

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2016-0011
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 Minority and Women Inclusion (OMWI)
Schedule Subject Office of Minority and Women Inclusion (OMWI) Records
Internal agency concurrences will be provided No

Background Information The Office of Minority and Women Inclusion (OMWI) was established within the U.S. Securities and Exchange Commission (SEC) pursuant to Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (the Dodd-Frank Act), and assigned responsibility for all matters relating to diversity in the agency's management, employment, and business activities. This schedule pertains to the records created or received by OMWI as it effectuates the provisions of Section 342 of the Dodd-Frank Act, which require the OMWI Director to develop standards for (a) equal employment opportunity and diversity in the agency's workforce; (b) increased participation of minority-owned and women-owned businesses in the SEC's programs and contracts; (c) assessing the diversity policies and practices of entities regulated by the SEC; and (d) making determinations concerning the good faith efforts of SEC contractors to ensure the inclusion of minorities and women in their workforces.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	0	7	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2016-0011

Sequence Number	
1	OMWI Program Files Disposition Authority Number: DAA-0266-2016-0011-0001
2	Supplier Diversity Records Disposition Authority Number: DAA-0266-2016-0011-0002
3	Matters for Commission Action Disposition Authority Number: DAA-0266-2016-0011-0003
4	Internal Briefings and Speeches Disposition Authority Number: DAA-0266-2016-0011-0004
5	Contractor Workforce Inclusion Files Disposition Authority Number: DAA-0266-2016-0011-0005
6	Diversity Policies and Practices of Regulated Entities Disposition Authority Number: DAA-0266-2016-0011-0006
7	Employee Resource Groups and Special Observance Program Files Disposition Authority Number: DAA-0266-2016-0011-0007

Records Schedule Items

Sequence Number	
1	<p>OMWI Program Files</p> <p>Disposition Authority Number DAA-0266-2016-0011-0001</p> <p>Records related to actions taken to promote diversity in the SEC's management, employment, and contracting activities, including outreach, recruitment, technical assistance, training, and employment advertising. Records in these files include memoranda, plans, statistical and narrative reports, correspondence, and other implementation documents.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year</p> <p>Retention Period Destroy 10 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Supplier Diversity Records</p> <p>Disposition Authority Number DAA-0266-2016-0011-0002</p> <p>Supplier diversity program activity records and other pertinent business documents.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p>

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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 calendar year

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

Matters for Commission Action

Disposition Authority Number DAA-0266-2016-0011-0003

Actions taken to implement Section 342 of the Dodd-Frank Act subject to review and approval by the Commission. Records in these files include notices for publication in the Federal Register, copies of background materials, preliminary and final drafts, action memorandum, and documentation relating to the Commission's consideration.

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 the calendar year

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Internal Briefings and Speeches

Disposition Authority Number DAA-0266-2016-0011-0004

Records related to internal briefings, speeches, and related materials that are disseminated by OMWI staff other than the OMWI Director to audiences within the SEC (e.g., SEC Chair, Commissioners, Division and Office Directors, and, SEC employees).

5	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 the calendar year
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Contractor Workforce Inclusion Files	
	Disposition Authority Number	DAA-0266-2016-0011-0005
	Records pertaining to determinations of contractor compliance with the requirement under the SEC Contract Standard for Contractor Workforce Inclusion to make good faith efforts to include minorities and women in the contractor's workforce. Materials in this file include documentation submitted by agency contractors to demonstrate their good faith efforts, and if applicable, to demonstrate the good faith efforts of their subcontractors; correspondence; and documentation related to OMWI's evaluation of the submissions, and if applicable, the recommendation for appropriate action by the agency administrator.	
	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 the calendar year
	Retention Period	Destroy 10 year(s) after cutoff

6	Additional Information	
	GAO Approval	Not Required
	Diversity Policies and Practices of Regulated Entities	
	Disposition Authority Number	DAA-0266-2016-0011-0006
	Materials pertaining to the assessments conducted by SEC regulated entities using the joint standards for assessing diversity policies and practices established by the SEC and other federal financial regulatory agencies.	
	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 the calendar year
	Retention Period	Destroy 10 year(s) after cutoff
7	Additional Information	
	GAO Approval	Not Required
	Employee Resource Groups and Special Observance Program Files	
	Disposition Authority Number	DAA-0266-2016-0011-0007
	Records pertaining to the operation of Employee Resource Groups that assist the SEC in ensuring equal employment opportunity and achieving the agency's workforce diversity and inclusion objectives. Materials in these files include copies of programs, announcements, correspondence, and other documentation related to SEC-sponsored programs and activities conducted for Special Observances.	
	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 the calendar year
	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
04/27/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/17/2016	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/18/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/21/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/22/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist