

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2013-0006

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 Information Systems Security Records

Internal agency concurrences will be provided No

Background Information This schedule covers records created and maintained by Federal agencies related to protecting the security of information technology systems and data, and responding to computer security incidents.

•This schedule does not apply to system data or content.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	0	8	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2013-0006

Sequence Number	
1	Systems and Data Security Records Disposition Authority Number: DAA-GRS-2013-0006-0001
2	Computer Security Incident Handling, Reporting and Follow-up Records Disposition Authority Number: DAA-GRS-2013-0006-0002
3	System Access Records
3.1	Systems Not Requiring Special Accountability for Access Disposition Authority Number: DAA-GRS-2013-0006-0003
3.2	Systems Requiring Special Accountability for Access Disposition Authority Number: DAA-GRS-2013-0006-0004
4	System Backups and Tape Library Records
4.1	Incremental backup files Disposition Authority Number: DAA-GRS-2013-0006-0005
4.2	Full backup files Disposition Authority Number: DAA-GRS-2013-0006-0006
5	Backups of Master Files and Databases
5.1	File identical to permanent records scheduled for transfer to the National Archives. Disposition Authority Number: DAA-GRS-2013-0006-0007
5.2	File identical to temporary records authorized for destruction by a NARA-approved records schedule. Disposition Authority Number: DAA-GRS-2013-0006-0008

Records Schedule Items

Sequence Number		
1	Systems and Data Security Records Disposition Authority Number DAA-GRS-2013-0006-0001 These are records related to maintaining the security of information technology (IT) systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Includes records such as: • System Security Plans • Disaster Recovery Plans • Continuity of Operations Plans • published computer technical manuals and guides • examples and references used to produce guidelines covering security issues related to specific systems and equipment • records on disaster exercises and resulting evaluations • network vulnerability assessments • risk surveys • service test plans • test files and data 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 3.2, item 010	
	GRS or Superseded Authority Citation	N1-GRS-03-1 item 5a N1-GRS-03-1 item 5b
	Disposition Instruction	
	Retention Period	Destroy 1 year(s) after system is superseded by a new iteration or when no longer needed for agency/ IT administrative purposes to ensure a continuity of security controls throughout the life of the system.
	Additional Information	
	GAO Approval	Not Required

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Computer Security Incident Handling, Reporting and Follow-up Records

Disposition Authority Number **DAA-GRS-2013-0006-0002**

A computer incident within the Federal Government as defined by NIST Special Publication 800-61, Computer Security Incident Handling Guide, Revision 2, (August 2012) is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Computer Security Incident Handling, Reporting and Follow-up Records include those such as: • reporting forms • reporting tools • narrative reports • background documentation Note: Any significant incidents (e.g., a major system failure or compromise of critical government data) must be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately by submitting an SF 115 to NARA.

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 3.2, item 020	

GRS or Superseded Authority Citation **N1-GRS-03-1 item 7**

Disposition Instruction

Retention Period **Destroy 3 year(s) after all necessary follow-up actions have been completed, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

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System Access Records

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate

3.1

systems access by users. Includes records such as: • user profiles • log-in files • password files • audit trail files and extracts • system usage files • cost-back files used to assess charges for system use EXCLUSIONS: (1) Excludes records relating to electronic signatures. (2) Does not include monitoring for agency mission activities such as law enforcement.

Systems Not Requiring Special Accountability for Access

Disposition Authority Number **DAA-GRS-2013-0006-0003**

These are user identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.

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 3.2, item 030	

GRS or Superseded Authority Citation **N1-GRS-95-2 item 1c**

Disposition Instruction

Retention Period **Destroy when business use ceases.**

Additional Information

GAO Approval **Not Required**

3.2

Systems Requiring Special Accountability for Access

Disposition Authority Number **DAA-GRS-2013-0006-0004**

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

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
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Do any of the records covered by this item exist as structured electronic data?	Yes
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Manual Citation	Manual Title
GRS 3.2, item 031	

GRS or Superseded Authority Citation N1-GRS-03-1 item 6a

Disposition Instruction

Retention Period	Destroy 6 year(s) after password is altered or user account is terminated, but longer retention is authorized if required for business use.
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Additional Information

GAO Approval Not Required

System Backups and Tape Library Records

Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Incremental backup files

Disposition Authority Number DAA-GRS-2013-0006-0005

Final Disposition	Temporary
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Item Status **Active**

Is this item media neutral? Yes

Do any of the records covered	No
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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Manual Citation	Manual Title
GRS 3.2, item 040	

GRS or Superseded Authority Citation	N1-GRS-03-1 item 4a1
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Disposition Instruction

4.2	Retention Period	Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.				
	Additional Information					
	GAO Approval	Not Required				
	Full backup files					
	Disposition Authority Number	DAA-GRS-2013-0006-0006				
	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				
<table><tr><td>Manual Citation</td><td>Manual Title</td></tr><tr><td>GRS 3.2, item 041</td><td></td></tr></table>			Manual Citation	Manual Title	GRS 3.2, item 041	
Manual Citation	Manual Title					
GRS 3.2, item 041						
GRS or Superseded Authority Citation	N1-GRS-03-1 item 4a2					
Disposition Instruction						
Retention Period	Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.					
Additional Information						
GAO Approval	Not Required					
5	Backups of Master Files and Databases					
	Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.					
5.1	File identical to permanent records scheduled for transfer to the National Archives.					
	Disposition Authority Number	DAA-GRS-2013-0006-0007				
	Final Disposition	Temporary				

5.2

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 3.2, item 050	

GRS or Superseded Authority Citation N1-GRS-95-2 item 8a

Disposition Instruction

Retention Period Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

File identical to temporary records authorized for destruction by a NARA-approved records schedule.

Disposition Authority Number DAA-GRS-2013-0006-0008

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 3.2, item 051	

GRS or Superseded Authority Citation	N1-GRS-95-2 item 8b
Disposition Instruction	
Retention Period	Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file, 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