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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0056-2017-0002

Request for Records Disposition Authority

Records Schedule Number DAA-0056-2017-0002
Schedule Status Returned Without Action
Agency or Establishment Department of the Treasury
Record Group / Scheduling Group General Records of the Department of the Treasury
Records Schedule applies to Major Subdivision
Major Subdivision Domestic Finance
Minor Subdivision Financial Stability Oversight Council
Schedule Subject Financial Stability Oversight Council Records
Internal agency concurrences will be provided No

Background Information The Financial Stability Oversight Council which was established July 21, 2010, pursuant to section 111(a) of the Dodd-Frank Wall Street Reform and Consumer Protection Act, Pub. L. 111-203, (the "Act").

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	18

GAO Approval

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Outline of Records Schedule Items for DAA-0056-2017-0002

Sequence Number	
1	Procurement Authorities & Procedures
1.1	Official record sets Disposition Authority Number: DAA-0056-2017-0002-0001
1.2	Background and working files Disposition Authority Number: DAA-0056-2017-0002-0002
2	Regulations & Guidance
2.1	Regulations & Guidance Disposition Authority Number: DAA-0056-2017-0002-0003
3	Reports
3.1	Official record set Disposition Authority Number: DAA-0056-2017-0002-0004
3.2	All other copies Disposition Authority Number: DAA-0056-2017-0002-0005
4	Audits
4.1	Audits/Evaluations Disposition Authority Number: DAA-0056-2017-0002-0006
4.2	All other copies Disposition Authority Number: DAA-0056-2017-0002-0007
4.3	Audit Planning and Tracking files Disposition Authority Number: DAA-0056-2017-0002-0008
5	Legal Files
5.1	FSOC Litigation or Legal position files Disposition Authority Number: DAA-0056-2017-0002-0009
5.2	All other copies Disposition Authority Number: DAA-0056-2017-0002-0010
6	Strategic Planning
6.1	Five#year Strategic Plan Disposition Authority Number: DAA-0056-2017-0002-0011
6.2	Strategic plans for specific organizations Disposition Authority Number: DAA-0056-2017-0002-0012
7	Performance & Risk Management
7.1	Performance & Risk Management Disposition Authority Number: DAA-0056-2017-0002-0013
8	Press Releases

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
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Records Schedule: DAA-0056-2017-0002

8.1	Official record set Disposition Authority Number: DAA-0056-2017-0002-0014
8.2	All other copies Disposition Authority Number: DAA-0056-2017-0002-0015
9	Meeting minutes
9.1	Official minutes Disposition Authority Number: DAA-0056-2017-0002-0016
10	Program, Subject, and Correspondence Files
10.1	Incoming/Outgoing policy prescribing files Disposition Authority Number: DAA-0056-2017-0002-0017
10.2	Incoming/Outgoing - Routine and Recurring files Disposition Authority Number: DAA-0056-2017-0002-0018

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Records Schedule Items

Sequence Number	
1	<p>Procurement Authorities & Procedures Council staff creates and maintains files for the development of policies and procedures for certain FSOC operations. The final product may be a policy letter or manual, a section of a policy manual, or a set of procedures. The Council usually approves policies; procedures are developed at the division level and may be distributed by the Chairperson of the Council or by the division. Includes procurement contracts and agreements, authorities, conflict of interest mitigation procedures, asset manager selection process, solicitation of financial agents, fed biz ops, and small business participation..</p>
1.1	<p>Official record sets Disposition Authority Number DAA-0056-2017-0002-0001</p> <p>Files include Council staff-developed manuals, guidance, or letters describing duties, responsibilities, procedures, activities, and reporting requirements for FSOC programs overseen by the Council, such as delegations of authority for buildings and budgets, activities of general auditors, accounting procedures, and implementation of policies for payment system risk and accounting.</p> <p>Final Disposition Permanent Item Status Withdrawn 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</p> <p>Disposition Instruction Cutoff Instruction Cutoff files annually. Maintain all files at Treasury. Transfer to Inactive Storage Transfer to the National Archives and Records Administration (NARA) when 20 years old. Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after annual cutoff</p> <p>Additional Information First year of records accumulation 2010 What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2031</p>

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	How frequently will your agency transfer these records to the National Archives?	Every 5 Years
1.2	Background and working files Disposition Authority Number Includes orderly liquidation guidance, heightened prudential standards guidance, financial market utilities guidance, nonbanks guidance and program guidance. Final Disposition Item Status Is this item media neutral? Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Disposition Instruction Cutoff Instruction Retention Period Additional Information GAO Approval	DAA-0056-2017-0002-0002 Temporary Withdrawn Yes No Cut off files annually. Maintain all files at Treasury. Retain until the policy or procedures is superseded, then destroy when no longer needed for administrative or reference purposes. Destroy immediately after when no longer needed for administrative or reference purposes. Not Required
2	Regulations & Guidance Includes orderly liquidation guidance, heightened prudential standards guidance, financial market utilities guidance, nonbanks guidance and program guidance.	
2.1	Regulations & Guidance Disposition Authority Number Final Disposition Item Status Is this item media neutral? Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	DAA-0056-2017-0002-0003 Permanent Withdrawn Yes No

