

CHAPTER 3. RELEASE PROCEDURES

3-1. OVERVIEW.

- a. This chapter focuses on the disposition of the automated files contained in each system as well as provides a brief synopsis of all three elements of the software release package. While it does not make any significant changes in the release procedures, the disposition of automated files is reiterated to stress the importance of SEG working with the system sponsors to assist them in converting their records disposition schedules into system specific actions as well as CSG ensuring that the timeframes designated in the schedules are implemented.
- b. The Department's Production Software Release Package consists of three basic elements: (1) System Release Memorandum, (2) completed System/Modification Notification Form and (3) completed documented Operations Manual. The objective of the package is to facilitate the smooth transfer of production software application systems from the development phase to the operations phase.
- c. More detailed instructions for releasing application software packages into production are contained in the User Guide to HUD Sperry 1100 Mainframe Standards: Production Software Release Packages, 1-400.16.

3-2. RESPONSIBILITIES.

- a. ADP system sponsors establish retention periods for their automated files with the assistance of SEG and CSG, using the model records disposition schedule in Appendix 1.
- b. SEG, working with the system sponsors and CSG, ensures that retention periods are established for all files and tapes contained in a system. SEG designs, develops, tests, and documents each application system before releasing it for production. Before release to CSG, SEG updates the release package for the system to reflect the NARA-approved retention periods in the records disposition schedule.
- c. CSG is responsible for providing operational support throughout the system lifecycle. CSG updates their automated system to incorporate the approved retention periods from the records disposition schedule. Also, CSG ensures that the timeframes designated in the records disposition schedule are strictly adhered to.

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- 3-3. PRE-RELEASE MEETINGS. Constant communication among the sponsor, SEG and CSG takes place throughout the lifecycle of an application system. This is especially needed to control critical events occurring prior to systems release. SEG provides CSG with documentation for review in the pre-release meeting. This gives CSG an opportunity to review the system

documentation and make appropriate changes or additions prior to the formal release of the package. The pre-release meetings also are used to establish contacts for SEG and allow CSG to assess the impact of the modification or addition of a new system on the CSG environment.

3-4. SOFTWARE RELEASE PACKAGE.

a. Systems Release Memorandum.

- (1) SEG. Following sponsor approvals, SEG releases systems by sending a release memorandum to the appropriate Branch Chief in CSG. It describes the disposition of the release, i.e., new system or a modification (addition/deletion) to an existing system. All the documentation needed to successfully execute the released system is included.
- (2) CSG. An accepting official in CSG reviews the package for accuracy and completeness. He/she provides feedback to SEG by indicating acceptance or rejection in the appropriate places and returning a completed copy of the memorandum to SEG.

b. System Release/Modification Notification Form.

- (1) SEG. This form is included in both a new system or a modification to a system already in production. It is critical that it be received by CSG at least one week in advance of intended production to allow time for the release and to plan scheduling impact. Two essential items included with the notification are the Operations Manual and the Mass/Tape Storage Request Form. A description of both items follows:
 - (a) Operations Manual. Generally, the Operations Manual and the runbook are synonymous. It provides operations personnel with a description of the software and of the operational environment. The disposition of all files/tapes contained in a system is given in this guide. A copy of the records disposition schedule covering the system's files is included in the manual. Any references to the system files noted in the manual will include a reference to the schedule and item number citation. An example is included in Appendix 6. Also, a description of the files, file identifier, file medium, file retention, and disposition is provided.

These items are critical to the technician in updating the control system for automated files/tapes. The guide is included for new systems and major modifications. Changes

resulting from modifications to the disposition of files/tapes are reflected in the manual.

- (b) Mass/Tape Storage Request Form. This form contains the disposition of all files/tapes in a system. Retention/disposition cycles are established by the sponsor, assisted by SEG and CSG, in the records disposition schedule for the automated system. It is included for new systems and major modifications. SEG uses this form to instruct CSG on the disposition of all files/tapes contained in a system; i.e., how long to retain them. The technician uses the Mass/Tape Storage Request Form to update the automated system used for monitoring the disposition of tapes.
- (2) CSG. CSG reviews the system release modification form and suggests changes or additions as appropriate. The update occurs at or before the actual implementation of the system. Data pertaining to the disposition of files/tapes is provided by SEG on the Mass/Tape Storage Request Form. CSG utilizes this form to either update or add the retention schedule for the system files/tapes. Based on the medium (tape or disk), the retention schedules are updated or added through the files management control system or the STAR 1100 tape management system. Both of these systems provide CSG with an automated mechanism for updating the files/tapes of all active systems. The automated attribute feature of STAR will be used to record retention dates. CSG verifies the medium from the documentation provided by SEG and updates as follows:
- (a) Disk Systems are updated through the automated file management control system process. File managers in CSG review the data on the Mass/Tape Storage Request Form and make appropriate changes or additions to the control system. A report is printed once a week showing all the updates or additions to the system. The file managers utilize this report to ensure that the files are being retained according to the designated time indicated in the records disposition schedule. A copy of the report is retained for future review by the RMLO.
 - (b) Tape Systems. Tape systems are updated through the Star 1100 Tape Management System. The technician reviews, the documentation provided by SEG in the runbook and updates the system as appropriate. A weekly report is produced

reflecting the status of all tapes, whether they are being saved or destroyed. Data from this report are reviewed to ensure that the records disposition schedule is being followed. It is also retained for future review by the RML0.

3-5. RETIRING AUTOMATED DATA PROCESSING (ADP) RECORDS.

- a. Retirement is the movement of inactive records from storage in HUD offices to the Federal Records Center. Federal Records Centers store records of Federal agencies and service reference requests. NARA runs two National Records Centers plus Federal Records Centers throughout the United States.
- b. ADP tapes and other records can be retired to a Center if inactive and causing storage problems in HUD but not yet eligible for destruction. IPS' RML0 will work with CSG to effect retirement. Detailed instructions for retiring and recalling automated data processing records are found in Chapter 6 of 2228.1 SUPP-1.

3-6. MANDATORY USE OF SCHEDULE AND EMERGENCY DEVIATIONS. Once approved by NARA, the retention periods in the schedule must be followed when deleting automated files. This will be done automatically, using the STAR system. However, automated files should not be destroyed if HUD still needs the files:

- a. When an emergency (such as a lawsuit or audit) requires that files be kept temporarily for longer than the approved retention periods in the schedule, notify CSG in writing of the emergency:
 - (1) Clearly identify the automated system and specific files involved.
 - (2) Cite the schedule and item covering the files.
 - (3) Justify the need for further retention. This must be based on HUD's continuing administrative, legal, or fiscal need for the files.
 - (4) State when the files can be deleted. CSG must also be notified in writing when the emergency ends, and the files are no longer needed.
- b. The schedule must be revised when changing program or administrative needs require that files be kept for longer than the approved retention periods on an ongoing basis. NARA must approve the revised retention periods.

3-7. MONITORING.

- a. It is essential that the timeframes designated in the

records disposition schedule be strictly enforced. Any deviations must be approved by NARA prior to implementation. To ensure that dispositions are followed, an annual review must occur whereby the runbook and the STAR retention dates are compared to the retention dates cited in the records disposition schedule approved by NARA.

- b. The RMLO is responsible for performing this review. He/she identifies any discrepancies resulting from the review and forwards a copy of the report to the technician to resolve through further updates or additions to the system. A copy of the end of the quarter weekly update report and a copy of the discrepancy report, if any, should be maintained in the system's file for a one year period for audit purposes.