

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2014-0007

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 Division of Corporation Finance

Schedule Subject Filing Activity Tracking System (FACTS)

Internal agency concurrences will be provided No

Background Information FACTS is an IT system that records certain filing review activities performed by staff within the Division of Corporation Finance (CF). This system provides the current status of filings, and the workload of staff members, a particular office, or the entire division. The system automatically creates a new record whenever a filing comes into the Electronic Data Gathering and Retrieval (EDGAR) system that meets certain criteria. Key data elements from the filing (such as the company's name, filing date, and form type) are automatically retrieved from EDGAR. CF staff members then add individual information to the relevant record in FACTS pertaining to their pending and completed reviews, so that division and office level reports may be processed or tailored to the needs of the senior staff.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2014-0007

Sequence Number

1

Master File

Disposition Authority Number: DAA-0266-2014-0007-0002

Records Schedule Items

Sequence Number		
1	Master File	
	Disposition Authority Number	DAA-0266-2014-0007-0002
	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 the system is decommissioned.
	Retention Period	Destroy 5 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
05/29/2014	Certify	Curt Franciscó	Records Officer	Office of Support - Office of Records Management Services
10/14/2014	Submit for Concur rence	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/18/2014	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - Records Management Services
11/18/2014	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
11/20/2014	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist