

## Request for Records Disposition Authority

Records Schedule Number      DAA-GRS-2017-0009

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                General Records Schedule 6.3: Information Technology Records

Internal agency concurrences will be provided      No

**Background Information**

This schedule covers records about Federal agency Information Technology (IT) program planning, which includes designing and operating major IT management processes; acquiring and managing IT capital investments; monitoring IT program performance; and developing and maintaining an agency's IT architecture.

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 and 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 Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

**GAO Approval**

## Outline of Records Schedule Items for DAA-GRS-2017-0009

Sequence Number	
1	Information Technology program and capital investment planning records. Disposition Authority Number: DAA-GRS-2017-0009-0001
2	Enterprise architecture records. Disposition Authority Number: DAA-GRS-2017-0009-0002

## Records Schedule Items

Sequence Number

1

Information Technology program and capital investment planning records.

Disposition Authority Number      DAA-GRS-2017-0009-0001

Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes: # strategic and tactical plans # records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications # records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has 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 OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions # business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately). Exclusion 2: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately). Exclusion 3: System data or content (agencies must schedule these separately). Exclusion 4: Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these). Exclusion 5: Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).

Final Disposition                      Temporary

Item Status                              Active

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 6.3, item 010	

GRS or Superseded Authority Citation **N1-GRS-04-004 / 1  
N1-GRS-04-004 / 3  
N1-GRS-04-004 / 5**

**Disposition Instruction**

Retention Period **Destroy when 7 years old, but longer retention is authorized if required for business use.**

**Additional Information**

GAO Approval **Not Required**

**Enterprise architecture records.**

Disposition Authority Number **DAA-GRS-2017-0009-0002**

Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives. Exclusion: Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).

Final Disposition **Temporary**

Item Status **Active**

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 6.3, item 020	

GRS or Superseded Authority Citation **N1-GRS-04-004 / 2**

2

**Disposition Instruction**

Retention Period

Destroy 7 years after creating a new iteration of the enterprise or information architecture, 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
05/08/2017	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/15/2017	Submit for Concurrence	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/05/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/05/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/11/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist