Schedule Number: N1-420-03-002

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Explanation / Description:

N1-420-03-002 / 1/a is superseded by (DAA-GRS-2013-0005-0010)

N1-420-03-002 / 1/b is superseded by (DAA-GRS-2013-0005-0010)

N1-420-03-002 / 2 is superseded by (DAA-GRS-2013-0005-0006)

N1-420-03-002 / 3/a is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 3/b/1 is superseded by (DAA-GRS-2013-0005-0005)

N1-420-03-002 / 3/b/2 is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 4/a/1 is superseded by (DAA-GRS-2013-0006-0005)

N1-420-03-002 / 4/a/2 is superseded by (DAA-GRS-2013-0006-0006)

N1-420-03-002 / 4/b is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 5/a is superseded by (DAA-GRS-2013-0006-0001)

N1-420-03-002 / 5/b is superseded by (DAA-GRS-2013-0006-0001)

N1-420-03-002 / 6/a is superseded by (DAA-GRS-2013-0006-0004)

N1-420-03-002 / 6/b is superseded by (DAA-GRS-2013-0006-0003)

N1-420-03-002 / 7 is superseded by (DAA-GRS-2013-0006-0002)

N1-420-03-002 / 8/a is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 8/b is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 8/c is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 9/a is superseded by (DAA-GRS-2013-0003-0001), GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)

N1-420-03-002 / 9/b is superseded by (DAA-GRS-2013-0003-0001), GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)

N1-420-03-002 / 9/c is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 10/a is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 10/b is superseded by (DAA-GRS-2013-0005-0004)

N1-420-03-002 / 11/a is superseded by (DAA-GRS-2013-0005-0006)

N1-420-03-002 / 11/b is superseded by (DAA-GRS-2013-0005-0006)

N1-420-03-002 / 11/c is superseded by (DAA-GRS-2013-0005-0006)

N1-420-03-002 / 12/a is superseded by (DAA-GRS-2017-0003-0002)

N1-420-03-002 / 12/b is superseded by (DAA-GRS-2017-0003-0002

Date Reported: 12/20/2022

REQUEST FOR RECORDS DISPOSITION AUTHORITY

NI-420-03-2

To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

DATE RECEIVED 1/21/03

1. FROM (Agency or establishment)

Overseas Private Investment Corporation

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION

Office of the Chief Financial Officer

3. MINOR SUBDIVISION

Information Resources Management

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.

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Bruce I. Campbell	202-336-8563	4-8-03	

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
01/15/03		Records Officer

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

Information Resources Management

Information Technology Operations and Management

(see attached new records schedule)

OVERSEAS PRIVATE INVESTMENT CORPORATION

Information Resources Management
Information Technology Operations and Management Records

1. Oversight and Compliance Files.

    Records in OPIC's office with agency-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.

    a. 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.

    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.

    [Note: See item 3b for performance files relating to systems.]

2. 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, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.

    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.

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.

   Destroy/delete 1 year after termination of system.

   (2) Records of routine 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.

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

[**Note**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).]

4. <u>System Backups and Tape Library Records</u>.

a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

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

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

[**Note**: See GRS 20, item 8, for backups of master files and databases.]

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.

5. <u>Files Related to Maintaining the Security of Systems and Data</u>.

    a.   System Security Plans and Disaster Recovery Plans.

        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.

        Destroy/delete 1 year after system is superseded.

6. <u>User Identification, Profiles, Authorizations, and Password Files,</u> 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.

    b.   Routine systems, i.e., those not covered by item 6a.

        See GRS 20, item 1c.

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

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

8. <u>IT Operations Records</u>.

    a.   Workload schedules, run reports, and schedules of maintenance and support activities.

    Destroy/delete when 1 year old.

    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.

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.

9.   Financing of IT Resources and Services.

[**Note**: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.]

a.   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.

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

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.

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.

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.

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.

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 OPIC IT infrastructure (see Note), systems, and services. These records relate to existing and implemented mission critical OPIC programs, including financial systems, loan and insurance processing and monitoring, and investment and funds processing and monitoring. These records also relate to systems for administrative and support functions at OPIC. Includes records documenting (1) 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, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

a. Records for projects that are not implemented.

Destroy/delete 1 year after final decision is made.

b. Records for projects that are implemented.

Destroy/delete 5 years after project is terminated.

c. Installation and testing records.

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

[Note: IT Infrastructure is the basic systems and services used to supply the OPIC and our staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure.

12. 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.