REQUEST FOR RECORDS DISPOSITION AUTHORITY	(LEAVE BLANK)
	JOB NUMBER N1-560-03-12
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	DATE RECEIVED 8/4/03
1. FROM (Agency or establishment) Department of Homeland Security	NOTIFICATION TO AGENCY
2. MAJOR SUBDIVISION Transportation Security Administration	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request, including amendments, is approved except for items that may be marked ☐disposition not approved☐ or ☐withdrawn☐ in column 10.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 Office of Information Technology (INFOTEC)	

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Arthur McCune, Jr.	571/227-2076	1 March 2004	Lewis Bellardo Acting Archivist of the U.S.

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 6 page(s) 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
07/31/03	Barbara D. Owens for Arthur D. McCune, Jr.	Records Management Officer

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached		

cc Agency, NR NWMW

115-109 PREVIOUS EDITION NOT USABLE

STANDARD FORM SF 115 (REV. 3-91)
Prescribed by NARA 36 CFR 1228

INFOTEC 1400—INFORMATION TECHNOLOGY

This category is for specific disposition guidance in connection with Transportation Security Administration records created by Office of Information Technology.

Title	Description of Records	Disposition	Authority
1) INFOTEC 1400.1 PROGRAM SUBJECT CORRESPONDENCE FILE	Copies of incoming and outgoing, internal and external program and administrative correspondence arranged in chronological order and maintained in any Technology Administration office.	Cut off at the end of the fiscal year. **Destroy** when 3 years old.	
2) INFOTEC 1400.2 REFERENCE FILES	Consist of information not described elsewhere in this schedule, used as ready reference on subjects of current and ongoing interest. These files may contain copies of publications, directives, pictures, correspondence and the like. Official file copies are not to be placed in these files nor are the files to be considered pending files when official file copies are kept on a tentative basis.	Cut off at end of calendar year. **Destroy** when superseded or obsolete.	
~~**INFOTEC 1400.3** IT INFRASTRUCTURE DESIGN AND IMPLEMENTATION FILES~~	~~a. Records of individual projects designed to provide and support new agency IT infrastructure and systems. Records for projects that are not implemented.~~	~~**Destroy**/delete 1 year after final decision is made.~~	~~GRS 24/11a~~

Title	Description of Records	Disposition	Authority
	~~b. Records for projects that are implemented~~	~~**Destroy**/delete 5 years after project is terminated.~~	~~GRS 24/11b~~
	~~c. Installation and testing records~~	~~**Destroy**/delete 3 years after final decision on acceptance is made.~~	~~GRS 24/11c~~
~~**INFOTEC 1400.4** IT OPERATIONS RECORDS~~	~~a. Workload schedules, run reports, and schedules of maintenance and support activities.~~	~~**Destroy**/delete when 1 year old.~~	~~GRS 24/8a~~
	~~b. Problem reports and related decision documents relating to the software infrastructure of the network or system.~~	~~**Destroy**/delete 1 year after problem is resolved.~~	~~GRS 24/8b~~
	~~c. Reports on operations, including measures of benchmarks performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.~~	~~**Destroy**/delete when 3 years old.~~	~~GRS 24/8c~~
~~**INFOTEC 1400.5** UNASSIGNED~~			

Title	Description of Records	Disposition	Authority
~~**INFOTEC 1400.6** IT CUSTOMER SERVICE FILES~~	~~a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.~~	~~**Destroy**/delete 1 year after record is superseded or obsolete.~~	~~GRS 24/10a~~
	~~b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records/ and related trend analysis and reporting.~~	~~**Destroy**/delete when 1 year old or when no longer needed for review and analysis, whichever is later.~~	~~GRS 24/10b~~
~~**INFOTEC 1400.7** OVERSIGHT AND COMPLIANCE FILES~~	~~a. Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities, such as performance measurements and benchmarks.~~	~~**Destroy**/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.~~	~~GRS 24/1a~~
	~~b. All other oversight and compliance records, including 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.~~	~~**Destroy**/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.~~	~~GRS 24/1b~~
~~**INFOTEC 1400.8** FINANCING OF IT RESOURCES AND SERVICES~~	~~a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times~~	~~**Destroy**/delete 3 years after agreement is superseded or terminated.~~	~~GRS 24/9a~~

Title	Description of Records	Disposition	Authority
	~~and volumes, charging, integrity guarantees, and non-disclosure agreements.~~		
	~~b. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.~~	~~**Destroy**/delete 3 years after control measures or procedures are superseded or terminated.~~	~~GRS 24/9b~~
	~~c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7.~~	~~**Destroy**/delete records with no outstanding payment issues when 3 years old.~~	~~GRS 24/9c~~
3) INFOTEC 1400.9 ANNUAL BUSINESS REPORTS	Record copies of program review evaluations and associated correspondence on operations and activities of TSA and regional offices.	Cut off at end of calendar year. **Destroy** in office when no longer needed for administrative, financial or legal requirements.	
~~**INFOTEC 1400.10** IT FACILITY, SITE MANAGEMENT AND EQUIPMENT SUPPORT SERVICES RECORDS~~	~~Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites,~~	~~**Destroy**/delete when 3 years old, or when superseded or obsolete, whichever is longer.~~	~~GRS 24/2~~

Title	Description of Records	Disposition	Authority
	~~including reviews, site visit reports, trouble reports, equipment services histories, reports of follow-up actions, and related correspondence.~~		
~~**INFOTEC 1400.11** IT ASSET AND CONFIGURATION MANAGEMENT FILES~~	~~a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.~~	~~**Destroy**/delete 1 year after completion of the next inventory.~~	~~GRS 24/3a~~
	~~b. 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, but is not limited to:~~		
	~~(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management~~	~~**Destroy**/delete 1 year after termination of system.~~	~~GRS 24/3b(1)~~
	~~(2) Records of routine IT maintenance on the network infrastructure documenting, preventative, corrective adaptive and perfective~~	~~**Destroy**/delete when 3 years old or 1 year after termination of system, whichever is sooner.~~	~~GRS 24/3b(2)~~

Title	Description of Records	Disposition	Authority
	~~(enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.~~		
~~**INFOTEC 1400.12** SYSTEMS BACKUPS AND TAPE LIBRARY RECORDS~~	~~a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.~~		
	~~1. Incremental backup tapes.~~	~~Delete/**destroy** incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.~~	~~GRS 24/4a(1)~~
	~~2. Full backup tapes.~~	~~Delete/**destroy** full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.~~	~~GRS 24/4a(2)~~
	~~b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.~~	~~**Destroy**/delete when superseded or obsolete.~~	~~GRS 24/4b~~
~~**INFOTEC 1400.13** FILES RELATED TO MAINTAINING THE SECURITY OF SYSTEMS AND DATA~~	~~a. System Security Plans and Disaster Recovery Plans.~~	~~**Destroy**/delete 1 year after system is superseded.~~	~~GRS 24/5a~~

Title	Description of Records	Disposition	Authority
	~~b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.~~	~~**Destroy**/delete 1 year after system is superseded.~~	~~GRS 24/5b~~
~~**INFOTEC 1400.14** USER IDENTIFICATION, PROFILES, AUTHORIZATIONS, AND PASSWORD FILES EXCLUDING RECORDS RELATING TO ELECTRONIC SIGNATURES~~	~~a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.~~	~~**Destroy**/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.~~	~~GRS 24/6a~~
	~~b. Routine systems, i.e., those not covered by item INFOTEC 1400.14a.~~	~~Delete/**destroy** when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.~~	~~GRS 20/1c~~
~~**INFOTEC 1400.15** COMPUTER SECURITY INCIDENT HANDLING, REPORTING AND FOLLOW-UP RECORDS~~	~~Reports and documentation of Web site defacement; Hacks; Break-in records; Improper usage by staff; misuse of system; Security breaches, Security break-ins; Security failures; unauthorized intrusions; and virus threats.~~	~~Delete/**destroy** when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.~~	~~GRS 24/7~~
4) INFOTEC 1400.16 ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES	Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on		

Title	Description of Records	Disposition	Authority
	electronic mail and word processing systems that are maintained for updating, revision, or dissemination.		
	a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, an copies on shared network drives that are used only to produce the recordkeeping copy.	**Destroy**/delete within 180 days after the recordkeeping copy has been produced.	
	b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	**Destroy**/delete when dissemination, revision, or updating is completed.	