

Request for Records Disposition Authority

Records Schedule Number **DAA-GRS-2016-0003**
Schedule Status **Approved**

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 **Additions to General Records Schedule 4.2: Information Access and Protection Records**

Internal agency concurrences will be provided **No**

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Request for Records Disposition Authority

Records Schedule Number **DAA-GRS-2016-0003**
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 **Additions to General Records Schedule 4.2: Information Access and Protection Records**

Internal agency concurrences will be provided **No**

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GAO Approval

Outline of Records Schedule Items for DAA-GRS-2016-0003

Sequence Number	
1	Privacy Act System of Records Notices (SORNs). Disposition Authority Number: DAA-GRS-2016-0003-0002
2	Records analyzing Personally Identifiable Information (PII).
2.1	Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs). Disposition Authority Number: DAA-GRS-2016-0003-0003
2.2	Records of Privacy Impact Assessments (PIAs). Disposition Authority Number: DAA-GRS-2016-0003-0004
3	Computer matching program notices and agreements. Disposition Authority Number: DAA-GRS-2016-0003-0005

Records Schedule Items

Sequence Number					
1	<p>Privacy Act System of Records Notices (SORNs).</p> <p>Disposition Authority Number DAA-GRS-2016-0003-0002</p> <p>Agency copy of notices of the existence and character of systems of records documenting publication in the Federal Register upon system establishment or revision per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e) (11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).</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? No</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 4.2, item 150</td> <td></td> </tr> </tbody> </table> <p>Disposition Instruction</p> <p>Retention Period Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	Manual Citation	Manual Title	GRS 4.2, item 150	
Manual Citation	Manual Title				
GRS 4.2, item 150					
2	<p>Records analyzing Personally Identifiable Information (PII).</p> <p>Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how PII is collected, used, shared, and maintained; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p>				
2.1	<p>Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs).</p> <p>Disposition Authority Number DAA-GRS-2016-0003-0003</p>				

Records of research on whether a Privacy Impact Assessment (PIA) should be conducted.

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

Manual Citation	Manual Title
GRS 4.2, item 160	

Disposition Instruction

Retention Period Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Records of Privacy Impact Assessments (PIAs).

Disposition Authority Number DAA-GRS-2016-0003-0004

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

Manual Citation	Manual Title
GRS 4.2, item 161	

2.2

3

Disposition Instruction

Retention Period Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Computer matching program notices and agreements.

Disposition Authority Number DAA-GRS-2016-0003-0005

Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.

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? No

Manual Citation	Manual Title
GRS 4.2, item 170	

Disposition Instruction

Retention Period Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.

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
01/12/2016	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

Additions to General Records Schedule 4.2: Information Access and Protection Records

March 4, 2016

Item	Records Description	Disposition Instruction	Disposition Authority	
150	<p>Privacy Act System of Records Notices (SORNs). Agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 [5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)], as amended. Also significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item 161).</p>	<p>Temporary. Destroy 2 years after supersession by a revised SORN or after system ceases operation, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0002</p>	
160	<p>Records analyzing Personally Identifiable Information (PII). Records documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Public Law 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material documenting formulation of final products.</p>	<p>Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs). Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).</p>	<p>Temporary. Destroy 3 years after associated PIA is published or determination that PIA is unnecessary, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0003</p>
161	<p>Records of Privacy Impact Assessments (PIAs).</p>	<p>Records of Privacy Impact Assessments (PIAs).</p>	<p>Temporary. Destroy 3 years after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0004</p>
170	<p>Computer matching program notices and agreements. Agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 [5 U.S.C. 552a(e)(12)], as amended. Also agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.</p>	<p>Temporary. Destroy upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0003-0005</p>	

New GRS 4.2				Old GRS			
GRS No.	Item No.	Retention	ERA Number/Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
4.2	150	2 years	DAA-GRS-2016-0003-0002				New item
4.2	160	3 years	DAA-GRS-2016-0003-0003				New item
4.2	161	3 years	DAA-GRS-2016-0003-0004				New item
4.2	170	Superseded or 2 years	DAA-GRS-2016-0003-0005				New item