

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2018-0002
 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 Inspector General
 Schedule Subject Office of Inspector General Records
 Internal agency concurrences will be provided No

Background Information The mission of the Office of the Inspector General (OIG) is to promote the integrity, efficiency, and effectiveness of the critical programs and operations of the SEC. We accomplish this mission by conducting independent and objective audits, evaluations, investigations and other reviews of SEC programs, operations and personnel. Items DAA-0266-2018-0002-0010 and 0011 provide an office specific disposition authority for the report records created by the Office of Inspector General. These disposition authorities are to be used by the OIG in lieu of DAA-0266-2017-0003, items 0001 and 0002 of the agency-wide records schedule for Studies and Reports to Congress.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
14	6	8	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0002

Sequence Number	
1	Investigative Case Files
1 1	Investigative Case Files of Significant Historical Value Disposition Authority Number: DAA-0266-2018-0002-0001
1 2	Routine Investigative Case Files Disposition Authority Number: DAA-0266-2018-0002-0002
1 3	Files Not Resulting in Establishment of a Formal Case File Disposition Authority Number: DAA-0266-2018-0002-0003
2	Audit Evaluation and Study Records
2 1	Final Reports of Audits, Evaluations and Studies Disposition Authority Number: DAA-0266-2018-0002-0004
2 2	Audits, Evaluations, and Studies Supporting Records and Background Materials Disposition Authority Number: DAA-0266-2018-0002-0005
3	Office of Counsel to the Inspector General and Mission Support
3 1	Litigation Case Files
3 1 1	Significant Litigation Case Files Disposition Authority Number: DAA-0266-2018-0002-0006
3 1 2	Other Litigation Case Files Disposition Authority Number: DAA-0266-2018-0002-0007
3 2	Legal Opinions, Reviews, Advice and Guidance Disposition Authority Number: DAA-0266-2018-0002-0008
3 3	Employee Suggestion Program Disposition Authority Number: DAA-0266-2018-0002-0009
4	OIG Reports to Congress
4 1	Final Reports to Congress Disposition Authority Number: DAA-0266-2018-0002-0010
4 2	Final Reports to Congress Supporting Documentation Disposition Authority Number: DAA-0266-2018-0002-0011
4 3	Congressional Testimony
4 3 1	Final Copies Disposition Authority Number: DAA-0266-2018-0002-0012
4 3 2	Congressional Non-routine Correspondence Disposition Authority Number: DAA-0266-2018-0002-0013
4 3 3	Congressional Routine Correspondence Disposition Authority Number: DAA-0266-2018-0002-0014

Records Schedule Items

Sequence Number	
1	<p>Investigative Case Files Case files developed during investigations of known or alleged fraud, abuse, and misconduct or violations of laws or regulations. Cases relate to Commission personnel, programs, and operations administered or financed by the Commission, including contractors and others having a relationship with the Commission. Investigative files also include investigative peer review files, which document the conduct of peer reviews of investigative units in other Inspector General Offices by SEC's OIG, or of SEC's OIG investigation units by an external OIG.</p>
1 1	<p>Investigative Case Files of Significant Historical Value Disposition Authority Number DAA-0266-2018-0002-0001 Case files of significant historical value, such as those involving the Chair, Commissioners, or other senior agency officials as subjects, and that result in serious disciplinary action or substantive changes to agency policy, or draw Congressional interest or national media attention. Files consist of investigative reports and related documents.</p> <p>Final Disposition Permanent</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>GRS or Superseded Authority Citation N1-266-05-002 / 1(a)</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off closed cases at the end of the fiscal year.</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>First year of records accumulation 2000</p>

What will be the date span of the initial transfer of records to the National Archives? **From 2000 To 2007**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 GB	500 MB
Paper	60 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1 2

Routine Investigative Case Files

Disposition Authority Number **DAA-0266-2018-0002-0002**

Routine investigative case files that are not deemed to be of significant historical value under DAA-0266-2018-0002-0001

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 **N1-266-05-002 / 1(b)**

Disposition Instruction

Cutoff Instruction **Cut off closed cases at the end of the fiscal year.**

Retention Period **Destroy 10 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

1 3

Files Not Resulting in Establishment of a Formal Case File

Disposition Authority Number DAA-0266-2018-0002-0003

Files containing complaints or allegations of an investigative nature, that do not result in the establishment of an investigative case file. The files cover anonymous or vague allegations not warranting an investigation, and matters referred to other components of the Commission, or other agencies for handling.

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 N1-266-05-002 / 1(c)

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

2

Audit Evaluation and Study Records

2 1

Final Reports of Audits, Evaluations and Studies

Disposition Authority Number DAA-0266-2018-0002-0004

Final reports of audits, evaluations and studies performed by the OIG which identify and analyze program and organizational performance and policy issues, areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. Also included are peer reviews of the audit units in other Inspector General Offices by the SEC OIG, or of SEC's OIG audit units by an external OIG.

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?

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **N1-266-05-002 / 2(a)**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year in which file is closed**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

First year of records accumulation **1992**

What will be the date span of the initial transfer of records to the National Archives? **From 1992 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 5 GB	500 MB
Paper	20 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2 2

Audits, Evaluations, and Studies Supporting Records and Background Materials

Disposition Authority Number **DAA-0266-2018-0002-0005**

Records created or acquired during the course of OIG audits, evaluations, and studies, including notes and working papers maintained as source material for the final report of the related audit, evaluation, or study, and follow-up responses from audited Divisions and Offices

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	N1-266-05-002 / 2(b)
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which file is closed
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
3	Office of Counsel to the Inspector General and Mission Support	
3 1	Litigation Case Files	
3 1 1	Significant Litigation Case Files	
	Disposition Authority Number	DAA-0266-2018-0002-0006
	Correspondence, memorandums, briefs, motions, declarations, depositions, and other internal documentation and court filings related to OIG litigation Files designated as "significant" include, records that have an objective, significant, and long-term impact on the nature and/or scope of the OIG's formal responsibilities and/or mission	
	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?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off closed cases at the end of the fiscal year

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 2007

What will be the date span of the initial transfer of records to the National Archives? From 2007 To 2008

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	200 MB
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

3 1 2

Other Litigation Case Files

Disposition Authority Number DAA-0266-2018-0002-0007

Correspondence, memorandums, briefs, motions, declarations, depositions, and other internal documentation and court filings related to OIG litigation These records include records relating to administrative claims

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 each fiscal year

	<p>Retention Period Destroy 10 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Legal Opinions, Reviews, Advice and Guidance</p> <p>Disposition Authority Number DAA-0266-2018-0002-0008</p> <p>Includes a wide range of materials constituting legal advice, opinions, reviews and guidance related to the internal provision of legal services to the OIG</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 each fiscal year</p> <p>Retention Period Destroy 10 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
3 2	
3 3	<p>Employee Suggestion Program</p> <p>Disposition Authority Number DAA-0266-2018-0002-0009</p> <p>Files for the statutorily mandated Employee Suggestion Program Includes incoming suggestions and related internal processing documents</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>

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4 1

Disposition Instruction

Cutoff Instruction **Cut off at the end of each fiscal year**
Retention Period **Destroy 10 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

OIG Reports to Congress

Final Reports to Congress

Disposition Authority Number **DAA-0266-2018-0002-0010**

Record copies of the final version of OIG produced reports required by statute to be submitted to Congress, that are not investigative or audit, evaluations or studies reports

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? **Yes**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year after report is issued.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

First year of records accumulation **2007**

What will be the date span of the initial transfer of records to the National Archives? **From 2007 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
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Electronic/Digital	500 MB	100 MB
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

4 2

Final Reports to Congress Supporting Documentation

Disposition Authority Number DAA-0266-2018-0002-0011

Supporting documentation for the final reports to Congress, including correspondence, comments, justifications and other background notes related to the preparation of the final report

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 each fiscal year.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

4 3

Congressional Testimony

4 3 1

Final Copies

Disposition Authority Number DAA-0266-2018-0002-0012

Final copies of Congressional testimony of the SEC Inspector General or other OIG staff member

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? **Yes**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

First year of records accumulation **2007**

What will be the date span of the initial transfer of records to the National Archives? **From 2007 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	500 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

4 3 2

Congressional Non-routine Correspondence

Disposition Authority Number **DAA-0266-2018-0002-0013**

Official requests and final responses to those requests received from members of the U.S. House of Representatives and Senate

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? **Yes**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

First year of records accumulation **2007**

What will be the date span of the initial transfer of records to the National Archives? **From 2007 To 2008**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	500 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

4 3 3

Congressional Routine Correspondence

Disposition Authority Number **DAA-0266-2018-0002-0014**

Incoming and outgoing correspondence with the staff of members of the U.S. House of Representatives and Senate that is of a routine nature, such as briefings and requests for status updates

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 fiscal year**

Retention Period **Destroy 3 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
01/12/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/30/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/02/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/02/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/10/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/21/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/21/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/05/2019	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/14/2019	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/14/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

12/02/2019	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/04/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/04/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/09/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist