

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2020-0001

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 Major Subdivision

Major Subdivision Office of Human Resources

Schedule Subject Office of Human Resources - Records of Senior Officials and Their Designees

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. It also serves as the agency's liaison to the Office of Personnel Management (OPM) and other federal government agencies, professional human resources organizations, educational institutions, and the private sector in matters relating to human capital management activities.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2020-0001

Sequence Number	
1	Records of the Office of Human Resources Senior Officials and Their Designees Disposition Authority Number: DAA-0266-2020-0001-0001

Records Schedule Items

Sequence Number																	
1	<p data-bbox="345 380 1479 411">Records of the Office of Human Resources Senior Officials and Their Designees</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0266-2020-0001-0001</p> <p data-bbox="345 485 1518 1094">This schedule applies to the following Senior Officials: Chief Human Capital Officer, Deputy Chief Human Capital Officer, the Directors, and their designees. Designees are defined as other appointed senior staff, regardless of title, that act on behalf of the Senior Officials. This schedule covers program records of Senior Officials documenting divisional policies and procedures including, but not limited to: -Subject files -Briefing books; -Studies and/or reports; -Congressional, Inter-agency and intra-agency correspondence and memoranda; -Final and annotated speeches and testimonies; -Meeting agendas and minutes for which the Division is the lead or host; -Calendars, schedules, appointments, itineraries, logs, and journals; -Records of program/mission-related trips, visits and other activities of officials that contain unique substantive information; -Annotated copies of meeting agendas and minutes regardless of which agency is the lead or host; -Any other records that document evidence of decisions, provide specific guidance, direction or tasking and -Notes, drafts and other records that contain substantive information that are evidence of decisions, actions or strategies related to official program-related activities.</p> <table data-bbox="345 1115 919 1514"> <tr> <td>Final Disposition</td><td>Temporary</td></tr> <tr> <td>Item Status</td><td>Active</td></tr> <tr> <td>Is this item media neutral?</td><td>Yes</td></tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>Yes</td></tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td><td>Yes</td></tr> </table> <p data-bbox="345 1545 659 1577">Disposition Instruction</p> <table data-bbox="345 1608 1487 1734"> <tr> <td>Cutoff Instruction</td><td>Cut off files at the end of the calendar year in which the Senior Official's/Designee's tenure ends.</td></tr> <tr> <td>Retention Period</td><td>Destroy 10 year(s) after cutoff</td></tr> </table> <p data-bbox="345 1766 656 1797">Additional Information</p> <table data-bbox="345 1829 951 1873"> <tr> <td>GAO Approval</td><td>Not Required</td></tr> </table>	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	Cutoff Instruction	Cut off files at the end of the calendar year in which the Senior Official's/Designee's tenure ends.	Retention Period	Destroy 10 year(s) after cutoff	GAO Approval	Not Required
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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
08/18/2020	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/23/2020	Submit for Concurrency	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
01/22/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/22/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/27/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist