

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2013-0002
Schedule Status Modified Approved Version

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 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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>Content Records</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 Inactive</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>Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0266-2017-0010-0001</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off annually.</p> <p>Retention Period Destroy 2 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Web Management Records</p>
2.1	<p>Content Management Records</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</p>

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.

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 Cutoff when superseded, obsolete, or no longer needed for SEC business.

Retention Period Destroy 2 year(s) after cutoff

Additional Information

GAO Approval Not Required

2.2

Procedures for Preparing Site for Change of Administration:

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

Disposition Instruction

Cutoff Instruction Cut off annually

Retention Period Destroy 10 year(s) after cutoff

2.3	Additional Information	
	GAO Approval	Not Required
	Reports of Site Traffic	
	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
2.4	Additional Information	
	GAO Approval	Not Required
	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

	<p>Disposition Instruction</p> <p>Cutoff Instruction Cut off after reports are run.</p> <p>Retention Period Destroy/delete 6 months after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
3	<p>Technical Records</p>
3.1	<p>Traffic Logs</p> <p>Disposition Authority Number DAA-0266-2013-0002-0006</p> <p>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.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</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>Disposition Instruction</p> <p>Cutoff Instruction Cut off annually.</p> <p>Retention Period Destroy 5 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
3.2	<p>Server Configuration Files</p> <p>Disposition Authority Number DAA-0266-2013-0002-0007</p> <p>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.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>

3.3	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 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 Concurrency	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
10/21/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
10/21/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/23/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist