

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2013-0006

Status: APPROVED
Date Approved: 06/12/2014
Last Modified: 11/09/2024

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	Information Systems Security 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 protecting the security of information technology systems and data, and responding to computer security incidents.</p> <ul style="list-style-type: none">•This schedule does not apply to system data or content.
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: 8

Number of Permanent disposition items: 0

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-2013-0006

Item #	Title	Disposition
0001	Systems and Data Security Records	Temporary
0002	Computer Security Incident Handling, Reporting and Follow-up Records	Temporary
0003	System Access Records : Systems Not Requiring Special Accountability for Access	Temporary
0004	System Access Records : Systems Requiring Special Accountability for Access	Temporary
0005	System Backups and Tape Library Records : Incremental backup files	Temporary
0006	System Backups and Tape Library Records : Full backup files	Temporary
0007	Backups of Master Files and Databases : File identical to permanent records scheduled for transfer to the National Archives.	Temporary
0008	Backups of Master Files and Databases : File identical to temporary records authorized for destruction by a NARA-approved records schedule.	Temporary

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Records Schedule Items

DAA-GRS-2013-0006-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Systems and Data Security Records	
Item Description	<p>These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data 	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 3.2, 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 5a	No	
N1-GRS-03-1 item 5b	No	
Is this item a deviation from the GRS?	No	

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DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-GRS-2013-0006-0002	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Computer Security Incident Handling, Reporting and Follow-up Records
Item Description	<p>A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally.</p> <p>Computer Security Incident Handling, Reporting and Follow-up Records include those such as:</p> <ul style="list-style-type: none"> • reporting forms • reporting tools • narrative reports • background documentation <p>Note: Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.</p>
Is this item media neutral?	Yes

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Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 3.2, item 020
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 7	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy 3 year(s) after all necessary follow-up actions have been completed, 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

Group Title	System Access Records
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Group Description	<p>These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use <p>EXCLUSIONS:</p> <p>(1) Excludes records relating to electronic signatures.</p> <p>(2) Does not include monitoring for agency mission activities such as law enforcement.</p>	
DAA-GRS-2013-0006-0003		
		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Systems Not Requiring Special Accountability for Access	
Item Description	These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 3.2, 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
N1-GRS-95-2 item 1c	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy when business use ceases.	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-GRS-2013-0006-0004 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Systems Requiring Special Accountability for Access
Item Description	These are user identification records associated with systems which are highly sensitive and potentially vulnerable.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 3.2, item 031
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
N1-GRS-03-1 item 6a	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy 6 year(s) after password is altered or user account 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

Group Title	System Backups and Tape Library Records
Group Description	Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
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ITEM GENERAL INFORMATION	
Item Title	Incremental backup files
Is this item media neutral?	Yes

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Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 3.2, item 040	
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 4a1	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Retention Period	Other: Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
DAA-GRS-2013-0006-0006		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Full backup files	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	GRS 3.2, item 041	
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 4a2	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	

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Retention Period	Other: Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Backups of Master Files and Databases
Group Description	Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

DAA-GRS-2013-0006-0007 STATUS: Active

ITEM GENERAL INFORMATION

Item Title	File identical to permanent records scheduled for transfer to the National Archives.
Is this item media neutral?	Yes
Is this item a Big Bucket?	

MANUAL CITATION

Agency Code GRS 3.2, item 050

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded Explanation in Part?
N1-GRS-95-2 item 8a	No
Is this item a deviation from the GRS?	No

DISPOSITION INSTRUCTION

Final Disposition	Temporary
Retention Period	Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, 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-2013-0006-0008 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	File identical to temporary records authorized for destruction by a NARA-approved records schedule.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	GRS 3.2, 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-95-2 item 8b	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, 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