



## UNITED STATES PATENT AND TRADEMARK OFFICE

OFFICE OF THE CHIEF INFORMATION OFFICER

### POLICY FOR ARCHIVING AND DESTROYING CONFIGURATION MANAGEMENT (CM) ARTIFACTS OCIO – 5002-09

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##### **I. PURPOSE**

This policy establishes procedures for the management of certain information technology data, including the disposal of automated and physical artifacts, maintained in the CM repositories and CM library, which represent production deployments that are not specifically addressed by other agency policies.

The Configuration Management Services Branch (CMSB) within the Office of the Chief Information Officer (OCIO) has a need to properly archive production CM artifacts and destroy those that are obsolete but consume resources.

##### **II. AUTHORITY**

This policy is in accordance with USPTO's Comprehensive Records Schedule (CRS) and the National Archives and Records Administration's (NARA), General Records Schedules (GRS).

##### **III. SCOPE**

This policy applies to all automated and hard-media artifacts maintained in an automated system or physical library managed by the Configuration Management Services Branch

(CMSB). Both automated and media artifacts will be referred to as “CM Artifacts” throughout the remainder of this policy.

The retention and disposal guidelines apply to CM artifacts regardless of form or characteristics, namely in physical and electronic formats contained in the CM repositories and CM library.

#### **IV. DEFINITIONS**

***Automated Information System (AIS):*** Application software, custom-built or commercial off-the-shelf software (COTS), or a combination of custom and COTS, that delivers business functionality to end-users at the USPTO.

***CM Artifact:*** Any item, hard-copy, soft-copy, or “ghost” image that is under the management and control of CMS, SUPCM or the CM Library and not otherwise categorized/defined by the CRS. If a CM artifact is related to more than one “owner”, the artifact must be retained for the longest retention period associated with an owner.

***CM Artifact Owner:*** A CM Artifact Owner is any AIS that consumes components that are separately managed by configuration management.

***Configuration Management (CM):*** An Information Technology discipline that defines, captures, manages and audits configuration items that will allow a business area to recover from failures in the computer processing environment.

***COTS:*** Commercial, Off-the-Shelf.

***CRS:*** Comprehensive Records Schedule.

***Records:*** Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value in them.

***Shareware:*** Software generally available to the public with little or no cost or license restrictions relative to its use. For purposes of this policy, Shareware shall be treated as if it were Commercial, Off-the-Shelf (COTS) Software.

#### **V. POLICY**

For purposes of this policy, CM artifacts will be grouped into the following categories.

1. Application Information System (AIS) Baselines

2. Application Information System (AIS) Documentation
3. COTS Software, COTS Documentation and Library CDs
4. Desktop Baselines/Images
5. Software Installation Packages
6. Automated Library CM Artifacts

The following schedule will be implemented using standard configuration management processes and procedures detailed in the Appendices. Updates to CM processes and procedures may occur at any time if they do not change the intent of this policy.

### **1. Application Information System (AIS) Baselines**

For purposes of this section, a baseline is any version of an AIS that has been deployed into production. If an AIS comprises multiple components that can be separately deployed, this baseline policy relates to each component that can be separately deployed.

- Three production Baselines will be maintained at all times in the CM automated system. At no time will a baseline be deleted if it is less than fifteen (15) months old at the time it is scheduled for deletion.
  - When the “4<sup>th</sup>” baseline has been created and successfully moved into production, the oldest baseline can be deleted thirty days AFTER the production deployment date to coincide with the end of the warranty period.
  - If the date on the baseline plus the 30 day warranty period is less than fifteen (15) months from the date the baseline was created, the deletion cannot commence until the baseline is at least fifteen (15) months old.
  - For production systems that no longer are being revised, three baselines will be maintained indefinitely, until the system is fully retired.
- Baselines in CMS that no longer represent production applications will be retained for two years beyond their retirement date, unless approved for deletion earlier from the system owner. In no event will the retention be less than fifteen (15) months.
  - For inactive (no longer in production, but not officially retired) or retired systems, only the latest baseline will be maintained for two years.
  - Prior to completely deleting an inactive or retired system, written approval for final deletion must be granted from the system owner or the logical business owner if the system owner-of-record is no longer responsible for the business area or has left the agency.

### **2. Application Information System (AIS) Documentation**

For purposes of this section, AIS Documentation shall include all documentation types that relate to an AIS from initial requirements and design documents to system Operational Support Procedures (OSPs) that have been captured as CM Artifacts. This

policy does not cover documentation that is retained in other documentation repositories such as Share Point, Quick Place or Documentum. (Reference related archive policies for those tools.) Each document associated with an AIS shall separately be managed according to the following schedule. If hard copy documentation exists in the CM library, these provisions apply to the hard copy in the library as well.

- Two versions of AIS documentation shall be maintained at all times.
  - When the “3<sup>rd</sup>” copy of the AIS documentation is delivered to CM, the oldest version of that document will be deleted.
  - Under no circumstances will any documentation be deleted from CM that is less than fifteen (15) months old.
  - When a document is older than fifteen (15) months and two other versions of the same document are available, the document can be deleted from CM.
- Documentation for systems that have been retired shall be maintained for a period of fifteen (15) months following the retirement of the system.
  - For inactive or retired systems, only the latest version of documentation will be retained.
  - Prior to completely deleting documentation for an inactive or retired system, written approval for final deletion must be granted from the system owner or the logical business owner if the system owner-of-record is no longer responsible for the business area or has left the agency.

### **3. Commercial Off-the-Shelf (COTS) Software, COTS Documentation and Library CDs**

For purposes of this section it is assumed that physical library media is in addition to CM artifacts maintained in the CM tool, and as such, shall not be considered duplicate software. It also is assumed that COTS software falls into three broad categories that will be considered separately from an archive and destruction perspective.

- Server-Based COTS Software is enterprise-level software that may relate to multiple production AISes and is loaded primarily on server hardware, although there may be some sort of client agent on a workstation. Examples of Server-Based Software include MS Exchange, Oracle RDBMS, Websphere, and Documentum.
- Workstation-Based COTS Software may be enterprise-licensed, but primarily it is a client-side, workstation-based product that must be compatible with certain agency-sanctioned workstation baselines. Examples of Workstation-Based Software include Windows XP, WORD, Excel, VISIO and others.
- Integrated COTS relate to products that provide no significant stand-alone, enterprise features or functions, however, they integrate with other COTS or custom code to provide utility functionality to provide an industry-standard implementation or facilitate development among disparate teams. Examples of

Integrated COTS include Adobe Reader, PUTTY, dlls, share ware, and JAVA Virtual Machines (JVMs).

The COTS category above is determined at the time the software is delivered to the CM Library. It will be the primary responsibility of the COTS owner to determine the appropriate category listed above. Absent a COTS-owner designation, CMSB staff will assign the appropriate category.

#### **Server-Based COTS**

- Server-Based COTS will be retained for fifteen (15) months following an upgrade to the next version of the software that USPTO has adopted, resulting in two versions being retained at all times. Periodic patches will not be considered a new version for purposes of this archive policy. Vendor patches should be retained with the applicable software they patch.
  - If USPTO has not upgraded to the latest version of a COTS product, then the fifteen (15) months retention cycle relates to the most current version that is in production at USPTO.
  - Current Production and the previous version of server-based COTS will be maintained at all times, based on AIS usage.
    - If different versions of server-based COTS are used by different applications, each unique AIS usage will be considered a separate “product” for purposes of retaining two versions of the server-based COTS product. (If one AIS is using Oracle 11G, then Oracle 10G will be retained as well. If another AIS is using 10G, then Oracle 9i will be retained as well.)
- Under no circumstances will a COTS product be deleted if it is still in production, regardless of its age or currency relative to the Vendor’s offering.
- Vendor patches will be retained with the applicable software they patch. When the relative COTS is deleted, applicable vendor patches also will be deleted.

#### **Workstation-Based COTS Software**

- Workstation-based COTS will be retained for fifteen (15) months following an upgrade to the next version of the software that USPTO has adopted, resulting in two versions being retained at all times. Periodic patches will not be considered a new version for purposes of this archive policy. Vendor patches should be retained with the applicable software they patch.
  - Under no circumstances will software that is distributed by USPTO using an authorized workstation “image” be deleted, regardless of its age or currency relative to the Vendor’s offering.
- When a mature process exists to download COTS from Vendor sites on the Internet, and workstation-based COTS products exist in the automated CM Library, COTS media may be destroyed as soon as the automated version has been QA-tested to ensure that it is viable.

#### **Integrated COTS Software**

- Integrated COTS software will be retained for fifteen (15) months following an upgrade to the next version of the software that USPTO has adopted, resulting in two versions being retained at all times. Periodic patches will not be considered a new version for purposes of this archive policy. Vendor patches should be retained with the applicable software they patch.
- Under no circumstances will an Integrated COTS product be deleted if it is still in production, regardless of its age or currency relative to the Vendor's offering.
  - Shareware software is included in this policy.
- When a mature process exists to download COTS from Vendor sites on the Internet, and Integrated COTS products exist in the automated CM Library, COTS media may be destroyed as soon as the automated version has been QA-tested to ensure that it is viable.

### **COTS Documentation**

For purposes of this section, COTS Documentation shall include all documentation that relates to a COTS product and has been captured as a CM Artifact. This includes, but is not limited to: 1) Installation Instructions; 2) User Guides; or 3) Troubleshooting Information. If hard copy documentation exists in the CM library, these provisions apply to the hard copy in the library as well.

- One version of all related COTS documentation shall be maintained at all times for each version of the COTS product retained.
  - Under no circumstances will any documentation be deleted from CM that is less than fifteen (15) months old.
  - Multiple versions of identical documentation shall not be maintained by CM. If additional copies exist, they may be distributed to the COTS owner-of-record for use, otherwise they will be destroyed.
- Documentation for COTS software that is no longer in production shall be maintained for a period of fifteen (15) months following the retirement of the system.
  - For inactive or retired systems, only the latest version of documentation will be retained.
- When a mature process exists to download COTS from Vendor sites on the Internet, and COTS documentation exists in the automated CM Library, COTS documentation media may be destroyed as soon as the automated version has been QA-tested to ensure that it is viable.

### **Library CDs**

For the purpose of this policy, Library CDs specifically relate to custom AIS software that exists in an automated CM tool and ALSO has been downloaded to CDs and delivered to the CM Library.

Library CDs may be deleted from the CM Library and destroyed when it has been determined by a structured audit, that identical files and configurations exist in the automated CM tool.

- Prior to completely deleting Library CDs, written approval for final deletion must be granted from the system owner or the logical business owner if the system owner-of-record is no longer responsible for the business area or has left the agency. An audit to assure the business owner that the software is available in the automated CM tool shall be conducted by CMSB.

#### **4. Desktop Baselines/Images**

For purposes of this section, a desktop baseline or image is considered an aggregation of AIS and COTS components that have been combined in such a way as to make them an entirely separate entity, not to be confused with any individual component part. As such, archive policies related to desktop baselines and images are treated as separate configuration items.

- Desktop Baselines/Images will be retained for a minimum of fifteen (15) months following an upgrade to the next version of the Baseline/Image that USPTO has created, resulting in two versions being retained at all times.
- When the “new” baseline has been created and successfully moved into production, the oldest baseline can be deleted thirty days AFTER the production deployment date to coincide with the end of the warranty period related to an AIS desktop component. If baselines are created more often, then multiple baselines will be retained to ensure maintenance for at least 15 months of any unique baseline.
- Under no circumstances will a Desktop Baseline/Image be deleted if it is still in production.

#### **5. Software Installation Packages**

For purposes of this section, software installation packages are created to allow USPTO’s Help Desk to remotely install AIS client components or COTS products such as MS Project that are not otherwise part of a standard desktop image.

- Software Installation Packages will be retained for fifteen (15) months following an upgrade to the next version of the installation package that USPTO creates, resulting in two versions being retained at all times.

#### **6. Automated Library CM Artifacts**

For purposes of this section, Automated Library CM Artifacts refer to the files created from CDs, DVDs, Internet downloads or other CM activities associated with the CM Library, and translated into automated form (ISO image) to facilitate disaster recovery in the event that the CM physical library is not available. These are not artifacts whose primary storage is in the CM tool.

- Automated Library CM Artifacts will be retained for fifteen (15) months following an upgrade to the next version of the software that USPTO has adopted, resulting in two versions being retained at all times. Periodic patches will not be considered a new version for purposes of this archive policy. Vendor patches should be retained with the applicable software they patch.

- If USPTO has not upgraded to the latest version of a COTS product, then the fifteen (15) months retention cycle relates to the most current version that is in production at USPTO.
- Current Production and the previous version of automated Library CM Artifacts will be maintained at all times, based on AIS usage.
  - If different versions of Library CM Artifacts are used by different applications, each unique AIS usage will be considered a separate “product” for purposes of retaining two versions of the server-based COTS product. (If one AIS is using Oracle 11G, then Oracle 10G will be retained as well. If another AIS is using 10G, then Oracle 9i will be retained as well.)
- Under no circumstances will a Library CM Artifact be deleted if it is still in production, regardless of its age or currency relative to the Vendor’s offering.
- Vendor patches will be retained with the applicable software they patch. When the relative COTS is deleted, applicable vendor patches also will be deleted.

**VI. RESPONSIBILITIES**

***Configuration Management Services Branch:*** This branch and its support contractors are responsible for implementing this policy and assuring comprehensive management of the CM artifacts described in the policy through approved policies and procedures.

***Software Development Management Group:*** This group is primarily responsible for conforming to CM policies and procedures relative to using Configuration Management tools and delivering COTS products to the CM Library.

**VII. EFFECT ON OTHER POLICIES**

This is a new policy, and does not cancel or supersede any other.

ISSUED BY:



John A. Owens II  
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**OFFICE OF PRIMARY INTEREST:** Enterprise Systems Support Group; Pre-Production Services Division