

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0266-2014-0002**

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      **Agency-wide**

Schedule Subject      **Strategic Planning**

Internal agency concurrences will be provided      **No**

Background Information      **SEC strategic plans document the mission, goals, and functions of SEC and its Divisions, and Offices. They describe the SEC's strategies and direction.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>3</b>	<b>1</b>	<b>2</b>	<b>0</b>

GAO Approval

## Outline of Records Schedule Items for DAA-0266-2014-0002

Sequence Number	
1	Commission-level Strategic Plans Disposition Authority Number: DAA-0266-2014-0002-0001
2	SEC Division and Office-level Strategic Plans Disposition Authority Number: DAA-0266-2014-0002-0002
3	Working Files and Related Reports Disposition Authority Number: DAA-0266-2014-0002-0003

## Records Schedule Items

Sequence Number										
1	<p><b>Commission-level Strategic Plans</b></p> <p>Disposition Authority Number      <b>DAA-0266-2014-0002-0001</b></p> <p><b>Final SEC-wide strategic plans documenting the organization's mission, vision, values, strategic goals and objectives, operating environment, and resources. Prepared in accordance with the Government Performance Results Act of 2010, as amended, and internal SEC policies.</b></p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?           <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at the end of the calendar year in which the strategic plan is superseded or obsolete.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 5 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>2000</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 2000 To 2003</b></p> <p>How frequently will your agency transfer these records to the National Archives?      <b>Every 5 Years</b></p> <table border="1"><thead><tr><th></th><th>Estimated Current Volume</th><th>Annual Accumulation</th></tr></thead><tbody><tr><td>Electronic/Digital</td><td>30 MB</td><td>5 MB</td></tr><tr><td>Paper</td><td>1 Cubic feet</td><td></td></tr></tbody></table>		Estimated Current Volume	Annual Accumulation	Electronic/Digital	30 MB	5 MB	Paper	1 Cubic feet	
	Estimated Current Volume	Annual Accumulation								
Electronic/Digital	30 MB	5 MB								
Paper	1 Cubic feet									

Microform		
Hardcopy or Analog Special Media		

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### SEC Division and Office-level Strategic Plans

Disposition Authority Number      **DAA-0266-2014-0002-0002**

Final Record of SEC Division and Office-level strategic plans maintained at the Division/Office-level documenting the organization's mission and function, including: goals, strategies, direction, resources, accomplishments and related reports.

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 calendar year in which the strategic plan is issued.

Retention Period      Destroy 5 year(s) after cutoff

### Additional Information

GAO Approval      Not Required

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### Working Files and Related Reports

Disposition Authority Number      **DAA-0266-2014-0002-0003**

Formulation and approval documentation relating to the creation, formulation, updating, and approval of all SEC strategic plans.

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 calendar year in which the  
strategic plan is published.**

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
03/04/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/09/2014	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/09/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/09/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/12/2014	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/17/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/17/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/13/2015	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/14/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/14/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

05/18/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/18/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/18/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/13/2015	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/16/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist