

#..SEC-23

**System name:**

Staff Time and Activity Tracking System (STATS)--SEC.

**System location:**

Securities and Exchange Commission, Office of the Executive Director,  
Securities and Exchange Commission, 450 Fifth Street NW, Washington, DC  
20549.

**Categories of individuals covered by the system:**

Past and current SEC employees.

**Categories of records in the system:**

The records are computerized and contain information about Commission employees including the employee's name, employee identification number, hours worked during each week, compensation data, and work-activity classifications for each week.

**Authority for maintenance of the system:**

Applicable sections in chapters 21 through 89 of Title 5 of the United States Code.

**Routine uses of records maintained in the system, including categories of users and the purposes of such uses:**

These records and information in the records be used:

1. As a data source for management information for production of summary descriptive statistics and analytical studies reflecting the Commission's allocations of cost and man-hours by budget activity. Reports generated by this system are used by the Commission and the staff to substantiate requests to Congress and others for personnel allocation and utilization; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.
2. For any court litigation or administrative action involving review of personnel action.
3. For responding to requests from Members of Congress or the Executive branch or other agencies for statistical information concerning manpower utilization and needs. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

**Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:**

**Storage:**

The records are maintained in file folders and on magnetic media.

**Retrievability:**

The records are indexed by the employee's identification number and name.

**Safeguards:**

Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

**Retention and disposal:**

File folders may be destroyed by the organizations compiling the information after three weeks. Magnetic media are maintained on a permanent basis. Tape and disk files on which data is stored are available only through the librarian or chief of operations of the Office of Information Technology. Back up master files on tape are stored in the Federal Record Center in Suitland, Maryland.

**System manager(s) and address:**

Chief Management Analyst, Office of the Executive Director, Securities and Exchange Commission, 450 Fifth Street NW, Washington, DC 20549.

**Notification procedure:**

All requests to determine whether this system of records contains a record pertaining to the requesting individual may be directed to the Privacy Act Officer, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop O-5, Alexandria, VA 22312-2413.

**Record access procedures:**

Persons wishing to obtain information on the procedures for gaining access to or contesting the contents of these records may contact the Privacy Act Officer, Securities and Exchange Commission, 450 Fifth Street NW, Washington, DC 20549.

**Contesting record procedures:**

See Record access procedures above.

**Record source categories:**

The data sources are the weekly staff activity reporting forms submitted by the individual employees of the SEC. The Pay-Time-Leave System is accessed for the compensation information relating to the employee.