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Disposition Instruction

Cutoff Instruction Cutoff annually. Maintain all files at Treasury

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after annual cutoff

Additional Information

First year of records accumulation 2010

What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2031

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

3

Reports

Includes transaction, program descriptions, and congressional reports. Official FSOC publications formally coordinated, prepared, and printed by the Government Printing Office, private contractors, or the agency itself including but not limited to annual reports to Congress; special project studies and reports that are conducted by FSOC or under contract to FSOC; journals, technical reviews, and catalogs prepared by FSOC; procedural or policy manuals, handbooks, and other agency guidance; public relations flyers, brochures and educational materials prepared to furnish information or to promote agency programs and operations to the public.

3.1

Official record set

Disposition Authority Number DAA-0056-2017-0002-0004

Final Disposition Permanent

Item Status Withdrawn

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 annually. Maintain all files at Treasury.

Transfer to Inactive Storage Transfer to the National Archives and Records Administration (NARA) when 20 years old.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after annual cutoff

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	Additional Information
	First year of records accumulation 2010
	What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2031
	How frequently will your agency transfer these records to the National Archives? Every 5 Years
3.2	All other copies
	Disposition Authority Number DAA-0056-2017-0002-0005
	Final Disposition Temporary
	Item Status Withdrawn
	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 annually. Maintain in office for 3 years and then retire to Washington National Records Center (WNRC).
	Retention Period Destroy 7 year(s) after annual cutoff
	Additional Information
	GAO Approval Not Required
4	Audits
	Includes records relating to planning, scheduling, and administration of FSOC's internal audit program. Files include annual audit plans, audit schedules, auditor rosters, auditor qualifications records, audit report logs, status reports, and related correspondence. Files of audits and evaluations of FSOC programs, operations, and procedures to include program and contract audits. The files contain audit and evaluation reports with supporting work papers, as well as related correspondence and memoranda. The files may also contain, when applicable, printed copies of electronic mail and word processing documents.
4.1	Audits/Evaluations
	Disposition Authority Number DAA-0056-2017-0002-0006

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Audits/Evaluations that meet one or more of the following criteria: the subject of the file (1) attracts significant attention in the media, either on the national or local level; (2) results in significant Congressional interest or action; or (3) is unique in scope and/or nonrecurring. Item 6a files will be selected by FSOC based on the above criteria.

Final Disposition Permanent

Item Status Withdrawn

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 annually the year in which the final report is issued. Maintain in office for 10 years and then retire to WNRC.

Transfer to Inactive Storage Transfer to NARA when 20 years old.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after annual cutoff

Additional Information

First year of records accumulation 2010

What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2031

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

4.2

All other copies

Disposition Authority Number DAA-0056-2017-0002-0007

Records created or acquired during the course of the audit/evaluation and development of the final report, including correspondence, memoranda, supporting work papers and the final report.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in No

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	electronic format(s) other than e-mail and word processing?	
	Disposition Instruction	
	Cutoff Instruction	Cut off annually the year in which the final report is issued. Maintain in office for 3 years and then retire to the WNRC
	Retention Period	Destroy 7 year(s) after annual cutoff
	Additional Information	
	GAO Approval	Not Required
4.3	Audit Planning and Tracking files	
	Disposition Authority Number	DAA-0056-2017-0002-0008
	Documents created in (1) identifying areas for audit, defining the scope of planned audits, and scheduling audits; and (2) tracking corrective action taken on audit report recommendations.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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 when no further corrective action is necessary.
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
5	Legal Files	
	Files may also contain, when applicable, printed copies of electronic mail and word processing documents.	
5.1	FSOC Litigation or Legal position files	
	Disposition Authority Number	DAA-0056-2017-0002-0009
	Includes complete documentation on litigation or the legal position of the FSOC. Includes correspondence, memorandums, studies, appraisals, decisions, periodic narrative reports, and similar materials which relate to a specific action, event,	

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person, place, project or other subject and provide complete documentation of FSOC activities from initiation to conclusion

Final Disposition Permanent

Item Status Withdrawn

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 annually. Maintain in office for 3 years and then retire to the Washington National Records Center (WNRC).

Transfer to Inactive Storage Transfer to the National Archives and Records Administration (NARA) when 20 years old.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after annual cutoff

Additional Information

First year of records accumulation 2010

What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2031

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

5.2

All other copies

Disposition Authority Number DAA-0056-2017-0002-0010

Final Disposition Temporary

Item Status Withdrawn

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

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	Cutoff Instruction	Cut off files annually. Maintain in office for 3 years and then retire to WNRC.
	Retention Period	Destroy 7 year(s) after annual cutoff
	Additional Information	
	GAO Approval	Not Required
6	Strategic Planning	
	Includes files relating to development, implementation, reporting, and analysis of the FSOCs strategic goals and objectives. Files contain correspondence, plans, reports, and other documentation on the FSOCs Strategic Plan, annual performance plans, quarterly performance data and other documentation on performance measures.	
6.1	Five-year Strategic Plan	
	Disposition Authority Number	DAA-0056-2017-0002-0011
	Final Disposition	Permanent
	Item Status	Withdrawn
	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	Retire to the Washington National Records Center when 5 years old.
	Transfer to Inactive Storage	Transfer to NARA when 20 years old.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives immediately after 20
	Additional Information	
	First year of records accumulation	2010
	What will be the date span of the initial transfer of records to the National Archives?	From 2011 To 2031
	How frequently will your agency transfer these records to the National Archives?	Every 5 Years
6.2	Strategic plans for specific organizations	

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	Disposition Authority Number DAA-0056-2017-0002-0012
	Strategic plans for specific organizations within the Department of Treasury –other than overall Treasury Strategic Plan
	Final Disposition Temporary
	Item Status Withdrawn
	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
	Retention Period Destroy immediately after 10 years
	Additional Information
	GAO Approval Not Required
7	Performance & Risk Management Includes enterprise risk management, performance management, reputation risk, and credit risk files.
7.1	Performance & Risk Management
	Disposition Authority Number DAA-0056-2017-0002-0013
	Includes enterprise risk management, performance management, reputation risk, and credit risk files.
	Final Disposition Permanent
	Item Status Withdrawn
	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 annually. Maintain all files at Treasury.
	Transfer to Inactive Storage Transfer to the National Archives and Records Administration (NARA) when 20 years old.
	Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after annual cutoff
	Additional Information

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0056-2017-0002

	First year of records accumulation	2010
	What will be the date span of the initial transfer of records to the National Archives?	From 2011 To 2031
	How frequently will your agency transfer these records to the National Archives?	Every 5 Years
8	Press Releases	
8.1	Official record set	
	Disposition Authority Number	DAA-0056-2017-0002-0014
	One copy of each news or press release by Treasury	
	Final Disposition	Permanent
	Item Status	Withdrawn
	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 annually. Retire to the Washington National Records Center 2 years after cutoff.
	Transfer to Inactive Storage	Transfer to the National Archives 20 years after cutoff.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after cutoff
	Additional Information	
	First year of records accumulation	2010
	What will be the date span of the initial transfer of records to the National Archives?	From 2011 To 2031
	How frequently will your agency transfer these records to the National Archives?	Every 5 Years
8.2	All other copies	
	Disposition Authority Number	DAA-0056-2017-0002-0015

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	Final Disposition	Temporary
	Item Status	Withdrawn
	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	
	Retention Period	Destroy when no longer needed
	Additional Information	
	GAO Approval	Not Required
9	Meeting minutes	
	Consists of transcripts documenting the discussions and decisions made by the FSOC during convened meetings. Folders containing staff documents, agendas, supporting documentation presented to the Council, meeting transcripts, and similar materials.	
9.1	Official minutes	
	Disposition Authority Number	DAA-0056-2017-0002-0016
	Official minutes include votes taken at Council meetings, date, time, and place of meetings, lists of Council staff present, subject(s) discussed the type of meeting conducted, and whether the meeting was open or closed to the public.	
	Final Disposition	Permanent
	Item Status	Withdrawn
	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	Cutoff files annually. Maintain all files at Treasury.
	Transfer to Inactive Storage	Transfer to the National Archives and Records Administration (NARA) when 20 years old.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after annual cutoff
	Additional Information	

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	<p>First year of records accumulation 2010</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2031</p> <p>How frequently will your agency transfer these records to the National Archives? Every 5 Years</p>
10	<p>Program, Subject, and Correspondence Files Files may also contain, when applicable, printed copies of electronic mail and word processing documents.</p>
10.1	<p>Incoming/Outgoing policy prescribing files</p> <p>Disposition Authority Number DAA-0056-2017-0002-0017</p> <p>Incoming and outgoing correspondence, reports, studies, memoranda, and other documents (INCLUDING correspondence with members of Congress) prescribing FSOC policies, programs and objectives, formulation and implementation of plans, responses and decisions on matters of major policy impact, or in providing operational and managerial guidance to all organizational segments of FSOC</p> <p>Final Disposition Permanent</p> <p>Item Status Withdrawn</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 annually. Maintain in office for 3 years and then retire to the WNRC.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 2010</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2031</p> <p>How frequently will your agency transfer these records to the National Archives? Every 5 Years</p>

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10.2

Incoming/Outgoing - Routine and Recurring files

Disposition Authority Number DAA-0056-2017-0002-0018

Incoming and outgoing correspondence, reports, studies, memoranda, and other documents of a routine or recurring nature.

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Item Status Withdrawn

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 Cutoff files annually. Maintain in office for 3 years and
then retire to WNRC.

Retention Period Destroy 7 year(s) after annual cutoff

Additional Information

GAO Approval Not Required

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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
03/28/2017	Certify	Robert Faber	Senior records and Information Specialist	Assistant Secretary for Management - Privacy Transparency and Records
07/21/2017	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/21/2017	Return Without Action	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services

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