

Request for Records Disposition Authority

Records Schedule Number DAA-0056-2012-0002
Schedule Status Approved

Agency or Establishment Department of the Treasury
Record Group / Scheduling Group General Records of the Department of the Treasury
Records Schedule applies to Major Subdivision
Major Subdivision Office of the Chief Information Officer
Minor Subdivision Cyber Security Office
Schedule Subject United States Department of the Treasury (Treasury) Trusted Agent
FISMA (TAF) System (Media Neutral)

Internal agency concurrences will be provided No

Background Information United States Department of the Treasury (Treasury) Trusted Agent
FISMA (TAF) System (Media Neutral)

This schedule covers the disposition of United States Treasury TAF system. The purpose of this enterprise-wide system is to collect information system data for Treasury and Treasury Bureaus information system inventories; manage baseline security controls, security categorization, and associated artifacts for each information system entered in TAF by authorized Treasury and Treasury Bureaus personnel to meet the requirements outlined in the Federal Information Security Management Act (FISMA) of 2002 and Office of Management and Budget (OMB) mandates for compliance in managing and protecting federal government information systems. The TAF system generates annual, quarterly, and ad hoc reports; and produces digital dashboards for reporting to OMB FISMA and Treasury officials. In addition the system tracks the status of Treasury and Treasury Bureaus annual assessments, Plans of Actions and Milestones (POAMs) for managing and mitigating information system inventory weaknesses and stores security assessment and authorization documentation for Treasury and Treasury Bureaus certified and accredited information systems.

Primary functional components of the Treasury TAF System include but not limited to:

Inventory Management

- Stores enterprise-wide information system inventories for Treasury and Treasury Bureaus.
- Aligns information systems within the Treasury TAF System by organizational structure to display Bureaus parent system(s) and child system(s) relationships.

Information System Assessment and Status

- Stores annual assessments conducted by Treasury and Treasury Bureaus for FISMA and OMB compliance.
- Tracks administrative activities, system reviews, testing, and certification and accreditation documentation as well as cost associated with completing activities to meet FISMA and OMB requirements.

Reporting

- Organizes Treasury and Treasury Bureaus POAMs for tracking status and completion.
- Generates reports for submission to OMB and Treasury officials.
- Populates digital dashboard that provides summary information regarding enterprise-wide Treasury and/or Treasury Bureaus information systems.
- Compares and validates FISMA information entered in Treasury TAF system by authorized Treasury and Treasury Bureaus personnel for their respective information systems.

NOTES:

The Department of the Treasury is responsible for oversight and management of the Treasury TAF system and the data stored in the system.

Treasury Bureaus are responsible for proper management and disposition of information technology records and information systems for their respective Bureau in accordance with records retention schedules approved by the National Archives and Records Administration.

Item Count

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

GAO Approval

Outline of Records Schedule Items for DAA-0056-2012-0002

Sequence Number	
1	1. Treasury TAF System Records Disposition Authority Number: DAA-0056-2012-0002-0001
2	2. TAF Manuals Disposition Authority Number: DAA-0056-2012-0002-0002
3	3. Treasury TAF System Program and Development Records Disposition Authority Number: DAA-0056-2012-0002-0003
4	4. TAF Reporting Records Disposition Authority Number: DAA-0056-2012-0002-0004

Records Schedule Items

Sequence Number	
1	<p>1. Treasury TAF System Records</p> <p>Disposition Authority Number DAA-0056-2012-0002-0001</p> <p>This series includes the annual FISMA data collected, managed, and reported for each FISMA year for Treasury and Treasury Bureaus information system inventories entered and stored in the Treasury TAF system.</p> <p>Final Disposition Temporary</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> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff each FISMA year (June 30th)</p> <p>Retention Period Destroy 7 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>2. TAF Manuals</p> <p>Disposition Authority Number DAA-0056-2012-0002-0002</p> <p>Application software, hardware, technical and user manuals for use to create, maintain, update, review and operate Department of the Treasury TAF system.</p> <p>Final Disposition Temporary</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>

GRS or Superseded Authority Citation GRS 20, item 11a(1)

Disposition Instruction

Cutoff Instruction Cutoff when manuals are revised or superseded

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

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3. Treasury TAF System Program and Development Records

Disposition Authority Number DAA-0056-2012-0002-0003

This series includes information and documentation for implementing new enhancements and upgrades of TAF system to include documentation on the development, configuration, installation, and rollout of TAF system functions/features. The Treasury TAF program documents include; planning goals and objectives, project milestones to be achieved, performance measures for implementation of new TAF features, cost and/or service request for modifications and fixes, and design and technical requirements documenting implementation and maintenance of the Treasury TAF system. Other documentation includes: test scripts use to test the functionality of new TAF features and compliance requirements associated with FISMA and internal departmental management reporting for continuous monitoring of enterprise-wide information system inventories.

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

Disposition Instruction

Cutoff Instruction Cutoff each FISMA year (June 30th)

Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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4. TAF Reporting Records

Disposition Authority Number DAA-0056-2012-0002-0004

This series includes quarterly, annual, and ad hoc reports, as well as digital dashboards created for review and validation for Treasury and Treasury Bureaus information system inventories.

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

Disposition Instruction

Cutoff Instruction Cutoff each FISMA year (June 30th)

Retention Period Destroy 3 year(s) after cutoff.

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
02/14/2012	Certify	Evangela Wimbush-Jeffrey	Director	Departmental Offices - Office of Treasury Records
01/28/2014	Submit for Concurrency	Elizabeth Greenberg	Appraiser	National Archives and Records Administration - Records Management Services
01/28/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
01/29/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/31/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist