

GENERAL RECORDS SCHEDULE 24

Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

~~Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records. GRS 20 superseded by GRS Transmittal 24.~~

1. ~~Oversight and Compliance Files.~~

~~Records in offices with agency-wide or bureau-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. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~
- 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. Superseded by GRS 3.1, item 040 (DAA-GRS-2013-0005-0010)~~

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.~~

~~Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

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.~~

~~Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

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. Superseded by GRS 3.1, item 030 (DAA-GRS-2013-0005-0005)~~

(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. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~

4. System Backups and Tape Library Records.

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

(1) ~~Incremental backup tapes. Superseded by GRS 3.2, item 040 (DAA-GRS-2013-0006-0005)~~

(2) ~~Full backup tapes. Superseded by GRS 3.2, item 041 (DAA-GRS-2013-0006-0006)~~

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. Superseded by GRS 4.1, item 010 (DAA-GRS-2013-0002-0016)~~

5. Files Related to Maintaining the Security of Systems and Data.

- a. ~~System Security Plans and Disaster Recovery Plans. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
- 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. Superseded by GRS 3.2, item 010 (DAA-GRS-2013-0006-0001)~~
6. ~~User Identification, Profiles, Authorizations, and Password Files, 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. Superseded by GRS 3.2, item 031 (DAA-GRS-2013-0006-0004)~~
 - b. ~~Routine systems, i.e., those not covered by item 6a. Superseded by GRS 3.2, item 030 (DAA-GRS-2013-0006-0003)~~
7. ~~Computer Security Incident Handling, Reporting and Follow-up Records. Superseded by GRS 3.2, item 020 (DAA-GRS-2013-0006-0002)~~
8. ~~IT Operations Records.~~
 - a. ~~Workload schedules, run reports, and schedules of maintenance and support activities. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - b. ~~Problem reports and related decision documents relating to the software infrastructure of the network or system. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - 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. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
9. ~~Financing of IT Resources and Services.~~
 - 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. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - 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. Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)~~
 - 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. **Superseded by GRS 3.1, item 020 (DAA-GRS-2013-0005-0004)**~~

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. (N1-GRS-03-1 item 10a)

- 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. (N1-GRS-03-1 item 10b)

11. IT Infrastructure Design and Implementation Files.

~~Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. 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. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- b. ~~Records for projects that are implemented. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~
- c. ~~Installation and testing records. **Superseded by GRS 3.1, item 010 (DAA-GRS-2013-0005-0006)**~~

12. RESERVED.

13. Public Key Infrastructure (PKI) Records.

- a. ~~PKI Administrative Records.~~

~~(1) ~~FBCA CAs. **Now GRS 3.2, item 060**~~~~

~~(2) Other (non-FBCA *et. al.*) CAs. Now GRS 3.2, item 061~~

~~b. PKI Transaction-specific Records. Now GRS 3.2, item 062~~