

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2017-0011
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 Chief Operating Officer
Schedule Subject Audit Liaison and Follow-up Files for Reports on Mission Units
Internal agency concurrences will be provided No

Background Information The Office of the Chief Operating Officer (OCCO) and its subordinate offices develop and execute agency management policies while facilitating the SEC's efficient and effective utilization of resources to support its mission. OCCO coordinates the agency's compliance with federal requirements enacted by the Congress and the executive branch, and enforced by the Office of Management and Budget, Government Accountability Office, and Office of Personnel Management.

Records used for tracking Office of Inspector General audits, inspections and evaluations and Government Accountability Office (GAO) engagements. Audits covered by this schedule relate to the reviews of mission functions, and not reviews of administrative functions. Reviews of administrative functions will be covered by GRS 5.7, item 020, and records held by offices contributing to administrative internal control review, response, and mitigation, but not responsible for overseeing it, will be covered by GRS 5.1, item 010. This schedule covers records maintained by the SEC's GAO Liaison and Audit Follow-up and Resolution Program, in the OCCO.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2017-0011

Sequence Number	
1	Audit Follow-up Records Disposition Authority Number: DAA-0266-2017-0011-0001
2	Audit Coordination Records Disposition Authority Number: DAA-0266-2017-0011-0002

Records Schedule Items

Sequence Number								
1	Audit Follow-up Records Disposition Authority Number DAA-0266-2017-0011-0001 Records related to audit findings and follow-up on recommendations, including (but not limited to) reports received from the Government Accountability Office (GAO) or the SEC Office of Inspector General (OIG); internal updates on action taken to implement the recommendations; correspondence between Congress, GAO, or the OIG regarding the final reports (e.g., agency responses to final reports, statements of action, management decision letters, and agency final reporting on corrective action taken to address recommendations, including supporting documentation). 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 fiscal year after report is closed. Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff Additional Information First year of records accumulation 1996 What will be the date span of the initial transfer of records to the National Archives? From 1996 To 2004 How frequently will your agency transfer these records to the National Archives? Every 1 Years							
	<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>350 MB</td> <td>100 MB</td> </tr> </tbody> </table>		Estimated Current Volume	Annual Accumulation	Electronic/Digital	350 MB	100 MB	
	Estimated Current Volume	Annual Accumulation						
Electronic/Digital	350 MB	100 MB						

Paper	10 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2

Audit Coordination Records

Disposition Authority Number DAA-0266-2017-0011-0002

Records related to coordination of audits, including (but not limited to) documents related to notification of work, entrance and exit conferences, closeout meetings, and agency responses to draft 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 the fiscal year after report is closed.

Retention Period Destroy 7 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
05/25/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/24/2017	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
10/18/2017	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/18/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/20/2017	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
01/12/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/12/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/19/2018	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
06/27/2018	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1

06/27/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/27/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
09/27/2018	Submit for Concurrence	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
10/01/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
10/02/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/03/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist