

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2016-0010
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 Human Resources
Schedule Subject Learning Management System (LMS)
Internal agency concurrences will be provided No

Background Information
The Office of Human Resources (OHR) provides leadership for the strategic management of the SEC's human capital by administering programs, establishing policies, and ensuring compliance with federal regulations. OHR develops, implements, and evaluates the Commission's programs and policies for the following areas: Recruitment, staffing, retention, and separation; Position management and classification; Compensation and benefits counseling and processing; Leadership and employee development; Performance management and awards; Employee relations; Labor relations; Disability program; Work/life programs; Telework; Employee records processing and maintenance; Employee financial disclosure. OHR also represents the Commission as the liaison to the Office of Personnel Management (OPM), professional human resources organizations, other Federal Government agencies, educational institutions, and the private sector in matters relating to human capital management activities.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2016-0010

Sequence Number	
1	SEC Learning Management System (LMS) Master File
1.1	Learner Data Disposition Authority Number: DAA-0266-2016-0010-0001
1.2	Training Data Disposition Authority Number: DAA-0266-2016-0010-0002
1.3	Course Content Disposition Authority Number: DAA-0266-2016-0010-0003
1.4	Instructor Data Disposition Authority Number: DAA-0266-2016-0010-0004

Records Schedule Items

Sequence Number	
1	<p>SEC Learning Management System (LMS) Master File The SEC Learning Management System (LMS) is a web-based computer system used to track training provided by the Securities and Exchange Commission (SEC). The major functions of this LMS includes providing access to Commission-specific web-based courseware, managing an online catalog of course offerings, automated training registration and approval processes; online individual development planning; online testing and surveys; tracking of training resources, management of and reporting of training data; and tracking training certificates. This automated training management system allows SEC to track training courses and report to the U. S. Office of Personnel Management (OPM) in accordance with 5 C F.R. 410.701.</p>
1.1	<p>Learner Data</p> <p>Disposition Authority Number DAA-0266-2016-0010-0001</p> <p>The LMS maintains information about each learner. Data fields may include: name, unique identifier, position information, contact information, Supervisor's information, date of separation, Individual Development Plans, etc.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Electronic Information System</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 at the end of the calendar year after learner separates from the organization.</p> <p>Retention Period Destroy 10 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Training Data</p>

Disposition Authority Number DAA-0266-2016-0010-0002

The LMS maintains training information which tracks a learner's participation in SEC-sponsored training that each learner has requested and/or completed. Data fields may include learner's Name, Course Title, Scheduled Date(s), Completion Date, Certifications earned, etc.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation 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

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year after learner separates from the organization.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

Course Content

Disposition Authority Number DAA-0266-2016-0010-0003

The LMS maintains the Master Copy of the Course Content.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation 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

Disposition Instruction

1.3

1.4

Cutoff Instruction Cut off when superseded or obsolete

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

Instructor Data

Disposition Authority Number DAA-0266-2016-0010-0004

The LMS maintains information for instructor-led courses. Data fields may include: Name, Contact Information, Course Title, and Course Date(s).

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation 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

Disposition Instruction

Cutoff Instruction Cut off when superseded or obsolete

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
03/31/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/10/2016	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/11/2016	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
08/11/2016	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
08/12/2016	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist