

## Request for Records Disposition Authority

Records Schedule Number      DAA-0266-2014-0008  
 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                E-mail Records of Non-Capstone Officials of the Securities and Exchange Commission (SEC)  
  
 Internal agency concurrences will be provided      No

Background Information            This schedule applies to all agency email records (non-Capstone officials) that are not covered by an SEC approved verification form for GRS 6.1, Email Managed under a Capstone Approach.

Non-Capstone email accounts may be culled to remove non-record, personal, or transitory messages and attachments in accordance with the applicable General Records Schedule. This includes the removal of spam, email blasts received such as agency-wide communications, and personal materials such as emails to family members not related to agency business.

Emails covered by this schedule requiring retention longer than four years must be incorporated into the appropriate SEC record keeping system and managed in accordance with the related NARA approved Records Control Schedule. This includes, but is not limited to, e-mail records appropriate for preservation in Investigations.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### GAO Approval

## Outline of Records Schedule Items for DAA-0266-2014-0008

Sequence Number
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1
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E-mail of Non-Capstone Officials
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Disposition Authority Number: DAA-0266-2014-0008-0001
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## Records Schedule Items

Sequence Number		
1	<b>E-mail of Non-Capstone Officials</b>	
	Disposition Authority Number	DAA-0266-2014-0008-0001
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	E-mail
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end of the calendar year.
	Retention Period	Destroy/delete 3 years but no later than 4 years after cut-off.
	<b>Additional Information</b>	
	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
06/04/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/13/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/14/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/14/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/09/2014	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - RDTP2 Archives II Processing Section
05/07/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/07/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/08/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/13/2016	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/13/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

01/03/2017	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
01/03/2017	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/03/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/09/2017	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/14/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist