

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0266-2014-0011**  
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 the Chair**  
Schedule Subject                 **Records of the SEC Chair and Her/His Staff**  
Internal agency concurrences will be provided      **No**

### Background Information

Records of the SEC Chair and her/his staffs to include appointment books, schedules, briefing books and binders, logs, subject files, official invitations, speeches, testimony, chronological and correspondence files and other records documenting meetings, appointments, events, telephone calls, trips, visits and others activities of these officials that document unique substantive information relating to official activities.

NOTE: This schedule does not include temporary administrative records covered by the General Records Schedule (GRS) and non-record materials.

(Non-record material typically includes information-only copies of correspondence, directives, forms and other documents on which no administrative action is recorded or taken, routing slips and transmittal sheets adding no information to that contained in the transmitted material, duplicate copies of documents maintained in the same file, extra copies of reports, briefings, or other publications, publications received from Government agencies, commercial firms or private institutions that require no action and are not a part of a subject file on which action is taken. These non-records should be destroyed/deleted immediately when no longer needed for conducting business.

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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |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

### GAO Approval

## Outline of Records Schedule Items for DAA-0266-2014-0011

| Sequence Number |  |
|-----------------|--|
| 1               | SEC Chair<br>Disposition Authority Number: DAA-0266-2014-0011-0001                       |
| 2               | SEC Chair's Chronological Files<br>Disposition Authority Number: DAA-0266-2014-0011-0002 |
| 3               | SEC Chair's Staff<br>Disposition Authority Number: DAA-0266-2014-0011-0003               |

## Records Schedule Items

| Sequence Number |  |
|-----------------|--|
| 1               | <p data-bbox="378 417 526 446"><b>SEC Chair</b></p> <p data-bbox="378 470 1149 500">Disposition Authority Number      <b>DAA-0266-2014-0011-0001</b></p> <p data-bbox="378 523 1502 1072">Records include: subject files; schedules; itineraries; record copies of briefing books; logs used to track activities or serve as finding aids; assignments or actions taken; official invitations; drafts of documents (including correspondence, memoranda, emails, reports, speeches and testimony) that contain substantive notes or comments that are evidence of decisions, actions, or strategies; final copies of speeches delivered in an official capacity; final copies of testimony presented as an official SEC representative; travel records of the Chair; meeting agendas and minutes where the SEC is the lead or host (to include annotated copies as well as substantive drafts); annotated copies of meeting agendas and minutes regardless of which agency is the lead or host; handwritten notes where specific guidance, direction, or tasking is memorialized; and any other records which document evidence of decisions, provide specific guidance, direction or tasking and/or document meetings, appointments, events, telephone calls, trips, visits and other activities of these officials that contain unique substantive information that document or relate to official program or mission related activities.</p> <p data-bbox="378 1095 932 1125">Final Disposition                      <b>Permanent</b></p> <p data-bbox="378 1149 862 1178">Item Status                              <b>Active</b></p> <p data-bbox="378 1202 834 1232">Is this item media neutral?          <b>Yes</b></p> <p data-bbox="378 1255 834 1370">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 data-bbox="378 1393 834 1508">Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p data-bbox="378 1532 1052 1561">GRS or Superseded Authority Citation      <b>N1-266-90-1, Item 1</b></p> <p data-bbox="378 1596 682 1625"><b>Disposition Instruction</b></p> <p data-bbox="378 1649 1305 1678">Cutoff Instruction                      <b>Cut off at the end of the Chair's tenure.</b></p> <p data-bbox="378 1702 1443 1774">Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff</b></p> <p data-bbox="378 1808 678 1838"><b>Additional Information</b></p> <p data-bbox="378 1862 850 1891">First year of records accumulation      <b>1993</b></p> |

What will be the date span of the initial transfer of records to the National Archives? **From 1993 To 2000**

How frequently will your agency transfer these records to the National Archives? **Unknown  
Contingent upon end of Chair's tenure**

|                                  | Estimated Current Volume | Annual Accumulation |
|----------------------------------|--------------------------|---------------------|
| Electronic/Digital               | 40 MB                    | 10 MB               |
| Paper                            | 600 Cubic feet           | 15 Cubic feet       |
| Microform                        |                          |                     |
| Hardcopy or Analog Special Media |                          |                     |

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#### **SEC Chair's Chronological Files**

Disposition Authority Number **DAA-0266-2014-0011-0002**

Incoming and outgoing correspondence and internal communications relating to specific projects or situations, and letters signed by SEC Officials answering letters addressed to the Chair, and letters signed by the Chair.

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 **N1-266-90-1, Items 2 and 3**

#### **Disposition Instruction**

Cutoff Instruction **Cut off at the end of the Chair's tenure.**

Retention Period **Destroy 3 year(s) after cutoff**

#### **Additional Information**

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GAO Approval Not Required

### SEC Chair's Staff

Disposition Authority Number DAA-0266-2014-0011-0003

-Work product generated specifically to be provided to the Chair to support her/his activities and/or decision making -Materials that explain how the SEC formulated and executed significant program policies, decisions, actions or responsibilities - Memoranda or notes on behalf of the Chair directing action to Division Directors, Office heads, or other SEC staff -Other documentation that contain substantive annotations or comments circulated to other staff for review/comment that are evidence of decisions, actions, or strategies (Work product created solely in support of the generation of the above described records which is not circulated to other staff members is not covered by this schedule item.)

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 Chair's tenure.

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

### Additional Information

First year of records accumulation 2012

What will be the date span of the initial transfer of records to the National Archives? Unknown  
Contingent upon end of current Chair's tenure

How frequently will your agency transfer these records to the National Archives? Unknown  
Contingent upon end of Chairs' tenures

|                    | Estimated Current Volume | Annual Accumulation |
|--------------------|--------------------------|---------------------|
| Electronic/Digital | 200 MB                   | 50 MB               |
| Paper              |                          | 20 Cubic feet       |

|  |                                  |  |  |
|--|----------------------------------|--|--|
|  | Microform                        |  |  |
|  | Hardcopy or Analog Special Media |  |  |

## 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   |
|------------|--------------------------|----------------|---------------------|--|
| 09/16/2014 | Certify                  | Curt Francisco | Records Officer     | Office of Support -<br>Office of Records<br>Management Services                          |
| 11/12/2014 | Return for Revision      | Lauren Crisler | Appraiser           | National Archives and<br>Records Administration<br>- Records Management<br>Services      |
| 11/14/2014 | Submit For Certification | Curt Francisco | Records Officer     | Office of Support -<br>Office of Records<br>Management Services                          |
| 11/14/2014 | Certify                  | Curt Francisco | Records Officer     | Office of Support -<br>Office of Records<br>Management Services                          |
| 11/18/2014 | Return for Revision      | Lauren Crisler | Appraiser           | National Archives and<br>Records Administration<br>- Records Management<br>Services      |
| 11/18/2014 | Submit For Certification | Curt Francisco | Records Officer     | Office of Support -<br>Office of Records<br>Management Services                          |
| 11/18/2014 | Certify                  | Curt Francisco | Records Officer     | Office of Support -<br>Office of Records<br>Management Services                          |
| 12/21/2015 | Return for Revision      | Lloyd Beers    | Appraisal Archivist | National Archives and<br>Records Administration<br>- ACNR Records<br>Management Services |
| 12/21/2015 | Submit For Certification | Curt Francisco | Records Officer     | Office of Support -<br>Office of Records<br>Management Services                          |
| 12/21/2015 | Certify                  | Curt Francisco | Records Officer     | Office of Support -<br>Office of Records<br>Management Services                          |

|            |                        |                  |   |  |
|------------|------------------------|------------------|---|--|
| 12/30/2015 | Submit for Concurrency | Lloyd Beers      | Appraisal Archivist                           | National Archives and Records Administration - ACNR Records Management Services    |
| 01/04/2016 | Concur                 | Margaret Hawkins | Director of Records Management Services       | National Records Management Program - ACNR Records Management Services             |
| 01/06/2016 | Concur                 | Laurence Brewer  | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 01/08/2016 | Approve                | David Ferriero   | Archivist of the United States                | Office of the Archivist - Office of the Archivist                                  |