

November 18, 1980

MEMORANDUM

TO: Daniel L. Goelzer  
Executive Assistant to the Chairman

FROM: Roger Spencer  
Transition Team

I think we had a very fruitful session this morning, and I very much appreciate your cooperation in this Transition process. I would like to give you some additional details regarding our discussion about the Transition Team's procedures. In line with the ten-item attachment that you received from the Carter Administration Transition Unit, I provide the following details:

General

1. Please list the programs over which your agency has jurisdiction, based on authority, statute, executive order, or other authority, including the following information:
  - a. Citation of authority;
  - b. Program authorized;
  - c. Appointment that directly oversees the program;
  - d. Date of expiration of authority, if appropriate.
  
2. Please list for each authorized program the amount that has been appropriated by the Congress or otherwise available to carry out each program. Include the following information:

- a. Program authorized;
  - b. Appropriated funds FY 1980 and whether annual or “no year” funds;
  - c. Unobligated balance at end of year for FY 1980;
  - d. Appropriated funds for FY 1981 and whether annual or “no-year” funds;
  - e. Unobligated balance of FY 1981 funds;
  - f. Any other funds available for use by the agency.
3. Please list by title and organizational reference number any contract, loan, grant, or loan guarantee application or procurement of contract or procurement action that was pending on November 1, 1980, and that if appropriated would exceed one percent of appropriated funds for that particular program. For each item, show the proposed recipient, product or service and the term covered by arrangement. Also, please list any action that has been taken since November 1 on the pending application or proposal.
4. Please list the program and CFR designation or regulatory type action or amendments thereto that the organization anticipates promulgating or proposing as a proposed rulemaking between June 1, 1980, and June 30, 1981.
5. Please list the title of major law suits that are currently pending within the agency or which the agency has filed. Please provide copies of the initial litigation reports.

6. Please list all major law suits as well as any quasi-judicial or other regulatory compliance or enforcement actions the organization has filed since June 1 (or anticipates that it may file before June 30, 1981). Please do not provide information which is thought to be confidential.
7. Please list by title, authority and due date all reports issued by the agency since June 30, 1980, and those anticipated to be issued before June 30, 1981.
8. Please list all Executive Orders within your subject matter jurisdiction which might be required to be issued on or after January 21, 1981, through June 30, 1981.
9. Please list all Executive Orders that the agency expects to be issued between the current date and January 20, 1981.
10. Please list the internal operating budget for your agency, broken down by major category for Fiscal Year 1980 and 1981, and, if available, a similar breakdown for the prior 10 years.
11. Please provide a summary of each major issue currently in resolution between the SEC and other agencies, such as the CFTC and the Treasury Department.

Personnel

1. Please list all Presidential Appointment positions within the agency by job title, level, salary, and name of individual presently holding the position. Indicate those that are term appointments.
  
2. Please list all Schedule C appointments within the agency by job title, level, salary, description of duties and name of individual presently holding the position. Also list all positions which are vacant.
  
3. Please list all career and non-career SES and GS-16 through GS-18 positions within your agency. For each position indicate job title, level, salary, description of duties and the name of the individual presently holding that position. If the position is vacant, please so indicate. For each individual listed, please provide a biographical sketch, consistent with the Privacy Act constraints.
  
4. Please list by name and job title for positions GS-11 or higher, all individuals that your organization has hired or anticipates hiring between June 1, 1980, and January 21, 1981.
  
5. Please list all individuals or firms your agency has or expects to hire as experts or consultants between June 1, 1980 and June 21, 1981. Indicate the nature of the work to be performed and the individual assigned to oversee the expert or consultant hired by the agency.

6. Please list the total number of employees in your organization by Division, Bureau, or other organizational identification for each of the last four years. Also list the number of positions that are found in each area.
  
7. Please list the total number of retirements, resignations, transfers to other departments, or other separations for your organization for each of the last four years.
  
8. Please list all current advisory committees to your agency or to a specific department and their memberships, terms of appointment, and any appointment that has been made or is anticipated between the current date and January 21, 1981.

Legislation:

1. Please list by number, title, sponsor (or co-sponsor) each bill or other legislative proposal that the organization, either has taken an official position or testified on during the 96th congress. Include the following information:
  - a. Bill number.
  - b. Title of the bill.
  - c. Sponsor or co-sponsor.
  - d. Current status of the proposal.
  - e. Effect of the legislative proposal.
  - f. Date organization took its position.
  - g. Methods used to state the organization's position.
  - h. Position taken by the organization.

Also, please list any legislative initiatives likely to be undertaken before the current date and June 1, 1981.

As a general matter, we wish not to become involved in areas which you consider to be confidential or to unduly burden the agency or its staff with non-essential detail. I am very grateful for your cooperation, and would appreciate your treatment of this memorandum as a confidential document.

Attachment

Subjects for Transition Materials

1. Agency missions, programs, and statutory authorities.
2. Basic organization and functions.
3. Budgetary and financial information.
4. Personnel policies and administration -- nature and tenure of appointment to major positions, conflict of interest, compensation and benefits, supporting services.
5. Key senior career personnel.
6. Significant interagency relationships.
7. Significant intergovernmental relationships.
8. Budget and appropriation processes.
9. Legislative processes, including legislative clearance requirements.
10. Issues and priorities, with emphasis on matters requiring immediate decision and those requiring action during the first quarter of 1981.