

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0266-2014-0010

Status: APPROVED
Date Approved: 10/05/2015

General Information

Agency or Establishment	Securities and Exchange Commission
Record/Scheduling Group	0266 - Records of the Securities and Exchange Commission
Records Schedule Applies To	Agency-wide
Schedule Subject	SEC Audiovisual Records
Additional Schedule Information	Records that document significant moments in the Securities and Exchange Commission's (SEC's) history and/or noteworthy SEC accomplishments, and records that were made to assist SEC offices and divisions in performing more routine functions. EXCLUDING audiovisual records of subject matters specifically described in other NARA-approved records series items (e.g., enforcement and investigative case files, etc.). This schedule also excludes recordings of proceedings of Presidential commissions. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 0

Number of Permanent disposition items: 3

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 1

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Outline of Records Schedule Items for DAA-0266-2014-0010

Item #	Title	Disposition
0001	Historically Significant Photographs : Digital Photographs	Permanent
0002	Historically Significant Photographs : Non-Digital Photographs	Permanent
0003	Historically Significant Video Recordings and Related Documentation	Permanent

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Records Schedule Items

Group Title	Historically Significant Photographs
Group Description	Photographs documenting historically significant activities related to the mission of the SEC which business purpose is not described in other approved SEC-schedules, such as SEC open meetings and events and activities attended by the SEC Chair, Commissioners, and senior staff. This item covers negatives, printed black and white and color copies and contact sheets, negatives, and digital images, with any accompanying system documentation and any electronic finding aids for digital images.
DAA-0266-2014-0010-0001	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Digital Photographs
Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at the end of the calendar year in which the event occurs.
Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer to the National Archives and Records Administration (NARA) 5 years after cutoff, in accordance with 36 CFR 1228.270, or subsequent authority for electronic records transfer requirement.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2000
Are any of the records covered by this item subject to a FOIA exemption?	

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DAA-0266-2014-0010-0002	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Non-Digital Photographs
Is this item media neutral?	No
Media limitation	Paper/analog only
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because NARA accessioned the records. The Transfer Request number is TR-0266-2018-0027.	
Final Disposition	Permanent
Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer all remaining non-digital photographs immediately to NARA.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	1934
Date span of the initial transfer	From: --/--/1934 To: --/--/2007
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0266-2014-0010-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Historically Significant Video Recordings and Related Documentation
Item Description	Records that document significant moments in the SEC's history and/or noteworthy SEC accomplishments, such as SEC open meetings and events and activities attended by the SEC Chair, Commissioners, and senior staff. They may be accompanied by written documentation, descriptive information about the related audiovisual records, (e.g., title/subject, name and date).
Is this item media neutral?	Yes
Is this item a Big Bucket?	

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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at the end of the calendar year in which the event occurs.
Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer master recording and related documentation to NARA 5 years after cutoff.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2001
Are any of the records covered by this item subject to a FOIA exemption?	

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Signatory Information

Action	User	Date
Approve	David Ferriero	10/05/2015