

APPENDIX A
RECORDKEEPING PLAN

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**RECORDKEEPING PLAN
FOR
THE CORPS OF ENGINEERS ENTERPRISE MANAGEMENT SYSTEM
(CEEMIS)**

1.0 OVERVIEW

1.1 Purpose. The purpose of this Recordkeeping Plan is to define and formalize the recordkeeping procedures to be incorporated into the Corps of Engineers Enterprise Management System (CEEMIS).

1.2 Scope. Records management is defined as the principles and procedures for the life cycle management (LCM) of information. Records management requirements must ensure that the system reflects the business processes for which it was established and that the information is protected and retained for the authorized retention period.

1.3 Objectives. The objective of this plan is to assure that when deployed, CEEMIS will satisfy all specified recordkeeping requirements as identified by the Functional Proponent (FP) and the Program Manager (PM). This plan documents the requirements for the information and internal controls that must be established to provide assurance that the recording, retention and use of system data are included in CEEMIS.

This recordkeeping plan is written under the following guidance:

- AR 25-3, Army Life Cycle Management of Information Systems
- ER 25-1-2, Life Cycle Management of Automated Information Systems (AIS)
- DA PAM 25-400-2, Modern Army Recordkeeping System (MARKS).

2.0 RECORDKEEPING REQUIREMENTS

2.1 **MARKS.** Procedures for the systematic identification, maintenance, retirement and destruction of records will be implemented, specifically regarding the category of financial administration.

2.2 **Internal Controls.** Procedures for controlling CEEMIS program changes, data retention periods and general informational usage of CEEMIS will be implemented.

2.2.1 **Recording.** Primary sources for this aspect of recordkeeping include program documentation and system documentation. CEEMIS will undergo a number of updates throughout its life cycle. These changes will be monitored by program management and a Configuration Control Board (CCB). The CEEMIS Configuration Management Plan (CMP) will provide details on how program change control procedures will be managed and implemented. Program comments and documentation will track changes within program coding via inexecutable comments in the program.

Documentation regarding system architecture, data architecture, field definitions and code books used to record data will be maintained for the life cycle of the system in accordance with ER 25-1-2 and AR 25-3.

2.2.2 **Retention.** Retention of CEEMIS data records will conform to guidelines specified in DA PAM 25-400-2. For example, commitment documents will be destroyed after two years. Year-end versions of the CEEMIS magnetic tape database will be retired to a Federal Archives and Records Center after five years and destroyed after 30 years.

The PM assigned database administrator will oversee the retention and disposition of all data records as prescribed by the governing regulations.

2.2.3 Use of Information. CEEMIS information will be protected by user access levels. All users approved for access to CEEMIS will be given an access level depending on the level of information they will need to access. This places the security on the data being reported to the individual(s) that have a “need to know”. All users will be given one of the following levels of access:

- District Level (1) – A user granted district level access will have the capability of creating/updating, viewing, and generating report data for their responsible field operating activity (FOA). The district level team member will be required to maintain the points of contact table for their responsible reports. The CEEMIS Point of Contact (POC) for the field activity will be required to maintain the FOA table for their applicable FOA.
- Division Level (2) – A user granted division level access will have the capability of viewing and generating report data for the districts within their division. An operating division team member that will be creating/updating report data for their districts will need to be identified as a district level employee.
- Command Level (3) – A user granted command level access will have the capability of viewing and generating report data for the entire command. The USACE Finance Center (UFC) team members will be given the UFC indicator and thus will have the capability of creating/updating, viewing and generating report data for any activity within the command. The UFC team member will be required to maintain all system command tables such as appropriations, and FOA codes.
- Database Administrator Level (4) – A user granted database administrator (DBA) level will have the capability of performing any all functions within the system. The DBA will be the owner and manager of all tables within the system.

A user granted a level 3 or 4 will also be granted an additional indicator as to whether or not they are employed at the USACE Finance Center (UFC) or the Headquarters, U.S. Army Corps of Engineers (HQUSACE).

These safeguards on information usage will help to protect the integrity of the system and the validity of the data it provides.