

## Request for Records Disposition Authority

Records Schedule Number           DAA-0266-2020-0001

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

Schedule Subject                  Office of Human Resources - Records of Senior Officials and Their Designees

  

Internal agency concurrences will be provided   No

Background Information           The Office of Human Resources (OHR) provides leadership for the strategic management of the SEC's human capital by administering programs, establishing policies, and ensuring compliance with federal regulations. It also serves as the agency's liaison to the Office of Personnel Management (OPM) and other federal government agencies, professional human resources organizations, educational institutions, and the private sector in matters relating to human capital management activities.

### 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2020-0001

Sequence Number

1

Records of the Office of Human Resources Senior Officials and Their Designees  
Disposition Authority Number: DAA-0266-2020-0001-0001

## Records Schedule Items

Sequence Number																	
1	<p data-bbox="345 380 1482 411"><b>Records of the Office of Human Resources Senior Officials and Their Designees</b></p> <p data-bbox="345 432 1149 464">Disposition Authority Number      DAA-0266-2020-0001-0001</p> <p data-bbox="345 485 1523 1094">This schedule applies to the following Senior Officials: Chief Human Capital Officer, Deputy Chief Human Capital Officer, the Directors, and their designees. Designees are defined as other appointed senior staff, regardless of title, that act on behalf of the Senior Officials. This schedule covers program records of Senior Officials documenting divisional policies and procedures including, but not limited to: -Subject files -Briefing books; -Studies and/or reports; -Congressional, Inter-agency and intra-agency correspondence and memoranda; -Final and annotated speeches and testimonies; -Meeting agendas and minutes for which the Division is the lead or host; -Calendars, schedules, appointments, itineraries, logs, and journals; -Records of program/mission-related trips, visits and other activities of officials that contain unique substantive information; -Annotated copies of meeting agendas and minutes regardless of which agency is the lead or host; -Any other records that document evidence of decisions, provide specific guidance, direction or tasking and -Notes, drafts and other records that contain substantive information that are evidence of decisions, actions or strategies related to official program-related activities.</p> <table data-bbox="345 1115 919 1514"> <tr> <td data-bbox="345 1115 730 1146">Final Disposition</td> <td data-bbox="760 1115 919 1146">Temporary</td> </tr> <tr> <td data-bbox="345 1167 730 1199">Item Status</td> <td data-bbox="760 1167 849 1199">Active</td> </tr> <tr> <td data-bbox="345 1220 730 1251">Is this item media neutral?</td> <td data-bbox="760 1220 818 1251">Yes</td> </tr> <tr> <td data-bbox="345 1272 730 1398">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td data-bbox="760 1272 818 1304">Yes</td> </tr> <tr> <td data-bbox="345 1419 730 1514">Do any of the records covered by this item exist as structured electronic data?</td> <td data-bbox="760 1419 818 1451">Yes</td> </tr> </table> <p data-bbox="345 1545 659 1577"><b>Disposition Instruction</b></p> <table data-bbox="345 1608 1490 1734"> <tr> <td data-bbox="345 1608 730 1640">Cutoff Instruction</td> <td data-bbox="760 1608 1490 1682">Cut off files at the end of the calendar year in which the Senior Official's/Designee's tenure ends.</td> </tr> <tr> <td data-bbox="345 1703 730 1734">Retention Period</td> <td data-bbox="760 1703 1187 1734">Destroy 10 year(s) after cutoff</td> </tr> </table> <p data-bbox="345 1776 654 1808"><b>Additional Information</b></p> <table data-bbox="345 1829 951 1860"> <tr> <td data-bbox="345 1829 730 1860">GAO Approval</td> <td data-bbox="760 1829 951 1860">Not Required</td> </tr> </table>	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	Cutoff Instruction	Cut off files at the end of the calendar year in which the Senior Official's/Designee's tenure ends.	Retention Period	Destroy 10 year(s) after cutoff	GAO Approval	Not Required
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Retention Period	Destroy 10 year(s) after cutoff																
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
08/18/2020	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/23/2020	Submit for Concurrency	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
01/22/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/22/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/27/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist