

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0009
Schedule Status Approved

Agency or Establishment Environmental Protection Agency
Record Group / Scheduling Group Records of the Environmental Protection Agency
Records Schedule applies to Agency-wide
Schedule Subject Information and Technology Management
Internal agency concurrences will be provided No

Background Information This schedule covers records related to the coordination of information and technology (IT) resources and systems required to support or provide a service. Includes system development activities associated with the design and development of software applications; life cycle and change management processes; system maintenance activities for software applications; IT infrastructure maintenance to support automated needs (i.e., platforms, networks, servers, printers, etc.); information systems security functions to protect information and information systems, as well as the creation and implementation of security policies, procedures, and controls. Excludes: individual IT systems (e.g., AQS, CERCLIS), which must be scheduled separately.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0009

Sequence Number	
1	Historically significant IT management records Disposition Authority Number: DAA-0412-2013-0009-0001
2	IT implementation and compliance records Disposition Authority Number: DAA-0412-2013-0009-0002
3	Routine IT management records Disposition Authority Number: DAA-0412-2013-0009-0003
4	Short-term IT management records Disposition Authority Number: DAA-0412-2013-0009-0004
5	Transitory IT management records Disposition Authority Number: DAA-0412-2013-0009-0005

Records Schedule Items

Sequence Number					
1	<p>Historically significant IT management records</p> <p>Disposition Authority Number DAA-0412-2013-0009-0001</p> <p>Includes, but is not limited to: Input and source documents used to create, update, or modify permanent electronic records if they are hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, and hard copy records previously approved as permanent that are converted to electronic records and do not meet NARA's transfer standards in effect at the time of conversion; Quality Information Council (QIC) (formerly called the EPA Steering Committee) records related to the development of EPA information technology and information management policy and procedures consisting of meeting records, including agendas, talking papers, reports, summaries or minutes of meetings, and related records; and system documentation for permanent electronic records, consisting of data system specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports relating to a master file, database, or other electronic records that are scheduled for permanent retention.</p> <p>Final Disposition Permanent</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: 60%;">Manual Citation</th> <th style="width: 40%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>EPA 1012 item a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation GRS 20/2a(1) GRS 20/2a(2) GRS 20/11a(2) N1-412-07-23a(1) N1-412-07-23a(2)</p> <p>Disposition Instruction</p>	Manual Citation	Manual Title	EPA 1012 item a	
Manual Citation	Manual Title				
EPA 1012 item a					

Cutoff Instruction	Close input and source documents and system documentation when system data is transferred to the National Archives, and QIC records at the end of the calendar year.
Transfer to the National Archives for Accessioning	Transfer system documentation to the National Archives with the related electronic file. Transfer other electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?	Unknown Transfer of these records is ongoing.
How frequently will your agency transfer these records to the National Archives?	Unknown Transfer of these records is ongoing.

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IT implementation and compliance records

Disposition Authority Number DAA-0412-2013-0009-0002

Includes, but is not limited to: Chief Information Officer (CIO) committee records consisting of records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities (excluding the QIC) and including meeting minutes, summaries, agendas, transcripts, reports, studies, publications, membership records, correspondence, and related records; enterprise architecture records, consisting of records identifying the IT systems and networks required to perform the Agency's mission and the transitional processes required to implement comprehensive programs to support that mission, including technical reference manuals, diagrams, graphics, and narratives that describe the Agency's baseline architecture, target architecture, and related sequencing plans; IT capital investment records documenting the IT investments with Agency-wide strategic planning, budgeting, procurement, and management, including routine and periodic reports on IT capital investments, capital asset plans, business cases for major investments identified in the Agency's capital investment portfolio, and clearance and review records; IT infrastructure design and implementation files for projects that are implemented; IT program planning records related to the development of Agency IT programs, including Agency-wide IT goals, specific milestones to be achieved, performance measures for the IT portfolio, strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the Agency mission; records documenting compliance with federal information resources management (IRM) laws and

regulations (e.g., Section 508 of the Rehabilitation Act), mandates of the Office of Management and Budget (OMB), General Accountability Office (GAO), and other federal information management oversight agencies, EPA IT policies, directives and plans, including performance measurements and benchmarks, certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance; system development records for systems that are implemented, including project proposals, feasibility studies, cost analyses, requirements documents, and documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving (excluding system development records for environmental models and systems used for regulatory decision making); and user identification, profiles, authorizations and password files for systems containing information that may be needed for audit or investigation purposes and those that contain classified records, performance measurements and benchmarks for IT projects.

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
EPA 1012 item b	

GRS or Superseded Authority Citation
 GRS 24/1a
 GRS 24/1b
 GRS 24/6a
 GRS 24/11b
 GRS 27/1
 GRS 27/2
 GRS 27/3
 GRS 27/4
 GRS 27/5

Disposition Instruction

Cutoff Instruction Close at end of calendar year, or when superseded by a new iteration, or no longer needed for investigative or security purposes, whichever is later; or when system is terminated, defunded, removed

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from public access, or otherwise does not serve the original purpose.

Retention Period Destroy 7 year(s) after file closure.

