

SECURITIES AND EXCHANGE COMMISSION
Division of Economic and Risk Analysis (DERA)

1. Economic Analysis Recommendations

Documents shared with rulewriting Divisions containing best practice recommendations for writing economic analyses.

TEMPORARY. Cutoff at the end of each fiscal year. Destroy/delete 10 years after cutoff.

2. Memoranda on Rulemakings

Documents written in support of SEC and Self-Regulatory Organization rulemakings. These include memoranda on:

- Justification for the rule
- The rule's fundamental elements
- Cost/benefit analysis sections
- Analyses required by statute - major/minor rule, regulatory flexibility act
- Continued viability of the rulemaking

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 30 years after cutoff.

3. Memoranda on Market Issues and Trends

Memoranda written for other Divisions and Offices, or for the Commission, on market issues and trends pertaining to the SEC's regulatory authority. Examples of these reports include:

- New financial products
- Risky activities, products, and entities

(a) Memoranda written for internal, DERA use.

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 10 years after cutoff.

(b) Memoranda written for other Divisions and Offices.

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 30 years after cutoff.

4. Academic Literature Reviews

Analyses of academic literature, used to help inform staff in either rulemakings or studies or to identify matters that should be brought to the Commission's attention.

TEMPORARY. Cutoff at the end of each fiscal year. Destroy/delete 10 years after cutoff.

5. Study Reports

Documents relating to studies conducted by DERA, or assisted by DERA, in response to a Congressional Act or SEC directive. The documents include:

- Correspondence – incoming/outgoing letters, memoranda, and emails relating to the preparation of the report
- Working Files/Papers – supporting materials necessary to substantiate the final document or decision trail
- Final Report

ITEM 5 STUDY REPORTS
Superseded by Job / Item number:

~~DAA-0266-2016-0004-0001~~

~~DAA-0266-2016-0004-0007~~
Date (MM/DD/YYYY):

03/10/2016

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 10 years after cutoff.

6. Rule 31 Reports

Memoranda on assessing how SRO fees should be allocated to the SEC/

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 10 years after cutoff.

7. Risk Assessment Models

Documents pertaining to the composition and use of statistical models and metrics created by DERA and used by OCIE. OCIE will use these to identify regulated entities that are particularly worth examining and then to examine them.

TEMPORARY. Cutoff at the end of each fiscal year. Destroy/delete 30 years after cutoff.

8. Interactive Data Filing Program Documents

Documents pertaining to the purposes, implementation, and progress of interactive data (e.g., XBRL) filing programs.

- a) White papers on new interactive data projects

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 10 years after cutoff.

b) Taxonomy specifications for the taxonomies used in the interactive data filing program; includes guides on how to file, formal recommendations for subsequent taxonomy modifications, and correspondence with filers on these topics

(1) Taxonomies

PERMANENT. Cutoff at the end of the fiscal year in which issued. Transfer to the National Archives 10 years after cutoff.

(2) Recommendations and correspondence

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 10 years after cutoff.

c) Reports on how well the filing system software is functioning.

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 10 years after cutoff.

9. Memoranda on Cases

Memoranda responses to questions from Enforcement staff on their cases. Economic analysis may be needed in these cases for multiple reasons, including:

- Assessing the viability of a case
- Estimating appropriate penalties
- Disputing expert testimony

Memoranda on matters of finance, economics, and statistics written in support of OGC appellate group cases.

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 10 years after cutoff.

10. Organization Documents

Documents pertaining to DERA's organizational structure, operating procedures, and planning and goals. Examples include:

- Policies and procedures for clearing publications and implementing other internal controls, and
- Strategic management plans for one or more years.

TEMPORARY. Cutoff at the end of the fiscal year in which issued. Destroy/delete 5 years after cutoff.

Superseded by job / item number:

DAA-0266-2014-0003-0001 + -0002

Date (MM/DD/YYYY):

10/16/2015

11. Data Sets

Data managed and used by DERA staff to write the memoranda on rulemakings, memoranda on market trends and issues, and study reports described in this schedule. This item is limited to managed data, and finalized data sets and code used to create the tables and diagrams used in the memoranda.

TEMPORARY. Delete when no longer needed for business purposes.