

DAA-GRS-2013-0005

This file contains three documents. The “ERA Version” of the schedule is the official version as it appears in the Electronic Records Archives. Its presentation is heavily fielded to ERA architecture. You may find the “Review Version” (the format that will appear when the approved schedule is published online) easier to read. Both versions contain the same information. The Appraisal Memorandum provides additional background explanation and includes the appraiser’s justification for the retention decisions proposed in the schedule.

<i>Document</i>	<i>Page</i>
ERA Version	2
Review Version	14
Appraisal Memorandum	22

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
May 1, 2013

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2013-0005

Schedule Status Appraiser Working Version

Agency or Establishment General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group General Records Schedules

Records Schedule applies to Government-wide

Schedule Subject Records Related to Information Technology Infrastructure and System Maintenance

Internal agency concurrences will be provided No

Background Information Records Related to Information Technology (IT) Infrastructure and System Maintenance involve the operation and maintenance of an agency's IT infrastructure and systems.

IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs).

System Maintenance means the services necessary to implement, test, validate, and maintain the components of an agency's IT infrastructure. Activities include life cycle and change management processes; system maintenance activities for software applications; and IT infrastructure maintenance to support automated needs (i.e., platforms, networks, servers, printers, etc.)

Exclusion:
(1) These items do not apply to the system content.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	1	5	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2013-0005

Sequence Number	
1	Information Technology Oversight and Compliance Records Disposition Authority Number: DAA-GRS-2013-0005-0001
2	Data Administration Records
2.1	Documentation for Permanent Electronic Records Disposition Authority Number: DAA-GRS-2013-0005-0002
2.2	All other records Disposition Authority Number: DAA-GRS-2013-0005-0003
3	Information Technology Operations and Maintenance Records Disposition Authority Number: DAA-GRS-2013-0005-0004
4	Configuration and Change Management Records Disposition Authority Number: DAA-GRS-2013-0005-0005
5	Information Technology Infrastructure Project Files Disposition Authority Number: DAA-GRS-2013-0005-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1192 415">Information Technology Oversight and Compliance Records</p> <p data-bbox="345 432 1149 468">Disposition Authority Number DAA-GRS-2013-0005-0001</p> <p data-bbox="345 485 1511 1094">Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Information Technology Oversight and Compliance records include those such as: • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • web trend analysis • inventory of web activity • web use statistics • comments/feedback from web site users • internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act • system availability reports • target IT architecture reports • systems development lifecycle handbooks • computer network assessments and follow-up documentation • certification and accreditation of equipment • contractor evaluation reports • quality assurance reviews and reports • market analyses and performance surveys • benefit-cost analyses • reports on implementation of plans • compliance reviews • data measuring or estimating impact and compliance</p> <p data-bbox="345 1110 919 1146">Final Disposition Temporary</p> <p data-bbox="345 1163 878 1199">Item Status Pending</p> <p data-bbox="345 1215 818 1251">Is this item media neutral? Yes</p> <p data-bbox="345 1268 818 1402">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 data-bbox="345 1419 818 1514">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="345 1530 1073 1602">GRS or Superseded Authority Citation N1-GRS-03-1 item 1a N1-GRS-03-1 item 1b</p> <p data-bbox="345 1640 659 1675">Disposition Instruction</p> <p data-bbox="345 1692 1520 1774">Retention Period Destroy 5 year(s) after the project/activity/transaction is completed or superseded, whichever is appropriate</p> <p data-bbox="345 1808 656 1843">Additional Information</p> <p data-bbox="345 1860 951 1896">GAO Approval Not Required</p>
2	Data Administration Records

Data Administration means the services related to data administration support. Activities include the maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. Includes records that explain the meaning, purpose, logical relationships (such as software operating manuals), and use and origin of data. Also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information. Data administration records include those such as: • software operating manuals • data standards • corporate data models • registries • metadata and associated repositories • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • user guides • output specifications • final reports (regardless of medium)

2.1

Documentation for Permanent Electronic Records

Disposition Authority Number DAA-GRS-2013-0005-0002

Certain documentation relating to electronic records that are scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records. These records include: • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • user guides • output specifications NOTES: (1) Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. (2) Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

Final Disposition Permanent

Item Status Pending

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

GRS or Superseded Authority Citation N1-GRS-07-4 item 11a2

Disposition Instruction

Transfer to the National Archives for Accessioning Transfer to the National Archives with the permanent electronic records to which the documentation relates.

	<p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives? Unknown This authority applies to records across the entire Federal Government. Specific transfers are unknown.</p> <p>How frequently will your agency transfer these records to the National Archives? Unknown This authority applies to records across the entire Federal Government. Specific transfers are unknown.</p>
2.2	<p>All other records</p> <p>Disposition Authority Number DAA-GRS-2013-0005-0003</p> <p>Documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent.</p> <p>Final Disposition Temporary</p> <p>Item Status Pending</p> <p>Is this item media neutral? Yes</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>GRS or Superseded Authority Citation N1-GRS-07-4 item 11a1</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 5 year(s) after superseded, or the system is terminated, or data is migrated to successor system, whichever is appropriate.</p>
3	<p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Information Technology Operations and Maintenance Records</p> <p>Disposition Authority Number DAA-GRS-2013-0005-0004</p> <p>Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with the control and</p>

operation of buildings and rooms where IT equipment, systems, and storage media are located, system performance testing, asset and configuration management, change management, and maintenance on the network infrastructure. Operations and Maintenance records include those such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:
 - o reviews
 - o site visit reports
 - o trouble reports
 - o equipment service histories
 - o reports of follow-up actions
 - o related correspondence
- Electronic files or records created solely to test system performance, as well as related documentation
- Inventories of IT assets, network circuits, and building or circuitry diagrams
- equipment control systems such as databases of barcodes affixed to IT physical assets
- requests for service
- work orders
- service histories
- workload schedules
- run reports
- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - o measures of benchmarks
 - o performance indicators
 - o critical success factors
 - o error and exception reporting
 - o self-assessments
 - o performance monitoring
 - o management reports
- website administration
 - o frames
 - o templates
 - o style sheets
 - o site maps
 - o codes that determine site architecture
 - o change requests
 - o site posting logs
 - o clearance records
 - o dynamic home pages and main content pages that change frequently and reflect temporal Importance
 - o requests for correction of incorrect links or content posted
 - o requests for removal of duplicate information
 - o user logs
 - o search engine logs
 - o audit logs
- contract award fees
- records to allocate charges and track payment for software and services
- performance agreements
- service level agreements
- service support levels
- third party agreements

NOTES: (1) If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. (2) Copies of records needed to support contracts should be in procurement files, which are scheduled under the GRS for Records Related to Financial Management.

Final Disposition	Temporary
Item Status	Pending
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
GRS or Superseded Authority Citation	N1-GRS-03-1 item 2 N1-GRS-95-2 item 1a N1-GRS-03-1 item 3a N1-GRS-03-1 item 3b2 N1-GRS-03-1 item 8a N1-GRS-03-1 item 8b

		N1-GRS-03-1 item 8c N1-GRS-03-1 item 9a N1-GRS-03-1 item 9b N1-GRS-03-1 item 9c
	Disposition Instruction	
	Retention Period	Destroy 3 year(s) after agreement, control measures, or procedures are superseded or terminated; or records have no outstanding payment issues; or project/activity/transaction is obsolete, completed, or superseded, whichever is appropriate
	Additional Information	
	GAO Approval	Not Required
4	Configuration and Change Management Records	
	Disposition Authority Number	DAA-GRS-2013-0005-0005
		Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Configuration and Change Management records include those such as: • data and detailed reports on implementation of systems, applications and modifications • application sizing, resource and demand management records • documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes • documentation of software distribution and release or version management NOTE: (1) If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.
	Final Disposition	Temporary
	Item Status	Pending
	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
	GRS or Superseded Authority Citation	N1-GRS-03-1 item 3b1
	Disposition Instruction	
	Retention Period	Destroy 1 year(s) after system is terminated

5	Additional Information	
	GAO Approval	Not Required
	Information Technology Infrastructure Project Files	
	Disposition Authority Number	DAA-GRS-2013-0005-0006
	<p>Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services. IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes records documenting: 1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; 2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; 3) models, diagrams, schematics, and technical documentation; and 4) quality assurance reviews and test plans, data, and results. Information Technology Infrastructure Project Files include those such as: • installation and testing records • installation reviews and briefings • quality assurance reviews • requirements specifications • technology refresh plans • operational support plans • test plans • models, diagrams, schematics, and technical documentation</p> <p>EXCLUSIONS: (1) Records concerning the development of each information technology (IT) system and software application are excluded. Use the GRS for System Development. (2) Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.</p>	
	Final Disposition	Temporary
	Item Status	Pending
	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
GRS or Superseded Authority Citation	N1-GRS-03-1 item 11a N1-GRS-03-1 item 11b N1-GRS-03-1 item 11c	
Disposition Instruction		
Retention Period	Destroy 5 year(s) after project is terminated	

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
04/30/2013	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services

Executive Summary

Summary

Permanent Item Numbers 0002

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0

NOTE: This schedule is intended to be used as an alternate review version of a Request for Records Disposition Authority submitted for approval in the Electronic Records Archive (ERA). This version contains the same information that is in ERA with one exception, it has provided hierarchical overview and item numbers. These numbers reflect the manual citation numbers that will appear in the manual version of the GRS published on NARA's website.

REQUEST FOR RECORDS DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2013-0005

Agency or Establishment: General Records Schedules (National Archives and Records Administration)

Records Group: General Records Schedules

Record Schedule applies to: Government-wide

Schedule Subject: Records Related to Information Technology Infrastructure and System Maintenance

Background Information:

Records Related to Information Technology (IT) Infrastructure and System Maintenance involves the operation and maintenance of an agency's IT infrastructure and systems.

IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs).

System Maintenance means the services necessary to implement, test, validate, and maintain the components of an agency's IT infrastructure. Activities include life cycle and change management processes; system maintenance activities for software applications; and IT infrastructure maintenance to support automated needs (i.e., platforms, networks, servers, printers, etc.)

Exclusion:

(1) These items do not apply to the system content.

1. Information Technology Oversight and Compliance Records

Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations.

Information Technology Oversight and Compliance records include those such as:

- recurring and special reports
- responses to findings and recommendations
- reports of follow-up activities

- statistical performance data
- metrics
- web trend analysis
- inventory of web activity
- web use statistics
- comments/feedback from web site users
- internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act
- system availability reports
- target IT architecture reports
- systems development lifecycle handbooks
- computer network assessments and follow-up documentation
- certification and accreditation of equipment
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Disposition: Temporary. Destroy 5 year(s) after the project/activity/transaction is completed or superseded, whichever is appropriate.

Disposition Authority: DAA-GRS-2013-0005-0001

Media Neutral: Yes.

Supersedes: N1-GRS-03-1 item 1a (GRS 24, item 1a); N1-GRS-03-1 item 1b (GRS 24, item 1b)

GAO Approval: Not Required

2. Data Administration Records

Data Administration means the services related to data administration support. Activities include the maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. Includes records that explain the meaning, purpose, logical relationships (such as software operating manuals), and use and origin of data. Also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.

Data administration records include those such as:

- software operating manuals
- data standards
- corporate data models
- registries
- metadata and associated repositories
- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- user guides
- output specifications
- final reports (regardless of medium)

a. Documentation for Permanent Electronic Records

Certain documentation relating to electronic records that are scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records. These records include:

- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- user guides
- output specifications

NOTES:

- (1) Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.
- (2) Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

Disposition: Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

Disposition Authority: DAA-GRS-2013-0005-0002

Media Neutral: Yes.

Supersedes: N1-GRS-07-4 item 11a2 (GRS 20, item 11a2)

GAO Approval: Not Required

b. All other records

Documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent.

Disposition: Temporary. Destroy 5 years after superseded, or the system is terminated, or data is migrated to successor system, whichever is appropriate.

Disposition Authority: DAA-GRS-2013-0005-0003

Media Neutral: Yes.

Supersedes: N1-GRS-07-4 item 11a1 (GRS 20, item 11a1)

GAO Approval: Not Required

3. Information Technology Operations and Maintenance Records

Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, system performance testing, asset and configuration management, change management, and maintenance on the network infrastructure.

Operations and Maintenance records include those such as:

- files identifying IT facilities and sites
- files concerning implementation of IT facility and site management
- equipment support services provided to specific sites:
 - reviews
 - site visit reports
 - trouble reports
 - equipment service histories
 - reports of follow-up actions
 - related correspondence
- Electronic files or records created solely to test system performance, as well as related documentation
- Inventories of IT assets, network circuits, and building or circuitry diagrams
- equipment control systems such as databases of barcodes affixed to IT physical assets
- requests for service
- work orders
- service histories

- workload schedules
- run reports
- schedules of maintenance and support activities
- problem reports and related decision documents relating to the software infrastructure of the network or system
- reports on operations
 - measures of benchmarks
 - performance indicators
 - critical success factors
 - error and exception reporting
 - self-assessments
 - performance monitoring
 - management reports
- website administration
 - frames
 - templates
 - style sheets
 - site maps
 - codes that determine site architecture
 - change requests
 - site posting logs
 - clearance records
 - dynamic home pages and main content pages that change frequently and reflect temporal importance
 - requests for correction of incorrect links or content posted
 - requests for removal of duplicate information
 - user logs
 - search engine logs
 - audit logs
- contract award fees
- records to allocate charges and track payment for software and services
- performance agreements
- service level agreements
- service support levels
- third party agreements

NOTES:

- (1) If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.
- (2) Copies of records needed to support contracts should be in procurement files, which are scheduled under the GRS for Records Related to Financial Management.

Disposition: Temporary. Destroy 3 year(s) after agreement, control measures, or procedures are superseded or terminated; or records have no outstanding payment issues; or project/activity/transaction is obsolete, completed, or superseded, whichever is appropriate.

Disposition Authority: DAA-GRS-2013-0005-0004

Media Neutral: Yes.

Supersedes: N1-GRS-03-1 item 2 (GRS 24, item 2)
N1-GRS-95-2 item 1a (GRS 20, item 1a)
N1-GRS-03-1 item 3a (GRS 24, item 3a)
N1-GRS-03-1 item 3b2 (GRS 24, item 3b2)
N1-GRS-03-1 item 8a (GRS 24, item 8a)
N1-GRS-03-1 item 8b (GRS 24, item 8b)
N1-GRS-03-1 item 8c (GRS 24, item 8c)
N1-GRS-03-1 item 9a (GRS 24, item 9a)
N1-GRS-03-1 item 9b (GRS 24, item 9b)
N1-GRS-03-1 item 9c (GRS 24, item 9c)

GAO Approval: Not Required

4. Configuration and Change Management Records

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems.

Configuration and Change Management records include those such as:

- data and detailed reports on implementation of systems, applications and modifications
- application sizing, resource and demand management records
- documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes
- documentation of software distribution and release or version management

NOTE:

- a. If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Disposition: Temporary. Destroy 1 year(s) after system is terminated.

Disposition Authority: DAA-GRS-2013-0005-0005

Media Neutral: Yes.

Supersedes: N1-GRS-03-1 item 3b1 (GRS 24, item 3b1)

GAO Approval: Not Required

5. Information Technology Infrastructure Project Files

Records of individual projects designed to provide and support *new* agency IT infrastructure, systems, and services. IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes records documenting:

- 1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications;
- 2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting;
- 3) models, diagrams, schematics, and technical documentation; and
- 4) quality assurance reviews and test plans, data, and results.

Information Technology Infrastructure Project Files include those such as:

- installation and testing records
- installation reviews and briefings
- quality assurance reviews
- requirements specifications
- technology refresh plans
- operational support plans
- test plans
- models, diagrams, schematics, and technical documentation

EXCLUSIONS:

- (1) Records concerning the development of each information technology (IT) system and software application are excluded. Use the GRS for System Development.
- (2) Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA.

Disposition: Temporary. Destroy 5 year(s) after project is terminated.

Disposition Authority: DAA-GRS-2013-0005-0006

Media Neutral: Yes.

Supersedes: N1-GRS-03-1 item 11a (GRS 24, item 11a)

N1-GRS-03-1 item 11b (GRS 24, item 11b)

N1-GRS-03-1 item 11c (GRS 24, item 11c)

GAO Approval: Not Required

DRAFT



NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION
8601 ADELPHI ROAD
COLLEGE PARK, MD 20740-6001
www.archives.gov

Date: April 25, 2013
Appraiser: Laura Adams McHale, ACNR
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-2013-0005

AMR 4/29/13

INTRODUCTION

Schedule Overview

Records Related to Information Technology Infrastructure and System Maintenance

Additional Background Information

This schedule provides disposal authorization for records related to the design and maintenance of an agency's Information Technology (IT) infrastructure. This is a sub-function within the Technology Management portion of the new GRS. Many of the items in this schedule originate from General Records Schedule (GRS) 24 and a few come from the former GRS 20. NARA added a new activity, Data Administration, as part of this sub-function to address this business activity within information technology organizations.

NARA developed this schedule with assistance from the following agencies: Department of Energy/Sandia Labs, Department of Health and Human Services, National Aeronautics and Space Administration, Department of Justice, Department of Labor, Federal Deposit Insurance Corporation, National Park Service, Social Security Administration, and the US Environmental Protection Agency. The schedule was further refined by comments received from the following volunteer agencies: Department of Housing and Urban Development, Office of Inspector General, Federal Housing Finance Agency, US Government Accountability Office, the National Reconnaissance Office and the Nuclear Regulatory Commission. Schedule development and review also included a representative from NARA's Corporate Records Management.

Overall Recommendation

I recommend approval of the attached schedule.

APPRAISAL

Item 0001: Information Technology Oversight and Compliance

This item covers records typically found in offices with agency-wide or bureau-wide responsibility for managing information technology (IT) operations.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary. Oversight and Compliance Files-Performance measurements and benchmarks, N1-GRS-03-1, item 1a. Oversight and Compliance Files-All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance, N1-GRS-03-1, item 1b.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. This item merges 2 previously approved GRS items that had retentions ranging from 1 year to 5 years. Records are kept to align with programmatic needs associated with the 5 year IT strategic planning cycle.

Media Neutrality: Approved

Item 0002: Data Administration Records-Documentation for Permanent Electronic Records

Records consists only of data/database dictionary records, data systems specifications; file specifications, code books, record layouts, and user guides These records are created and maintained within information technology offices in order to facilitate the use of data standards in systems. They also have secondary value as documentation for permanent and temporary electronic records.

We added this item to provide a GRS authority for finding aids and similar agency-developed guides to permanent records. Originally we considered revising the item for system documentation related to permanent system so that the instruction was to apply the disposition authority for the related master files. However, we determined that we could not make the master file disposition authorities retrospectively apply to system documentation, so the items have not been changed.

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as permanent. Documentation-Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule, N1-GRS-07-4, item 11a2.

Adequacy of Proposed Transfer Instructions: Appropriate. There has been no change to the item's disposition instruction. There has been a change to the description of this item to reflect the types of records acceptable for transfer. We added this item to provide a GRS authority for finding aids and similar agency-developed guides to permanent records. Originally we considered revising the item for system documentation related to permanent systems so that the instruction was to apply the disposition authority for the related master files. However, we determined that we could not make the master file disposition authorities retrospectively apply to system documentation, so the items have not been changed.

Media Neutrality: Approved

Item 0003: Data Administration Records-All other records

These records are created and maintained within information technology offices in order to facilitate the use of data standards in systems. They also have secondary value as documentation for permanent and temporary electronic records.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary. Documentation- Data systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records- Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule, N1-GRS-07-4, item 11a1.

* Similar records have been approved as temporary. Data Standards Documentation, N1-412-08-15, Item F.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. This item is based on schedules from the US Environmental Protection Agency, the State of New York (*90227 Data Documentation (Metadata)), and the Government of South Australia, General Disposal Schedule No. 15, 8th Edition (9.31 Data Administration).¹ We added a 5 year retention to this item in order to make the retention consistent with DAA-GRS-2013-0004-0001, System Development Records. We determined a 5 year retention was sufficient to meet the business needs of most Federal agencies.

Media Neutrality: Approved

Item 0004: Information Technology Operations and Maintenance Records

Records needed to operate and maintain information technology infrastructure.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary. IT Facility, Site Management, and Equipment Support Services Records, N1-GRS-03-1, item 2. Files/Records Related to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records-Electronic Files or Records created solely to test system performance, as well as hardcopy printouts and related documentation for the electronic files/records, N1-GRS-95-2, item 1a. IT Asset and Configuration Management Files- Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets, N1-GRS-03-1 item 3a. IT Asset and Configuration Management Files-Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records,

¹General Retention and Disposition Schedule for New York State Government Records, Effective January 2008. (As viewed on April 16, 2013 at

http://www.archives.nysed.gov/a/records/mr_pub_genschedule_accessible.html) and the Government of South Australia, General Disposal Schedule No. 15, 8th Edition (as viewed on April 16, 2013 at

http://www.archives.sa.gov.au/files/management_GDS15_schedule.pdf).

N1-GRS-03-1 item 3b2. IT Operations Records- Workload schedules, run reports, and schedules of maintenance and support activities, N1-GRS-03-1 item 8a. IT Operations Records-Problem reports and related decision documents relating to the software infrastructure of the network or system, N1-GRS-03-1 item 8b. IT Operations Records- Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports, N1-GRS-03-1 item 8c. Financing of IT Resources and Services-Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements, N1-GRS-03-1 item 9a. Financing of IT Resources and Services-Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance, N1-GRS-03-1 item 9b. Financing of IT Resources and Services-Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7, N1-GRS-03-1 item 9c.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. We have combined several functionally-similar GRS 24 items with retentions ranging from 1 to 3 years to create this new item. We determined a 3 year retention was sufficient to meet the business needs of most Federal agencies.

Media Neutrality: Approved

Item 0005: Configuration and Change Management Records

Records created and retained for asset and system management.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary. IT Asset and Configuration Management Files- Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management, N1-GRS-03-1 item 3b1.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. There has been no change to the item's disposition instruction. We determined a 1 year retention was sufficient to meet the business needs of most Federal agencies.

Media Neutrality: Approved

Item 0006: Information Technology Infrastructure Project Files

Project records document new agency IT infrastructure, systems, and services.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary. IT Infrastructure Design and Implementation Files- Records for projects that are not implemented, N1-GRS-03-1 item 11a. IT Infrastructure

Design and Implementation Files- Records for projects that are implemented, N1-GRS-03-1 item 11b. IT Infrastructure Design and Implementation Files- Installation and testing records, N1-GRS-03-1 item 11c.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. We combined former GRS 24 Items 11 a-c (which ranged in retention from 1 to 5 years) into one item in order to reduce the granularity and simplify this series for agency use. We determined a 5 year retention was sufficient to meet the business needs of most Federal agencies.

Media Neutrality: Approved

LAURA ADAMS McHALE
Appraiser