

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2013-0005

Schedule Status Modified Approved 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 General Technology Management Records

Internal agency concurrences will be provided No

Background Information 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.

- 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.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 8 | 1 | 7 | 0 |

GAO Approval

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

| Sequence Number | |
|-----------------|---|
| 1 | Information technology development project records |
| 1.1 | Infrastructure project records Disposition Authority Number: DAA-GRS-2013-0005-0006 |
| 1.2 | System development records Disposition Authority Number: DAA-GRS-2013-0005-0007 |
| 1.3 | Special purpose computer programs and applications Disposition Authority Number: DAA-GRS-2013-0005-0008 |
| 2 | Information technology operations and maintenance records Disposition Authority Number: DAA-GRS-2013-0005-0004 |
| 3 | Configuration and change management records Disposition Authority Number: DAA-GRS-2013-0005-0005 |
| 4 | Information technology oversight and compliance records Disposition Authority Number: DAA-GRS-2013-0005-0010 |
| 5 | Data administration records |
| 5.1 | Documentation necessary for preservation of permanent electronic records. Disposition Authority Number: DAA-GRS-2013-0005-0002 |
| 5.2 | All documentation for temporary electronic records and documentation not necessary for preservation of permanent records. Disposition Authority Number: DAA-GRS-2013-0005-0003 |

Records Schedule Items

| Sequence Number | | | | | |
|--------------------------|--|-----------------|--------------|--------------------------|--|
| 1 | Information technology development project records | | | | |
| 1.1 | <p>Infrastructure project records</p> <p>Disposition Authority Number DAA-GRS-2013-0005-0006</p> <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: • 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. Includes records such as: • 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 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. NOTE: (1) Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</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 3.1, item 010</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-GRS-03-1 item 11a N1-GRS-03-1 item 11b N1-GRS-03-1 item 11c</p> | Manual Citation | Manual Title | GRS 3.1, item 010 | |
| Manual Citation | Manual Title | | | | |
| GRS 3.1, item 010 | | | | | |

N1-GRS-95-2 item 1a

Disposition Instruction

Retention Period Destroy 5 year(s) after project is terminated, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

1.2

System development records

Disposition Authority Number DAA-GRS-2013-0005-0007

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: • 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.

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 3.1, item 011

GRS or Superseded Authority Citation N1-GRS-81-7 item 1
N1-GRS-95-2 item 1a

Disposition Instruction

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

GAO Approval Not Required

Special purpose computer programs and applications

Disposition Authority Number DAA-GRS-2013-0005-0008

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. **EXCLUSIONS:** (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. (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. **NOTE:** (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.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Applies to electronic records only.

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

1.3

GRS 3.1, item 012

GRS or Superseded Authority Citation

N1-GRS-87-5, item 10

Disposition Instruction

Retention Period

Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.

Additional Information

GAO Approval

Not Required

Information technology operations and maintenance records

Disposition Authority Number

DAA-GRS-2013-0005-0004

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. Includes records such as: • files identifying IT facilities and sites • files concerning implementation of IT facility and site management • equipment support services provided to specific sites: 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 • 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.

Final Disposition

Temporary

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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 3.1, item 020 | |

GRS or Superseded Authority Citation

- N1-GRS-95-2 item 1a
- N1-GRS-03-1 item 2
- N1-GRS-03-1 item 3a
- N1-GRS-03-1 item 3b2
- N1-GRS-03-1 item 8a
- N1-GRS-03-1 item 8b
- N1-GRS-03-1 item 8c
- N1-GRS-03-1 item 9a
- N1-GRS-03-1 item 9b
- N1-GRS-03-1 item 9c

Disposition Instruction

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

GAO Approval **Not Required**

Configuration and change management records

Disposition Authority Number **DAA-GRS-2013-0005-0005**

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: • data and detailed reports on implementation of systems, applications and modifications • 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

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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.

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 3.1, item 030 | |

GRS or Superseded Authority Citation N1-GRS-03-1 item 3b1

Disposition Instruction

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

GAO Approval Not Required

Information technology oversight and compliance records

Disposition Authority Number DAA-GRS-2013-0005-0010

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. Includes records such as: • 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

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from web site or application users • 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.

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 3.1, item 040 | |

GRS or Superseded Authority Citation N1-GRS-03-1 item 1a
N1-GRS-03-1 item 1b

Disposition Instruction

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

GAO Approval Not Required

Data administration records

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

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5.1

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.

Documentation necessary for preservation of permanent electronic records.

Disposition Authority Number **DAA-GRS-2013-0005-0002**

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. The following records are considered permanent if the associated records are scheduled as permanent: • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications
 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. 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.

Final Disposition **Permanent**

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 3.1, item 050 | |

GRS or Superseded Authority Citation **N1-GRS-07-4 / 11/A/2**

Disposition Instruction

Transfer to the National Archives for Accessioning **Transfer to the National Archives with the permanent electronic records to which the documentation relates.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown
This authority applies to records accross the entire Federal Government. Specific transfers are unknown.**

5.2

How frequently will your agency transfer these records to the National Archives? **Unknown**
This authority applies to records across the entire Federal Government. Specific transfers are unknown.

All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.

Disposition Authority Number **DAA-GRS-2013-0005-0003**

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: • 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 • software operating manuals • data standards • table and dependency descriptions • taxonomies • schemas • registries • source code • physical data model • logical data model

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 3.1, item 051 | |

GRS or Superseded Authority Citation **N1-GRS-07-4 item 11a1**

Disposition Instruction

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

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 |
|------------|------------------------|------------------|---|--|
| 04/30/2013 | Certify | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 05/14/2014 | Submit for Concurrence | Laura McHale | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 06/10/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 06/11/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 06/12/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |