

DAA-GRS-2013-0004

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.

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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-2013-0004

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 System Development

Internal agency concurrences will be provided No

Background Information Records related to system development cover all activities associated with the in-house design and development of information technology systems and software applications. In 1996, Congress enacted the Clinger-Cohen Act which required executive agencies to improve the acquisition and management of their information resources. The Act assigned the Director of the Office of Management and Budget (OMB) responsibility for improving the acquisition, use, and disposal of information technology by the Federal Government. The OMB Director oversees the development and implementation of standards and guidelines pertaining to Federal computer systems by the Secretary of Commerce through the National Institute of Standards and Technology. Records documenting OMB’s government-wide information management planning and programming are not authorized for disposal by this schedule.

The E-Government Act of 2002 codified the existence of the US Federal Chief Information Officers Council. The Council develops recommendations for government information technology management policies, procedures, and standards. US Federal Chief Information Officers Council records are not authorized for disposal by this schedule.

For records related to the actual maintenance of a system, see the GRS schedule for Records Related to Information Technology Infrastructure and System Maintenance.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items

1	0	1	0
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GAO Approval

Outline of Records Schedule Items for DAA-GRS-2013-0004

Sequence Number

1

System Development Records

Disposition Authority Number: DAA-GRS-2013-0004-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 779 411">System Development Records</p> <p data-bbox="342 432 1149 464">Disposition Authority Number DAA-GRS-2013-0004-0001</p> <p data-bbox="342 485 1516 863">System Development is the development of each information technology (IT) system and software application through its various stages: planning, requirements analysis, design, verification and testing, procurement, installation, up until hand-off to production. Case files contain documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. System Development records include those such as: • project plans • feasibility studies • cost analyses • requirements documents • compliance documents including: o Privacy Threshold Analyses (PTAs) o Privacy Impact Assessments (PIAs) o System of Record Notices (SORNs) • procurement documents • communications with contractors • deliverables • change control records • closeout records NOTES: (1) This item does not apply to the system content. (2) The official procurement records are kept in the Finance office and not in the Information Technology (IT) office. This item only covers copies of procurement files that may be in the IT office. (3) For copies of technical documentation related to the design or maintenance of an electronic system use the GRS for Records Related to Information Technology Infrastructure and System Maintenance, Documentation for Permanent Electronic Records because the most complete version of system documentation is retained within the maintenance phase.</p> <p data-bbox="342 1188 919 1220">Final Disposition Temporary</p> <p data-bbox="342 1241 878 1272">Item Status Pending</p> <p data-bbox="342 1293 821 1325">Is this item media neutral? Yes</p> <p data-bbox="342 1346 821 1377">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="342 1493 821 1524">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="342 1598 1057 1661">GRS or Superseded Authority Citation N1-GRS-81-7, item 1</p> <p data-bbox="342 1703 659 1734">Disposition Instruction</p> <p data-bbox="342 1766 1471 1871">Retention Period Destroy 5 year(s) after system is terminated, defunded, or otherwise does not serve the original purpose</p>

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

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-2013-0004

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 System Development

Background Information:

Records related to system development cover all activities associated with the in-house design and development of information technology systems and software applications. In 1996, Congress enacted the Clinger-Cohen Act which required executive agencies to improve the acquisition and management of their information resources. The Act assigned the Director of the Office of Management and Budget (OMB) responsibility for improving the acquisition, use, and disposal of information technology by the Federal Government. The OMB Director oversees the development and implementation of standards and guidelines pertaining to Federal computer systems by the Secretary of Commerce through the National Institute of Standards and Technology. Records documenting OMB's government-wide information management planning and programming are not authorized for disposal by this schedule.

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For records related to the actual maintenance of a system, see the GRS schedule for Records Related to Information Technology Infrastructure and System Maintenance.

1. System Development Records

System Development is the development of each information technology (IT) system and software application through its various stages: planning, requirements analysis, design, verification and testing, procurement, installation, up until hand-off to production. Case files contain documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving.

System Development records include those such as:

- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - Privacy Threshold Analyses (PTAs)
 - Privacy Impact Assessments (PIAs)
 - System of Record Notices (SORNs)
- procurement documents
- communications with contractors
- deliverables
- change control records
- closeout records

NOTES:

- (1) This item does not apply to the system content.
- (2) The official procurement records are kept in the Finance office and not in the Information Technology (IT) office. This item only covers copies of procurement files that may be in the IT office.
- (3) For copies of technical documentation related to the design or maintenance of an electronic system use the GRS for Records Related to Information Technology Infrastructure and System Maintenance, Documentation for Permanent Electronic Records because the most complete version of system documentation is retained within the maintenance phase.

Disposition: Temporary. Destroy 5 year(s) after system is terminated, defunded, or otherwise does not serve the original purpose.

Disposition Authority: DAA-GRS-2013-0004-0001

Media Neutral: Yes.

Supersedes: N1-GRS-81-7, item 1 (GRS 16, item 9)

GAO Approval: Not Required



NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION
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Date: April 26, 2013
Appraiser: Laura Adams McHale, ACNR
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-2013-0004

AMR 4/29/13

INTRODUCTION

Schedule Overview

Records Related to System Development

Additional Background Information

This schedule provides disposal authorization for systems and application development records. This is a new functional area within the GRS. NARA lists System Development Records under Technology Management which we consider an Administrative Support Function. NARA added this new function to align the GRS along common functions based in part on the Federal Enterprise Architecture (FEA).

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. We further refined the schedule by incorporating comments received from the following 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: System Development Records

This item covers documentation, primarily case files, concerning the development of information technology (IT) systems and software applications from initial planning until the systems are operational. Records include those related to project management such as requirements development, procurement, and compliance created during system development.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

*Previously approved as temporary (N1-GRS-81-7 item 1/GRS 16, item 9). This item includes feasibility studies currently scheduled in the GRS.

*Has little or no research value. These records are administrative in nature and have little to no value for historical research.

* Similar records have been approved as temporary. These records are currently scheduled as temporary in agencies (see N1-64-08-12, item 5; N1-543-11-1, item 6.1a; and N1-434-98-22, item 10.1).

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. NARA based the retention on documentation review, comments from agencies, and on the former GRS item, Feasibility Studies, N1-GRS-81-7 item 1 (GRS 16, item 9). GRS 16, item 9 provided for the destruction of system feasibility studies and systems analyses 5 years after the conclusion or cancellation of the study. This new GRS relies on the 5 year retention of the previous item as the basis for its retention. The retention for this new item also is based on previously approved agency schedules where the records retention was between 5 and 15 years after the system was decommissioned¹. We determined a 5 year retention was sufficient to meet the business needs of most Federal agencies.

To expand our review, we included the General Retention and Disposition Schedule for New York State Government Records, Effective January 2008, *90225 Application Development Project Files which provided for destruction 3 years after completion of project and after administrative needs for records have ended. We also reviewed General Disposal Schedule No.15 (GDS 15), which applies to general administrative records created and maintained by State Government Agencies of South Australia. GDS 15 (8th Edition), Item 17.32.1 under Database Management provides for a 7 year destruction of Records relating to the development of databases and usage protocols after database closed or superseded, or data migrated to successor system. Based on this additional review, we believe a 5 year retention will be sufficient to meet most agencies business needs.

Media Neutrality: Approved

LAURA ADAMS McHALE
Appraiser

¹ Systems Development, N1-64-08-12, item 5. Project Files, Records Common to Most FHFA Offices, N1-543-11-1, item 6.1a. Software Development, N434-98-022 item 10.1.