Request for Records Disposition Authority

Records Schedule Number

DAA-0266-2016-0013

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 Subdivsion

Major Subdivision

Office of Human Resources (OHR)

Schedule Subject

Student Loan Repayment Program (SLRP) Records

Internal agency concurrences will

be provided

No

Background Information

The Office of Human Resources (OHR) provides leadership for the strategic management of the Securities and Exchange Commission's (SEC's) human capital by administering programs, establishing policies, and ensuring compliance with federal regulations.

OHR develops, implements, and evaluates the Commission's programs and policies for the following areas: Recruitment, staffing, retention, and separations; Position management and classification; Compensation and benefits counseling and processing; Leadership and employee development; Performance management and awards; Employee relations; Labor relations; Disability program; Work/life programs; Telework; Employee records processing and maintenance; Employee financial disclosure.

The Student Loan Repayment Program (SLRP) is a federal program that allows the Securities and Exchange Commission (SEC) to assist employees with repaying outstanding qualifying federal student loans. The federal law (Title 5, CFR 537) that governs the SLRP states that it was established for the purpose of recruiting or retaining highly qualified personnel.

Eligibility requirements of the SLRP program include:

- Employees serving on permanent appointments, in the competitive or excepted service.
- Employees serving on term appointments, with at least three (3) years of service remaining on their appointments enabling them to sign the required service agreement.
- Employees serving on temporary appointments, leading to conversion to a term or permanent appointment, (e.g., law clerks).
- Employees serving on excepted appointments that can lead to career, career-conditional or term appointments (including, but not limited to, Veterans Recruitment Appointment eligible and Pathways Programs participants [Presidential Management Fellows, Internship

and Recent Graduates]), an appointment under the fellowship and similar programs at 5 CFR § 213.3102(r).

• Employees who have not reached the lifetime limit for receiving repayment benefits.

Additionally, 5 C.F.R. § 537.103 states that agencies must establish a student loan repayment plan with "[d]ocumentation and recordkeeping requirements sufficient to allow reconstruction of each action to approve a student loan repayment benefit."

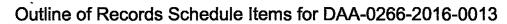
Authority for Maintenance of the System: 5 USC 5379; 5 CFR Part 537.109.

SLRP Applicant Records. The SLRP workflow maintains the records for unsuccessful and successful applicant records. These records contain, but are not limited to the application(s), student loan documentation, comments, and any other documentation relative to the respective applicant. The successful and unsuccessful applicant records are closed after determinations are made at the end of each calendar year.

Item Count

| Number of Total Disposition Items | | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---|--|--|
| 2 | 0 | 2 | 0 |

GAO Approval



| Sequence Number | |
|-----------------|---|
| 1 | Unsuccessful Applicants |
| | Disposition Authority Number: DAA-0266-2016-0013-0001 |
| 2 | Successful Applicants |
| | Disposition Authority Number: DAA-0266-2016-0013-0002 |

| Records Schedule Items | | | | | |
|------------------------|---|--|--|--|--|
| Sequence Number | | | | | |
| | | | | | |
| 1 | Unsuccessful Applicants | | | | |
| | Disposition Authority Number | DAA-0266-2016-0013-0001 | | | |
| | Records include any related materials within the SLRP of applicants who were not approved for repayment. | | | | |
| | 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 fiscal year after disapproval determination has been made. | | | |
| | Retention Period | Destroy 5 year(s) after cutoff | | | |
| | Additional Information | • | | | |
| | GAO Approval | Not Required | | | |
| 2 | Successful Applicants | | | | |
| | Disposition Authority Number | DAA-0266-2016-0013-0002 | | | |
| | Records include any related materials within the SLRP of applicants who were approved for repayment. These records include, but are not limited to supporting documents (e.g., service agreements, loan documentation), loan payments, repayments (debt collection) for failure to fulfill agreements, and any other related information to SLRP applicants receiving the benefit(s). | | | | |
| | Final Disposition | Temporary | | | |
| | Item Status | Active | | | |
| | Is this item media neutral? | Yes | | | |
| | Do any of the records covered by this item currently exist in | Yes | | | |

electronic format(s) other than email and word processing?

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 fiscal year after date of

separation of applicant.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required



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 | Ву | Title | Organization |
|------------|-------------------------|---------------------|--|---|
| 09/16/2016 | Certify | Curt Francisco | Records Officer | Office of Support - Office of Records Management Services |
| 11/22/2016 | Submit for Concur rence | Lloyd Beers | Appraisal Archivist | National Archives and Records Administration - ACNR Records Management Services |
| 11/23/2016 | Concur | Margaret Hawkins | Director of Records Management Servic es | National Records Management Program - ACNR Records Management Serivces |
| 11/28/2016 | Concur , | Laurence Brewer | Director, National R ecords Management Program | National Archives and Records Administration - National Records Management Program |
| 12/01/2016 | Approve | David Ferriero | Archivist of the Unite d States | Office of the Archivist - Office of the Archivist |