

## Request for Records Disposition Authority

Records Schedule Number      DAA-0266-2013-0002

Schedule Status                Approved

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 Secretary

Schedule Subject                Public Web Records

Internal agency concurrences will be provided    No

Background Information        The Securities and Exchange Commission (SEC) public Web site on the [www.sec.gov](http://www.sec.gov) server is the primary tool for the SEC to inform the general public of its mission and activities and serves as a gateway to SEC divisions' public Web sites and to a wide variety of information created by the SEC and its division organizations. The Office of the Secretary (OS) develops, maintains and administers the site.

Federal record documents published on the Web site are covered by records schedules of the SEC divisions that originated the content.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	0	9	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0266-2013-0002

Sequence Number	
1	Content Records Disposition Authority Number: DAA-0266-2013-0002-0001
2	Web Management Records
2.1	Content Management Records Disposition Authority Number: DAA-0266-2013-0002-0002
2.2	Procedures for Preparing Site for Change of Administration: Disposition Authority Number: DAA-0266-2013-0002-0003
2.3	Reports of Site Traffic Disposition Authority Number: DAA-0266-2013-0002-0004
2.4	Broken Link Reports Disposition Authority Number: DAA-0266-2013-0002-0005
3	Technical Records
3.1	Traffic Logs Disposition Authority Number: DAA-0266-2013-0002-0006
3.2	Server Configuration Files Disposition Authority Number: DAA-0266-2013-0002-0007
3.3	Software Records Disposition Authority Number: DAA-0266-2013-0002-0008
3.4	Server Maintenance Records and System Log Files Disposition Authority Number: DAA-0266-2013-0002-0009

## Records Schedule Items

Sequence Number	
1	<p><b>Content Records</b></p> <p>Disposition Authority Number      DAA-0266-2013-0002-0001</p> <p>Content Information is published on the sec.gov Web site is reference material which is published in a variety of formats including html-encoded pages, and PDFs. Web content which is defined as a Federal record by the Federal Records Act is maintained offline by the Division/Office of record in accordance with the disposition instructions governed by the governing NARA-approved records schedule which describes the content. Content removed from the Web site when it is superseded, obsolete or no longer needed for SEC business.</p> <p>Final Disposition                      Temporary</p> <p>Item Status                              Active</p> <p>Is this item media neutral?          No</p> <p>Explanation of limitation            Electronic records / Website</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off annually.</p> <p>Retention Period                        Destroy 2 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>GAO Approval                            Not Required</p>
2	<b>Web Management Records</b>
2.1	<p><b>Content Management Records</b></p> <p>Disposition Authority Number      DAA-0266-2013-0002-0002</p> <p>Provide the context and structure of the content such as design records, templates which determine the placement of content on a page, standards which describe the look and feel of the site, and policies which describe the process by which information is added, changed and/or deleted from the site.</p> <p>Final Disposition                      Temporary</p>

	Item Status	Active
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff when superseded, obsolete, or no longer needed for SEC business.
	Retention Period	Destroy 2 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
2.2	<b>Procedures for Preparing Site for Change of Administration:</b>	
	Disposition Authority Number	DAA-0266-2013-0002-0003
	Provides description of steps required to capture a snap shot of the site at the end of an Administration and to create an administration-neutral site. Snapshots can also be performed upon request.	
	Final Disposition	Temporary
	Item Status	Active
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off annually
	Retention Period	Destroy 10 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
2.3	<b>Reports of Site Traffic</b>	

Disposition Authority Number DAA-0266-2013-0002-0004

Provide statistical information about the use of the Web site by visitors, including: number of visitors, number of page views, referring URLs, browsers used by visitors, and search terms that are done against the site. These reports are run on a weekly basis.

Final Disposition Temporary

Item Status Active

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 annually

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

2.4

Broken Link Reports

Disposition Authority Number DAA-0266-2013-0002-0005

Provide a listing of links that return 404 errors. These reports are run on a weekly basis, as needed.

Final Disposition Temporary

Item Status Active

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 after reports are run.

Retention Period Destroy/delete 6 months after cutoff

3	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Technical Records</b>	
	<b>Traffic Logs</b>	
	Disposition Authority Number	DAA-0266-2013-0002-0006
	Gather information about the use of the Web site by the visitors. Traffic logs do not reveal personally identifiable information about individual visitors. This information is captured continuously.	
	Final Disposition	Temporary
	Item Status	Active
	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
3.1	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off annually.
	Retention Period	Destroy 5 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Server Configuration Files</b>	
	Disposition Authority Number	DAA-0266-2013-0002-0007
	The TeamTrack SCR System documents all changes to the Server Configuration Files. The Version Manager Application maintains a copy of all of these files, with specific tailoring to the individual platforms based upon the instructions in the SCRS.	
	Final Disposition	Temporary
3.2	Item Status	Active
	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

3.3

Do any of the records covered by this item exist as structured electronic data? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cut off after implementation of changes**

Retention Period **Destroy 2 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

**Software Records**

Disposition Authority Number **DAA-0266-2013-0002-0008**

**Describe the products used to create and maintain web presentations. These records include versions of the products used and licenses for products.**

Final Disposition **Temporary**

Item Status **Active**

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 after products are replaced**

Retention Period **Destroy 2 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

3.4

**Server Maintenance Records and System Log Files**

Disposition Authority Number **DAA-0266-2013-0002-0009**

**Describe events performed on the servers including login attempts and error reports. This information is captured continuously.**

Final Disposition **Temporary**

Item Status **Active**

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 annually

Retention Period

Destroy 2 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
06/27/2013	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/16/2014	Submit for Concur rence	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
10/21/2014	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - Records Management Services
10/21/2014	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
10/23/2014	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist