

Request for Records Disposition Authority

Records Schedule Number DAA-0330-2021-0009

Schedule Status Approved

Agency or Establishment Office of the Secretary of Defense

Record Group / Scheduling Group Records of the Office of the Secretary of Defense

Records Schedule applies to Department-wide

Schedule Subject SMART Information Management System (SIMS)

Internal agency concurrences will
be provided No

Background Information

Background:

The Office of the Secretary of Defense (OSD) is a headquarters-level staff of the Department of Defense of the United States of America. It is the principal civilian staff element of the Secretary of Defense, and it assists the Secretary in carrying out authority, direction and control of the Department of Defense in the exercise of policy development, planning, resource management, fiscal, and program evaluation responsibilities.

Under Secretary of Defense for Research and Engineering (USD (R&E)) is the principal staff advisor for research and engineering matters to the Secretary and Deputy Secretary of Defense. In this capacity, USD (R&E) serves as the Chief Technology Officer (CTO) for the Department of Defense charged with the development and oversight of DoD technology strategy in concert with the department's current and future requirements.

National Defense Education Program (NDEP) is a Department of Defense (DoD) program established to provide grant opportunities and applications to educational and industry partners on innovative mechanisms to in the areas of Science, Technology, Engineering, and Mathematics (STEM) education, outreach, and/or workforce initiative programs, here onto referred as STEM activities.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 3 | 0 | 3 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0330-2021-0009

| Sequence Number | |
|-----------------|---|
| 1 | SMART Information Management System (SIMS) |
| 1.1 | SIMS Master Files_Participant's Information Only Disposition Authority Number: DAA-0330-2021-0009-0001 |
| 1.2 | SIMS Master Files_Applicants not Chosen for Participation Information Only Disposition Authority Number: DAA-0330-2021-0009-0002 |
| 1.3 | SIMS Master File_Participating DoD Laboratory Facility Information Only Disposition Authority Number: DAA-0330-2021-0009-0003 |

Records Schedule Items

| Sequence Number | | | | | | | | | | | | | | | | | |
|---|--|------------------------------|-------------------------|-------------------|-----------|-------------|--------|-----------------------------|-----|---|----|--------------------------------|--|--------------------|---|------------------|----------------------------------|
| 1 | <p>SMART Information Management System (SIMS)</p> <p>The SIMS is a secure database that contains personal identifying information (PII) of program participants used to support the operation and administration of the Science, Mathematics & Research for Transformation (SMART) Scholarship-for-Service Program under the National Defense Education Program (NDEP). The SMART Program was established by the DoD under 10 USC Section 2192a as an opportunity for students pursuing an undergraduate or graduate degree in science, technology, engineering, and mathematics (STEM) disciplines to receive a full scholarship and be gainfully employed by the DoD upon completion of the degree. The main goal of the program is to increase the number of civilian scientists and engineers working at DoD laboratories. This program is supported by the Director Defense Research & Engineering (DDR&E), whose mission is to ensure that the warfighter has superior and affordable technology to support their missions and provide war winning capabilities. SYSTEM INTERFACES: Not Applicable, no external system interfaces PRIMARY INPUTS: Includes but is not limited to: applicant's data (i.e. name, address, DOB, gender, race, etc.); grading and testing history (i.e. GPA, GRE scores, transcripts, education work plans); participating university/college information (i.e. school name, address, phone numbers, etc.) OUTPUTS: Include but are not limited to various ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent reports or created for the purpose of information sharing or reference are retained in accordance with specific schedules for these records. (GRS 5.2, Item 20)</p> | | | | | | | | | | | | | | | | |
| 1.1 | <p>SIMS Master Files_Participant's Information Only</p> <table border="0"> <tr> <td>Disposition Authority Number</td><td>DAA-0330-2021-0009-0001</td></tr> <tr> <td>Final Disposition</td><td>Temporary</td></tr> <tr> <td>Item Status</td><td>Active</td></tr> <tr> <td>Is this item media neutral?</td><td>Yes</td></tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>No</td></tr> <tr> <td colspan="2">Disposition Instruction</td></tr> <tr> <td>Cutoff Instruction</td><td>Cut off upon completion of service commitment or upon repayment of funds.</td></tr> <tr> <td>Retention Period</td><td>Destroy 30 year(s) after cut off</td></tr> </table> | Disposition Authority Number | DAA-0330-2021-0009-0001 | 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? | No | Disposition Instruction | | Cutoff Instruction | Cut off upon completion of service commitment or upon repayment of funds. | Retention Period | Destroy 30 year(s) after cut off |
| Disposition Authority Number | DAA-0330-2021-0009-0001 | | | | | | | | | | | | | | | | |
| 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? | No | | | | | | | | | | | | | | | | |
| Disposition Instruction | | | | | | | | | | | | | | | | | |
| Cutoff Instruction | Cut off upon completion of service commitment or upon repayment of funds. | | | | | | | | | | | | | | | | |
| Retention Period | Destroy 30 year(s) after cut off | | | | | | | | | | | | | | | | |

| | | |
|-----|---|--|
| 1.2 | Additional Information | |
| | GAO Approval | Not Required |
| | SIMS Master Files_Applicants not Chosen for Participation Information Only | |
| | Disposition Authority Number | DAA-0330-2021-0009-0002 |
| | 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? | No |
| | Disposition Instruction | |
| | Cutoff Instruction | Cut off in the year (FY) applicant withdraws or is not accepted. |
| 1.3 | Retention Period | Destroy 3 year(s) after cut off |
| | Additional Information | |
| | GAO Approval | Not Required |
| | SIMS Master File_Participating DoD Laboratory Facility Information Only | |
| | Disposition Authority Number | DAA-0330-2021-0009-0003 |
| | 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? | No |
| | Disposition Instruction | |
| | Cutoff Instruction | Cut off upon termination of affiliation with the program and upon disposition of associated participant information. |
| | Retention Period | Destroy immediately after cut off |
| | 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 |
|------------|------------------------|------------------|---|--|
| 05/26/2021 | Certify | Luz Ortiz | OSD Records Manager | Department of Defense - Office of the Secretary of Defense |
| 01/12/2022 | Submit for Concurrence | David Weber | Senior Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 01/19/2022 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 01/19/2022 | Concur | Laurence Brewer | Chief Records Officer | National Records and Archives Administration - National Records and Archives Administration |
| 01/19/2022 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |