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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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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 or (202) 551-8353. You may also contact me at 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,

Ronnye L. Hall
FOIA Research Specialist

Enclosure
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
Credit Hours, Compensatory Time, and Premium Pay Limitations for Senior Officers and Non-Bargaining Unit SK Employees
Employee Recognition Program for Senior Officers
Training and Development Program
Continued Service Agreements for Education and Training
Tuition Assistance Program
Excepted Service Hiring Authority
Performance Management Program for Senior Officers
Position Management and Reorganizations
Creditable Service for Annual Leave Accrual
Uniformed Services Employment and Reemployment Rights Act
Pay-Setting for SK Positions
Exceptions to Internal SEC Human Resources Policies
Payment of Pre-Employment Interview Expenses
Fellows Program
Workplace Violence Prevention Program
Advances in Pay for New Hires
Performance Management System (for Non-Bargaining Unit Employees)
Pathways Programs
Bicycle Benefit Program
Domestic Violence, Sexual Assault, and Stalking in the Workplace
Human Capital Accountability System
Pretax Parking Benefit Program
Career Transition and Reemployment Programs
Employment of Experts and Consultants
Veterans Employment Program
Enhanced Annual Leave for Supervisors
Attorney Hiring
Temporary Medical Telework Program
Student Honors Programs
Annual Leave Restoration
Delayed Arrivals, Early Dismissals, and Office Closures
Student Loan Repayment Program

Operating Procedures
Delegated Examining
Transit Benefit Program
Merit Promotion Program for Non-Bargaining Unit Positions
Tuition Assistance Program
Excepted Service Hiring Authority
Position Management and Reorganizations
Pay-Setting for SK Positions
Fellows Program
Performance Management System (for Non-Bargaining Unit Employees)
Pathways Programs
Career Transition and Reemployment Programs
Employment of Experts and Consultants
Veterans Employment Program
Enhanced Annual Leave for Supervisors
Temporary Medical Telework Program
Student Honors Programs

Records Management
SEC Records and Information Management Program

Operating Procedures
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 SEC R9-5: Fine Arts Program Handbook  
R9-6  Office Supply Program  

Operating Procedures  

OP9-2  Property Management Program  

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  
Attachment 1: 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
Procedures

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

Emergency Procedures

- How to Respond to an Emergency

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