 2012 10:30 AM-11:30 AM (UTC-05:00) Eastern Time (US & Canada).
Where: 1801 L Street NW, D.C.

Good morning,

I am scheduling the NARA site visit for the appraisal of the records of the office of the Ombudsman. Wendy - we will meet you in the elevator lobby on the 5th floor of 1801 L and then go from there.

Lauren - we will meet you in the main floor lobby and escort you to the 5th floor.

Thank you.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Office of Records, Privacy, and FOIA
1700 G Street, NW
Room 6W-033
Washington, DC 20006
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov<mailto:yvonne.wilson@cfpb.gov>

From: Lauren Crisler
To: Yvonne.Wilson@cfpb.gov
CC: Steven.Coney@cfpb.gov
Date: 6/22/2012 4:23 PM
Subject: Re: New CFPB Records Schedule

Hello,

I just sent the schedule to be registered.

Have a great weekend!
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 6/22/2012 3:02 PM >>>
Hi Lauren,

Attached is an electronic copy of a new records schedule from the Consumer Financial Protection Bureau (CFPB). This records schedule covers two records series within the Office of Security. The first item is a request for a reduction in retention of records covered by the GRS and the second item is not covered in the GRS.

I will send you the paper copy with Steven's signature. Please let us know if you have any questions.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Records Management Program
1700 G Street, NW
Room 6133W
Washington, DC 20552
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received	
1. FROM (Agency or establishment) Consumer Financial Protection Bureau (CFPB)		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Chief Operating Officer			
3. MINOR SUBDIVISION Office of Security			
4. NAME OF PERSON WITH WHOM TO CONFER Yvonne K. Wilson, Senior Records Specialist	5. TELEPHONE NUMBER 202-435-7578	DATE	ARCHIVIST OF THE UNITED STATES
6. 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 on the attached <u>1</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 6/21/12	SIGNATURE OF AGENCY REPRESENTATIVE  Steven Coney		TITLE Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Please see attached.		

Attachment to SF 115: Consumer Financial Protection Bureau (CFPB), RG 587

Temporary Records of the Division of the Chief Operating Officer – Office of Security

This media neutral records schedule covers those temporary non-mission related records created by the CFPB as part of the routine facility security operations of the CFPB. Item 1 is an exemption from GRS 21, item 18 – Routine Surveillance Recordings. Item 2 consists of a records series that is not covered by the GRS.

Item 1. Security Surveillance Recordings

Video recordings from internal and external building cameras. The images are captured by time laps recorders 24 hours a day, 365 days per year.

Disposition: TEMPORARY. Delete/destroy recordings when 30 days old or when no longer needed for evidence or reference related to incidents or studies, whichever is later.

Item 2. Building Access Information

Employee facility entrance and exit data captured by CFPB badge reader. Data captured includes such badge credential information as date, time, employee name, and related credential information scanned from employee identification badges.

Disposition: TEMPORARY. Delete/destroy data when 90 days old or when no longer needed for security or personnel matters, whichever is later.

From: <Ekita.Mitchell@cfpb.gov>
To: <Steven.Coney@cfpb.gov>, <Lauren.Crisler@nara.gov>, <Yvonne.Wilson@cfpb....>
Date: 2/24/2012 10:41 AM
Subject: RE: NARA appraisal site visit with Consumer Response

Hi, Steven:

We will need to find another date - unfortunately I am scheduled already for March 6. Also, I would prefer to meet here in CR again so that I can have the subject matter experts available in case Lauren has a question about any of the records or how they are used in CR. It will also facilitate showing Lauren some of the sample records on the computers here, should we need to do that. I am also planning to have more sample records available and it is easier to assemble them here at 820 rather than carrying them over to 1700.

I hope this will be convenient for you. I'll get back to you later today on an alternate date based on the dates that Lauren said she is available.

Thanks!

Ekita

-----Original Message-----

From: Coney, Steven (CFPB)
Sent: Friday, February 24, 2012 9:13 AM
To: 'Lauren Crisler'; Wilson, Yvonne (CFPB)
Cc: Mitchell, Ekita (CFPB)
Subject: RE: NARA appraisal site visit with Consumer Response

Good morning,

I believe the March 6 date will work for everyone, so Yvonne please schedule the meeting.

Ekita, I would like to have the follow-up meeting at 1700 G, would that cause any problems? Thanks

Steven

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Friday, February 24, 2012 8:46 AM
To: Coney, Steven (CFPB); Wilson, Yvonne (CFPB)
Cc: Mitchell, Ekita (CFPB)
Subject: Re: NARA appraisal site visit with Consumer Response

Good morning,

I am available March 5, 6, 7, 19, 21, 26, & 27.

Thank you again for setting up such a productive meeting. It was incredibly beneficial and I'm looking forward to learning more about CR records.

Thanks,
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 2/24/2012 8:25 AM >>>

Good morning,

Ekita and I are working on setting up our second NARA appointment with Ekita for the review/discussion of items on the Consumer Response program office records schedule. Due to other commitments, I am not available March 8th, Ekita and I are not available the week of March 12th, and March 20th is already booked as well.

Steven and Lauren - Ekita is currently available March 5, 6, 7, and 9; March 19, 21, 22, and 23; and the week of March 26th. We should probably plan on a 2-hour appointment. Please let us know on which one of these days you are available.

Thank you.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB) Office of Records, Privacy, and FOIA
1700 G Street, NW
Room 6W-033
Washington, DC 20006
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov

From: <Steven.Coney@cfpb.gov>
To: <Lauren.Crisler@nara.gov>, <Yvonne.Wilson@cfpb.gov>
Date: 2/28/2012 2:23 PM
Subject: RE: N1-587-12-2 ILS Registration Records and System

Lauren,

I spoke with GC, there is no problem with the propose disposition as identified on the schedule.

Steven

Steven L. Coney
Records Officer
Consumer Financial Protection Bureau
Records, Privacy, and FOIA
Office: 1700 G Street Office 6W-031
Tel: 202 435 7495
steven.coney@cfpb.gov
consumerfinance.gov

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-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Friday, February 24, 2012 8:59 AM
To: Coney, Steven (CFPB); Wilson, Yvonne (CFPB)
Subject: N1-587-12-2 ILS Registration Records and System

Good morning,

I was revisiting this schedule this morning and I have a question. Could you check with your general counsel about the disposition and if it is longer than any relevant statute of limitations?

Thanks,
Lauren

Lauren Crisler
Appraisal Archivist
National Archives and Records Administration
8601 Adelphi Road
NWML, room 2200
College Park, MD 20740
301.837.0663

lauren.crisler@nara.gov

From: <Steven.Coney@cfpb.gov>
To: <Lauren.Crisler@nara.gov>
Date: 1/4/2012 4:57 PM
Subject: RE: FW: Monthly Status Report

Thanks

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, January 04, 2012 3:53 PM
To: Coney, Steven (CFPB)
Subject: Re: FW: Monthly Status Report

Attached is the updated status report.

>>> <Steven.Coney@cfpb.gov> 1/4/2012 3:14 PM >>>
Lauren,

Give me a call regarding the Monthly status report. Thanks

Steven

Steven L. Coney
Records Officer
Consumer Financial Protection Bureau
Records, Privacy, and FOIA
Office: 1801 L Street Office 7120
Tel: 202 435 7495
steven.coney@cfpb.gov
consumerfinance.gov

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-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, January 04, 2012 3:03 PM
To: Coney, Steven (CFPB)
Subject: Monthly Status Report

Good afternoon,

Attached is the monthly status report. Please let me know if you have any questions.

Thanks,
Lauren

Lauren Crisler
Appraisal Archivist
National Archives and Records Administration
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NWML, room 2200
College Park, MD 20740
301.837.0663
lauren.crisler@nara.gov

FY 12

Monthly Status Report
Consumer Financial Protection Bureau

December 2011

Job Number	Title	Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-582-12-1	Historically Significant Audio/Visual Recordings	12/13/2011	Crisler	Pollard	12/31/2011	Registered	
N1-582-12-2	Interstate Land Sales (ILS) Registration Records and System	12/13/2011	Crisler	Pollard	12/31/2011	Registered	
N1-582-12-3	Office of the CFPB Ombudsman	12/18/2011	Crisler	Pollard	12/31/2011	Registered	
N1-582-12-4	Consumer Response System	12/13/2011	Crisler	Pollard	12/31/2011	Registered	

From: <Hannah.Bergman@treasury.gov>
To: <Donald.Rosen@nara.gov>, <ken.hawkins@nara.gov>, <Lauren.Crisler@nara.go...>
CC: <Jason.Baron@nara.gov>
Date: 6/8/2011 9:09 AM
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

Hi,

I'm back from vacation now and sorting through emails. Did this get communicated to Steve Coney, et al? If not, I can do that now.

Thanks,
Hannah

-----Original Message-----

From: Donald Rosen [mailto:Donald.Rosen@nara.gov]
Sent: Thursday, May 26, 2011 1:12 PM
To: Kenneth Hawkins; Lauren Crisler; Paul Wester; Robert Spangler; Stephen Cooper; Bergman, Hannah (CFPB)
Cc: Jason Baron
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

In addition, per the meeting we also said we would provide them info related to 5015.2 requirements. We could include the following links:

-NARA Bulletin 2008-07 - Endorsement of DoD Electronic Records Management Software Applications Design Criteria Standard, version 3: <http://www.archives.gov/records-mgmt/bulletins/2008/2008-07.html>

- DoD 5015.02-STD RMA Design Criteria Standard: <http://jitic.fhu.disa.mil/recmgt/standards.html>

-DoD 5015.02-STD Compliant Product Registers: <http://jitic.fhu.disa.mil/recmgt/register.html>

- Toolkit for Managing Electronic Records: <http://www.archives.gov/records-mgmt/toolk>

>>> Kenneth Hawkins 5/26/2011 10:59 AM >>>

We also could embed links to the presentations from the OMG meeting directly in our message to CFPB, e.g.,
<http://doc.omg.org/gov/2011-03-06> Wester

<http://doc.omg.org/gov/2011-03-10> Olden-Stahl

>>> On 5/25/2011 at 4:07 PM, Kenneth Hawkins wrote:

Hello everyone,

Per the actions I took at the CFPB meeting to provide Mr. Coney and other attendees with more specifics about the NARA-Object Management Group (OMG) specification for Records Management Services version 1.1, and points-of-contact at OMG, below is language for a general response.

I also attach sample language we drafted at the request of White House Office of Records Management and OA, to insert records management functions into IT acquisitions. This language was used, I am told, by OA on subsequent acquisitions of system now in use at the EOP. Here it is unedited (it cites PRA) but could easily be updated to reference the correct authorities under the FRA, and be provided as a sample. My read of the meeting was that CFPB was very interested in pursuing these kinds of capabilities.

====

As we discussed at our meeting on May 17, 2011, NARA has supported the Object Management Group's (OMG) Government Domain Task Force in the issuance of a technical specification for records management services without the constraints of traditional records management applications (RMAs).

For the current status of the RMS specification and to contact vendors who have used it to code working prototypes, navigate to: <http://gov.omg.org/>
Under the left-hand column find the GovtDTF Meeting Results describing the RMS workshop held in March of this year. The minutes linked there contain further detail and direct links to presentations by Paul Wester, Chief Records Officer, and others, including the vendors (with contact information) that over-viewed their implementations of the RMS specification in live environments.

For more detailed technical information, including the specification and platform-specific models, navigate to the link on the lower right of the page for the RTF: Records Management Services V1.1 (<http://gov.omg.org/gov-rtf-rms-v1.1.htm>).

You will note that NARA's Robert Spangler, cc'd in this message, is co-chair of the OMG's U.S. Government Working Group Steering Committee, and he can provide further information about the RMS specification and next steps.

====

Hope this helps. It was a good meeting and we have some momentum going that could move us towards real-time records management.

thanks
Ken

Ken Hawkins - Ph.D.
ERA Program - NARA
301-837-1798 desk

301-974-7866 mobile>>> On 5/20/2011 at 11:48 AM, <Hannah.Bergman@treasury.gov> wrote:

Hi all,

I just wanted to let you know I'll be out on vacation for 2.5 weeks, but Steve Coney is very interested in getting more info from NARA and would like to have the OMG folks come over.

If you want to communicate with him directly, he's at steven.coney@treasury.gov.

Thanks again,
Hannah

-----Original Message-----

From: Paul Wester [mailto:Paul.Wester@nara.gov]
Sent: Wednesday, May 11, 2011 12:10 PM
To: Donald Rosen; Kenneth Hawkins; Lauren Crisler; Robert Spangler; Stephen Cooper; Bergman, Hannah (CFPB)
Cc: Jason Baron
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

Hannah,
Thanks for the sending this along for next week's meeting (and for the meeting on Friday morning).

I've had a number of conversations over here about what's next with this, and I wanted to add a point of clarification about the records scheduling piece.

In talking to Lauren this morning, I learned that there are already several schedules in the pipeline from Steve Coney, and that NARA will be able to get them approved reasonably quickly, probably in months. While the scheduling will be ongoing, Lauren was pretty confident that we will have a good start with CFPB schedules in the next months.

We are very much looking forward to moving ahead with this work!

Thanks - Paul

>>> <Hannah.Bergman@treasury.gov> 5/11/2011 11:09 AM >>>

I sent this as a meeting request to Bob, Stephen, Ken, Lauren, and Don. But not sure that NARA's Groupwise and CFPB's outlook will work together on calendaring, so copying below as well.

11 am May 17 at 1801 L St NW.

All,

I think this time works for everyone (or a lot of you) and I'm working on finding us a room.

I'd like for the NARA appraisal archivists, electronic records management policy and IT people and the CFPB records, IT and requirements writing staff to come together to discuss a vision and system requirements for an electronic records management system.

We should keep a few key points in mind for this meeting:

- CFPB records will be stored in a variety of cloud based applications and solutions which are now being procured
- CFPB would like to have be as e-based as possible, but understands there will be paper records
- It will be several years before NARA has approved the CFPB records schedules
- The records management application will need to provide for disposition authorities to be set on the records once the records schedules are approved and allow for the transfer of permanent records to NARA
- I would like us all to discuss the real possibilities for using the OMG records management object standard to wrap records with metadata that will allow for the management of the records in their native environments.

I've tried invite a few types of people to this meeting:

- Records management/archivists (Steve Coney, Lauren Crissler primarily)
- Super IT techie-types (Bob Spangler, Ken Hawkins, Matt Burton, and Harish Mysore)
- Business process requirements writers (Allison, Theresa and Neeraj)
- E-records policy (Don Rosen)

At the meeting, I'd like for NARA to present its latest and greatest thinking on records management solutions, beyond the world of DOD 5015 - systems that don't duplicate the records but interact with other systems to manage them with automated tools and little individual-level action required.

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Sent: Tuesday, May 10, 2011 6:16 PM
To: Kenneth Hawkins; Lauren Crisler; Paul Wester; Robert Spangler; Stephen Cooper; Bergman, Hannah (CFPB)
Cc: Jason Baron
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

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To: <Donald.Rosen@nara.gov>, <ken.hawkins@nara.gov>, <Lauren.Crisler@nara.go...>
Date: 5/17/2011 1:45 PM
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

Hi,

Thank you all so much for coming over to CFPB. Rich Lepley, who is Meredith Fuchs's deputy and my direct boss spoke after the meeting with Meredith (who is the deputy general counsel). Rich really believed that there was a lot of value from the conversation.

Rich and Meredith both supported reaching on to OMG for a demo and more information. They also realize that a business decision will have to be made about the thrust of where they are going technology wise but think they have a lot of room to be flexible and sort that out.

For those of you who weren't there, I promised the CFPB folks that the NARA folks would compile a list of resources for them. When that's ready, send it to me and I can share it around.

Thank you again for coming over,
Hannah

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Date: 5/16/2011 3:38 PM
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

Hi,

I'll meet everyone downstairs a few minutes before 11 a.m. I'll try to be there by 10:50 am.

My Blackberry is FOIA (b) (6) My office is 202 435 7114. I'm in room 520.

Recall we are at 1801 L St NW. Very close to both Farragut stops.

Hannah

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CC: <Jason.Baron@nara.gov>
Date: 5/11/2011 11:31 AM
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

As of now, I'm hoping I can go to A2 Friday morning, and deal with some random things, including attend the NGC staff meeting which is at 10 am.

Would 9 am Friday work for a pre-meeting (I know it's really early, especially for me) but I suspect after the 10 am I won't have any free time between then and when I have to get back to CFPB for a 2 pm meeting.

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Jason and I spoke last week and he said you were pondering who might be able to meet with the IT and RM folks at Consumer Financial Protection

Bureau to help them sort out IT requirements and goals for a records management system.

I'd like to set up something for next, if we can. I think you were thinking Bob Spangler and Don Rosen would be good people to come over? I wasn't sure if Ken Hawkins would be good as well? I could get them in a room with the records officer here, along with the IT requirements and business process staff to really flesh out what NARA's latest thinking is on records management as a service.

I think the work that everyone has done on thinking about records management as a service along with the development of the data standard with the Object Management Group could really be leveraged at CFPB and they could be on the edge of some cutting edge records management development.

Here are some things to keep in mind:

- All of the CFPB storage is cloud based. They will have no in-house data storage.
- It's going to be several years before they have any schedules in place.
- They are just now procuring IT solutions for everything. They are writing a requirement for non-proprietary APIs into all of these contracts.
- They need an automated solution that deals with electronic records as they are created.

I've sold them on the possibilities of wrapping objects with meta data that includes all of the RM information, and which they could exercise disposition authority on one day (when they had it), and from which they could transfer permanent electronic records to NARA. Now they just need to figure out how to do that.

Hannah

Hannah Bergman
Attorney
General Law and Regulation
Office of General Counsel
Consumer Financial Protection Bureau
(202) 435-7114
hannah.bergman@treasury.gov

From: <Hannah.Bergman@treasury.gov>
To: <Lauren.Crisler@nara.gov>
Date: 5/11/2011 10:41 AM
Subject: RE: Fwd: meeting with CFPB IT staff to discuss RMaaS requirements

I'll send out the meeting invite to all the CFPB folks.

It looks like that time works for Steve, I just need to find a room.

Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, May 11, 2011 8:10 AM
To: Bergman, Hannah (CFPB)
Subject: Re: Fwd: meeting with CFPB IT staff to discuss RMaaS requirements

Hello,

I checked my schedule and I'm free all Tuesday, May 17th although morning would work best. Perhaps we could all meet at 10:30 or 11:00? That would also give anyone coming from A2 to catch the shuttle and make their way over to L Street. Would you like me to check with Steven Coney to see if that works for him as well?

Thanks!
Lauren

From: <Hannah.Bergman@treasury.gov>
To: <Stephen.Cooper@nara.gov>, <Jason.Baron@nara.gov>, <Paul.Wester@nara.gov>
CC: <Lauren.Crisler@nara.gov>
Date: 5/10/2011 10:26 AM
Subject: RE: meeting with CFPB IT staff to discuss RMaaS requirements

Hi,

Thanks for weighing in. I understand it will take several years for CFPB to develop records schedules, but I believe waiting until then to procure an RM solution won't work.

The longer CFPB waits to get an RM solution, the more likely it will be to not integrate with the other systems that the agency is bringing on board now. Any good RM solution will allow the agency to set the disposition authority for categories of records once they have been scheduled, and will allow the agency to capture the permanent records for transfer to NARA.

I agree it makes no sense to build a repository for temporary records -- particularly since no records will be housed on CFPB servers to begin with. That's why a tagging solution of the sort contemplated by the Records Management as a Service/RM object standards project that Ken and Bob Spangler have been involved would be ideal for CFPB.

CFPB has a chance to implement an electronic record keeping system with an automated, smart records management capabilities that will allow it to capture and preserve its records. I don't want this great opportunity to pass by and they end up in the land of paper based records and no one saving anything.

Hannah

-----Original Message-----

From: Stephen Cooper [mailto:Stephen.Cooper@nara.gov]
Sent: Tuesday, May 10, 2011 8:42 AM
To: Jason Baron; Paul Wester; Bergman, Hannah (CFPB)
Cc: Lauren Crisler
Subject: Re: meeting with CFPB IT staff to discuss RMaaS requirements

Lauren forwarded the email to me.

CFPB has two years to develop and issue its comprehensive schedule so that seems to work with its time table.

My concern with the approach outlined below is that electronic rm solutions should include disposition so scheduling the records should go hand in hand with developing the electronic rm solutions. For example, it seems pointless to develop a system for long term storage and access to records if it is ultimately scheduled for 5 years. For example, it appears to have a consumer complaint system which are usually temporary with a short retention period (5 years or less) depending on how they handle the complaints.

Looking at its website, it looks like CFPB has a supervision and enforcement function. I am not sure how this relates to the other supervision agencies but I would recommend that CFPB talk to OCC about maintaining supervision and enforcement records since OCC creates and maintains these types of records electronically using an RMA. Supervision and enforcement records are sometimes permanent, but it depends on how the supervision and enforcement works.

It looks to me that records received under Section 1071 of the Dodd-Frank Act will produce permanent records as financial institutions report on credit applications. This is similar to the HMDA data we receive from the FRB. It is important for CFPB to recognize the potential permanent retention when it develops the recordkeeping system because some of the data received from financial institutions probably cannot be accessioned by NARA. The FRB removes personal information from HMDA data prior to transfer to NARA because the law requires it. CFPB needs to consider this when developing its system. Also, financial institutions often put password protections on data transferred to oversight agencies, which works for the oversight agency but not for NARA when we try to preserve the records.

These are some of the issues relating to disposition that CFPB needs to consider.

There are also access issues when dealing with permanent financial institution records that NARA will need to work out with CFPB.

Steve

>>> <Hannah.Bergman@treasury.gov> 5/9/2011 3:25 PM >>>

Paul-

Jason and I spoke last week and he said you were pondering who might be able to meet with the IT and RM folks at Consumer Financial Protection Bureau to help them sort out IT requirements and goals for a records management system.

I'd like to set up something for next, if we can. I think you were thinking Bob Spangler and Don Rosen would be good people to come over? I wasn't sure if Ken Hawkins would be good as well? I could get them in a room with the records officer here, along with the IT requirements and business process staff to really flesh out what NARA's latest thinking is on records management as a service.

I think the work that everyone has done on thinking about records management as a service along with the development of the data standard with the Object Management Group could really be leveraged at CFPB and they could be on the edge of some cutting edge records management development.

Here are some things to keep in mind:

- All of the CFPB storage is cloud based. They will have no in-house data storage.
- It's going to be several years before they have any schedules in place.
- They are just now procuring IT solutions for everything. They are writing a requirement for non-proprietary APIs into all of these contracts.
- They need an automated solution that deals with electronic records as they are created.

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that includes all of the RM information, and which they could exercise disposition authority on one day (when they had it), and from which they could transfer permanent electronic records to NARA. Now they just need to figure out how to do that.

Hannah

Hannah Bergman
Attorney
General Law and Regulation
Office of General Counsel
Consumer Financial Protection Bureau
(202) 435-7114
hannah.bergman@treasury.gov

From: <Steven.Coney@cfpb.gov>
To: <Lauren.Crisler@nara.gov>
Date: 3/12/2012 12:55 PM
Subject: RE: It was a pleasure meeting with you again

Hello Lauren,

Thank you for that advice. So let me restate my position. Any action that requires the CFPB records management program to conduct comprehensive reviews of thousands of records (stories) to ascertain their historical significance as defined as (permanent records) from the less important or routinely submitted stories information as defined as (temporary records) cannot be accomplished. The recommendation you pose is impractical, time consuming and not cost-effective.

NARA can however, have the entire collection or classify the "Tell us Your Story" records as temporary so that the modified SF-115 will reflect a temporary retention of the records.

Steven

Steven L. Coney
Records Officer
Consumer Financial Protection Bureau
Records, Privacy, and FOIA
Office: 1700 G Street Office 6W-031
Tel: 202 435 7495
steven.coney@cfpb.gov
consumerfinance.gov

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-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Friday, March 09, 2012 1:27 PM
To: Mitchell, Ekita (CFPB); Coney, Steven (CFPB); Wilson, Yvonne (CFPB)
Cc: Lauroesch, Lisa (CFPB)
Subject: RE: It was a pleasure meeting with you again

Hello,

I understand your perspective about the module but I'm unsure that every single story needs to be preserved to document the U.S. Consumer's experience. In many cases that involve a large collection, only a sampling of records are maintained as permanent. This actually aids in preserving American history because it ensures that of the permanent collection, every single record has high value. One option I think we should pursue is reviewing the stories and attempting to develop some sort of criteria that allows for stories that have high value to be maintained as permanent while authorizing the disposal of stories that do not meet the set criteria.

I'm happy to come back to review a random sampling of the stories if you're unable to email.

Thanks again,
Lauren

>>> <Steven.Coney@cfpb.gov> 3/9/2012 12:59 PM >>>
Hi Lauren, thank you for your kind words.

I totally understand your concern regarding the logistical nightmare that may occur during the transfer of records associated with the "Tell Us Your Story" program. Furthermore, in collecting thousands of the "Tell Us Your Story" records, it is inevitable that some of the information will not be historically valuable. However, as the CFPB's Records Officer, my position is that the entire "Tell Us Your Story" records group as a whole has historical significance to the U.S. Consumer and to CFPB. The "Tell Us Your Story" module provides consumers with a centralized way to share their personal financial stories, whether good or bad, and the records/stories should be preserved.

We look forward to the first cut off and transfer of the "Tell Us Your Story" records to NARA when eligible.

Steven

Steven L. Coney
Records Officer
Consumer Financial Protection Bureau
Records, Privacy, and FOIA
Office: 1700 G Street Office 6W-031
Tel: 202 435 7495
steven.coney@cfpb.gov
consumerfinance.gov

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-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Thursday, March 08, 2012 4:27 PM
To: Mitchell, Ekita (CFPB); Coney, Steven (CFPB); Wilson, Yvonne (CFPB)
Cc: Lauroesch, Lisa (CFPB)
Subject: RE: It was a pleasure meeting with you again

Hi all,

Thank you again for setting up and executing such wonderfully productive meetings! I was going through my notes from yesterday and started pondering the accessioning logistics regarding the "Tell Your Stories" item. While I think they are an important historical record, I'm wondering to what extent all of the stories are important enough for permanent retention. For instance, is it possible that there are items submitted as stories that don't have any real value? It would help me to be able to review some of the submitted stories. Is it possible to email me some select stories?

Thanks for your help,
Lauren

>>> <Ekita.Mitchell@cfpb.gov> 3/8/2012 2:34 PM >>>
Hi, Yvonne:

Thanks. Please let me know if you have any questions or need my assistance in making the revisions.

Take care!

Ekita

From: Wilson, Yvonne (CFPB)
Sent: Thursday, March 08, 2012 2:30 PM
To: Mitchell, Ekita (CFPB); Coney, Steven (CFPB); 'Lauren Crisler' (Lauren.Crisler@nara.gov)
Cc: Lauroesch, Lisa (CFPB)
Subject: RE: It was a pleasure meeting with you again

Thank you, Ekita! You are wonderful! And thank you, Lauren for your time, patience, and insight. I'll make the changes to the e-system schedule and route it through Ekita and Steven to NARA. Then I'll go through the program office records schedule, modify the items, and route for internal review and approval.

Have a great afternoon.

Yvonne

From: Mitchell, Ekita (CFPB)
Sent: Thursday, March 08, 2012 1:30 PM
To: Coney, Steven (CFPB); Wilson, Yvonne (CFPB); 'Lauren Crisler' (Lauren.Crisler@nara.gov<mailto:Lauren.Crisler@nara.gov>)
Cc: Lauroesch, Lisa (CFPB)
Subject: It was a pleasure meeting with you again

Hi:

It was great to meet with you all again yesterday. Thanks for coming over to Consumer Response so we could continue our progress with the record schedules.

It is my understanding that Yvonne and Steven will make the changes we discussed on the systems records schedule (adding c.1. ("mission critical reports) and c.2. (ad hoc or routine reports) to Item 1. Then, Lauren will go ahead and submit our system records schedule for approval through NARA's administration.

We also agreed to make changes to the program records schedule, as discussed during the meeting, including:

1. Move Items 1 - 6 (Assistant Director records) to the CFPB general records schedule.
2. Item 7 - Change title and description of these records to reflect actual records (i.e., "Consumer Response Development Records for Filing Complaints") or something similar that captures the true

description of these records. The current phrase, "Financial Product Records" does not provide enough information about the records. Also, enhance the description to include records relating to system development, launch of new complaint mechanisms, rollout schedules, etc. Also change the disposition to Temporary for 10 years, or until no longer needed.

3. Item 9 - Change title and description of records to "Investigation Files" or something similar and indicate that these are records created by the investigator in the course of an investigation, outside of the Right Now system. Ekita and Lisa will follow-up with the Investigations Section Chiefs to get their input on the records description, whether the records will eventually be uploaded into Right Now and how long the disposition should be for these records.

4. Item 10 - Change title to "Consumer Response Routine Non-Complaint Correspondence or Communications" or something similar. Remove from the description the records from the Executive Office of the President, Congress, HUD or other federal, state or local agencies. Indicate that these are CR specific records, not on the CFPB General Records schedule under general correspondence.

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6. Item 13 - change description to indicate that these are copies of responses to GAO and Congressional reports. The CFPB General Records schedule will have the official records.

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11. Items 19 - 20 - Remove from the Consumer Response program records schedule. These will be covered on the CFPB General Records schedule.

I believe that I captured all of the changes we discussed. Please add anything I may have left out of the list above.

I will follow-up with the Investigations Section Chiefs and get back to you next week with the answers for Item 9. Yvonne and I will work together to make the necessary changes to the schedules, and circulate the revised drafts for review.

Thanks, everyone!

Ekita

[cid:image001.jpg@01CCFD38.A1982380]

Ekita Mitchell
Consumer Response Policy Analyst
Consumer Financial Protection Bureau
ekita.mitchell@cfpb.gov<mailto:ekita.mitchell@cfpb.gov>
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From: <Ekita.Mitchell@cfpb.gov>
To: <Lauren.Crisler@nara.gov>, <Steven.Coney@cfpb.gov>, <Yvonne.Wilson@cfpb....>
CC: <Lisa.Lauroesch@cfpb.gov>
Date: 3/8/2012 4:47 PM
Subject: RE: It was a pleasure meeting with you again

Hi, Lauren:

Thank you for your consideration of the Consumer Response records and your interest in helping us achieve the best records schedule we can put in place at this time. I appreciate your request, and I will get back in touch with you as soon as I look into it.

While I understand your concern about whether all of the stories need to be kept permanently, we have to consider how we would make that determination, and how we would justify keeping some vs. others. Also, I need to get some feedback from Lisa about sharing the stories, particularly via email. There may be a way for you to see some of them but I want to determine the best way to do that. I may be able to visit your office in College Park and could bring some samples for you to view. Another way is to arrange for you to talk with the person who is reviewing the stories in Consumer Response and perhaps you can find out what you need to know that way.

Thanks. I'll be in touch shortly.

Ekita

-----Original Message-----

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Thanks, everyone!

Ekita

[cid:image001.jpg@01CCFD38.A1982380]

Ekita Mitchell
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From: Lauren Crisler
To: Yvonne.Wilson@cfpb.gov
Date: 10/26/2011 9:34 AM
Subject: Re: email from this morning - historical recordings

Thank you Yvonne, I will keep my eyes open for it. Was Kevin able to advise and/or resolve any format issues?

Thanks!
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 10/25/2011 1:50 PM >>>
Hi Lauren,

Please disregard my message from this morning. We intend to list all 21 pre-July 21 recordings, as well as the temporary cut footage and scripts. The records schedule has been drafted and is making its way through our internal approval process. We should be sending the records schedule to you soon.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Office of Records, Privacy, and FOIA
1801 L Street, NW
Washington, DC 20036
Tel: 202-435-7578
Cell: FOIA (b) (6)
yvonne.wilson@cfpb.gov

From: Lauren Crisler
To: Yvonne.Wilson@cfpb.gov
Date: 1/31/2012 11:27 AM
Subject: Re: double-checking

That sounds great,
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 1/31/2012 10:49 AM >>>

Sorry for the multiple emails, but we are having some email troubles. On Monday the 6th, we have an appointment for you at 10:30 with the Ombudsman and an 11:30 appointment with the IT staff on the AV records.

Thank you.

Yvonne

From: Lauren Crisler<Lauren.Crisler@nara.gov> (Lauren Crisler)
To: Yvonne.Wilson@cfpb.gov
Date: 10/24/2011 9:57 AM
Subject: RE: Digital film
Attachments: SF-115.docx

Resending.

Thanks,
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 10/24/2011 9:25 AM >>>
Hi Lauren,

The attachment did not transmit. Can you please resend?

Thank you.

Yvonne

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Monday, October 24, 2011 9:20 AM
To: Wilson, Yvonne (CFPB)
Cc: Coney, Steven (CFPB)
Subject: RE: Digital film

Good morning,

Attached is a MS Word version of the SF-115. Let me know if you have any questions.

I'm looking forward to meeting you this afternoon,
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 10/19/2011 7:31 AM >>>

Thank you, Lauren. I'll set up a call between Kevin and Audrey Chen, our head of graphic design in our IT Technology Group, and iron out any technical issues and the transfer of the data. We have drafted a records schedule, will incorporate any technical language Kevin advises us to include, and then we will send the draft schedule to you.

Can you do me another huge favor, please - do you have a template of the SF115 in Word that you can send to me? I have a fillable PDF but it does not allow us to type in Steven's name.

Thank you.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Office of Records, Privacy, and FOIA
1801 L Street, NW
Washington, DC 20036
Tel: 202-435-7578
Cell: FOIA (b) (6)

yvonne.wilson@cfpb.gov

-----Original Message-----

From: Lauren Crisler [<mailto:Lauren.Crisler@nara.gov>]
Sent: Tuesday, October 18, 2011 5:20 PM
To: Wilson, Yvonne (CFPB)
Subject: RE: Digital film

Hello,

The best person for you to speak to is Kevin DeVorsey. He is the head of the new format team and should be able to provide assistance. His contact information is kevin.devorsey@nara.gov and his phone number is 301-837-3122.

Let me know if you have any questions!
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 10/12/2011 11:13 AM >>>
Fantastic! I appreciate it.

-----Original Message-----

From: Lauren Crisler [<mailto:Lauren.Crisler@nara.gov>]
Sent: Wednesday, October 12, 2011 11:14 AM
To: Wilson, Yvonne (CFPB)
Cc: Coney, Steven (CFPB)
Subject: Re: Digital film

Good morning,

I will see who is the best resource and will get back to you.

Thanks,
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 10/12/2011 11:05 AM >>>
Hi Lauren,

We are writing a records schedule to cover approximately 7 digital films (moving images, not still photographs) of the establishment of the CFPB prior to July 21, 2011. Who at NARA should I talk with about the transfer standards of these digital films and the method for transferring the films to NARA after the schedule is approved?

Thank you.

Yvonne

Yvonne K. Wilson
Senior Records Management Specialist
Consumer Financial Protection Bureau (CFPB)
Office of Records, Privacy, and FOIA
1801 L Street, NW
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yvonne.wilson@cfpb.gov

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received	
1. FROM (Agency or establishment)		<p align="center">NOTIFICATION TO AGENCY</p> <p>In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.</p>	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
<p>6. AGENCY CERTIFICATION</p> <p>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 on the attached _____ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,</p> <p align="center"> <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </p>			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

From: <Yvonne.Wilson@cfpb.gov>
To: Lauren.Crisler@nara.gov
Date: 2/28/2012 9:39 AM
Subject: RE: Consumer Response 2nd appraisal visit

Thank you, Lauren. I sent out the appointment and will let you know when Ekita and Steven have confirmed.

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Tuesday, February 28, 2012 9:34 AM
To: Wilson, Yvonne (CFPB)
Subject: Re: Consumer Response 2nd appraisal visit

Good morning,

That works great, I'll put it on my calendar.

Thanks!
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 2/28/2012 9:15 AM >>>
Good morning, Lauren,

How does your schedule look on March 7th? How about a morning appointment at Consumer Response from 10 to Noon?

Please let me know so that I can send out the appointment.

Thank you.

Yvonne

Yvonne K. Wilson
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From: Lauren Crisler
To: Yvonne.Wilson@cfpb.gov
Date: 2/22/2012 9:23 AM
Subject: Re: Confirmation

Good morning,

I will see you in the lobby shortly before 1pm.

Thank you for all of your work with setting this up!
Lauren

>>> <Yvonne.Wilson@cfpb.gov> 2/22/2012 6:33 AM >>>
Hi Lauren,

I'm confirming our 1pm appointment today. Please send me an email. We have quite the number of staff who have RSVP'ed for this appraisal meeting in Consumer Response.

Thank you.

Yvonne
202 435 7578

From: <Hannah.Bergman@treasury.gov>
To: <Lauren.Crisler@nara.gov>
Date: 5/4/2011 1:27 PM
Subject: RE: CFPB Records Management

Sure! I helped interview someone for one of Steve's open positions this morning as well so if you have thoughts on what are star qualities in rm staff, let me know.

Are you in the office today? Should I just give you a ring this afternoon?

Thanks,
Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, May 04, 2011 1:24 PM
To: Bergman, Hannah (CFPB)
Subject: RE: CFPB Records Management

I totally understand, especially about email. I emphasized to Steven the need for staff to keep everything until there are approved dispositions, including email. He is going to send me a copy of the org chart so I can get an idea about the "high" level positions so we can pay special attention to their email maintenance.

If it's okay, maybe we can touch base after the meeting?

Thanks!
Lauren

>>> <Hannah.Bergman@treasury.gov> 5/4/2011 1:14 PM >>>
Hi,

Great -- I'm meeting with Steve at 2 pm actually. We talked briefly this morning about big bucket schedules, etc. The push is for everything to be done electronically and being a devotee (and employee) of Jason's I want to make sure I do everything I can to help, especially with regard to email.

Hannah

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, May 04, 2011 1:11 PM
To: Bergman, Hannah (CFPB)
Cc: Stephen Cooper
Subject: CFPB Records Management

Hello,

I am the NARA contact and appraisal archivist for CFPB. I recently met with Steven Coney, who is the new records officer at CFPB, and we discussed how to stand up a records management program in the agency. Steven is working on a schedule to submit to NARA that will obtain disposition approval for some of the more voluminous records the agency is currently creating. It may be helpful if you could touch base with Steven to see if there are in any potential legal issues coming down the line.

Please let me know if you have any questions or would like additional details.

Thanks,

Lauren

Lauren Crisler
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National Archives and Records Administration
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College Park, MD 20740
301.837.0663
lauren.crisler@nara.gov

From: <Steven.Coney@cfpb.gov>
To: <Lauren.Crisler@nara.gov>
Date: 1/25/2012 10:36 AM
Subject: RE: Appraisal Visits

Hi Lauren, we will work on making the records available and set-up the schedule. Thanks

Steven

-----Original Message-----

From: Lauren Crisler [mailto:Lauren.Crisler@nara.gov]
Sent: Wednesday, January 25, 2012 10:33 AM
To: Coney, Steven (CFPB)
Subject: Appraisal Visits

Good morning,

I'm looking forward to visiting your office and reviewing some of the records on the proposed SF-115s. I will need to see the following records:

N1-587-12-1 Items 1A & B
N1-587-12-3 Items 3, 4, 7, 8, and 9
N1-587-12-4 Items B1, B2, & C
N1-587-12-5 Items 1, 4, 5, 7A, 7B, 8, 9, 10, 11, 12, 13, 14, 15, and 17

I am available:

1/30
1/31
2/6
2/8 - 2/10
2/20 - 2/22
2/27 - 3/2

I'm looking forward to seeing you and your staff again, Lauren

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