Additional Information

GAO Approval Not Required

Routine IT management records

Disposition Authority Number DAA-0412-2013-0009-0003

Includes, but is not limited to: computer security incidents, reporting and follow-up activities, including reports of Web site defacement, security hacks, break-ins and failures, improper usage by staff, and virus threats; facility, site management and equipment support services, file identifying IT facilities and sites, site visit reports, trouble reports, equipment service histories, reports of follow-up actions; financing of IT resources and services, including agreements formalizing performance criteria for quantity and quality of service, files related to managing third-party services, identification and allocation of charges and tracking of payments for computer usage, data processing, and other IT services; general files related to communications and telecommunications, equipment requests for installation, changes and service, telephone use or call detail records; installation and testing records; IT maintenance, asset management, performance and capacity management, system management, configuration and change management, planning, follow-up, and impact assessment of operational networks and systems, routine maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories; reports on operations, including benchmarks, performance indicators, critical success factors, and exception reporting, self-assessments, performance monitoring, and management reports; and system development records for systems that are not implemented, including project proposals, feasibility studies, cost analyses, and requirements documents.

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
EPA 1012 item c	

GRS or Superseded Authority Citation	GRS 12/2a GRS 12/2b GRS 12/2d(2) GRS 12/2e GRS 12/4 GRS 24/2 GRS 24/3b(2) GRS 24/7 GRS 24/8c GRS 24/9a GRS 24/9b GRS 24/9c GRS 24/11c
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Disposition Instruction

Cutoff Instruction	Close when activity or project completed, or when superseded or obsolete.
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Retention Period	Destroy 3 year(s) after file closure.
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Additional Information

GAO Approval	Not Required
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Short-term IT management records

Disposition Authority Number	DAA-0412-2013-0009-0004
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Includes, but is not limited to: IT infrastructure design and implementation files for projects that are not implemented; IT system implementation and change management, including performance and capacity management, system management, configuration and change management, planning, follow-up, and impact assessment of operational networks and systems; system security plans and disaster recovery plans, risk assessments, actions to mitigate risks, test files and data; short-term IT operations records, including workload schedules, run reports, schedules of maintenance and support activities, problem reports, customer service files, help desk logs and reports, telecommunications statistical reports; short-term asset and configuration records, including inventories of IT assets, network circuits, and building or circuitry diagrams; and telecommunications operational files, such as message registers and logs, performance reports, daily load reports.

Final Disposition	Temporary
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Item Status	Active
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Is this item media neutral?	Yes
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Do any of the records covered by this item currently exist in	Yes
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electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
EPA 1012 item d	

GRS or Superseded Authority Citation
 GRS 12/2c
 GRS 12/3a
 GRS 24/3a
 GRS 24/3b(1)
 GRS 24/5a
 GRS 24/5b
 GRS 24/8a
 GRS 24/8b
 GRS 24/10a
 GRS 24/10b
 GRS 24/11a

Disposition Instruction

Cutoff Instruction Close when superseded, updated, replaced, or no longer needed for current agency business.

Retention Period Destroy 1 year(s) after file closure.

Additional Information

GAO Approval Not Required

Transitory IT management records

Disposition Authority Number DAA-0412-2013-0009-0005

Includes, but is not limited to: data files consisting of summarized or aggregated information and data files consisting of records extracted from a single database that are approved as disposable; derived data that provide user access in lieu of hard copy reports that are authorized for disposal, and metadata or reference data, such as format, range or domain specifications; downloaded and copied data, including derived data used for ad hoc or one-time inspection, analysis or review if the derived data is not needed to support the results of the inspection, analysis or review; electronic files or records created solely to test and monitor system performance, including log-in files, password files, audit trail files, system usage files; electronic files or records used to create or update a database or master file; electronic software programs (excluding electronic software programs scheduled for permanent retention in the General Records Schedule (GRS) or in a NARA-approved agency schedule); input and source records in electronic

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format entered into a system during an update process and not required for audit and legal purposes and electronic records received from another agency and used as input/source records by EPA (excluding records produced by another agency under the terms of an interagency agreement, records created by another agency in response to the specific information needs of the receiving agency), input and source records in hard copy format not covered elsewhere in this schedule, computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database; print files extracted from a database without changing it and used solely to produce hard copy; system and security backups and tape library records; system documentation for electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule, including data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports relating to a master file, database, or other electronic records (excluding system documentation for electronic records that are scheduled for permanent retention); technical reformat files of data copied from a complete or partial master file or database made for the specific purpose of information interchange and written with varying technical specifications (excluding files created for transfer to the National Archives); and user identification, profiles, authorizations and password files for routine systems.

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
EPA 1012 item e	

GRS or Superseded Authority Citation
 GRS 20/1a
 GRS 20/1b
 GRS 20/1c
 GRS 20/2a(4)
 GRS 20/2b
 GRS 20/2c
 GRS 20/2d
 GRS 20/4
 GRS 20/5
 GRS 20/6

GRS 20/7
GRS 20/8a
GRS 20/8b
GRS 20/11a(1)
GRS 20/12a
GRS 20/12b
GRS 20/12c
GRS 24/4a(1)
GRS 24/4a(2)
GRS 24/4b
GRS 24/6b
GRS 20/10

Disposition Instruction

Cutoff Instruction

Close when superseded, updated, replaced, or no longer needed for current agency business.

Retention Period

Destroy immediately after file closure.

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
05/28/2013	Return to Submitter	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
06/04/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
07/09/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/27/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
08/27/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
06/02/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
06/03/2014	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
06/03/2014	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
06/16/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services

06/16/2014	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
06/24/2014	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
09/29/2014	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
09/29/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
09/29/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/03/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist