REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER *N1-048-08-1*

TO NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001	Date Received *10/26/07*

FROM (Agency or establishment) Department of the Interior	NOTIFICATION TO AGENCY
2 MAJOR SUBDIVISION Office of the Secretary	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request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10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 the Chief Information Officer	

4 NAME OF PERSON WITH WHOM TO CONFER	4 TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Pamala R Quallich	202-208-3909		

5 AGENCY INFORMATION

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 __*58*__ page(s) are not needed now 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
9-7-07	for Pamala R Quallich	Office of the Secretary *Records ofc*

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See Attached List of Record Descriptions and Requested Disposition Authorities		

Department of the Interior
Office of the Chief Information Officer
Records Disposition Schedule

3100 Office of the Chief Information Officer (OCIO) Files

These files contain records pertaining to the Department of Interior, Office of the Chief Information Officer (OCIO) files. Documents primarily concern the management and implementation of information technologies for the Department and its bureaus, such as IT investment and portfolio management, enterprise architecture, cyber-security, information resources management, and telecommunications services.

OCIO Director's Office Files.

The OCIO Director's Office provides leadership to the OCIO divisions for the following functional areas: IT investment and portfolio management, enterprise architecture, cyber-security, information resources management (including Freedom of Information Act, Privacy Act, records management, and DOI's web presence) and telecommunications services (including voice, data, and radio communication systems and services.) Authorities for the organization are: the Paperwork Reduction Act, the Clinger-Cohen Act (formerly known as the Information Technology Management Reform Act of 1996), the Government Paperwork Elimination Act, the Federal Records Act, the Freedom of Information Act, the Privacy Act, the Federal Information Security Management Act, and the E-Government Act of 2002.

The Director's Office responsibilities include: policy and policy development; program planning; committees/meetings; monitoring legal matters and projects/issues; and submitting and receiving reports and presentations.

3101 OCIO Reports & Presentations Files. These files contain reports related to the OCIO that are issued or received by the OCIO on a one-time or recurring basis for informational purposes. (Reports requiring formal review or action should be filed with the appropriate Program or project.) Files contain supporting documentation for reports issued, including, but not limited to bureau and office submissions for inclusion in Departmental reports, along with correspondence, e-mails and other communications necessary for the development of the report.

3101.1 Reports and presentations received by the OCIO.

Disposition: <u>Temporary</u>. Cut-off files at the end of the fiscal year in which the report is issued. Destroy when no longer needed for agency business.

3101.2 Reports and presentations issued by the OCIO and their supporting documentation.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which the report is issued. Destroy 5 years after cut-off.

3102 OCIO Legal Matters Files. These files contain copies of court or litigation-related documents affecting the OCIO and the Director's Office's related records. Records include but are not limited to: copies of injunctions, pleadings, correspondence, notes, reports, and depositions. Files are organized by case or subject name.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which an individual court order expires or the related case or any related appeals are closed, whichever is later. Destroy 3 years after cut-off.

3103 OCIO Project Planning Files. These files contain project plans for the OCIO. The project plan file elements and artifacts include, but are not limited to: project authorization (charter), scope of work (product scope and solution architecture), integrated management control plan, project baselines and supporting documentation.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is determined that the project will not be implemented. Destroy 15 years after cut-off.

IT Capital Planning and Investment Control (IT CPIC) Program Files.
The OCIO is responsible for defining roles and responsibilities for all aspects of the DOI Information Technology Capital Planning and Investment Control (IT CPIC) Program, and facilitating and coordinating the process for the Department, bureaus and offices. The IT CPIC process is a systematic approach to select, manage, and evaluate IT investments as mandated by the Clinger-Cohen Act of 1996 and prescribed by the Office of Management and Budget (OMB) Circular A-130. The process strives to assist management in ensuring that IT investments are well thought out, cost-effective, and support the missions and business goals of the organization.

3104 IT CPIC Program, OMB Submission Files (e.g. Exhibit 300s and Exhibit 53s). These files contain Departmentally approved records submitted to OMB, such as Exhibit 300s and Exhibit 53s, along with supporting information including subject matter expert (SME) reviews. The contents of the files include, but are not limited to: drafts, business cases, correspondence, and the final documents submitted to OMB.

3104.1 Final OMB Submissions and Supporting Documentation

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is determined that the project will not be implemented. Destroy 15 years after cut-off.

3104.2 Drafts

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which the submission is approval. Destroy when no longer needed for agency business.

3104.3 SME Reviews

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is determined that the project will not be implemented. Destroy 15 years after cut-off.

3105 Electronic Capital Planning & Investment Control (E-CPIC) System Data Files. The E-CPIC System is a government owned technology system (GOTS) implemented at the Department in 2004. E-CPIC manages and controls the Department of Interior's initiatives, portfolios, and investment opportunities. E-CPIC is also a tool to help prepare, budget and submit required reports to the Office of Management and Budget (OMB), such as the OMB Exhibit 300s and is a repository for retaining records related to the Department's IT planning and investments.

Information in the system is input from the Department and bureaus. Information includes system information, such as: agency name, business cases, resource library records, cost benefit analysis (CBA), performance measurements and financial related data.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is determined that the project will not be implemented. Destroy 15 years after cut-off.

3106 RESERVED.

Enterprise Resource Management (ERM) Program Files

The OCIO is responsible for facilitating and coordinating Department-wide efforts for ensuring that the IT products and services procured for the Department are cost-efficient, and consistent with the established technical architecture standards and IT security guidelines. The ERM Program coordinates and consolidates the acquisition and management of commonly used IT hardware and software products and services across the organization that best support the Department's key missions and programs. Program files include policy, policy development, guidance, agreement project files and training.

3107 IT-Related Licensing/Purchasing Agreement Project Files. These files contain the Department's enterprise licensing/purchasing agreement project files, such as the development of software licensing agreements (e.g. the Oracle Enterprise Agreement and Microsoft Enterprise Agreement). Typical project components include: defining product requirements; vendor competition; technical consultation related to product selection, integration, and deployment; and marketing and outreach to the ERM Program's users. These files include: project planning records, meeting documentation, contact information, and training/outreach products related to specific agreements. Project planning records include, but are not limited to: correspondence; e-mail; memoranda; notes; project plans; milestone charts; and strategy and briefing papers. Project planning records include, but are not limited to: analysis of new program requirements; communications, in the form of e-mail and memoranda to and from those involved in the planning process; and final and draft plans with supporting documents. Meeting records relating to specific projects include, but are not limited to: correspondence, planning documents; sign-in sheets; meeting notes; official meeting minutes; handouts; presentations; and reports. Contact records include, but are not limited to: contact lists and non-substantive communications in the forms of e-mail, correspondence, and memoranda. Training/outreach products include, but are not limited to: instructions; tips; PowerPoint training slides; and general educational/outreach information.

Disposition: Temporary. Cut-off files at the end of the fiscal year in which project closes. Destroy 10 years after cut-off.

Interior Enterprise Architecture (IEA) Program Files

The IEA Program of OCIO is responsible for facilitating and coordinating Department-wide efforts for compliance with Clinger-Cohen Act of 1996; Office of Management and Budget (OMB) Circular A-130; and other Federal and Interior Enterprise Architecture (FEA and IEA) requirements. Each bureau and office is responsible for developing and implementing a program that is compliant with the laws and regulations related to the FEA. The OCIO's IEA Program includes: issuing regulations and general guidance; documenting and promulgating approved practices and procedures; coordinating the required activities; reporting; providing Departmental training; and providing technical advice on the IEA Program and its related laws and regulations.

3108 DOI Enterprise Architecture Repository (DEAR) System Data Files.
The DEAR system is a dynamic repository of integrated Department, bureau and office enterprise architecture data. DEAR is an enterprise modeling and reporting tool used by the Department's capital planning, security, and procurement areas.

These files contain metadata (information) relating to Departmental, bureau, and program office systems, subsystems and system components. Information includes diagrams, system architecture, department loads (e.g. investment Exhibit 300 data, certification and accreditation attributes), and inventory data. General system information is entered into the system while more technical system information is typically imported into DEAR via spreadsheets and/or through an interface with individual Bureau Enterprise Architecture Repository (BEAR) systems. The general system information includes, but is not limited to: the system name, version, acronym, operational status, system description, any 'also known as' names, and estimated end of system life. The technical system information includes but is not limited to: data on investment architecture, system architecture, and deployment architecture.

The DEAR Master Data Files contain metadata about Trust systems, but no actual Indian Trust data is managed in DEAR.

Disposition: <u>Temporary.</u> Destroy data files and any related metadata 20 years after the data is input, updated, created within the system, or when no longer needed for agency business, whichever is longer.

3109 DEAR Reports. These files contain information output from the system, which includes: DEAR model reporting, reference model reporting, validation reporting, and analysis reporting typically in the form of methodologies. Information is output in the form of ad-hoc and standard reports, encyclopedias, and models based on the Federal Enterprise Architecture (FEA), which in some cases have an extension of data specific to the Department. The primary models include: the Performance Reference Model (PRM), which links the DOI Strategic Plan to the OMB FEA PRM as well as the Department activity based costing work activities; the Business Reference Model (BRM), which links the activity based costing work activities to the FEA BRM as well as extending them for specific lines of business: law enforcement, financial management, recreation, and wildland fire management; the Service Reference Model (SRM), which adds domain principles and best practices, but no new extensions to the FEA SRM; the Technical Reference Model (TRM), which adds standard and technical service/product specifications used at the Department to the FEA TRM; and the Data Reference Model (DRM), which is for specific lines of business, based on principles of the FEA DRM (saved in a separate encyclopedia).

This record series includes reports on systems that contain Indian Fiduciary Trust data, but no actual Trust data is in the DEAR system.

3109.1 Short-term Reports. Includes ad-hoc report files created by users on a one-time or routine basis.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which the report is created. Destroy when no longer needed for agency business.

3109.2 Long-term Reports. Includes reference models, blueprints, strategies, and any standard report files.

Disposition: <u>Temporary.</u> Cut off files at the end of the fiscal year in which reports are produced. Destroy 15 years after cut-off, or when no longer needed for agency business, whichever is later.

DOI Website Management Program Files

The OCIO is responsible for facilitating and coordinating Department-wide efforts for compliance with web site standards. Each bureau and office is responsible for developing and implementing a program that is compliant with the Website Management Program's standards. The OCIO's Program includes: issuance of policies relating to the program, program planning, and technical advice on website management standards and requirements.

3110 Website Review/Approval. These files contain records relating to the DOI's review and approval of Department, bureau and office website content, format, and structure. Files include, but are not limited to: communications, in the form of e-mails and memoranda, and copies of proposed or actual content, format, and structure.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year. Destroy 2 years after cut-off.

3111 Website Compliance. These files contain records relating to the DOI's website compliance with federal and DOI standards, such as the Privacy Act, Section 508, and Freedom of Information Act. Files include, but are not limited to: spreadsheets tracking compliance, communications, in the form of e-mails and memoranda, and regulations, information and research relating to compliance requirements.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year. Destroy 3 years after cut-off.

Enterprise Network and Computer Services Programs

These files contain records of major enterprise network and computer services initiatives and related projects that enable the Department to improve network and computer services' performance, minimize redundancies throughout the Department, reduce total costs of ownership, and improve reliability. Some of the major projects/initiatives include the Active Directory (AD) and the Enterprise Services Network (ESN), which is a phased approach to one common enterprise network.

3112 Change and Configuration Management (CCM) Files. These files contain records of configuration management and change management, including the planning, follow-up, and impact assessment of operational networks and systems. The content of the files include, but are not limited to: data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; and documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, such as the "ESN Operational Change Management Request for Change (RFC) Form". Note: Records such as the "CCM Policies and Responsibilities" policy, the Connection Approval Process (CAP), and the CCM strategy recommendations report are included in the policy and planning sections of this schedule. Files are organized by the type/device being changed.

Disposition: <u>Temporary</u>. Cut-off files when type/device or system terminates. Destroy 1 year after cut-off.

3113 Major Projects/Initiatives Files. These files contain records relating to non-routine, long-term, substantive issues or projects, such as the Enterprise Services Network (ESN), the Interior Enterprise Access Control Services (EACS) initiative, the Active Directory (AD) project, and the Enterprise Messaging Services (EMS) project. Files are organized by major project/initiatives, and the file plan will be further broken down to address individual project components/tasks at a future date. Typical project structures will include type of project categories: statements of work (SOWs), requests for proposals (RFP), and lessons learned documentation. In addition, the following standard categories of project planning, meeting information and contact information may apply to each project/initiative. Project planning records include, but are not limited to: correspondence; e-mail; memoranda; notes; project plans; milestone charts; and strategy and briefing papers. Project planning records include, but are not limited to: analysis of new program requirements; communications, in the form of e-mail and memoranda to and from those involved in the planning process; and final and draft plans with supporting documents. Meeting records relating to specific projects include, but are not limited to: correspondence, planning documents; sign-in sheets; agendas; meeting notes; official meeting minutes; handouts; presentations; and reports. Contact records include, but are not limited to: contact lists and non-substantive communications in the forms of e-mail, correspondence, and memoranda.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year after planning process ends. Destroy 5 years after cut-off.

3114 RESERVED.

<u>Enterprise Radio/Spectrum Program Files</u>
The OCIO is responsible for facilitating and coordinating Department-wide efforts related to the Enterprise Radio/Spectrum Program to ensure compliance with laws, regulations and standards from regulators such as the National Telecommunication Information & Administration (NTIA). The Program establishes policy, provides technical advice/guidance, manages projects, and manages the Department's radio frequency assignments.

3115 Enterprise Radio/Spectrum Program, Radio Frequency Assignment Files. These files contain a record of the management and engineering of the Department's licenses, which includes the requesting, processing, certifying, tracking of radio frequency proposal information, and assigning of radio frequency authorizations. Records include, but are not limited to copies of MOUs, requests, drawings, and any other information required to be submitted with the Department's proposals.

Disposition: <u>Temporary.</u> Cut-off files at the end of the fiscal year in which assignment is cancelled. Destroy 3 years after cut-off.