REQUEST FOR RECORDS DISPOSITION AUTHORITY	LEAVE BLANK (NARA Use Only)
TO: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20408	JOB NUMBER N1-431-08-16
1. FROM (Agency or establishment) **U.S. Nuclear Regulatory Commission**	DATE RECEIVED 7/29/08
2. MAJOR SUBDIVISION Office of Information Services	**NOTIFICATION TO AGENCY** In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER Deborah H. Armentrout, CRM DHA 5. TELEPHONE 301-415-7228	DATE 3/6/09 ARCHIVIST OF THE UNITED STATES Adrienne Thomas

6. **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 on the attached 2 pages are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required; ☐ is attached; or ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
07/23/08	Russell A Nichols for Margaret A. Janney, CRM/NS	NRC Records Officer

7 Item No.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS or Superseded Job Citation	10 Action Taken (NARA Use Only)
	Title: Rational Suite of Tools (Rational), including the NRC System Information Control Database (NSICD) (See Attached Schedule) Thomas D Steward 7/10/09 OIS PMDA Director Date N. Sanchez 7/15/08 Office of General Counsel Date		

U.S. Nuclear Regulatory Commission
Office of Information Services
Rational Suite of Tools (Rational)

Rational Suite of Tools (Rational), including the NRC System Information Control Database (NSICD)

Rational is a suite of tools used to assist in the development of electronic systems and to document the processes and criteria required for this development. The Rational Suite is available for use NRC-wide and helps to increase business value by improving software development capability, the storage and management of system requirements and the system change requests, and the documentation associated with these activities. System development documentation are maintained within Rational until development has been completed at which time the final versions are transferred to the NRC Agency-wide Document Access and Management System (ADAMS) or other currently approved recordkeeping system. The appropriate NARA approved records retention schedule is then applied to the records residing in the recordkeeping system.

The NRC System Information Control Database (NSICD) provides access to metadata describing the purpose, users and significant characteristics of the developed information systems listed in ClearCase.

1. ~~INPUT~~
The electronic information system development life cycle documentation including system characteristics and change requests is placed into Rational for reference and use during the development of a system. Instruction

Approval by Archivist not needed

2. **MASTER FILE**
   a) **Rational Suite**
   The Master file in ClearCase contains copies of the documentation created by the Rational Suite of tools. Modified files are retained with new versions maintained as a unique revision. These documents may include, but are not limited to:
   - Project requirements, interface documents and specifications
   - Development plans, responsibility assignments and status reports
   - Configuration items
   - Functional and logic diagrams
   - Test plans and results
   - Program code
   - Change requests, approvals and tracking data
   - User documentation
   - System requirements and NIST security control requirements
   - Information security certification and accreditation documentation
   - CPIC tracking data

   Disposition: **TEMPORARY.** Cut off files at end of the calendar year that the system is declared operational. Transfer the last version of the documentation to ADAMS or other

currently approved recordkeeping system, as a record and destroy prior versions of these documents.

NOTE: A NARA approved records retention schedule is then applied to the records residing in ADAMS or other approved recordkeeping system.

b) **NRC System Information Control Database (NSICD)**
NSICD maintains metadata about the systems in development and use throughout the Agency. The information screens available through NSICD include:

- Main (System Information)
- Security Information
- Change Request
- Privacy Act Review
- Records Management
- Associated Hardware Assets
- System Software Assets
- System Documentation and Metadata
- System Interfaces
- Users / Roles
- Notes

Disposition: **TEMPORARY.** Cut off files at end of the Calendar year that the system is retired. Delete/destroy the NSICD metadata for the retired system(s) one year after cutoff.

3. **OUTPUT**
System development documents are available to authorized users from the ClearCase Repositories or Versioned Object Bases (VOBs) for use or for reference during development. Reports may be printed as required to manage information system development and documentation.

~~a. System development documents before the information system is operational.~~ Approval by Archivist not needed

Disposition: **TEMPORARY**. ~~Retrieve, revise~~ and refile the documentation as necessary during the system development and testing ~~stages.~~ Instruction

~~b. Adhoc Reports created from the Rational Suite or NSICD systems for use.~~ Approval by Archivist not needed

Disposition: **TEMPORARY.** Destroy/delete when ~~no longer required for business~~ purposes. GRS 20/16

~~4. SYSTEM DOCUMENTATION~~
System ~~documentation for the~~ Rational Suite component programs is available and retained in ADAMS or other currently approved ~~recordkeeping system~~. System documentation includes input specifications, codebooks, record layouts, user guides ~~and output~~ specifications and other system guidance.

Approval by Archivist not needed

~~Disposition~~: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the Rational system or upon the destruction of the outputs of the system if the output is needed to protect legal rights, whichever is latest. [GRS 20, Item 11a] (1)

Background:

The Office of Information Services plans, directs, and oversees the delivery of centralized information technology (IT) infrastructure, applications, and information management (IM) services, and the development and implementation of IT and IM plans, architecture, and policies to support the mission, goals, and priorities of the agency.

The Office of Information Services is responsible for the development of the agency's Information Systems and ensuring that IT security policies related to certification and accreditation, training, and awareness are communicated to agency staff. The Rational Suite supports the NRC system development processes defined in NUREG/BR-0167, "Software Quality Assurance Program and Guidelines". The Rational Suite is Commercial-Off-the-Shelf (COTS) software from IBM.

The NRC uses the following Rational Suite software components:

- Rational Administrator – Used to manage the Rational Suite environment, and associations between Rational artifacts such as Test data stores, Requisite Pro projects and Rose models. Rational Administrator supports the developer in the creation and management of a project using Rational, including upgrading project assets.

- Rational ClearCase – Provides the centralized repository for information system documentation such as system implementation code, system requirements, IT security documents and other documentation. ClearCase allows users to read, checkout and modify documents contained in Versioned Object Bases (VOBs). Records stored through ClearCase may be modified by authorized users, and these revisions are stored as new versions of the record. Document revision history is available through ClearCase.

- Rational ClearQuest – Provides process automation, status reporting, defect and change tracking, and workflow automation tools that support the software development and testing lifecycle.

- Rational ClearQuest Designer – Allows for the creation of database schemas, which interact with MS SQL Server (2000) and interfaces, working in conjunction with ClearQuest and other tools in the Rational Suite. The ClearQuest Designer has been used to create information systems for the Agency, such as NRC System Information Control Database (NSICD), the Capital Planning and Investment Control (CPIC) workflow and the Change Request workflow.

- Rational Requisite Pro (ReqPro) – ReqPro is a requirements management tool used by project teams to improve the communication of project goals, enhance collaborative development, and increase requirements traceability. In addition, ReqPro produces use case documentation, which is stored in ClearCase while under development.

- Rational Rose – Rose is a flowcharting and graphics modeling tool used in supporting the systems development lifecycle.

- Rational SoDA – SoDA is a report generation tool that supports adhoc reporting as well as formal documentation requirements. Reports are generated using the result set produced from a query of a database.

- Rational TestManager – TestManager is a tool designed to help project teams manage product testing from initial test case planning, through test development, to execution of the tests and analysis of the results. System functional requirements are linked to test cases, and documented to ensure complete test coverage.

- NRC System Information Control Database (NSICD) -- NSICD is an NRC-developed system (developed using ClearQuest Designer), which maintains supplemental information on all systems within the Agency. Specific data elements are accessible through ClearQuest, and populated on ten separate data screens. The screens are protected to restrict access to the various data screens.