

DAA-GRS-2017-00xx

Information Technology Records
(GRS 6.3)

This file contains three documents. The Draft Schedule is the proposed text of the new GRS in publication format. The Draft Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. The Crosswalk provides additional help in schedule implementation.

This schedule has not yet been entered into the Electronic Records Archives, pending finalization through agency and stakeholder review.

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GENERAL RECORDS SCHEDULE 6.3: Information Technology Records

-DRAFT of 3/13/2017-

This schedule covers records related to Federal agency Information Technology (IT) program planning to design and operate major information resources management processes; acquire and manage IT capital investments; monitor IT program performance; and develop and maintain an agency’s IT architecture.

This schedule does not include records related to high-level Government-wide IT planning or oversight. These records may be of permanent value and must be scheduled on an agency-specific records schedule.

This schedule does not include records of the Office of Management and Budget (OMB) documenting OMB’s oversight role relating to Government-wide Information Resources Management (IRM) and Federal IT spending. These records are scheduled by an OMB-specific schedule.

Related records are covered elsewhere in the GRS. IT records are covered in GRS 3.1 General Technology Management and 3.2 Information Systems Security Records.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|--|-------------------------------|
| 010 | <p>Information technology Capital Planning and Investment Control (CPIC) records.</p> <p>Records about the development of agency IT programs and capital investment planning that:</p> <ul style="list-style-type: none"> ● document agency-wide IT goals ● specify milestones to be achieved ● identify performance measures for the agency’s IT portfolio ● document agency measures to meet specific governance requirements in OMB Circular A-130 such as compliance with the Federal Information Technology Acquisition Reform Act (FITARA) and TechStat reviews led by the Chief Information Officer (CIO) or other applicable performance measurements to evaluate the use of agency information resources ● summarize the underlying principles and approach by which the agency will plan for and manage its IT resources ● document activities that focus on trying new approaches, new systems and thinking about/ planning IT investments in different ways <p>Includes:</p> | <p>Temporary. Destroy when 7 years old or when no longer needed, whichever is later, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-00XX-0001</p> |

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| | <ul style="list-style-type: none">● strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission● records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records developed by internal agency governance boards● records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities● reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting● portfolio management records, including clearance and review● Reports on IT capital investments, such as capital asset plans● OMB Exhibit 300: Capital Asset Plan and Business Case Summaries, including IT Dashboard Exhibit 300 submissions● business cases for major investments, systems, acquisitions, or operational assets identified in the agency’s capital investment portfolio; and related clearance and review records <p>Exclusion 1: Official agency policy records generated by the Chief Information Officer (CIO) are not covered by this item. They are considered agency policy and issuance records and must be scheduled in agency-specific schedules.</p> <p>Exclusion 2: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.</p> <p>Exclusion 3: This item does not apply to system data or content. Records relating to specific mission-related systems must be scheduled individually by submission of an agency-specific schedule.</p> <p>Note 1: Systems development records are covered by GRS 3.1, General Technology Management Records, item 011, System Development Records.</p> | | |
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| | <p>Note 2: Records documenting system and operational level compliance with IT policies, directives, and plans are covered by GRS 3.1 General Technology Management, item 040, Information technology oversight and compliance records.</p> <p>Supersedes: GRS 27, item 1 (N1-GRS-04-4, item 1) GRS 27, item 3 (N1-GRS-04-4, item 3) GRS 27, item 5 (N1-GRS-04-4, item 5)</p> | | |
| <p>020</p> | <p>Enterprise architecture records. Records that describe the agency’s baseline or target enterprise architecture including technical reference models, diagrams, graphics, models, sequencing plans, and narratives.</p> <p>Note 1: Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications are covered by GRS 3.1, item 010, Infrastructure Project Records.</p> <p>Supersedes: GRS 27, item 2 (N1-GRS-04-4, item 2)</p> | <p>Temporary. Destroy 7 years after supersession by a new iteration of the enterprise architecture, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-XXXX-0002</p> |



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Date: March 13, 2017
Appraiser: Laura Adams McHale, ACRA
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-2017-00xx-pending

DRAFT

INTRODUCTION

Schedule Overview

GRS 6.3 Information Technology Records

Additional Background Information

This schedule provides disposition authority for records ancillary to an agency's primary mission focus in the area of information technology (IT). In other words, these are records which support an agency accomplishing its mission, but are neither mission nor administrative in nature. The GRS covers mission support records when their business and historical value can be established Government-wide; information technology is such an area. This schedule covers items from old GRS 27 Records of the Chief Information Officer (Items 1, 2, 3, and 5).

There are three major changes to the former GRS 27 items found in this new schedule. First, we made this GRS is more functional by placing it under the GRS 6.0 Mission Support category and eliminating the organizational-based title construct of the old schedule titled, Records of the Chief Information Officer. Changing this to a more functionally-oriented schedule eliminates the potential for confusion as email records are often scheduled at the account holder level by agencies adopting the Capstone approach.

Second, we combined GRS 27, items for IT program planning (GRS 27, item 1) and IT Capital Investment (GRS 27, item 3) based on the feedback from agencies and their experiences in implementing old GRS 27. Third, we increased the retention of CIO Committee Records (GRS 27, item 5) from 5 to 7 years and aggregated the records into the first item, also at the request of subject matter experts within agencies. NARA added no new items to the GRS with this schedule.

We developed this schedule with assistance from the US Department of Transportation, Tennessee Valley Authority, Social Security Administration, National Archives and Records Administration, Institute of Museum and Library Services, U.S. Securities and Exchange Commission, Department of Homeland Security, Veterans Health Administration - US Department of Veterans Affairs, Central Intelligence Agency, US Department of Energy, US Department of Justice, and National Aeronautics and Space Administration.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

Item 0001 (GRS 6.3, item 010): Information technology Capital Planning and Investment Control (CPIC) records.

Records covered include IT program planning records coming out of the program management and administrative processes taken before making significant investments in information technology (planning), the documentation of the Capital Planning and Investment Control (CPIC) process (acquisition), programmatic records evaluating the results of investments (governance), and CIO committee records. Such committees are typically headed by the agency CIO and may include members from headquarters, bureau, and field office IT programs as well as related stakeholders in the agency. Records reflecting executive decision-making are covered by other agency-specific schedules.

During agency review, agency subject matter experts stated there was no real substantive difference in how they use the records covered by the three old items and that they should be combined. We came to the same conclusion after reviewing the dossier for these items, as well as the requirements set forth by the Clinger Cohen Act of 1996 and Federal Information Technology Acquisition Reform Act (FITARA). Thus, the coverage of the new item has not changed significantly, though it has been updated to cover the records of agency program planning measures to meet governance requirements coming out of recent revisions to OMB Circular A-130, "Managing Information as a Strategic Resource" and the new OMB M-15-14, Management and Oversight of Federal Information Technology which provides implementation guidance for activities governed by the FITARA, passed by Congress in December 2014.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 27, item 1 (N1-GRS-04-4, item 1) – 7 years

GRS 27, item 3 (N1-GRS-04-4, item 3) – 7 years

GRS 27, item 5 (N1-GRS-04-4, item 5) – 5 years

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention has not changed for the records covered by GRS 27, items 1 and 3. The previous disposition stated "Destroy/delete when 7 years old or when no longer needed, whichever is later." The changes we have made are to aggregate three old GRS items (GRS 27, items 1, 3 and 5), remove the annual cutoff statements which had been part of both superseded GRS 27, items 1 and 3, update the description to reflect recent Office of Management and Budget requirements, and add the flexible retention statement to enable agencies to keep these records longer should their business needs warrant longer retention than 7 years. In addition, this item now incorporates GRS 27, item 5, CIO Committee records. We have increased the retention from 5 to 7 years to ensure committee records are maintained for as long as program planning and capital investment records. We have also added the flexible retention statement to these records, so agencies may now keep them longer than 7 years, if needed, rather than destroying them when five years old. The 7-year minimum retention ensures the availability of

records for a period of time sufficient to allow budgetary and programmatic oversight of the agency's IT capital investments.

Media Neutrality: Approved

Item 0002 (GRS 6.3, item 020): Enterprise architecture records.

The records covered by this item are the same as those covered by GRS 27, item 2, Enterprise Architecture Records.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 27, item 5 (N1-GRS-04-4, item 2) – 7 years

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention remains essentially the same with the only difference being an update of the disposition instruction language from “Destroy/delete when 7 years old or when no longer needed, whichever is later.” to “Destroy 7 years after supersession by a new iteration of the enterprise architecture, but longer retention is authorized if required for business use.”

Media Neutrality: Approved



LAURA ADAMS McHALE

Appraiser

| New GRS 6.3 | | | | Old GRS | | | |
|-------------|----------|-----------|--------------------------------------|---------|----------|-----------|-----------------------|
| GRS No. | Item No. | Retention | ERA Number/ Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 6.3 | 010 | 7 years | DAA-GRS-2017-00xx-0001 | 27 | 1 | 7 years | N1-GRS-04-4, item 1 |
| | | | | 27 | 3 | 7 years | N1-GRS-04-4, item 3 |
| | | | | 27 | 5 | 5 years | N1-GRS-04-4, item 5 |
| 6.3 | 020 | 7 years | DAA-GRS-2017-00xx-0002 | 27 | 2 | 7 years | N1-GRS-04-4, item 2 |