

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0266-2014-0003**  
Schedule Status                **Approved**

Agency or Establishment        **Securities and Exchange Commission**  
Record Group / Scheduling Group **Records of the Securities and Exchange Commission**  
Records Schedule applies to    **Agency-wide**  
Schedule Subject                **SEC Organizational Records**  
Internal agency concurrences will be provided    **No**

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

### GAO Approval

### Outline of Records Schedule Items for DAA-0266-2014-0003

Sequence Number	
1	SEC Organizational Records Disposition Authority Number: DAA-0266-2014-0003-0001
2	Background Materials Disposition Authority Number: DAA-0266-2014-0003-0002

## Records Schedule Items

Sequence Number	
1	<p data-bbox="375 412 769 449"><b>SEC Organizational Records</b></p> <p data-bbox="375 466 1149 502">Disposition Authority Number      <b>DAA-0266-2014-0003-0001</b></p> <p data-bbox="375 519 1484 810">Formalized records that document the organizational structure of the Securities and Exchange Commission (SEC). These records include organization charts, documentation of administrative actions, (e.g., action memos), instructions and orders relating to the establishment, modification or discontinuance of organizational structures based on the operational needs of the SEC and related justifications, and approval and disapproval documents. Also included are internal records of the office that document the essential organization, staffing, and procedures of the division or office.</p> <p data-bbox="375 832 932 868">Final Disposition                      <b>Permanent</b></p> <p data-bbox="375 885 862 921">Item Status                              <b>Active</b></p> <p data-bbox="375 938 834 974">Is this item media neutral?        <b>Yes</b></p> <p data-bbox="375 991 834 1112">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p data-bbox="375 1129 834 1219">Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p data-bbox="375 1236 1105 1293">GRS or Superseded Authority Citation      <b>N1-266-12-001, Item 10</b></p> <p data-bbox="375 1332 680 1368"><b>Disposition Instruction</b></p> <p data-bbox="375 1385 1425 1464">Cutoff Instruction                      <b>Cut off at the end of the calendar year, in which substantive changes have been completed.</b></p> <p data-bbox="375 1481 1446 1559">Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff</b></p> <p data-bbox="375 1587 680 1623"><b>Additional Information</b></p> <p data-bbox="375 1640 850 1676">First year of records accumulation      <b>1934</b></p> <p data-bbox="375 1693 1049 1772">What will be the date span of the initial transfer of records to the National Archives?      <b>From 1994 To 2001</b></p> <p data-bbox="375 1800 976 1879">How frequently will your agency transfer these records to the National Archives?      <b>Every 5 Years</b></p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	500 MB	50 MB
Paper	3 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2

**Background Materials**

Disposition Authority Number      **DAA-0266-2014-0003-0002**

Routine correspondence, reference materials, and background materials produced and/or utilized in developing, creating and establishing the documented official organization structure of the Commission.

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?        **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                      **Yes**

GRS or Superseded Authority Citation      **N1-266-12-001, Item 10**

**Disposition Instruction**

Cutoff Instruction                      **Cut off at the end of the calendar year in which the final related document is superseded or obsolete.**

Retention Period                      **Destroy 5 year(s) after cutoff**

**Additional Information**

GAO Approval                          **Not Required**

## 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
03/04/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/09/2014	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/09/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/09/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/12/2014	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/17/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/17/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/13/2015	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/15/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/15/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

02/06/2015	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
03/10/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/10/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/26/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
07/07/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/07/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/13/2015	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program.	National Archives and Records Administration - National Records Management Program
10/16/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist