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Administrative Regulations and Procedures, 2017

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Securities and Exchange Commission  
100 F Street NE  
Mail Stop 2465  
Washington D.C. 20549  
Fax: 202-772-9337  
[Online Request for Copies of Documents](#)

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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
STATION PLACE  
100 F STREET, NE  
WASHINGTON, DC 20549-2465

Office of FOIA Services

May 3, 2017

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552  
Request No. 17-02479-FOIA

This letter is in response to your request, dated and received in this office on April 24, 2017, for "a copy of the listing of SEC OP (Operating Procedures)."

The search for responsive records has resulted in the retrieval of the enclosed ten pages which are released in full.

If you have any questions, please contact me at [hallr@sec.gov](mailto:hallr@sec.gov) or (202) 551-8353. You may also contact me at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900. You also have the right to seek assistance from a FOIA Public Liaison, Jeffery Ovall at (202) 551-7900.

Sincerely,

A handwritten signature in cursive script that reads "Ronnye L. Hall".

Ronnye L. Hall  
FOIA Research Specialist

Enclosure

## Admin Regulations

### Administrative Regulations

Welcome to the SEC's Intranet site for Administrative Regulations. Please note that not all the SECRs are currently accessible on this site. If you do not know the publication number or the title of the document you wish to view, the full text of the available SEC Regulations can be [searched](#) by subject matter (with the exception of the Human Resources material, which can be searched on the [HR Portal](#)).

#### Directives Management

- [R1-2](#) Administrative Regulations Management Program
- [R1-3](#) Administrative Regulations Compliance Process

#### Organization and Mission

- [R3-1](#) Delegation of Authority – Internal Procedures
- [R3-2](#) Tips, Complaints and Referrals (TCR) Intake Policy

#### Administrative Services

- [R5-1](#) Motor Vehicle Operator's Program
- [R5-2](#) Transportation and Use of Motor Vehicles
- [R5-3](#) Prohibition on Text Messaging While Driving
- [R5-4](#) SEC-Sponsored Event Authorization
- [R5-5](#) Exit Clearance
- [R5-8](#) SEC Space Management Program
- [R5-11](#) Participation in Outside Meetings or Similar Functions
- [R5-12](#) Process for Obtaining Approval for Outside Speakers, Trainers, or Presenters
- [R5-13](#) Electronic Entry and Exit Security Systems
- [R5-21](#) SEC Construction Management Program

#### Human Resources Management

- [R6-2](#) SEC Time and Attendance Processing
- [R6-4](#) Administrative Leave and Official Time
- [R6-5](#) Schedule A Hiring for People with Disabilities
- [R6-6](#) Delegated Examining
- [R6-7](#) Transit Benefit Program
- [R6-8](#) Intergovernmental Personnel Act
- [R6-9](#) Employee Assistance Program
- [R6-10](#) Retention Incentives
- [R6-11](#) Professional Liability Insurance Reimbursement Program
- [R6-12](#) Recruitment Incentives
- [R6-13](#) Relocation Incentives
- [R6-14](#) Employee Recognition Program for SK Employees
- [R6-15](#) Work Schedule Program
- [R6-16](#) Telework Program
- [R6-17](#) Employment of Non-Citizens
- [R6-19](#) Voluntary Leave Transfer Program
- [R6-20](#) Disciplinary and Adverse Actions
- [R6-21](#) Performance Management Program (for Bargaining Unit Employees)
- [R6-22](#) Overtime, Compensatory Time, Religious Compensatory Time, Travel Compensatory Time, and Pay Limitations (for Bargaining Unit Employees)
- [R6-23](#) Merit Promotion Program for Bargaining Unit Employees
- [R6-24](#) Merit Promotion Program for Non-Bargaining Unit Positions
- [R6-25](#) SEC Administrative Grievance Procedures

- R6-26** Credit Hours, Compensatory Time, and Premium Pay Limitations for Senior Officers and Non-Bargaining Unit SK Employees
- R6-27** Employee Recognition Program for Senior Officers
- R6-28** Training and Development Program
- R6-29** Continued Service Agreements for Education and Training
- R6-30** Tuition Assistance Program
- R6-33** Excepted Service Hiring Authority
- R6-34** Performance Management Program for Senior Officers
- R6-35** Position Management and Reorganizations
- R6-36** Creditable Service for Annual Leave Accrual
- R6-37** Uniformed Services Employment and Reemployment Rights Act
- R6-38** Pay-Setting for SK Positions
- R6-39** Exceptions to Internal SEC Human Resources Policies
- R6-40** Payment of Pre-Employment Interview Expenses
- R6-41** Fellows Program
- R6-42** Workplace Violence Prevention Program
- R6-43** Advances in Pay for New Hires
- R6-44** Performance Management System (for Non-Bargaining Unit Employees)
- R6-45** Pathways Programs
- R6-47** Bicycle Benefit Program
- R6-48** Domestic Violence, Sexual Assault, and Stalking in the Workplace
- R6-49** Human Capital Accountability System
- R6-50** Pretax Parking Benefit Program
- R6-51** Career Transition and Reemployment Programs
- R6-55** Employment of Experts and Consultants
- R6-56** Veterans Employment Program
- R6-57** Enhanced Annual Leave for Supervisors
- R6-58** Attorney Hiring
- R6-59** Temporary Medical Telework Program
- R6-61** Student Honors Programs
- R6-64** Annual Leave Restoration
- R6-65** Delayed Arrivals, Early Dismissals, and Office Closures
- R6-67** Student Loan Repayment Program

*Operating Procedures*

- OP6-6** Delegated Examining
- OP6-7** Transit Benefit Program
- OP6-24** Merit Promotion Program for Non-Bargaining Unit Positions
- OP6-30** Tuition Assistance Program
- OP6-33** Excepted Service Hiring Authority
- OP6-35** Position Management and Reorganizations
- OP6-38** Pay-Setting for SK Positions
- OP6-41** Fellows Program
- OP6-44** Performance Management System (for Non-Bargaining Unit Employees)
- OP6-45** Pathways Programs
- OP6-51** Career Transition and Reemployment Programs
- OP6-55** Employment of Experts and Consultants
- OP6-56** Veterans Employment Program
- OP6-57** Enhanced Annual Leave for Supervisors
- OP6-59** Temporary Medical Telework Program
- OP6-61** Student Honors Programs

**Records Management**

- R7-1** SEC Records and Information Management Program

*Operating Procedures*

- OP7-1b** Records Transfer Directive

- OP7-1c** Destruction of SEC Records Directive
- OP7-1d** Internal Destruction/Deletion Form (SEC 2889)
- OP7-1e** Removal of Records and Non-Public Information by Departing SEC Personnel  
*Related document: [Records Clearance Form \(SEC 2888\)](#)*

## **Property, Supplies, and Asset Management**

- R9-1** SEC Furniture Use Standards Program
- R9-2** Property Management Program
- R9-3** Report of Survey Program
- R9-5** Fine Arts Program  
Attachment for SECR 9-5: [Fine Arts Program Handbook](#)
- R9-6** Office Supply Program

### *Operating Procedures*

- OP9-2** Property Management Program
- OP9-2-PD-11-15** Office of Information Technology (OIT) Asset Management Branch (AMB): System of Record for Accountable Expensed IT Assets

## **Acquisitions**

- R10-1** Ratification of Unauthorized Commitments
- R10-2** SEC Contracting Authority
- R10-13** Debarment and Suspension of SEC Contractors
- R10-14** Contract Administration
- R10-15** Contracting Officer's Representative
- R10-17** Time-and-Materials and Labor-Hour Contracts
- R10-23** Other Than Full and Open Competition  
*Related document: [Guide to Other Than Full and Open Competition](#)*
- R10-24** Management and Administration of Service Contracts  
*Related document: [FAQs: SECR 10-24 and OP 10-24 Management and Administration of Service Contracts](#)*
- R10-29** Federal Acquisition Certification for Project and Program Managers (FAC-P/PM) Program

### *Operating Procedures*

- OP10-1** Ratification of Unauthorized Commitments  
**Attachment 1: Employee's Statement**  
**Attachment 2: Supervisor's Statement**  
**Attachment 3: Executive's Statement**  
**Attachment 4: Cover Memorandum**  
**Attachment 5: Determination and Finding**  
**Attachment 6: Price Reasonableness Memorandum**
- OP10-6** Government Purchase Card Program
- OP10-14.5** Contract File Closeout  
**Contract File Closeout Guide**  
**Contract Closeout Process and Contacts**
- OP10-15.1** Contractor Personnel (CP) List
- OP10-20** SEC Interagency Agreements (IAA)
- OP10-22** Onboarding and Offboarding of Contractor Personnel  
**Attachment 1: Personnel Security Frequently Asked Questions (FAQ)**
- OP10-24** Management and Administration of Service Contracts  
**Attachment 1: Service Contract Checklist - Post-Award**  
*Related documents:*  
**Service Contract Checklist**  
**Desk Reference: Management and Administration of Service Contracts**  
**Training SECR, OP 10-24 and Checklist**  
**SEC Employees: Rules for Working with Contractors**  
**Memorandum: Services Exempt from SECR OP 10-24**  
**Dos and Don'ts for Service Contract Administration**  
**FAQs: SECR 10-24 and OP 10-24 Management and Administration of Service Contracts**
- OP10-26** Acquisition Planning  
**Attachment A: Formal Acquisition Plan Instructions**  
**Attachment A1: Formal Acquisition Plan Template**  
**Attachment B: Streamlined Acquisition Strategy Summary (SASS)**

**Attachment C: SECR 10-24 - Management and Administration of Service**  
**Attachment D: OP10-24 - Management and Administration of Service**  
**Attachment E: Service Contract Checklist**  
**Attachment F: Small Business Coordination Record**  
**Attachment G: Market Research Report Template**  
**Attachment H: Independent Government Cost Estimate (IGCE)**  
**Independent Government Cost Estimate Guide**

**OP10-27** Contractor Performance Assessment Reporting System (CPARS)  
**OP10-29** Federal Acquisition Certification for Project and Program Managers (FAC-P/PM)

## **Real Property Leasing**

**R11-3** SEC Leasing Program

## **Safety**

**R12-1** Occupational Safety and Health Program  
**R12-2** Federal Hazard Communication Program

## **Financial Management**

**R14-1** Securities and Exchange Commission's Administrative Control of Funds  
**R14-2** Administrative Control of Reserve Fund  
**R14-3** Travel Charge Card Monitoring Policy  
**R14-4** Use of Official Reception and Representation Funds

## **Public Affairs**

**R18-2** Press Relations Policies and Procedures

## **Office of the General Counsel**

**R19-1** Disclosure of Non-Public Information in Connection with Investigations, Examinations or Grants of Access

## **Security**

**R23-2a** Safeguarding Non-Public Information  
**R23-3** Security Clearance Regulation  
**R23-4** Facilities Access Card Policy  
**R23-5** Vetting of Non-U.S. Citizens  
**R23-6** Insider Threat Program

## **Information Technology**

**R24-1.2** Introduction of New Technology into the Agency  
**R24-1.6** Enterprise Architecture  
**R24-2** Information Technology Capital Planning and Investment Control  
**R24-4** Information Technology Security Program  
**R24-4.3** Use of SEC Office Equipment  
**R24-8** Privacy Policy and Compliance  
**R24-9** Information Collection Program  
**R24-10** Electronic and Information Technology (EIT) Section 508/Accessibility Program

### *Operating Procedures*

**OP24-04B** Rules of the Road  
**OP24-04-PD-01** Enterprise Backup of Electronic Data  
**OP24-4.3-PD-01** Hand Held Communication (Mobile) Devices Operating Procedure

## **Diversity Management**

**R28-1** Determination of Contractor Good Faith Efforts  
**R28-2** Diversity Partnerships  
**R28-3** Employee Affinity Groups and Special Observances

### *Operating Procedures*

**OP28-1** Determination of Contractor Good Faith Efforts

## **Inspector General**

**R29-1** Roles, Authority, and Responsibilities of the Office of Inspector General

## Management Controls

**R30-2** Audit Follow-Up and Resolution

[/policies\\_procedures/admin\\_regulations/admin\\_regulations\\_index.html](/policies_procedures/admin_regulations/admin_regulations_index.html)

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Insider Home > [Policies & Procedures](#) > Procedures

## Procedures

### Procedures

See also the [Operating Procedures](#) (which accompany some Administrative Regulations).

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### Emergency Procedures

- [How to Respond to an Emergency](#)
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### Alternative Work Schedule

- New requests for Alternative Work Schedule - See [WorkSmart](#) site

### Benefits, Submitting Requests for

- See individual topics on the [HR Portal](#)
- Selected requests may be submitted through the [HR4Me Self-Service Request Portal](#)
- [Professional Liability Insurance Reimbursement Program](#)
- [Public Service Loan Forgiveness](#); see also [Student Loan Repayment Program](#)
- [Reduce Your Monthly Transit Benefit When on Extended Leave or Travel](#)
- [Transit Benefit Program Annual Recertification Reminder](#)

### Business Cards, Purchasing

- [Purchasing SEC Business Cards](#)

### Carpools, Joining or Forming

- [Commuting Situations Wanted/Offered](#)

### Child Care Subsidy Program, Enrolling in

- See [HR Portal](#)

### Cleaning

- [Office Cleaning Guidance](#) (HQ)
- [Refrigerator and Microwave Cleaning Guidance](#) (HQ)

### Conference Rooms, Reserving



- [Conference Rooms](#)
- [Reserving a Conference Room Using Microsoft Outlook 2010](#)

### **Courses, Registering for**

- [LEAP](#) (SEC-sponsored courses)
- [External Training](#)

### **Desktop Publishing, Graphics, Photography, Printing, or Publications Services, Requesting**

- [Process for Requesting Desktop Publishing, Graphics, Photography, Printing or Publications Services](#)
- [Publishing and Printing Services Available to Support Conferences and Training Programs](#)

### **Documents (Filings and SEC Releases), Ordering**

- By members of the public: [Schedule of Fees for Records Services](#)
- By staff members: [Records Requests](#)

### **Drills, Emergency**

- [Evacuation Drills at Station Place: What to Do During a Drill](#)
- [Shelter-in-Place Drills at Headquarters](#)

### **Electronic Research Services (LexisNexis, WestLaw, and more), Accessing**

- See individual service descriptions in the [Database Guide](#)

### **Financial Disclosure**

- [Confidential Financial Disclosure \(OGE Form 450\)](#)
- [Public Financial Disclosure \(OGE Forms 278 and 278-T\)](#)

### **Fitness Center**

- [SEC Fitness Center Information](#)
- [Station Place III Fitness Center Access Guidance](#)
- *See also* [SEC Locker Rooms Guidelines](#)

### **FOIA**

- [How to Make a Freedom of Information Act \(FOIA\) or Privacy Act Request](#)  
(procedures for members of the public)

### **Hiring Process**

- See [HR Portal](#)

## **Holiday Decorating Guidelines**

- [Holiday Safety Tips for the Office](#)

## **Information Technology**

- Requests for IT help or services may be submitted through [Enterprise Asset Management and Services](#) (EAMS)
- [Remote Access User Guides](#)

## **Insider Submissions**

- [Posting Information on the Insider](#)
- [Process for Submitting Section 508-Compliant Documents to the Insider](#)

## **Jury Duty**

- [SEC Supports Your Civic Duty: Guidance for Jury Duty](#)

## **Leave**

- [OHR Leave Guides](#)  
(eligibility and requirements for the various leave options available to SEC staff)
- [Guidance on Annual Leave Restoration](#)

## **Leave Donation, Making or Requesting**

- [Leave Donors Sought](#)

## **Locker Rooms**

- [SEC Locker Rooms Guidelines](#) (Station Place)

## **Lost and Found**

- [Procedure for Lost and Found Items at Station Place](#)

## **Mail**

- [Mail Information and Procedures at the SEC](#)  
(including information about using and preparing various types of mail)

## **Office and Building Standards**

- [9th-Floor Terrace in Station Place I](#)
- [SEC Building Standards](#)
- [Station Place Hours of Lighting](#)

## **Outside Meetings**

- [Participation in Outside Meetings or Similar Functions](#)

## **Pandemic Preparedness**

- [SEC Pandemic Influenza Plan](#)

## **Passwords**

- See the [Passwords](#) page

## **Performance Management**

- See [HR Portal](#)

## **Press, Handling Contacts by**

- [Press Policy Profile](#)

## **Privacy Compliance**

- [SEC Privacy Resource Center](#)
- [Standards of Conduct for Privacy Compliance](#)
- See also [Privacy Compliance Tips](#)

## **Publications, Requesting**

- [Online Publications for Investors](#)

## **Records**

- [Transfer, Certify, or Delete/Destroy SEC Federal Records](#)

## **Recycling**

- [Recycling Guidance](#) (HQ)

## **SEC Today, Submitting Articles to**

- [SEC Today – Submitting an Article](#) (on the OCOO SharePoint site)

## **Section 508 Compliant Documents**

- [Section 508 and SEC Technology](#)
- [Staff Responsibilities for Section 508 Compliance](#)
- [Submitting Section 508-Compliant Documents to the Insider](#)

## **Shred Bins**

- [Shred Bin Requests at HQ](#)

## **Suggestions, Making**

- [OIG Employee Suggestion Program](#)

## **Supplies**

- [Guidelines for Using AbilityOne BSC – The SEC’s Supply Store](#)
- [Supplies](#)

## **Telework**

- See [WorkSmart](#) site  
(includes webTA coding instructions for various telework scenarios)
- [Best Practices for Virtual Meetings](#)
- [Full-Time Telework: 5 Things Employees Need to Know](#)
- [Temporary Medical Telework Offers Flexibility](#)
- [Tips for Telework Success](#)
- [WorkSmart Telework Tip: Entering Telework Codes in WebTA](#)
- [WorkSmart: How to Record Telework Hours in webTA \(Video\)](#)

## **Threatening or Abusive Communications, Reporting**

- [Report Threatening or Abusive Communications from External Parties](#)

## **Turnstiles**

- [Using the Station Place Turnstiles](#)

## **Travel**

- [Travel Topics and Procedures](#)
- [International Travel Guide](#)
- [Safety and Security for U.S. SEC Employees Traveling Abroad](#)
- [Compensatory Time for Travel](#)

## **Visitors, Pre-Register**

- [EasyLobby eAdvance Visitor Pre-Registration System](#)

## **Weather-Related Delays or Closures**

- [Prepare for Weather-Related Delays or Closures](#)

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