

#..SEC-14

**System name:**

Administrative Audit System--SEC.

**System location:**

Securities and Exchange Commission, Operations Center, 6432  
General Green Way, Mail Stop O-3, Alexandria, VA 22312-2413.

**Categories of records in the system:**

The individual's company, or agency name, the object and/or service provided, the cost and/or periodic rental charge, any and all necessary contractual language on purchase orders, contracts, invoices, travel authorizations, and other miscellaneous forms.

**Authority for maintenance of the system:**

31 U.S.C. 35.

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

These records and the information contained in these records may be used as follows:

1. To insure that all obligations and expenditures other than those in the pay and leave system are in conformance with laws, existing rules and regulations, and good business practice.
2. To maintain subsidiary records at the proper account and/or organizational level where responsibility for control of costs exists, giving due consideration to the fixed and variable cost characteristics of each cost category.
3. To provide appropriate audit documentation for Treasury, GAO, other appropriate agencies and for agency use. 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.

The information contained in this system of records will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that circular.

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

**Storage:**

Appropriate accounting data is stored in electronic media and paper form (e.g., purchase orders, memoranda, subsidiary ledgers, invoices, and other miscellaneous records).

**Retrievability:**

These records are retrieved by the individual's name or social security number.

**Retention and disposal:**

The records are maintained and disposed of in accordance with the General Services Administration, General Records Schedule 6, 7, 9, and 20.

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

Associate Executive Director (Finance), Office of the Comptroller, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop O-3, Alexandria, VA 22312-2413.

**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, 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 sources for the records are purchase orders, vouchers, invoices, contracts, and electronic records (e.g., Travel Manager, Frequent Travel Solutions, Inc.) or other paper records submitted by employees, vendors, and other sources, including claims filed by witnesses in SEC actions.