

make application of the GRS inappropriate. If records described in the GRS are part of a larger file series and cannot be economically segregated, the agency schedule for the series, not the GRS, would control the disposition of the entire series. Agencies also have administrative records that are not appropriate for GRS coverage because the content or organization of the files may vary significantly from agency to agency, such as records relating to the selection of political appointees (see NARA Bulletin 95-6).

The Work Group recommends that a new item be added to GRS 1-16, 18, and 23, to authorize disposal of the source records used to produce records maintained in those GRS recordkeeping systems, *after* a recordkeeping copy has been produced. These source records will include electronic source records generated using electronic mail, word processing, and other office automation systems. This authority is needed because the electronic source record that remains on the office automation application is a record, in addition to the record in the recordkeeping system.

This new item is appropriate for inclusion in the GRS because the GRS applies only to administrative records. This new item is recommended because unlike unique agency program records, the Work Group believes that the electronic source records of records covered by the GRS have virtually no potential for unique or added value. Consequently, unlike program records, the source records need not be appraised in a series-based manner. (This authority would not be added to GRS 17 and 21 because they cover cartographic, architectural, and audiovisual records. Even though such nontextual records may be generated in digital format, NARA needs to conduct further study before determining whether electronic source records should be added to these two GRS. GRS 19, Research and Development Records, was withdrawn in a previous edition of the GRS, and NARA has decided to withdraw GRS 22, Inspector General Records, in the next edition.)

The new item proposed by the Work Group would align the disposition authority for the source records with records documenting a specific administrative function, as opposed to providing one GRS authority across functional areas, as was done in the 1995 edition of GRS 20. It will provide authority for deletion of the source records, including those that are maintained on office automation applications apart from an agency recordkeeping system. The new item will be applicable to source records in

all physical formats that the agency does not maintain in a recordkeeping system. However, the item will authorize deletion of source records maintained apart from the recordkeeping system only *after* a recordkeeping copy is produced. The item will not apply to the records in a recordkeeping system.

### Proposed Changes

#### 1. General Introduction to the GRS

##### Replace:

"As provided in GRS 20, Electronic Records, the disposal instructions for most records in the remaining schedules are applicable to both hard copy and electronic versions of the records described. GRS 20 specifies several exceptions to this authority. In those cases, the electronic version of the file must be scheduled by submission of an SF 115 to NARA."

##### With:

"The items in GRS 1-16, 18, and 23, apply to records that contain the information described in the schedule. The coverage is neutral with respect to the recording medium. The specified retention periods apply to the records described in each item which are maintained in a recordkeeping system, regardless of the physical medium used to maintain the records. In addition, an item in each of those schedules provides authority for agencies to destroy/delete source records after a record has been produced for inclusion in the appropriate recordkeeping system."

#### 2. New Item to be Added at the End of GRS 1-16, 18, and 23

##### "Records Maintained Apart From a Recordkeeping System."

"Records, including electronic source records, used to generate the records covered by the other items in this schedule which cover the records in an agency recordkeeping system. Includes records in all formats/media that are used as sources for the creation of the record maintained in a recordkeeping system, such as electronic records that remain on electronic mail and word processing utilities after the record for the recordkeeping system has been produced.

"Destroy/delete after the recordkeeping copy has been produced. Electronic source records may be maintained for a limited period of time for operational purposes other than recordkeeping, such as updating."

#### 3. New Paragraph to be Added to the Introductions to GRS 1-16, 18, AND 23

"A new item has been added to this schedule to authorize the destruction of source records, regardless of physical

format, that are maintained in addition to the record in an agency recordkeeping system. This item covers records that are used to create the recordkeeping copy, e.g., the electronic record that remains on electronic mail and word processing utilities after a record has been produced for inclusion in a recordkeeping system."

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## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Electronic Records Work Group Draft Report; Appendix E

**AGENCY:** National Archives and Records Administration (NARA).

**ACTION:** Request for comment.

**SUMMARY:** This notice contains the Electronic Records Work Group's proposed general records schedule (GRS) to cover information technology records common to many or all Federal agencies. The proposed GRS would implement the Work Group's proposed recommendation that NARA should revise GRS 20 disposition authorities to cover only systems administration (or systems management) and operations records and that the new schedule should cover only administrative records. Agency systems records for program (mission-related) activities will not be covered by the proposed GRS.

The Work Group intends to recommend to the Archivist a proposed new GRS for information technology records based on the comments received during this comment period. Because we expect a number of comments on fundamental issues relating to the approach that the GRS should take and the records that should be covered, we believe that the draft that will be submitted to the Archivist of the United States in September will require an additional **Federal Register** comment period before NARA issues it in final form.

**DATES:** Comments must be received on or before August 20, 1998.

**ADDRESSES:** Comments may be sent electronically to the e-mail address <grs20@arch2.nara.gov>. We ask that lengthy attachments be sent in ASCII, WordPerfect 5.1/5.2, or MS Word 6.0 format. If you do not have access to e-mail, comments may be mailed to Electronic Records Work Group (NPOL), Room 4100, 8601 Adelphi Rd., College Park, MD 20740-6001, or faxed to 301-713-7270.

**FOR FURTHER INFORMATION CONTACT:** Michael Miller at 301-713-7110, ext. 229.

**SUPPLEMENTARY INFORMATION:** The proposed GRS is contained in Appendix E, which appears at the end of this document. Your comments are requested on the proposed GRS and in response to the following questions:

E1. Do the items in the proposed GRS accurately describe records with which you are familiar? Please identify any items (series) that do not reflect systems administration records as currently practiced.

E2. Unlike GRS 20, this proposal divides records into more detailed groupings and provides specific retentions for each. Is this helpful? Would agencies prefer this approach with greater detail and separate dispositions for each specific type of record, or an approach that combines multiple detailed items into larger series with a single disposition whenever appropriate?

E3. The proposed GRS is not presented in the format normally used in the GRS. Do you find this chart format helpful?

E4. Would fewer, more uniform retention periods better suit agency needs? Discussion: Some agencies have suggested that fewer, more uniform retention periods that are tied to a specific date (e.g., when 3 years old) and not an event (e.g., after 3 backup cycles) are easier to implement for series covered by a GRS.

E5. Does your agency have other information technology (IT) records relating to administrative functions not described in this proposed GRS that could be included in a GRS? You are reminded that the GRS will not cover an agency's program (mission-related) records. For a complete discussion of the distinctions between program records and administrative records, please see the introduction to the draft Appendix D, which is presented in a separate notice earlier in this separate part.

Dated: July 16, 1998.

**Lewis J. Bellardo,**  
Deputy Archivist of the United States.

#### **Appendix E: Proposed General Records Schedule, Information Technology Records**

The Electronic Records Work Group has developed a preliminary draft of a General Records Schedule that would provide disposition authorities for records specifically related to the development, management and operation of computer systems, and digital networks. Records include those

relating to system development and implementation, computer and network operations and technical support, office automation and user support, and data administration. The schedule is designed to conform with common practices in information technology (IT) management and operations.

The most significant differences between this draft schedule and the 1995 version of GRS 20 is that the proposed draft GRS eliminates disposition instructions for:

1. Electronic source records generated or received on e-mail and word processing applications for all program and agency-unique administrative records (items 13 and 14 in the 1995 GRS 20).

2. Electronic records that support administrative housekeeping functions when the records are derived from or replace paper records authorized for disposal in an agency-specific schedule (item 3b in the 1995 GRS 20).

3. Electronic source records scheduled for disposal under one or more items in GRS 1-16, 18, and 23 (item 3a in the 1995 GRS 20).

Under the Work Group's second recommendation, NARA will include coverage for the third item in revisions to those GRS (see appendix D), but the first two items will have to be included in agency specific schedules.

This preliminary draft also covers a wider variety of IT operational records and the descriptions it includes more accurately mirror current records and terminology. Because we believe that the IT community should be encouraged to review the draft GRS, the Work Group has formatted it in a style that we hope will be more familiar to them than the traditional GRS format.

*The Work Group seeks comments on both the items to be included and the proposed retention periods, and reminds reviewers that GRS retention periods are mandatory unless the agency receives a specific exception from NARA.*

When NARA issues a final version that reflects Federal agency and public comments, it will follow the format normally used in the GRS.

Transmittal No. XX

General Records Schedule XX

#### **General Records Schedule XX**

##### *Information Technology (IT) Records*

Information Technology (IT) records include general administration records of data processing units, systems development records, computer operation and technical support records, data administration support records,

user and office automation support records, network and data communication services records, and, Internet services records. (*GRS 12, Communications Records is under review and will have to be modified at a later date to address redundancies.*) As defined in the *Information Technology Reform Act of 1996*, the term "information technology," with respect to an executive agency means "any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the executive agency." The term "includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources."

**This General Records Schedule for IT records does not cover electronic records that support the agency's mission-related (program) functions and activities. Program managers and staff are responsible for developing and applying retention schedules to those electronic records retained to meet program-specific requirements. Data processing units are often the physical custodian of program IT records. Program IT records must be retained to meet retention requirements specified by the program area.**

**IT records not included in this schedule must be scheduled separately by the program having the responsibility and authority to determine their retention requirements and final disposition.**

This schedule covers the records described in the following chart, wherever located within an agency. Agencies should develop and implement procedures for effective purging of electronic records from automated information systems on a regular basis. Intermediate storage of electronic records covered by this GRS can include down-loading them to off-line storage media such as magnetic tapes or diskettes, prior to final disposition, i.e., deletion or erasure. Records should be destroyed when the retention period has been met, unless the records are being used in an audit or legal action. Obsolete records consume expensive office space and computer storage capacity, and they can hinder efficient access and retrieval of current records.

Item No.	Description of Records	Authorized Disposition
1 .....	<b>GENERAL ADMINISTRATION RECORDS</b> General Administration includes IT fiscal and personnel administration, planning, and the coordination of activities within IT units and between an IT unit and other parts of an agency.	
1 a .....	General Information Technology Administrative Files. Correspondence and/or subject files relating to internal operation and administration of IT services matters not covered elsewhere in this schedule or in another GRS.	Destroy when 2 years old. <sup>1</sup>
1 b .....	Information Resources Management (IRM) and Data Processing Services Plans. Data processing services plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas. <i>Records Not Covered:</i> <i>IRM strategic plans and Information Technology Investment Reviews are program records and must be scheduled separately by the agency.</i>	Destroy 3 years after the plan is completed, superseded, or revised. Destroy copies, drafts, and routine material when no longer needed by agency.
1 c .....	Data Processing Policies. Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership. <i>Records Not Covered:</i> 1. Data processing policies for specific mission systems, which must be scheduled separately by the agency. (Data processing policies for specific systems that are central to the conduct of the agency's mission may be permanent records.). 2. Data processing operating procedures (see item 3a).	Destroy 3 years after policy is withdrawn, revised, updated, or superseded.
1 <sup>2</sup> d .....	Data Center Records of Calculating Charge—backs to Data Processing Services Users. Electronic and manual records used to document, and calculate costs, for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	Destroy when 3 years old.
1 <sup>3</sup> e .....	Data Center Billing Records. Reports and other records detailing charges for use of computer services including monthly billing reports, copies of vouchers and bills. <i>Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the records should be retained an additional 3 months beyond the minimum retention period.</i>	Destroy when 3 years old.
2 .....	<b>SYSTEMS DEVELOPMENT RECORDS</b> Systems development covers the IT functions related to the development, redesign, modification, procurement, and testing of administrative systems as well as to maintaining the documentation generated by these processes. <i>Note: Records documenting specific agency mission systems are NOT covered by items 2a through 2c, and will need to be scheduled separately by the agency.</i>	
2 a .....	Systems Development Project Files. Records created and used in the development, redesign, or modification of an automated system for administrative functions including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.	Destroy 3 years after completion of project.
2 <sup>4</sup> b .....	Data Systems Specifications. User and operational documentation for administrative systems describing how a system operates from a functional user and data processing point of view including records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications.	Destroy 3 years after discontinuance or replacement of the system, or after all records on the system are either successfully migrated to a new system or final disposition actions on them are completed, whichever is later.
2 c .....	Data Documentation. Data system and file specifications created during development or modification of administrative systems and necessary to access, retrieve, manipulate and interpret data in an automated system. Includes data element dictionary, information directories, database directories, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. <i>Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format.</i>	Destroy 3 years after discontinuance of system or after system's data is destroyed or transferred to a new structure or format, whichever is later.
2 <sup>5</sup> d .....	Automated Program Listing/Source Code. Automated program code which generates the machine-language instructions used to operate an automated information system. <i>Note: This item coincides with item 3e, System Backup Files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice; i.e., that 3 generations of backups be retained (see item 3e). If this item is adopted into the GRS, there will be a note excluding code created to "fix" Year 2000 problems.</i>	Retain for 3 system update cycles after code is superseded or replaced, then destroy.
2 e .....	Technical Program Documentation. Paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.	Destroy 1 year after replacement, modification, or related programs cease to be used.
2 <sup>6</sup> f .....	Information Technology Procurement Files. Records used in the procurement of system hardware and software including request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information including references and literature on the firm or product line..	

Item No.	Description of Records	Authorized Disposition
	(1) Contract-related records. <sup>7</sup> .....	Destroy 6 years after expiration of the contract.
	(2) All other records .....	Destroy 3 years after completion of the purchase.
2 g .....	Test Database/Files. Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system.	Destroy after user accepts and management reviews and approves test results, or when no longer needed for operational purposes, whichever is later.
3 .....	<b>COMPUTER OPERATIONS AND TECHNICAL SUPPORT RECORDS</b> Computer operation and technical support covers the IT functions related to operating systems, maintaining hardware and software, system security, data input services, system backup, tape library operations, job and production control, monitoring system usage, and liaison with hardware and software vendors.	
3 a .....	Data Processing Operating Procedures. Records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.	Destroy 3 years after procedure is withdrawn, revised, updated, or superseded.
3 b .....	Data Processing Hardware Documentation. (1) Records documenting the use, operation, and maintenance of an agency's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems. (2) Routine records that do not contain substantial information on the maintenance history or equipment.	Destroy after the agency no longer uses related hardware and all data is transferred to and made useable in new hardware environment. Destroy when one year old.
3 c .....	Operating System and Hardware Conversion Plans. Records relating to the replacement of equipment or computer operating systems.	Destroy 1 year after successful conversion.
3 <sup>8</sup> d .....	Disaster Preparedness and Recovery Plans. Records related to the protection and reestablishment of data processing services and equipment in case of a disaster. <i>Note: Agencies should store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.</i>	Destroy after superseded by revised plan.
3 e .....	System Backup Files. Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. <i>Records Not Covered:</i> <i>Backups used to document transactions or retained for purposes other than system security should be scheduled by the responsible program. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases. These records should be disposed using items from General Records Schedule 7—Expenditure Accounting Records, or, if they are covered by specific Federal audit requirements requiring longer records retention, scheduled separately by the appropriate program.</i> <i>Note: It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.</i>	Destroy after 3 system backup cycles.
3 <sup>9</sup> f .....	System Users Access Records. Electronic or textual records created to control or monitor individual access to a system and its data created for security purposes, including but not limited to user account records, security logs, and password files. <i>Note: Computer Usage Records (item 3g) may also serve some security purposes</i>	Destroy after the individual no longer has access to the system and after audit requirements for the records modified by that individual have been met. <sup>10</sup>
3 g .....	Computer Usage Files. Electronic files or automated logs created to monitor computer system usage including but not limited to log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage. <i>Records Not Covered:</i> <i>Security logs and related records (see item 3f)</i>	Destroy after 3 system backup cycles.
3 h .....	Summary Computer Usage Reports. Summary reports and other paper records created to document computer usage for reporting or cost recovery purposes.	Destroy when 1 year old.
3 i .....	Computer Run Scheduling Records. Records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run.	Destroy when 1 year old.
3 j .....	Data Processing Unit's Copies of Output Reports. Data processing unit's copy of output reports produced for client programs.	Destroy after output is distributed.
3 k .....	Tape Library Records. (1) Automated System Files. Automated records used to control the location, maintenance, and disposition of magnetic media in a tape library. (2) Tape Library Control Records. Records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.	Destroy after related records or media are destroyed or withdrawn from the tape library. Destroy after superseded.
3 l .....	Reports on the Destruction of Files ("Scratch Reports"). Records containing information on the destruction of files stored on electronic media in a tape library.	Destroy after superseded or (if required) management review and approval.
4 .....	<b>RECORDS CREATED TO FACILITATE, OR CREATED IN THE COURSE OF, PROCESSING OR TRANSMITTING ELECTRONIC RECORDS</b>	

Item No.	Description of Records	Authorized Disposition
4 a .....	<p>Records created solely to support computer processing or communications. Excludes all records needed to document program or administrative functions.</p> <p>Input Documents. Electronic and hard copy of records or forms designed and used solely for data input and control when the data processing unit provides centralized data input services and original records are retained by the program.</p> <p><i>Records Not Covered:</i>  <i>Input records retained for fiscal audit or legal purposes, or, containing information needed by a program, should be scheduled by the responsible program. Input records which serve a fiscal audit purpose may be covered by items in General Records Schedule 7—Expenditure Accounting Records.</i></p>	Destroy after all data has been entered into the system and, if required, verified.
4 b .....	<p>Work/Intermediate Files. Records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, manipulate, or sort data within an automated system when all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail.</p> <p><i>Records Not Covered:</i>  <i>Intermediate files retained to document valid transactions, to serve as an audit trail, or needed for system recovery backup.</i></p>	Destroy after the transaction is completed.
4 <sup>11</sup> c .....	<p>Valid Transaction Files. Records used to update and/or document a transaction in database or master file including valid transaction files, Data Base Management System (DBMS) log, update files, and similar records, and not retained to document a program action or for fiscal audit purposes.</p> <p><i>Records Not Covered:</i>  <i>Records used to document a program's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, should be separately scheduled by the responsible program.</i></p>	Destroy after 3 database/master file backup cycles.
4 <sup>12</sup> d .....	<p>Print Files (Not Used to Document a Transaction). Source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, or other documents.</p>	Destroy after all print runs are completed, output verified (if required), and agency has no need to reproduce the report.
4 e .....	<p>Database Audit Trails. Data generated during the creation of a master file or database used to validate a master file or database during a processing cycle.</p>	Destroy after 3 database/master file backup cycles.
4 f .....	<p>Summary Data Files. Summary or aggregate data from a master file or database and created solely to distribute data to individuals or programs for reference and use, but not altered or augmented to support program-specific needs.</p> <p><i>Records Not Covered:</i>  <i>Summary files altered or augmented to support program-specific needs should be separately scheduled by the responsible program.</i></p>	Destroy after data is distributed.
4 g .....	<p>Extracted Data Files. Electronic files consisting solely of records extracted from a single master file or data base.</p> <p><i>Records Not Covered:</i>  <i>Extract files (1) produced as disclosure free files to allow public access to data; or (2) produced by an extraction process which changes the informational content of the source master file or data base; or, (3) records consisting of extracted information created from a master file or data base that is unscheduled; or (4) extracted from a permanent master file that cannot be accessed or no longer exists. These extract records should be separately scheduled by the responsible program.</i></p>	Delete when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
4 h .....	<p>Finding Aids (Indexes) or Tracking Systems. Electronic indexes, lists, registers, and other finding aids used only to provide access to the temporary hard copy and electronic records in the custody of the data processing unit.</p> <p><i>Records Not Covered:</i>  <i>Finding aids and tracking systems of programs other than data processing units should be scheduled by the responsible program in conjunction with the related program records</i></p>	Destroy after the related hard copy or electronic records have been destroyed.
5 .....	<p><b>DATA ADMINISTRATION RECORDS</b></p> <p><i>Data administration covers IT functions related to data administration support including the maintenance of data standards, corporate data models, and data definitions and dictionaries.</i></p>	
5 <sup>13</sup> a .....	<p>Data/Database Dictionary Records. Usually in an automated system, used to manage data in an agency's information systems including information on data element definitions, data structures or file layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use, or origin of data.</p>	Destroy after discontinuance or modification of the related application or after the application's data is destroyed or transferred to a new structure or format, whichever is later.
5 b .....	<p>Data/Database Dictionary Reports. Periodic printouts from a data/database dictionary system including data element attribute reports, database schema, and related records used for reference purposes.</p> <p><i>Records Not Covered:</i>  <i>The official copy of essential data documentation is covered by either item 2c or item 5a.</i></p>	Destroy when superseded or when data/database dictionary system is changed or eliminated.
6 .....	<p><b>USER/OFFICE AUTOMATION SUPPORT RECORDS</b></p>	

Item No.	Description of Records	Authorized Disposition
6 <sup>14</sup> a .....	User/Office Automation Support refers to IT functions that provide work station support to users of a mainframe or office automation system, including assisting users to solve software and hardware problems, installing hardware or software, providing training, and the review and recommendation of software for agency use. Site/Equipment Support Files. Records documenting support services provided to specific data processing equipment or installations. (1) Site visit reports, problem and equipment service reports, and routine correspondence and memoranda. (2) Service histories and other summary records .....	Destroy when 3 years old.  Destroy after the related equipment is no longer in use. Destroy when 1 year old.
6 <sup>15</sup> b .....	Help Desk Telephone Logs and Reports. Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes.	Destroy when 5 years old or 5 years after completion of a specific training program.
6 c .....	Training Course Information. Memoranda, flyers, catalogues, registration forms, rosters, and other records relating to training courses run by a data processing user support or office automation support unit.	Destroy after software is no longer used by agency.
6 d .....	Software Review and Recommendation Files. Records related to the review and recommendations for software for agency use including vendor information, manuals, software reviews, and related material.	
7 <sup>16</sup> .....	NETWORK/DATA COMMUNICATION SERVICES RECORDS Network and Data Communication Services covers IT functions related to installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and liaison with General Services Administration and other network providers. For related records, see General Records Schedule 12, Communications Records.	
7 a .....	Network Site/Equipment Support Files. Records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda. (1) Site visit reports, trouble reports, and routine correspondence and memoranda .... (2) Service histories and other summary records .....	Destroy when 3 years old. Destroy after the related equipment or site is no longer in use. Destroy on an annual basis.
7 b .....	(3) Routine records that do not contain substantial information on the maintenance history or site. Inventories of Circuits. Automated or paper records containing information on network circuits used by the agency including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.	Destroy after the circuit is no longer used by agency.
7 <sup>17</sup> c .....	Network or Circuit Installation and Service Files. Copies of requests for data communication service, installation, or repair and related records including work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents.	Destroy 1 year after request is filled or repairs are made. Records that are related to a legal action are removed from the file and filed elsewhere.
7 d .....	Network Usage Files. Electronic files or automated logs created to monitor network usage including but not limited to log-in files and system usage files.	Destroy after 3 system backup cycles after creation.
7 e .....	Network Usage Reports. Summary reports and other records created to document computer usage for reporting or other purposes.	Destroy 1 fiscal year after creation.
7 f .....	Network Implementation Project Files. Agencies' records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.	Destroy after superseded.
8 .....	INTERNET SERVICES RECORDS Internet Services covers records related to providing and monitoring services delivered and received via the Internet.	
8 a .....	Agency Internet Services Logs. Electronic files or automated logs created to monitor access and use of agency services provided via the Internet, including, but not limited to, services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web agency intranets/extranets, or via agency Telnet services.	Destroy after 3 backup cycles, and after relevant audit and documentation requirements have been met, whichever is later.
8 b .....	Employee Internet Use Logs. Electronic files or automated logs created to monitor and control use of the Internet WWW, intranets, and extranets by agency employees and non-employee use logs of agency extranets.	Destroy after 3 backup cycles, and after review and verification, whichever is later.

<sup>1</sup> Disposition authorities are stated in this draft as "destroy when \_\_\_ years old" or "destroy \_\_\_ years after [event]". The file should be closed or "cut off" at the end of a fiscal year for the former types of records and destroyed \_\_\_ years later. The file should be closed or cut off after the event for the latter types of records and destroyed \_\_\_ years after the end of the fiscal year in which the file was cut off.

<sup>2</sup> ISSUE: The records in item 1d are often more than ledger entries. For example, item d can include charts correlating data processing unit operational costs to: (1) the customer's actual or estimated hours of use, (2) the customer's number of full time employees, or (3) the customer's percentage of organization size. The Work Group seeks comments on how agencies use these records to assist NARA in determining whether item 1d should (A) be eliminated, (B) refer the reader to GRS 7, item 2, or (C) changed the retention to "Destroy 6 years and 3 months after the close of the fiscal year involved."

<sup>3</sup> ISSUE: Should this item be deleted because the records already are covered by GRS 6, Item 1a?

<sup>4</sup> ISSUE: There are concerns about (1) splitting the developmental and technical documentation, and (2) differentiating between systems and applications for administrative functions. One of the challenges in information technology is the documentation of systems and applications to permit the engineers and programmers to make further use of accumulated knowledge. Is there a way to encourage the retention of information that will preclude "reinventing the wheel" with applications and systems engineering?

<sup>5</sup> Programming changes can appear to work initially, but prove to have problems over a longer period of time. The Work Group specifically invites comments on whether 3 system cycles is sufficient for all administrative systems. Retention of basic programming information can be crucial with problems like the Year 2000 conversions. In contrast to item 3e which contains "copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction," 2d deals with the very basic operating system program. (2d is the frame and foundation of the house; 3e is the brick, aluminum siding, and drywall.)

<sup>6</sup> This is not the official contract file maintained by the agency procurement office and covered by GRS 3, item 3. Documentation pertaining to system requirements in the RFP, the language used by the vendor in proposals and quotes, and the benchmark/acceptance testing information can substantially impact assessment of vendor performance. Further, this can impact the specifications of future IT acquisitions.

<sup>7</sup> ISSUE: Should this item be deleted because GRS 3, Item 3, already covers all? Another alternative that has been proposed is to leave the description here, but provide a cross reference to GRS 3, Item 3c.

<sup>8</sup> Please see Schedule 18, Item 27.

<sup>9</sup> Items 3 f, g, and h could be collapsed into one item. Comments on the advisability of doing so are invited. For this draft, item 3f is separate because it focuses upon an individual user (for example, a procurement officer leaves the organization). Item 3g is a general log used to spot substantial differences in volume of traffic. Use of item 3g may trigger an audit of item 3f records (for example, a 40% increase in one unit's use may raise questions about why the increase; next step, a look at item 3f). Item 3h is a summary report, used for billing purposes.

<sup>10</sup> ISSUE: Can this retention period be easily applied? Is it appropriate for all administrative systems, including security-classified ones?

<sup>11</sup> Validity checks are routines in a data entry program that test the input for correct and reasonable conditions, such as numbers falling within a range and correct spelling, if possible. Valid transaction files are the reports of those validity checks.

<sup>12</sup> ISSUE: Disposition of item 4d is impossible to implement in the case of print files that are automatically generated and deleted by applications software. This may be a policy issue as to whether those files should be automatically deleted by the applications software.

<sup>13</sup> The disposition for Item 5a is for the operating system records; Item 2c covers the records for planning the system.

<sup>14</sup> In contrast to Item 2, which deals with systems application and development, Item 6 addresses end user support records.

<sup>15</sup> These logs can be invaluable in resolving customer complaints, providing appropriate follow-up service, and spotting problem trends in systems and networks.

<sup>16</sup> GRS 12, Communications Records, is under review and will have to be modified at a later date to address redundancies.

<sup>17</sup> Network installation records are included because the history of wiring in buildings, locations of switches, etc., has been a problem. Recent building renovations have revealed that agencies have unused phone lines, which are still live and costing money. Employees had moved to new offices, received new phone numbers, and never had the old phone lines disconnected.

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## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Electronic Records Work Group Draft Report; Comments Requested

**AGENCY:** National Archives and Records Administration (NARA).

**ACTION:** Request for comment.

**SUMMARY:** This notice contains a working draft of the Electronic Records Work Group's proposed report to the Archivist outlining the Work Group's recommendations and the effort that went into developing the recommendations and implementation strategy. This draft has been modified slightly from the June draft that was posted on the Web and sent to agencies for review. This draft reflects the Work Group's decisions to use the term "electronic source record" to describe the records created using office automation applications and to place the discussion of program and administrative records, formerly in draft Appendix B, in the introductions to draft Appendixes C and D where they are most pertinent. For purposes of this review, we have not changed the Appendix designations that were used in the June draft and have, therefore, reserved Appendix B for a discussion in the final report of the public and Federal comments received on the draft products.

**DATES:** Comments must be received on or before August 20, 1998.

**ADDRESSES:** Comments may be sent electronically to the e-mail address

<grs20@arch2.nara.gov>. We ask that lengthy attachments be sent in ASCII, WordPerfect 5.1/5.2, or MS Word 6.0 format. If you do not have access to e-mail, comments may be mailed to Electronic Records Work Group (NPOL), Room 4100, 8601 Adelphi Rd., College Park, MD 20740-6001, or faxed to 301-713-7270.

**FOR FURTHER INFORMATION CONTACT:** Michael Miller at 301-713-7110, ext. 229.

**SUPPLEMENTARY INFORMATION:** The draft report appears at the end of this notice.

Dated: July 16, 1998.

**Lewis J. Bellardo,**  
*Deputy Archivist of the United States.*

### Draft Electronic Records Work Group Report to the Archivist of the United States

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#### Executive Summary

The Electronic Records Work Group (Work Group) is an interagency group

formed by the Archivist of the United States on November 21, 1997, to review the 1995 version of General Records Schedule (GRS) 20, which was declared null and void by the U.S. District Court for the District of Columbia. (That ruling is on appeal.) Specifically, the Work Group was asked to identify appropriate areas for revision, explore alternatives for authorizing disposition of electronic records, identify methods and techniques that are available with current technology to manage and provide access to electronic records, and recommend practical solutions for the scheduling and disposition of electronic records. The Archivist also gave the Work Group several guiding principles and policies, including: program records should not be scheduled in the GRS, electronic records should be scheduled as series, and solutions must be workable.

The Work Group membership was drawn from staff of the National Archives and Records Administration (NARA) and other Federal agencies with records management and/or electronic records expertise under the oversight of Deputy Archivist Lewis Bellardo. Michael Miller, the Director of NARA's Modern Records Programs, serves as the group leader. In addition, electronic records management experts from state archives and records programs, the National Archives of Canada, academia, and records management consulting firms serve as consultants to the Work Group on a *pro bono* basis.

In conducting its review and developing the recommendations contained in this report, the Work Group aggressively sought input from Federal agencies, other interested