

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-266-99-001**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 6/3/2025

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 1/a, 1/b, 1/c

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 2/a, superseded by n1-266-05-002, which was then superseded by DAA-0266-2018-0002-0004

Item 2/b, superseded by n1-266-05-002, which was then superseded by DAA-0266-2018-0002-0005

Item 3/a, 3/b, superseded by GRS 5.1 item 020 (DAA-GRS-2016-0016-0002)

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-266-99-1</i>	
1 FROM (Agency or establishment) <i>Sec</i> Securities & Exchange Commission		DATE RECEIVED <i>4-19-99</i>	
2 MAJOR SUBDIVISION Office of the Inspector General (OIG)		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION		DATE <i>7-27-99</i> ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>	
4 NAME OF PERSON WITH WHOM TO CONFER Suzanne L. McHugh			
5 TELEPHONE 202 942-7811			

<b>6 AGENCY CERTIFICATION</b> 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 on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE <i>4/12/99</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Suzanne L. McHugh</i>	TITLE <i>RECORDS OFFICER</i>

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached listing for items and proposed disposition.		

# SECURITIES AND EXCHANGE COMMISSION

## OFFICE OF INSPECTOR GENERAL

### 1 Investigative files

Case files developed during investigations of known or alleged fraud, abuse, and irregularities 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. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files.

(a) Case files of significant value i.e. those that involve as subjects the Chairman of the Commission, Division Directors, Office Heads, substantive changes in agency policy, or investigations which draw national media attention.

**PERMANENT** Cut off closed cases annually. Retain in house for 2 years. Retire to the FRC. Transfer to the National Archives of the United States 10 years after cutoff.

(b) All other investigative files not covered by item a.

**TEMPORARY** Cut off closed cases annually. Retain in house for 2 years. Retire to FRC. Destroy 10 years after cutoff.

(c) Files containing information or allegations of an investigative nature that do not result in the establishment of a formal case file. The files, which may be denominated "Preliminary Inquiry," cover anonymous or vague allegations not warranting a full investigation, matters referred to other components of the Commission or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations.

**TEMPORARY** Cut off at the end of each fiscal year. Keep in house 1 year. Retire to FRC. Destroy 3 year after cutoff.

### 2 Audit files

Audit files for audits and evaluations that assist management in identifying, analyzing and resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement.

(a) Final Reports

PERMANENT Cut off at the end of the fiscal year in which issued Keep in house 1 year Retire to the FRC Transfer to the National Archives of the United States when the most recent report is 10 years old

(b) Records created or acquired during the course of the audit and the development of the final report, including notes and work files

TEMPORARY Cutoff at the end of fiscal year Keep in house 1 year Retire to the FRC Destroy 5 years after the end of the fiscal year in which the final report is issued

3 Electronic mail and word processing records

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by items 1 and 2 Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination

(a) Copies of records covered by items 1 and 2 that have no further administrative value after the first recordkeeping copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy

TEMPORARY Destroy/delete within 180 days after the recordkeeping copy has been produced

(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy

TEMPORARY Destroy/delete when dissemination, revision, or updating is completed