

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2016-0014
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 Human Resources
Schedule Subject Intergovernmental Personnel Act (IPA) Assignment Records
Internal agency concurrences will be provided No

Background Information

The Office of Human Resources (OHR) provides leadership for the strategic management of the 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 separation; 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. OHR also represents the Commission as the liaison to the Office of Personnel Management (OPM), professional human resources organizations, other Federal Government agencies, educational institutions, and the private sector in matters relating to human capital management activities.

The Intergovernmental Personnel Act Mobility Program provides for the temporary assignment of personnel between the Federal Government and state and local governments, colleges and universities, Indian tribal governments, federally funded research and development centers, and other eligible organizations. The legal authority for assignments under the Intergovernmental Personnel Act is 5 USC sections 3371 through 3375. The regulations can be found in Code of Federal Regulations (CFR), part 5, chapter 334.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2016-0014

Sequence Number	
1	Intergovernmental Personnel Act (IPA) Assignment Records Disposition Authority Number: DAA-0266-2016-0014-0001

Records Schedule Items

Sequence Number	
1	<p>Intergovernmental Personnel Act (IPA) Assignment Records</p> <p>Disposition Authority Number DAA-0266-2016-0014-0001</p> <p>IPA Assignment Files consist of records documenting the temporary assignment of personnel between the federal government and state or local governments, institutions of higher education, Indian tribal governments and other eligible organizations.</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 after termination of assignment.</p> <p>Retention Period Destroy 7 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

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
09/16/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/22/2016	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/23/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/28/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/01/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist