

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2014-0006
Schedule Status Returned Without Action
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 Information Technology
Schedule Subject Evaluation, Data Gathering, Analysis, Evaluation and Retrieval (EDGAR) System

Internal agency concurrence with who to be provided

Background Information

The Electronic Data Gathering, Analysis, and Retrieval (EDGAR) system is designed to perform automated collection, validation, indexing, acceptance, and dissemination of submissions sent to the SEC in electronic format. The filing community prepares and transmits filings, correspondence, and other material in electronic format through a specially designed EDGAR software package or third party software applications. Some form types can be completed online using a dedicated EDGAR website. The EDGAR system supports the transmission of filings not completed online via dial-up modem, Internet or dedicated telecommunication line. It then validates that the required header information and documents are present. After filings are accepted by the EDGAR system they are disseminated to subscribers who pay for the data stream and to the SEC's Public Site. Thus, seconds after filings are received, investors from around the world can view the company's submissions and make investment decisions with timely information.

After filings have been accepted, the EDGAR system distributes each filing to the appropriate division and offices for review. Through an internal Workflow system, EDGAR assists the SEC Staff in performing analysis and review tasks. For these divisions, EDGAR also supports the dissemination of SEC produced work products, private filer documents, and effectiveness notices. Non-reviewing divisions can do research on submissions and get notification of the receipt of submissions in support of their missions.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GR Approval

Returned Without Action

Outline of Records Schedule Items for DAA-0266-2014-0006

Sequence Number	
	Inputs
1	Public data stored in separate repository Disposition Authority Number: DAA-0266-2014-0006-0001
1.2	All other inputs and source records used to create, update or modify records in E DGAR Disposition Authority Number: DAA-0266-2014-0006-0002
2	Master File
2.1	Public Data Disposition Authority Number: DAA-0266-2014-0006-0003
2.2	Non-Public Data Disposition Authority Number: DAA-0266-2014-0006-0004
3	Outputs
3.1	Audit File Disposition Authority Number: DAA-0266-2014-0006-0005
3.2	Downloaded and copied data Disposition Authority Number: DAA-0266-2014-0006-0006
3.3	Public filing documents disseminated to sec.gov public site and subscribers Disposition Authority Number: DAA-0266-2014-0006-0007
3.4	Filing fee data that is transferred from EDCAR to OFM systems for input, updating, or transaction processing operations Disposition Authority Number: DAA-0266-2014-0006-0008
4	System Documentation Disposition Authority Number: DAA-0266-2014-0006-0009

Returned Without Action

Records Schedule Items

Sequence Number		
1	<p>Inputs Public data stored in separate repository</p>	
	Disposition Authority Number	DAA-0266-2014-0006-0001
	<p>Public data collected for storage in EDGAR but ultimately maintained in a separate dedicated repository due to unsupported format or personally identifiable information concerns.</p>	
	Final Disposition	Permanent
	Item Status	Withdrawn
	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 at the end of the calendar year
	Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after N/A
	Transfer to the National Archives for Accessioning	Transfer to the National Archives immediately after cutoff, in accordance with 36 CFR 1228.270, or subsequent authority for electronic records transfer requirement.
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 1992 To 2014
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
		Estimated Current Volume Annual Accumulation
	Electronic/Digital	200 GB 15 GB

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Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

All other inputs and source records used to create, update or modify records in EDGAR

Disposition Authority Number DAA-0266-2014-0006-0002

All inputs and source records used to create, update or modify records in EDGAR including the following: Filings and related materials prepared and transmitted by the filing community in electronic format through specially designed EDGAR software packages, third party software applications, or dedicated EDGAR website. This includes ED Filings Broker/Dealers submitted through the CRD (Central Registration Depository) of FINRA and loaded into EDGAR nightly. Filer filing fee data for fee-bearing filings. Data submission forms used to create, update, or modify records in EDGAR, including metadata about paper filing submissions entered by SEC staff using the EDGAR Workstation application. Records uploaded by SEC staff to document SEC activity with regards to a filer and/or submissions that can be used by all SEC divisions. Materials include examination reports, correspondence with filer, and accounting reports.

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period Destroy/delete after it has been captured in the system and verified, when no longer needed for legal or audit purposes or to support the reconstruction of or serve as a backup to the electronic records. (GRS 20, item 2)

Additional Information

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GAO Approval Not Required

Master File

Public Data

Disposition Authority Number DAA-0266-2014-0006-0003

EDGAR data that is accepted and disseminated publicly including SEC work product or other private data that has become eligible for public dissemination under the FOIA rules.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic formats other than e-mail and word processing?

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

GRS or Superseded Authority Citation N1-266-96-2, Item 3a

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year.

Transfer to the National Archives for Accessioning Transfer to the National Archives immediately after cutoff, in accordance with 36 CFR 1228.270, or subsequent authority for electronic records transfer requirement.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1992 To 2014

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	600 GB	45 GB
Paper		

Microform		
Hardcopy or Analog Special Media		

2.2

Non-Public Data

Disposition Authority Number DAA-0266-2014-0006-0004

FDGAR non-public data consisting of examination reports, correspondence with clients, accounting reports, memorandum, filing fee data, records covered by confidential treatment orders, and other data not intended for public dissemination.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? No

Explanation of limitation Master File of an electronic information system

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

GRS or Superseded Authority Citation N1-266-96-2, Item 3b

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year.

Retention Period Destroy 20 year(s) after cutoff

Additional Information

GAO Approval Not Required

3

Outputs

3.1

Audit File

Disposition Authority Number DAA-0266-2014-0006-0005

Audit file that provides the receiver of disseminated public and private filings with detailed information about the day's transmission, used to verify that submissions and post-acceptance corrections have been disseminated; and a confirmation

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(certification) file which provides feedback to EDGAR on the dissemination status of output filings.

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period Destroy/delete when no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 16)

Additional Information

GAO Approval Not Required

Downloaded and copied data

Disposition Authority Number DAA-0266-2014-0006-0006

Reports and copies downloaded from EDGAR for analysis or review.

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period Delete when no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 12)

Additional Information

GAO Approval Not Required

3.2

3.3

Public filing documents disseminated to sec.gov public site and subscribers

Disposition Authority Number DAA-0266-2014-0006-0007

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 5)

Additional Information

GAO Approval Not Required

3.4

Filing fee data that is transferred from EDGAR to OFM systems for input, updating, or transaction processing operations

Disposition Authority Number DAA-0266-2014-0006-0008

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period Delete from the receiving system or device when no longer needed for processing. (GRS 20, Item 12c)

Additional Information

GAO Approval Not Required

4

System Documentation

Disposition Authority Number DAA-0266-2014-0006-0009

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later. (GRS 20, item 11(a)(1))

Additional Information

GAO Approval Not Required

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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
05/28/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/14/2015	Return without Action	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services

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