

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2016-0013
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 Human Resources (OHR)
Schedule Subject Student Loan Repayment Program (SLRP) Records
Internal agency concurrences will be provided No

Background Information The Office of Human Resources (OHR) provides leadership for the strategic management of the Securities and Exchange Commission's (SEC's) human capital by administering programs, establishing policies, and ensuring compliance with federal regulations. OHR develops, implements, and evaluates the Commission's programs and policies for the following areas: Recruitment, staffing, retention, and separations; Position management and classification; Compensation and benefits counseling and processing; Leadership and employee development; Performance management and awards; Employee relations; Labor relations; Disability program; Work/life programs; Telework; Employee records processing and maintenance; Employee financial disclosure.

The Student Loan Repayment Program (SLRP) is a federal program that allows the Securities and Exchange Commission (SEC) to assist employees with repaying outstanding qualifying federal student loans. The federal law (Title 5, CFR 537) that governs the SLRP states that it was established for the purpose of recruiting or retaining highly qualified personnel.

Eligibility requirements of the SLRP program include:

- Employees serving on permanent appointments, in the competitive or excepted service.
- Employees serving on term appointments, with at least three (3) years of service remaining on their appointments enabling them to sign the required service agreement.
- Employees serving on temporary appointments, leading to conversion to a term or permanent appointment, (e.g., law clerks).
- Employees serving on excepted appointments that can lead to career, career-conditional or term appointments (including, but not limited to, Veterans Recruitment Appointment eligible and Pathways Programs participants [Presidential Management Fellows, Internship

and Recent Graduates]), an appointment under the fellowship and similar programs at 5 CFR § 213.3102(r).

- Employees who have not reached the lifetime limit for receiving repayment benefits.

Additionally, 5 C.F.R. § 537.103 states that agencies must establish a student loan repayment plan with “[d]ocumentation and recordkeeping requirements sufficient to allow reconstruction of each action to approve a student loan repayment benefit.”

Authority for Maintenance of the System: 5 USC 5379; 5 CFR Part 537.109.

SLRP Applicant Records. The SLRP workflow maintains the records for unsuccessful and successful applicant records. These records contain, but are not limited to the application(s), student loan documentation, comments, and any other documentation relative to the respective applicant. The successful and unsuccessful applicant records are closed after determinations are made at the end of each calendar year.

Item Count

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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2016-0013

Sequence Number	
1	Unsuccessful Applicants Disposition Authority Number: DAA-0266-2016-0013-0001
2	Successful Applicants Disposition Authority Number: DAA-0266-2016-0013-0002

Records Schedule Items

Sequence Number	
1	<p>Unsuccessful Applicants</p> <p>Disposition Authority Number DAA-0266-2016-0013-0001</p> <p>Records include any related materials within the SLRP of applicants who were not approved for repayment.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the fiscal year after disapproval determination has been made.</p> <p>Retention Period Destroy 5 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Successful Applicants</p> <p>Disposition Authority Number DAA-0266-2016-0013-0002</p> <p>Records include any related materials within the SLRP of applicants who were approved for repayment. These records include, but are not limited to supporting documents (e.g., service agreements, loan documentation), loan payments, repayments (debt collection) for failure to fulfill agreements, and any other related information to SLRP applicants receiving the benefit(s).</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in</p>

electronic format(s) other than e-mail and word processing?

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 fiscal year after date of separation of applicant.**

Retention Period **Destroy 10 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
09/16/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/22/2016	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/23/2016	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
11/28/2016	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
12/01/2016	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist