

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: **DAA-0266-2015-0002**

## Request for Records Disposition Authority

Records Schedule Number	DAA-0266-2015-0002
Schedule Status	Returned Without Action
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	Offices of SEC Division Directors, Regional Directors, and Office Heads
Internal agency concurrences will be provided	No
Background Information	<p>Records documenting the official duties of the Offices of SEC Division/Regional Directors and Office Heads. This item includes following SEC Staff:</p> <ul style="list-style-type: none"><li>-SEC Division Directors</li><li>-Deputy Directors</li><li>-Chief Counsels</li><li>-Associate Directors</li><li>-Managing Executives</li><li>-Other senior-level staff members, regardless of title, which fall directly under the Directors on the organizational charts, who, by virtue of their work, office, or position, are likely to create or receive emails of permanent value.</li><li>-SEC Primary-level Office Heads</li><li>-SEC Regional Directors</li><li>-SEC Chief Administrative Law Judges</li></ul> <p>Records include, but not limited to: subject files; schedules; itineraries; record copies of briefing books; logs used to track activities or serve as finding aids; assignments or actions taken; official invitations; drafts of documents including correspondence, memoranda, reports, speeches, and testimony, that contain substantive notes or comments that are evidence of decisions, actions, or strategies; final copies of speeches delivered in an official capacity; final copies of testimony presented as an official SEC representative; meeting agendas and minutes for which the SEC is the lead or host (to include annotated copies, as well as substantive drafts); annotated copies of meeting agendas and minutes regardless of which agency is the lead or host; handwritten notes in which specific guidance, direction, or tasking is memorialized; and</p>

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any other records that document evidence of decisions, provide specific guidance, direction or tasking, and/or document meetings, appointments, events, telephone calls, trips, visits, and other activities of these officials that contain unique substantive information documenting or relating to official program or mission related activities.

NOTE: This schedule does not include temporary administrative records covered by the General Records Schedule or nonrecord materials.

Nonrecord material typically includes information-only copies of correspondence, directives, forms, and other documents on which no administrative action is recorded or taken; routing slips and transmittal sheets adding no information to that contained in the transmitted material; duplicate copies of documents maintained in the same file; extra copies of reports, briefings, or other publications; publications received from Government agencies, commercial firms, or private institutions that require no action and are not a part of a subject file on which action is taken. These nonrecords should be destroyed immediately when no longer needed for conducting business.

## 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	1

## GAO Approval

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## Outline of Records Schedule Items for DAA-0266-2015-0002

Sequence Number
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1
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Records documenting the official duties of the Offices of SEC Division/Regional Directors and Office Heads.
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Disposition Authority Number: DAA-0266-2015-0002-0001
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Records Schedule: **DAA-0266-2015-0002**

## Records Schedule Items

Sequence Number	
1	<p>Records documenting the official duties of the Offices of SEC Division/Regional Directors and Office Heads.</p> <p>Disposition Authority Number      DAA-0266-2015-0002-0001</p> <p>This item includes following SEC Staff: -SEC Division Directors -Deputy Directors -Chief Counsels -Associate Directors -Managing Executives -Other senior-level staff members, regardless of title, which fall directly under the Directors on the organizational charts, who, by virtue of their work, office, or position, are likely to create or receive emails of permanent value.-SEC Primary-level Office Heads - SEC Regional Directors -SEC Chief Administrative Law Judges</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?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p>GRS or Superseded Authority Citation      N1-266-98-001 / 2a N1-266-98-001 / 2b N1-266-09-004 / 5a DAA-0266-2013-0004 / 0004</p> <p>Disposition Instruction</p> <p>Cutoff Instruction                      Cut off at the end of the calendar year in which the Division/Regional Director's/Office Head's tenure ends.</p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives?                      Unknown Unknown at this time.</p> <p>How frequently will your agency transfer these records to the National Archives?                      Unknown Will depend on the end of the tenure of the official</p>

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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
01/08/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/03/2015	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
02/03/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/03/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/23/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
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
01/19/2018	Return Without Action	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services

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