

Request for Records Disposition Authority

Records Schedule Number **DAA-0266-2014-0004**

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 Policies and Procedures**

Internal agency concurrences will be provided **No**

Background Information **Issuance of SEC policies and procedures is the SEC's primary means to establish, communicate, and institutionalize policies, requirements, responsibilities, and procedures for the SEC. These issuances serve several purposes, including: establish clear authorities, roles, and responsibilities; provide a structure for communicating direction; and provide historical context for SEC decisions and activities.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2014-0004

Sequence Number	
1	SEC administrative regulations (SECRs) Disposition Authority Number: DAA-0266-2014-0004-0001
2	Official supplemental procedures in support of SECRs Disposition Authority Number: DAA-0266-2014-0004-0002
3	Agency policy and procedures not associated with SECRs Disposition Authority Number: DAA-0266-2014-0004-0003
4	Policies specific to one Division/Office Disposition Authority Number: DAA-0266-2014-0004-0004
5	Background files Disposition Authority Number: DAA-0266-2014-0004-0005

Records Schedule Items

Sequence Number											
1	SEC administrative regulations (SECRs)										
	Disposition Authority Number	DAA-0266-2014-0004-0001									
	Internal regulations that establish policy and assign responsibility throughout the SEC and affect more than one Division/Office. Administrative Regulations are signed by the Director of the issuing Division/Office and are issued and maintained by the Office of the Chief Operating Officer (OCCO).										
	Final Disposition	Permanent									
	Item Status	Active									
	Is this item media neutral?	Yes									
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes									
	Do any of the records covered by this item exist as structured electronic data?	No									
	Disposition Instruction										
	Cutoff Instruction	Cut off at the end of the calendar year after superseded or obsolete.									
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 5 year(s) after cutoff									
	Additional Information										
	First year of records accumulation	1993									
	What will be the date span of the initial transfer of records to the National Archives?	From 1993 To 2011									
	How frequently will your agency transfer these records to the National Archives?	Every 5 Years									
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td>600 MB</td> <td>25 MB</td> </tr> <tr> <td>Paper</td> <td>10 Cubic feet</td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	600 MB	25 MB	Paper	10 Cubic feet	
	Estimated Current Volume	Annual Accumulation									
Electronic/Digital	600 MB	25 MB									
Paper	10 Cubic feet										

Microform		
Hardcopy or Analog Special Media		

2

Official supplemental procedures in support of SECRs

Disposition Authority Number DAA-0266-2014-0004-0002

If necessary, SECRs may be supplemented by operating procedures, implementing procedures, and/or handbooks. Supplemental materials developed in support of an SECR must be consistent with the regulation and should bear the same SECR number as the corresponding regulation. Supplemental procedures do not require approval through the SECR program, and are issued and maintained by the originating Division/Office.

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year after superseded or obsolete.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

3

Agency policy and procedures not associated with SECRs

Disposition Authority Number DAA-0266-2014-0004-0003

Policies and procedures issued via memorandums or posted to the SEC Intranet but not associated with SECRs. These are issued by a specific office but apply to all employees.

Final Disposition Temporary

4	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year after superseded or obsolete.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Policies specific to one Division/Office	
	Disposition Authority Number	DAA-0266-2014-0004-0004
	Policies created by Divisions and Offices that apply only to their specific organization, signed or approved at the appropriate management level by persons possessing such authority, and not covered elsewhere under an approved Division/Office-level records retention schedule.	
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year after superseded or obsolete.
	Retention Period	Destroy 3 year(s) after cutoff
Additional Information		
GAO Approval	Not Required	

5	Background files	
	Disposition Authority Number	DAA-0266-2014-0004-0005
	Drafts, approval information, and other supporting documentation that directly contributes to the final policy or procedure and is circulated to other staff members for comment.	
	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
	Disposition Instruction	
	Cutoff Instruction	Cut off when associated policy document is either transferred to NARA or destroyed/deleted.
	Retention Period	Destroy immediately 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
03/26/2014	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
12/11/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/11/2014	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
01/14/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/14/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/08/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
07/09/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/09/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

11/30/2015	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/07/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/07/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/09/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist