Records Schedule: DAA-0266-2014-0008

## **Request for Records Disposition Authority**

Records Schedule Number	DAA-0266-2014-0008
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	E-mail Records of Non-Capstone Officials of the Securities and Exchange Commission (SEC)
Internal agency concurrences will be provided	Νο
Background Information	This schedule applies to all agency email records (non-Capstone officials) that are not covered by an SEC approved verification form for GRS 6.1, Email Managed under a Capstone Approach.
	Non-Capstone email accounts may be culled to remove non-record, personal, or transitory messages and attachments in accordance with the applicable General Records Schedule. This includes the removal of spam, email blasts received such as agency-wide communications, and personal materials such as emails to family members not related to agency business.
	Emails covered by this schedule requiring retention longer than four years must be incorporated into the appropriate SEC record keeping system and managed in accordance with the related NARA approved Records Control Schedule. This includes, but is not limited to, e-mail records appropriate for preservation in Investigations.

#### Item Count

Number of Total Disposition Items			Number of Withdrawn Disposition Items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

### GAO Approval

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## Outline of Records Schedule Items for DAA-0266-2014-0008

Sequence Number

1

E-mail of Non-Capstone Officials Disposition Authority Number: DAA-0266-2014-0008-0001

Records Schedule: DAA-0266-2014-0008

## Records Schedule Items

Sequence Number			
1	E-mail of Non-Capstone Officials		
	Disposition Authority Number	DAA-0266-2014-0008-0001	
	Final Disposition	Temporary	
	Item Status	Active	
	Is this item media neutral?	No	
	Explanation of limitation	E-mail	
	Do any of the records covered by this item currently exist in electronic format(s) other than e- mail and word processing?	No	
	Disposition Instruction		
	Cutoff Instruction	Cut off at the end of the calendar year.	
	Retention Period	Destroy/delete 3 years but no later than 4 years after cut-off.	
	Additional Information		
	GAO Approval	Not Required	

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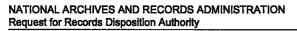
# Agency Certification

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	Ву	Title	Organization
06/04/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/13/2014	Return for Revisio n	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/14/2014	Submit For Certific ation	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/14/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/09/2014	Return for Revisio n	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - RDTP2 Archives II Processing Section
05/07/2015	Submit For Certific ation	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/07/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/08/2016	Return for Revisio n	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/13/2016	Submit For Certific ation	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/13/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services





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Records Schedule: DAA-0266-2014-0008

01/03/2017	Return for Revisio n	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
01/03/2017	Submit For Certific ation	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/03/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/09/2017	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
02/14/2017	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist