

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2016-0005

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 Major Subdivision

Major Subdivision Office of Legislative and Intergovernmental Affairs (OLIA)

Schedule Subject Congressional and Intergovernmental Correspondence and
Testimony to Congress

Internal agency concurrences will
be provided No

Background Information The Office of Legislative and Intergovernmental Affairs (OLIA) is responsible for proactively anticipating the legislative policy goals of the Commission and working to facilitate those goals with Members of Congress and staff. The staff carefully monitors ongoing legislative activities and initiatives on Capitol Hill that affect the Commission and its mission. Additionally, OLIA acts as liaison for the Commission with other federal agencies and state governments. The staff is responsible for crafting legislative strategy, coordinating testimony of SEC officials, and responding to Congressional requests for documents, technical assistance, and other information. In addition OLIA staff monitor any hearings that pertain to the securities markets and the protection of investors even when an SEC witness is not present.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2016-0005

Sequence Number

- | | |
|---|--|
| 1 | Congressional and Intergovernmental Liaison records
Disposition Authority Number: DAA-0266-2016-0005-0001 |
| 2 | Congressional Routine Correspondence
Disposition Authority Number: DAA-0266-2016-0005-0002 |

Records Schedule Items

Sequence Number	
1	<p data-bbox="362 421 1096 453">Congressional and Intergovernmental Liaison records</p> <p data-bbox="362 474 1144 506">Disposition Authority Number DAA-0266-2016-0005-0001</p> <p data-bbox="362 527 1485 857">Congressional and Intergovernmental Liaison records that are not specifically covered in other approved schedules that document the Commission's communications and relationship with the U.S. House of Representatives and Senate and other governmental entities. This item includes drafts and comments concerning suggested amendments to the various Acts administered by the Commission, proposed legislation submitted by the House and Senate to the SEC for comment, and drafts of bills not yet reported to Congress submitted to the Commission for comment. This item also includes record copies of Congressional testimonies of SEC staff members, other than the SEC Chair.</p> <p data-bbox="362 878 917 910">Final Disposition Permanent</p> <p data-bbox="362 932 852 963">Item Status Active</p> <p data-bbox="362 985 820 1017">Is this item media neutral? Yes</p> <p data-bbox="362 1038 820 1155">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 data-bbox="362 1176 820 1272">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="362 1283 1063 1538">GRS or Superseded Authority Citation NC1-266-77-002 / 93 NC1-266-77-002 / 94 NC1-266-77-002 / 95 NC1-266-77-002 / 96 NC1-266-77-002 / 97 NC1-266-77-002 / 98 NC1-266-77-002 / 99</p> <p data-bbox="362 1581 673 1613">Disposition Instruction</p> <p data-bbox="362 1634 1372 1666">Cutoff Instruction Cut off at the end of the SEC Chair's tenure.</p> <p data-bbox="362 1687 1437 1751">Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p data-bbox="362 1793 665 1825">Additional Information</p> <p data-bbox="362 1847 836 1879">First year of records accumulation 1999</p>

What will be the date span of the initial transfer of records to the National Archives? **From 1999 To 2001**

How frequently will your agency transfer these records to the National Archives? **Unknown**
It will depend on when the Chair's tenure ends. The data will be transferred 15 years after that cutoff.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	8 GB	2 GB
Paper	100 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

Congressional Routine Correspondence

Disposition Authority Number **DAA-0266-2016-0005-0002**

Incoming and outgoing Congressional correspondence regarding Congressional constituent issues.

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 **NC1-266-77-002 / 92**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year.**

Retention Period **Destroy 1 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
01/28/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
09/12/2017	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - RDTP2 Archives II Processing Section
09/12/2017	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
09/12/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/11/2017	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - RDTP2 Archives II Processing Section
10/11/2017	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/11/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/17/2018	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
01/19/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

01/19/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/23/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist