

## Request for Records Disposition Authority

Records Schedule Number DAA-0184-2013-0004

Schedule Status Modified Approved Version

Agency or Establishment Railroad Retirement Board

Record Group / Scheduling Group Records of the Railroad Retirement Board

Records Schedule applies to Department-wide

Schedule Subject Information Resources Management Center--Records Schedule 4

Internal agency concurrences will be provided No

**Background Information**

The Bureau of Information Services Information Resources Management Center supports the information and data collection activities of all operating units within the agency. The key elements of the office mission are to ensure that the Railroad Retirement Board (RRB) complies with the public information collection and accountability requirements of the Paperwork Reduction Act and related OMB directives; to guide and coordinate management of the RRB's forms, reports, records, and circulars; to administer and coordinate the actions required by the Privacy Act; to coordinate the safeguarding of IRS information and the exchange of information with outside organizations; to protect the network including data on the network and devices of the RRB; to maintain system security and disaster recovery files; to maintain a secure electronic environment at the headquarters and field locations in compliance with Federal laws, regulations, and agency directives; to perform security assessments and reviews of major, support application systems, and coordinate actions required by the Federal Information Security Management Act (FISMA) of 2002; to interpret and administer database management policies and standards; to define rules of database use and access constraints; to develop and maintain data dictionary standards, and to recommend policy and other matters relating to data processing such as organization structures and agency-wide strategy.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
13	0	13	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0184-2013-0004

Sequence Number	
1	Privacy Act Awareness Training Disposition Authority Number: DAA-0184-2013-0004-0001
2	Privacy Act Guidance Files Disposition Authority Number: DAA-0184-2013-0004-0002
3	Privacy Act IRS Safeguarding
3.1	Administrative Records. Disposition Authority Number: DAA-0184-2013-0004-0003
3.2	Safeguard Activity Reports/Corrective Action Plans annual reports advising IRS of minor changes specified in the Safeguard Procedures Report, actions on review recommendations, current activities, and planned actions affecting procedures. Disposition Authority Number: DAA-0184-2013-0004-0004
3.3	Safeguard Procedure Reports of how the agency process and protect federal tax information from unauthorized disclosure. Disposition Authority Number: DAA-0184-2013-0004-0005
3.4	Safeguard Review Reports of IRS on-site evaluations of how the agency handles federal tax information. Disposition Authority Number: DAA-0184-2013-0004-0006
4	Computer Matching Agreements Files
4.1	Scanned approved agreements between the RRB and other Federal, State, and local agencies, Data Integrity Board votes approving or disapproving agreements, Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA), and related records. Disposition Authority Number: DAA-0184-2013-0004-0007
4.2	All other copies. Disposition Authority Number: DAA-0184-2013-0004-0008
5	Computer Matching Agreements Database
5.1	Master File. Disposition Authority Number: DAA-0184-2013-0004-0009
6	Information Resource Management Center Database
6.1	Master Files. Disposition Authority Number: DAA-0184-2013-0004-0010
7	Computer Security Training
7.1	Master File. Disposition Authority Number: DAA-0184-2013-0004-0011
7.2	Signed RRB Form G-15s, Security Awareness Training Employees without Network Access documenting completion of security training.

8	<p>Disposition Authority Number: DAA-0184-2013-0004-0012</p> <p>Security Policy and Procedure Files</p> <p>Disposition Authority Number: DAA-0184-2013-0004-0013</p>
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## Records Schedule Items

Sequence Number	
1	<p><b>Privacy Act Awareness Training</b></p> <p>Disposition Authority Number      <b>DAA-0184-2013-0004-0001</b></p> <p>Records documenting notification and completion of agency mandatory training completed by employee and contractors to include sign-in sheets, and G-511, Information Privacy Certification by Contractor.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Inactive</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>No</b></p> <p>Inactive Status Explanation              <b>This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0014-0001</b> <b>DAA-GRS-2016-0014-0001 is GRS 2.6, item 010</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at end of the fiscal year.</b></p> <p>Retention Period                      <b>Delete/destroy 2 years after cut off.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Privacy Act Guidance Files</b></p> <p>Disposition Authority Number      <b>DAA-0184-2013-0004-0002</b></p> <p>Administrative circulars, pamphlets, and forms used by the Chief Privacy Officer to support regulatory requirements, OMB directives, and related functions.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Inactive</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in      <b>Yes</b></p>

3.1

3.2	Additional Information	
	GAO Approval	Not Required
	Safeguard Activity Reports/Corrective Action Plans annual reports advising IRS of minor changes specified in the Safeguard Procedures Report, actions on review recommendations, current activities, and planned actions affecting procedures.	
	Disposition Authority Number	DAA-0184-2013-0004-0004
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of calendar year.
	Retention Period	Destroy 5 year(s) after cut off.
3.3	Additional Information	
	GAO Approval	Not Required
	Safeguard Procedure Reports of how the agency process and protect federal tax information from unauthorized disclosure.	
	Disposition Authority Number	DAA-0184-2013-0004-0005
	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?	No
	Disposition Instruction	

3.4	Cutoff Instruction	Cut off file at end of calendar year the report is received.
	Retention Period	Destroy 5 year(s) after cut off.
	Additional Information	
	GAO Approval	Not Required
	<b>Safeguard Review Reports of IRS on-site evaluations of how the agency handles federal tax information.</b>	
	Disposition Authority Number	DAA-0184-2013-0004-0006
	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
4	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of the calendar year the review is completed.
	Retention Period	Destroy 5 year(s) after cut off.
	Additional Information	
	GAO Approval	Not Required
	<b>Computer Matching Agreements Files</b>	
	<b>Note: Hard copy computer matching agreements, matching records, and cost benefit analysis documentation are maintained by the Office of Programs. Scanned agreements are retained for the same duration as the hard copy records.</b>	
	<b>4.1 Scanned approved agreements between the RRB and other Federal, State, and local agencies, Data Integrity Board votes approving or disapproving agreements, Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA), and related records.</b>	
	Disposition Authority Number	DAA-0184-2013-0004-0007
4.1	Final Disposition	Temporary
	Item Status	Inactive

4.2	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?	No
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0003-0005 DAA-GRS-2016-0003-0005 is GRS 4.2, item 170
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year the agreement is terminated or superseded.
	Retention Period	Delete/destroy 7 years after cut off.
	Additional Information	
	GAO Approval	Not Required
	All other copies.	
	Disposition Authority Number	DAA-0184-2013-0004-0008
	Final Disposition	Temporary
	Item Status	Inactive
	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?	No
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0003-0005 DAA-GRS-2016-0003-0005 is GRS 4.2, item 170
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year.
	Retention Period	Destroy/delete 2 years after cut off.



	<p>Additional Information</p> <p>GAO Approval Not Required</p> <p>5 Computer Matching Agreements Database Standalone Microsoft Access Database owned and maintained by the Chief Privacy Officer used to capture, track, and reference agency Computer Matching Agreements.</p> <p>5.1 Master File.</p> <p>Disposition Authority Number DAA-0184-2013-0004-0009</p> <p>The CMA database contains tables and multiple forms for capturing and tracking information about computer matching agreements.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Only relates to data stored in Computer Matching Database master file.</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>Retention Period Delete when agreement is terminated or information is no longer needed for administrative purposes.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> <p>6 Information Resource Management Center Database Standalone Microsoft Access Database owned and maintained by Records Management Group and Chief Privacy Officer personnel used to capture, track, and reference data about initial and secondary Federal notices for coordination to internal staff and OMB; new, revised, and obsolete agency forms; and privacy threshold and impact assessments information on new and existing major and supporting electronic systems for Privacy Act Systems of Notice approvals, and various ad-hoc reports.</p> <p>6.1 Master Files.</p> <p>Disposition Authority Number DAA-0184-2013-0004-0010</p>
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The IRMC database contains tables and multiple forms for capturing information about privacy, forms, and information collection activities.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	Only relates to data stored in Information Resources Management Center Database master file.
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
<b>Disposition Instruction</b>	
Retention Period	Delete when information is no longer needed for administrative purposes.

**Additional Information**

GAO Approval	Not Required
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**Computer Security Training**

On-line course for annual certification of Security Awareness Training for RRB employees and contractors with network access. The system tracks training by individual, office, date of completion, and certificate of completion as required by Federal Information Security Management Act of 2002. Note: Data in on-line system is purged by SANS administrator.

**Master File.**

Disposition Authority Number	DAA-0184-2013-0004-0011
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Information pertaining to name, office, email address and other related information used to document and track security training.

Final Disposition	Temporary
Item Status	Inactive
Is this item media neutral?	No
Explanation of limitation	Only relates to data stored in the cloud system master file.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No

7.2	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0014-0001 DAA-GRS-2016-0014-0001 is GRS 2.6, item 010
	Disposition Instruction	
	Retention Period	Delete when information is no longer needed for administrative or audit purposes. [See note] Note: Data in on-line system is purged by SANS administrator.
	Additional Information	
	GAO Approval	Not Required
	Signed RRB Form G-15s, Security Awareness Training Employees without Network Access documenting completion of security training.	
	Disposition Authority Number	DAA-0184-2013-0004-0012
	Final Disposition	Temporary
	Item Status	Inactive
	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?	No
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0014-0001 DAA-GRS-2016-0014-0001 is GRS 2.6, item 010
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of calendar year.
8	Retention Period	Destroy 2 years after cut off.
	Additional Information	
	GAO Approval	Not Required
	Security Policy and Procedure Files	
	Disposition Authority Number	DAA-0184-2013-0004-0013
	Records pertaining to implementation of the agency's security program.	
	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?	No
Disposition Instruction	
Cutoff Instruction	Cut off after supersession.
Retention Period	Delete/destroy 1 year after cut off.
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
12/31/2013	Certify	Charles Mierzwa	Records Officer	Bureau of Information Services - Chief of Information Resources Management Center
03/13/2015	Submit for Concurrency	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
03/19/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/19/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/23/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist