

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2013-0005

Status: APPROVED
Date Approved: 06/12/2014
Last Modified: 11/05/2024

General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	General Technology Management Records
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <p>This schedule covers records created and maintained by Federal agencies related to the general management of technology. It includes records related to developing, operating, and maintaining computer software, systems, and infrastructure improvements; complying with information technology policies and plans; and maintaining data standards.</p> <ul style="list-style-type: none">• This schedule does not apply to system data or content.• This schedule does not apply to records documenting the Office of Management and Budget and the US Federal Chief Information Officers Council government-wide information management planning and programming.• There may be copies of the Exhibit 300 records within these case files. However, agencies should continue to file the recordkeeping copy as part of IT Capital Investment Records.• Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 8

Number of Temporary disposition items: 7

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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

Item #	Title	Disposition
0006	Information technology development project records : Infrastructure project records	Temporary
0007	Information technology development project records : System development records	Temporary
0008	Information technology development project records : Special purpose computer programs and applications	Temporary
0004	Information technology operations and maintenance records	Temporary
0005	Configuration and change management records	Temporary
0002	Data administration records : Documentation necessary for preservation of permanent electronic records.	Permanent
0003	Data administration records : All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.	Temporary
0010	Information technology oversight and compliance records	Temporary

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Records Schedule Items

Group Title	Information technology development project records
DAA-GRS-2013-0005-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Infrastructure project records
Item Description	<p>Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as:</p> <ul style="list-style-type: none">• maintaining network servers, desktop computers, and other hardware,• installing and upgrading network operating systems and shared applications, and• providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. <p>Includes records such as:</p> <ul style="list-style-type: none">• installation and testing records• installation reviews and briefings• quality assurance and security review• requirements specifications• technology refresh plans• operational support plans• test plans• models, diagrams, schematics, and technical documentation <p>EXCLUSION: (1) 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> <p>NOTE:</p>

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	(1) Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 3.1, item 010	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-GRS-03-1 item 11a	No	
N1-GRS-03-1 item 11b	No	
N1-GRS-03-1 item 11c	No	
N1-GRS-95-2 item 1a	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Destroy 5 year(s) after project is terminated, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
DAA-GRS-2013-0005-0007	STATUS: Active	
ITEM GENERAL INFORMATION		
	Item Title	System development records
	Item Description	These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving.
		Includes records such as:

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- project plans
- feasibility studies
- cost analyses
- requirements documents
- compliance documents including:
 - o Privacy Threshold Analyses (PTAs)
 - o Privacy Impact Assessments (PIAs)
 - o Security Plan
 - o Information Protection Plan
- change control records
- Project Schedule
- Plan of Action and Milestones (POA&M)
- Configuration Management Plan
- Resource Management Plan
- Risk Assessment/Mitigation Plan
- Security Plan
- Disaster Recovery Plan
- Test /Acceptance Plan
- Quality Control Plan
- Deployment Guide
- User Guide
- Training Guide

EXCLUSION:

(1) This item does not apply to system data or content.

NOTES:

(1) For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.

(2) This is consistent with the fact that the most complete version of system documentation is retained within the maintenance phase.

Is this item media neutral?	Yes
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Is this item a Big Bucket?	
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MANUAL CITATION

Agency Code	GRS 3.1, item 011
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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-GRS-81-7 item 1	No
N1-GRS-95-2 item 1a	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy 5 year(s) after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-GRS-2013-0005-0008	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Special purpose computer programs and applications

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Item Description	Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.	
	<p>EXCLUSIONS:</p> <p>(1) This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.</p> <p>(2) This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.</p>	
	<p>NOTE:</p> <p>(1) Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.</p>	
Is this item media neutral?	No	
Media limitation	Digital only	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 3.1, item 012	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-GRS-87-5, item 10	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?
GAO Approval Required No

DAA-GRS-2013-0005-0004	STATUS: Active
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ITEM GENERAL INFORMATION

Item Title	Information technology operations and maintenance records
Item Description	<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 IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites: <ul style="list-style-type: none"> o reviews o site visit reports o trouble reports o equipment service histories o reports of follow-up actions o related correspondence • inventories of IT assets, network circuits, and building or circuitry diagrams • equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices • requests for service • work orders • service histories • workload schedules • run reports • schedules of maintenance and support activities

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- 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 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
- records to allocate charges and track payment for software and services

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) Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

Is this item media neutral?	Yes
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Is this item a Big Bucket?	
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MANUAL CITATION

Agency Code	GRS 3.1, item 020
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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-GRS-03-1 item 2	No
N1-GRS-03-1 item 3a	No
N1-GRS-03-1 item 3b2	No
N1-GRS-03-1 item 8a	No
N1-GRS-03-1 item 8b	No
N1-GRS-03-1 item 8c	No
N1-GRS-03-1 item 9a	No
N1-GRS-03-1 item 9b	No
N1-GRS-03-1 item 9c	No
N1-GRS-95-2 item 1a	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy 3 year(s) after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2013-0005-0005	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Configuration and change management records
Item Description	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.
	Includes records such as:
	<ul style="list-style-type: none"> • data and detailed reports on implementation of systems, applications and modifications

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- 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 (including COTS software license management files) and release or version management

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) 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.
- (3) 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.

Is this item media neutral? Yes

Is this item a Big Bucket?

MANUAL CITATION

Agency Code GRS 3.1, item 030

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities? Yes

Superseded Items

Superseded Item	Item Superseded in Part?	Explanation
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N1-GRS-03-1 item 3b1	No	
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Is this item a deviation from the GRS? No

DISPOSITION INSTRUCTION

Final Disposition Temporary

Retention Period Destroy 5 year(s) after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.

ADDITIONAL INFORMATION

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Data administration records
Group Description	Data administration includes 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. This schedule Includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It 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.
DAA-GRS-2013-0005-0002	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Documentation necessary for preservation of permanent electronic records.

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Item Description	<p>Data administration records and documentation relating to electronic records 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.</p> <p>The following records are considered permanent if the associated records are scheduled as permanent:</p> <ul style="list-style-type: none"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications <p>Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.</p> <p>Note 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.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 3.1, item 050	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-GRS-07-4 / 11/A/2	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Permanent	

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Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer to the National Archives with the permanent electronic records to which the documentation relates.
ADDITIONAL INFORMATION	
Current Records Format	Base Migration: Base Migration
Are any of the records covered by this item subject to a FOIA exemption?	
DAA-GRS-2013-0005-0003 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.
Item Description	Data administration records and 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 in item DAA-GRS-2013-0005-0002, including: <ul style="list-style-type: none"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications and also the following records for all electronic records whether scheduled as temporary or permanent <ul style="list-style-type: none"> • software operating manuals • data standards • table and dependency descriptions • taxonomies • schemas • registries • source code • physical data model • logical data model
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	

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Agency Code	GRS 3.1, item 051	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation
N1-GRS-07-4 item 11a1	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Destroy 5 year(s) after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-GRS-2013-0005-0010	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Information technology oversight and compliance records
Item Description	<p>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.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users

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- 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
- vulnerability assessment reports
- assessment and authorization of equipment
- Independent Verification and Validation (IV&V) reports
- contractor evaluation reports
- quality assurance reviews and reports
- market analyses and performance surveys
- benefit-cost analyses
- make vs. buy analysis
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

Note 1: Copies of security plans are scheduled under GRS 3.2, Information Systems Security Records. There may be copies interfiled within this series.

Note 2: SORNs are scheduled under GRS 4.2, item 150.

Is this item media neutral?	Yes
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Is this item a Big Bucket?	
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MANUAL CITATION

Agency Code	GRS 3.1, item 040
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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities?	Yes
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Superseded Items

Superseded Item	Item Superseded in Part?	Explanation
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N1-GRS-03-1 item 1a	No	
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N1-GRS-03-1 item 1b	No	
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Is this item a deviation from the GRS?	No
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DISPOSITION INSTRUCTION

Final Disposition	Temporary
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Retention Period	Destroy 5 year(s) after the project/activity/transaction is completed or superseded, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	06/12/2014