

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-059-02-009

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/9/2021

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 12 - Records Relating to IT Management and Reporting required by the Clinger-Cohen Act

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

All items except the ones listed above are inactive. They are superseded by:

DAA-GRS-2013-0005-0004  
DAA-GRS-2013-0005-0005  
DAA-GRS-2013-0005-0006  
DAA-GRS-2013-0005-0010  
DAA-GRS-2013-0006-0001  
DAA-GRS-2013-0006-0004  
DAA-GRS-2013-0006-0005  
DAA-GRS-2013-0006-0006  
DAA-GRS-2013-0006-0007,  
DAA-GRS-2017-0001-0001

| REQUEST FOR RECORDS DISPOSITION AUTHORITY<br>(See Instructions on reverse)   |  | LEAVE BLANK (NARA use only)   |                                  |
|--|--|---|----------------------------------|
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408   |  | JOB NUMBER<br>NI-059-02-9   |                                  |
| 1. FROM (Agency or establishment)<br>Department of State   |  | DATE RECEIVED<br>8/21/02  |                                  |
| 2. MAJOR SUBDIVISION<br>IIP-ECA/IT   |  | NOTIFICATION TO AGENCY<br><br>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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   |  | DATE<br>11-22-02  |                                  |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br>Alice S. Ritchie  |  | ARCHIVIST OF THE UNITED STATES<br><i>John W. Paul</i>   |                                  |
| 5. TELEPHONE<br>(202) 261-8345   |  |   |                                  |
| 6. AGENCY CERTIFICATION<br>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 <u>4</u> 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,<br><input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. |  |   |                                  |
| DATE<br>8/13/2002  | SIGNATURE OF AGENCY REPRESENTATIVE<br>Margaret G. Peppe <i>Margaret G. Peppe</i> | TITLE<br>Department Records 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 4 pages.  |   |                                  |

*SH Copies sent to Agency, NW:11W*

1. Oversight and Compliance Files. Office records with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT directives, policies, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

- a. Performance measurements and benchmarks.

TEMPORARY: Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

- 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
  - data measuring or estimating impact and compliance

TEMPORARY: Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

2. IT Facility, Site Management, and Equipment Support Service 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, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.

TEMPORARY: Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.

3. 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.

TEMPORARY: Destroy/delete 1 year after completion of the next inventory.

- 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.

TEMPORARY: Destroy/delete 1 year after termination of system.

- (2) Records of IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

TEMPORARY: Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

4. System Backups and Tape Library Records.

- a. System backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. See GRS 20; item 8, for backups of master files and databases.

(1) TEMPORARY: Delete incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

(2) TEMPORARY: Delete full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

- 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.

TEMPORARY: Destroy when superseded or obsolete.

5. Files Related to Maintaining the Security of Systems and Data.

- a. System Security Plans and Disaster Recovery Plans.

TEMPORARY: Destroy/delete 1 year after system is superseded.

- 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.

TEMPORARY: Destroy/delete 1 year after system is superseded.

6. Computer Security Incident Handling, Reporting and Follow-up Records.

TEMPORARY: Destroy/delete 3 years after all necessary follow-up actions have been completed.

7. User Identification, Profiles, Authorizations, and Password Files. Does not include 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.

TEMPORARY: 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.

- b. Routine systems, i.e., those not covered by item ~~7a~~ <sup>7</sup>.

TEMPORARY: See GRS 20, item 1c.

8. IT Operations Records.

- a. Problem reports, proposals for changes and related decision documents relating to the software infrastructure of the network or system.

TEMPORARY: Destroy/delete 1 year after problem is resolved.

- b. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

TEMPORARY: Destroy/delete when 3 years old.

- c. Schedules of maintenance and support activities.

TEMPORARY: Destroy/delete when 1 year old.

9. Financing of IT Resources and Services. Copies of records needed to support contracts should be filed in procurement files, which are scheduled under GRS 3.

Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

TEMPORARY: Destroy/delete 3 years after agreement is superseded or terminated.

10. 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.

TEMPORARY: Destroy/delete 1 year after record is superseded or obsolete.

- 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.

TEMPORARY: Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

11. IT Infrastructure Design and Implementation Files. Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services. It Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data communications. Includes records documenting:

- 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
  - Providing data telecommunications
- Infrastructure development and maintenance such as:
  - Acceptance/accreditation of infrastructure components
  - Analysis of component options, feasibility, costs and benefits
  - Work associated with implementation, modification, and troubleshooting

- Models, diagrams, schematics, and technical documentation

- Quality assurance reviews and test plans, data, and results.

- a. Records for projects that are not implemented.

TEMPORARY: Destroy/delete 1 year after final decision is made.

- b. Records for projects that are implemented.

TEMPORARY: Destroy/delete 5 years after project is terminated.

c. Installation and testing records.

TEMPORARY: Destroy/delete 3 years after final decision on acceptance is made.

12. Records Relating to IT Management and Reporting required by the Clinger-Cohen Act. Strategic plan documenting how information resources will support agency missions, goals, and objectives, related background records, and records relating to the development and implementation of performance measures and procedures.

TEMPORARY: Destroy 5 years after plan is superseded or terminated.

13. 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 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, and copies on shared network drives that are used only to produce the recordkeeping copy.~~

~~TEMPORARY: Delete 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.~~

~~TEMPORARY: Delete when dissemination, revision, or updating is completed.~~

Obsolete: These items reflect a print and file process reported on 2/8/19 by Mark Sgambittera

Obsolete: See above note 2/8/19