

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2018-0001
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 Agency-wide
Schedule Subject Delegations of Authority
Internal agency concurrences will be provided No

Background Information

The U.S. Securities and Exchange Commission (SEC) has the authority to delegate specific functions of its own authority to any SEC Division or Offices. This authority gives the Delegated Division/Office decision-making authority on the functions and issues so delegated. The Commission retains the right to review any decisions made under delegated authority. The Commission may not delegate some functions, such as rulemaking, as defined in subchapter II of chapter 5 of Title 5, United States Code, with reference to general rules as distinguished from rules of particular applicability, or of the making of any rule pursuant to section 19(c) of the Securities Exchange Act of 1934. The delegation rules provide that the Chair may designate persons to perform functions under the general supervision of the persons to whom the functions are delegated. Each division or office forwards to the Office of the Chair a designation for each person to be designated by the Chair, indicating the name of the person and the identification of the relevant article, paragraph(s), subparagraph(s) etc., of the delegation rules.

Item Count

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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0001

| Sequence Number | |
|-----------------|---|
| 1 | Record of Delegations of Signatory Authority to Agency Personnel for Preliminary Approval of Delegated Actions Disposition Authority Number: DAA-0266-2018-0001-0001 |
| 2 | Record of Delegations of Authority to Agency Personnel for Administrative Functions Disposition Authority Number: DAA-0266-2018-0001-0002 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>Record of Delegations of Signatory Authority to Agency Personnel for Preliminary Approval of Delegated Actions</p> <p>Disposition Authority Number DAA-0266-2018-0001-0001</p> <p>These delegation of authority actions, as defined in 17 CFR 200.30, document the development, clearance, and processing of certain Commission orders and notices for publication in the Federal Register, and other mission-related (non-administrative) actions delegated to agency personnel. They are unrelated to the Continuity of Operations Program (COOP).</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 in which delegation is revoked.</p> <p>Retention Period Destroy 3 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 2 | <p>Record of Delegations of Authority to Agency Personnel for Administrative Functions</p> <p>Disposition Authority Number DAA-0266-2018-0001-0002</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</p> |

electronic format(s) other than e-mail 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 calendar year in which delegation is revoked.

Retention Period

Destroy 3 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 |
|------------|------------------------|------------------|--|---|
| 10/19/2017 | Certify | Curt Francisco | Records Officer | Office of Support - Office of Records Management Services |
| 01/09/2018 | Submit for Concurrency | Andreea Vlaicu | Archives Specialist | National Archives and Records Administration - Records Management Operations Appraisal Team 1 |
| 01/11/2018 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 01/11/2018 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 01/12/2018 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |