REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER

N1-425-04-1

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received

2-4-2004

NOTIFICATION TO AGENCY

1. FROM (Agency or establishment)
Department of the Treasury

2. MAJOR SUBDIVISION

Financial Management Service

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
Assistant Commissioner, Agency Services

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Sharon M. King	202-874-6960	9-20-04	John W. Carl

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 __5__ page(s) are not needed now for the business for 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,

X is not required   ☐ is attached; or   ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
01/22/05		Director, Administrative Programs Division

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEET(S) FOR:		
	cc agency NR NWMWA		

115-109   PREVIOUS EDITION NOT USABLE   STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA 36 CFR 1228

Attachment 1
(Job No. N1-425-04-)

Professional Development Division

The Professional Development Division provides training and education to support life-long learning and professional development. Its vision, "to provide the right training/education to the right people, at the right time, in the right way," has resulted in numerous initiatives to ensure that it is providing the best value in training and education. The Division's programs not only draw on the expertise of the U.S. Treasury as the government's major accounting agency, but of training and education partners who are leaders in their fields.

The Professional Development Division (PDD) curriculum is intended to support each federal organization's desire to achieve their financial management goals, by providing outstanding and timely education and training. Its course offerings include Federal financial management and accounting courses, annual conferences and topical seminars. Training topics continually evolve as well to maintain relevancy and keep up with the need of the government student. Major thrusts of the training touch upon the United States Standard General Ledger (USSGL), Federal Credit Reform, and Federal Financial Reporting and Fund Balance with Treasury Reconciliation. To improve access to and properly document training that PDD offers, it has established the Learning Management System.

1. <u>Learning Management System (LMS)</u>. The LMS is a contractor-supported, Web-based system that maintains training records on training participants to facilitate self-service capability, improve and capitalize on training opportunities for the Financial Management Service (FMS), as well as collecting payment from the Federal government agencies and individuals who have taken training. The LMS also serves to report receipts to the appropriate Federal agency responsible for maintaining FMS's financial records for training. The information contained in the records assists FMS in properly tracking individual training and accurately accounting for training revenue and expenditures generated through the LMS. For personnel in the FMS, the LMS also assists managers' active participation in their personnel's learning plans. Finally, the information in the records may be used for collateral purposes related to training processes, such as the collection of statistical information on training programs; the development of computer systems; the investigation of unauthorized or fraudulent activity related to submission of information to FMS for training program purposes; and, the collection of debts arising out of such activity. Pursuant to the Privacy Act of 1974, as amended, 5 U.S.C. 552a, the recordkeeping elements of the LMS will be published in the *Federal Register* under "Treasury/FMS .004 -- Education and Training Records."

Records are maintained in both textual and electronic media formats. All personnel access the system of records on a need-to-know basis only, as authorized by the FMS LMS security manager after security background checks and non-disclosure statements are signed, as applicable. Procedural and physical safeguards are utilized, such as

accountability, audit logs, and communications security. Access to computerized records is limited, through use of encryption, access codes and other internal mechanisms, to those whose duties require access. Individuals covered by the system include all Government employees (including separated employees, in certain cases) and other individuals who access and apply for FMS training services.

A. Inputs

Information in this system is provided by:

- the individual on whom the record is maintained or by his or her employer via the Department of the Treasury HR Connect (Treasury Department's enterprise-wide human resources system) for FMS personnel;

- Applicant Personnel Action Forms (SF-50); SF-171, or equivalent (provided by applicant);

- Payment Record (completed by applicant);

- Educational Institution's or other Federal Agency's training related records related to the training participant. This typically includes the training participant's name, social security number and contact information (for example, title, address, organization, work telephone number and email address). Furnishing this information is voluntary. If a prospective training participant submits incomplete information, FMS may request other, unique, identifying information from the participant before access to LMS is granted;

- LMS administrators who manage the curriculum, the course catalog and related resources, course enrollment, scheduling and testing of training participants; and,

- Managers who approve or disapprove participants' enrollments in courses.

B. Master File

1. Personal Profile - Account Record. User accounts are reviewed annually for activity and passwords are required to be changed periodically without modifying other elements of the user account. Those accounts that show no activity throughout the previous calendar year are inactivated.

Covered by
GRS 24

   Destroy/delete files 6 years after user account is inactivated, or when no longer needed for investigative or security purposes, whichever is later. [General Records Schedule (GRS) 24, item 6a.].

2. Transcript Record for FMS and all other training participants.

   Destroy/delete 7 years after last documented training activity.

3. Enrollment Status Record.

   Destroy/delete 1 year after the course to which it relates is completed or when no longer needed for current business, whichever is sooner.

4. Job Skills Record.

   Destroy/delete when 4 years old or when no longer needed for current business, whichever is sooner.

5. Individual Development Plan Record.

   Destroy/delete when 4 years old or when no longer needed for current business, whichever is sooner.

6. Assessment Performance Results Record, including tests.

   Destroy/delete when 1 year old or when no longer needed for current business, whichever occurs first.

7. Managerial Approval/Disapproval Status Record.

   Destroy/delete 1 year after the course to which it relates is completed or when no longer needed for current business, whichever is sooner.

8. Class Roster Record. The LMS automatically migrates the class attendance record to the individual participant's training transcript (item B.2. above) where the information may be retrieved.

   Destroy/delete 1 year after the course to which it relates is completed or when no longer needed for current business, whichever is sooner. (GRS 1, item 29a(1).)

9. Certificate – Training Program Status Record. LMS treats the Certificate as a transcript item (see item B.2. above).

   Destroy/delete 7 years after last documented training activity by certificate participant. (GRS 1, item 29a(1).)

10. Class Evaluation Record.

Destroy/delete 3 year after the course to which it relates is completed. ~~(GRS 1, item 29a(1).)~~

11. ~~Payment Record, including credit card information or information~~ contained in the Federal Government's Standard Form 182, *Request, Authorization, Agreement, and Certification of Training* or DD 1556, *Request, Authorization, Agreement, Certification of Training and Reimbursement,* as well as enrollment fee, late or cancellation fees.

   Destroy/delete when 3 year old. (GRS 6, item 5b.)

12. Course Catalogs, including courses, curriculum, books, videos, and other learning resources.

   Destroy/delete when 5 years old or 5 years after completion of a ~~specific training program. (GRS 1, item 29a(1).)~~

13. ~~Web Tracking Records, including logs of the various internal web~~ pages that a training participant visits and that document monitoring for improper behavior violating the LMS-FMS Rules of Behavior (ROB).

   Destroy/delete when 3 years old or when no longer needed for ~~current business, whichever is sooner.~~

C. Outputs - Statistical Reports--retrievable by names.

   1. Personnel Transcript Report

      Destroy/delete when no longer needed for current business.

   2. Class Enrollment Report

      Destroy/delete when no longer needed for current business.

   3. ~~Class Payment/Billing Report~~

      ~~Destroy/delete when 3 years old. (GRS 6, item 5b.)~~

   4. Status of Training Report

      Destroy/delete when no longer needed for current business.

   5. Ad hoc Training Report

Destroy/delete when no longer needed for current business.

6. Other similar files or registers.

Destroy/delete when no longer needed for current business.

D. System Documentation. User guides, training guides, policies and procedures for adding and deleting information from the system, and related information pertaining to the content and technical management of the LMS.

Destroy/delete when superseded or obsolete, or 1 year after the discontinuance of the system, whichever occurs first.

2. ~~Computer Security Incident Handling, Reporting and Follow-up Records. These~~ include ~~reports and~~ documentation of Web site defacement, hacks, break-in records, improper usage by staff, ~~security~~ breaches, security break-ins, unauthorized intrusions, and virus threats. The records may be ~~maintained~~ in paper or electronic media.

Destroy/delete 3 years after all necessary follow-up actions have ~~been completed. (GRS 24, item 7.)~~

3. 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.

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.