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## Request for Records Disposition Authority

Records Schedule Number           DAA-0266-2017-0011

Schedule Status                     Appraiser Working Version

  

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 (OCOO) 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. OCOO 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 OCOO.

### 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	<p><b>Audit Follow-up Records</b></p> <p>Disposition Authority Number      <b>DAA-0266-2017-0011-0001</b></p> <p>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).</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Pending</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at the end of the fiscal year after report is closed.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>1996</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?                      <b>From 1996 To 2004</b></p> <p>How frequently will your agency transfer these records to the National Archives?                      <b>Every 1 Years</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td><b>Electronic/Digital</b></td> <td><b>350 MB</b></td> <td><b>100 MB</b></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	<b>Electronic/Digital</b>	<b>350 MB</b>	<b>100 MB</b>
	Estimated Current Volume	Annual Accumulation						
<b>Electronic/Digital</b>	<b>350 MB</b>	<b>100 MB</b>						

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                                **Pending**

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

## Executive Summary

### Summary

Permanent Item Numbers           0001

Federal Register Notice

Publication Date

Copies Requested                   0

Comments Received                 0