Request for Records Disposition Authority

Records Schedule Number

DAA-0266-2017-0003

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

Studies and Reports to Congress

Internal agency concurrences will

be provided

No

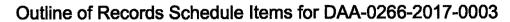
Background Information

Studies and reports to Congress which are publicly available at the time of submission and are not covered in other approved schedules.

Item Count

Number of Total Disposition Items	•	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval



Sequence Number	
1	Final Version of the Study and/or Report Disposition Authority Number: DAA-0266-2017-0003-0001
	Studies and/or Reports Supporting Documentation Disposition Authority Number: DAA-0266-2017-0003-0002

Records Schedule Items

Sequence Number

1

Final Version of the Study and/or Report

Disposition Authority Number

DAA-0266-2017-0003-0001

Record copies of the final version of SEC produced studies and reports mandated by Congress. This includes reports, studies, and any reports related to studies that may be issued separately from the study itself. These studies and/or reports are made available to the general public at the time of submission.

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 email and word processing?

Yes

Do any of the records covered

Yes

by this item exist as structured

electronic data?

GRS or Superseded Authority

Citation

DAA-0266-2016-0004-0001

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year upon

distribution to Congress and/or publication.

Transfer to the National Archives

for Accessioning

Transfer one copy of the final report to the National

Archives and Records Administration (NARA)

immediately after cutoff.

Additional Information

First year of records accumulation 1935

What will be the date span of the

From 1935 To 2015

initial transfer of records to the

National Archives?

How frequently will your agency

transfer these records to the

National Archives?

Every 1 Years

	Estimated Current Volume	Annual Accumulation	
Electronic/Digital	5 GB	50 MB	

2

Paper	10 Cubic feet	1 Cubic feet
Microform	1	
Hardcopy or Analog Special Media		

Studies and/or Reports Supporting Documentation

Disposition Authority Number DAA-0266-2017-0003-0002

Working files of the compiler of and contributors to the studies and/or reports, including correspondence, comments, justifications and other background notes or working files and supporting documentation related to the preparation of the study/report.

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 email and word processing?

Do any of the records covered by this item exist as structured

electronic data?

Yes

Yes

GRS or Superseded Authority

Citation

DAA-0266-2016-0004-0002

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year covered by the

study and/or report.

Retention Period Destroy between 3 year(s) and 15 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	Ву	Title	Organization
01/18/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/24/2017	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/24/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
02/24/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
02/27/2017	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist