INFORMATION TECHNOLOGY

Information technology (IT) encompasses all activities undertaken by agencies to design, develop, and operate electronic information systems. This section covers records for which IT units are responsible, including administrative records and those used to process data and monitor and control operations. This section does not cover records created to support specific operations in program units outside of the IT organization. Records retained to meet program-specific requirements outside of the IT unit must be scheduled separately by the unit with the responsibility and authority to determine their retention requirements and final disposition.

Records Disposition Authorizations (RDAs) for this section are subdivided into six functional areas as follows:

- General Administration
- Systems and Application Development
- Computer Operations and Technical Support
- Data Administration
- IT Support
- Network/Data Communication Services

GENERAL ADMINISTRATION -- General Administration includes IT policy development, fiscal and personnel administration, planning, and the coordination of activities within IT units and between an IT unit and other parts of an agency.

♦ **90218 Data Processing Unit Subject Files --** Correspondence, memoranda, reports, publications, and related records used to support the administration of agency data processing services.

Minimum Retention and Disposition: **Destroy when obsolete or superseded.**

***Justification*:** These records have no legal or fiscal value.

Records Not Covered: *Agency information technology plans are covered by item #90219. Agency IT policies are covered by item #90209 in the General Administration section of this schedule. Records that document fiscal transactions are covered by various items in the Fiscal Operations section of this schedule. This item also does not cover records covered by other items in this schedule.*

Note: *Agencies should not use this item for records which are covered by separate*

authorizations in this schedule.

♦ **90219 IT and Data Processing Services Plans --** Agency annual technology plans submitted to DOB and Office of the Chief Information Officer, data processing services plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas.

Minimum Retention and Disposition: **Destroy plan and essential background documentation 3 years after plan is completed, superseded, or revised. Destroy drafts and routine material when no longer needed by agency.**

***Justification*:** Planning records often have value for budgetary and planning purposes for several years after they become inactive.

♦ **90224 Records of Chargebacks to IT Services Users --** Electronic and manual records used to document and calculate costs and to bill program units for computer usage and IT services. These records are also used for cost recovery, budgeting, or administrative purposes.

Minimum Retention and Disposition: **Destroy 3 fiscal years after creation.**

***Justification*:** Chargeback records are needed for 3 fiscal years for budgetary purposes and, if they are used for cost recovery or billing purposes, to meet audit requirements.

Records Not Covered: *Chargeback records subject to lengthier federal records retention requirements should be scheduled separately.*

SYSTEMS AND APPLICATION DEVELOPMENT -- Systems and application development covers the IT unit functions related to the development, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes.

♦ **90225 Application Development Project Files --** Records created and used in the development, redesign, or modification of an automated system or application, including draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.

Minimum Retention and Disposition: **Destroy 3 years after completion of project and after administrative needs for records have ended.**

***Justification*:** Many application development records may be needed up to 3 years after the conclusion of a project for reference or for management audit purposes.

Records Not Covered: *System or application documentation (see items #90226 and #90227) and project management records.*

Note: *In some circumstances, agencies may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see items #90226 and #90227).*

♦ **90226 Information Systems Specifications --** Records that document system operations, including data entry, manipulation, output and retrieval (often called "system documentation records"), as well as records necessary for using the system, such as user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or work flow records, and input and output specifications.

Minimum Retention and Disposition: **Destroy 3 years after discontinuance of system, but not before system data is destroyed or transferred to new operating environment.**

***Justification*:** Current and accurate information on how an application system operates is needed throughout its life cycle. System documentation may be needed 3 years after the system is discontinued or modified for the admissibility of electronic records in legal proceedings, retrospective analysis, and remedying errors.

Records Not Covered: *Data documentation and other records used to explain the meaning, purpose, or origin of data (see item #90227).*

♦ **90227 Data Documentation (Metadata) --** Records (sometimes known as metadata) generally created during system or application development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system (including systems where information is text, graphic, or multi-media based), including a data element dictionary, file layout, codebook or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.

Minimum Retention and Disposition: **Destroy 3 years after discontinuance of system or application, but not before system or application data is destroyed or transferred to a new structure or format.**

***Justification*:** These records are needed to use and interpret electronic records and have value as long as the data/electronic records are retained.

Note: *In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related metadata in an accessible format. This is particularly crucial if the metadata is stored in electronic form or the related records are judged to have long term and secondary research value. When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. Application design documentation and user's guides covered by item #90226 may also serve to explain how data was interpreted and used.*

♦ **90228 Program Listing/Source Code --** Program source code from which machine-language instructions are generated and used to operate an automated information system.

Minimum Retention and Disposition: **Destroy after code is superseded or replaced or after automated system is no longer in use and has been deleted, but not before any audit or legal needs have been met.**

***Justification*:** These records are the instructions used to operate a system application. After the code is modified or replaced it has no administrative or legal value.

♦ **90229 Technical Program Documentation --** Program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.

Minimum Retention and Disposition: **Destroy 1 year after replacement or modification, or after related programs cease to be used, but not before any audit or legal needs have been met.**

***Justification*:** Records are used for reference, backup, IT audits, insuring adequacy of change documentation, or rectifying errors in program implementation up to a year after related programs are replaced, modified, or cease to be used.

Note: *Agencies may consider retaining documentation for critical systems for a longer period.*

♦ **90231 Test Database/Files --** Routine or benchmark datasets, related documentation, and test results constructed or used to test or develop a system.

Minimum Retention and Disposition: **Destroy when no longer needed.**

***Justification*:** Agency practices vary in the management of test files, and some may wish to retain test results until the user has accepted the system based on the results. These materials can be considered and are often managed as nonrecords. However, other agencies retain test data for an extended time period for continued testing and training. This retention period gives agencies the flexibility to retain test files based on their own needs.

COMPUTER OPERATIONS AND TECHNICAL SUPPORT -- Covers the IT unit functions related to operating systems, hardware and software maintenance, system security, data input services, system backup, off-line tape library operations, job and production control, monitoring system usage, and liaison with hardware and software vendors.

90233 Hardware Documentation -- Records documenting the use, operation, and maintenance of an agency's computer equipment, including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.

Minimum Retention and Disposition: **Destroy after the agency no longer uses related hardware and all data is transferred to and made useable in new hardware environment.**

***Justification*:** These records have no value after the agency ceases to use related hardware and transfers the data to a new hardware environment.

Note: *Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis.*

♦ 90235 Data Migration and System Upgrade Records -- Records relating to the operational aspects of the replacement of equipment or the upgrading of computer operating systems, as well as the migration of data between operating systems. Records include schedules and logs, tracking and data migration tests, notes, correspondence, conversion and implementation plans, and related records generated by the operating system software, application server software, and web server software.

***Minimum Retention and Disposition*:** **Destroy 1 year after successful migration, update or conversion.**

Justification: Records may be needed after migration for reference and to deal with

unforeseen issues and problems.

Note: *Agencies may want to keep the implementation plans for more than one year for subsequent migrations or upgrades. Data migration and system upgrade records subject to lengthier federal funding or audit requirements should be scheduled separately.*

♦ **90236 Disaster Preparedness and Recovery Plans --** Records related to the protection and reestablishment of data processing services and equipment in case of a disaster. Includes disaster recovery manuals, business continuity plans, inventories, procedure plans, contact lists, and other records.

Minimum Retention and Disposition: **Destroy after superseded by revised plan.**

***Justification*:** The Office of Cyber Security and Critical Infrastructure Coordination requires that agencies develop and maintain disaster recovery plans as part of their information security functions.

Note: *Agencies should store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.*

♦♦ **90237 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.

Minimum Retention and Disposition: **Destroy after 3 system backup cycles or when no longer needed for system restoration, whichever is later.**

***Justification*:** This item authorizes the disposal of backups in accordance with accepted practice that 3 generations of backups be retained.

Records Not Covered: *Backups used to document transactions or retained for purposes other than system security. 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 the Fiscal Operations section of this schedule (for example, item #90395) or, if they are covered by specific federal audit requirements requiring longer records retention, scheduled separately by the appropriate program unit.*

Note: *It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.*

♦ **90238 User Authorization Records --** Records created to control individual access to a system, system data, the Internet, and the agency e-mail system. Records include user account records, user acknowledgements of policies, authorization documentation, and related records.

Minimum Retention and Disposition: **Destroy after the individual no longer has access to the system, but not before any audit or legal needs for the records created or modified by that individual have been met.**

***Justification*:** Some records, particularly user account records, are needed for security or fiscal audits for as long as the records are retained for audit purposes. Records may also be needed to document conditions of user access to Internet and e-mail services.

♦ **90377 Computer Security Records --** Records used to control and monitor the security of a system and its data, including vulnerability scans, intrusion tests, malicious code detection tests, threat and risk assessments, technical security reviews, patch management logs, intrusion detection logs, firewall logs, and related records.

Minimum Retention and Disposition: **Destroy after administrative use, but not before any audit and legal needs have been met.**

Justification: Control records may be used to track the effectiveness of security measures or detect security flaws.

♦ **90378 Computer Security Incident Records --** Records documenting incidents and investigations involving unauthorized attempted entry, probes and/or attacks on agency IT systems and networks.

Minimum Retention and Disposition: **Destroy after operational, audit and legal needs have been met.**

Justification: Incident records may have value in initiating criminal prosecutions.

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 Office of the Attorney General advises retaining the records an additional 3*

months beyond the minimum retention period. Computer/Network Usage Files (item #90239) may also serve some security purposes.

♦♦ **90379 Security Breach Notifications --** Records created pursuant to Section 208, State Technology Law, which requires state agencies to disclose to New York state residents when their computerized private information was or may have been acquired by a person without valid authorization, including notifications to affected persons and to designated state agencies and logs of notifications. This item also includes copies of notices received by those designated state agencies pursuant to Section 208 of the State Technology Law from affected agencies.

Minimum Retention and Disposition: **Destroy 6 years after notification or receipt of notification, whichever is sooner.**

Justification: Copies of notifications and logs may be needed to document that appropriate actions were taken as required by law and in the event of any civil actions based on Section 213, Civil Practice Law and Rules.

Records Not Covered: *Notification policies required by this law are covered by item #90209 in the General Administration section of this schedule. The Office of the Attorney General will manage records that result from notification cases that investigated or litigated security breaches under appropriate agency-specific schedule items.*

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 Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period*

♦ **90239 Computer/Network Usage Files --** Electronic files, automated logs, or other records created to monitor and control use of the network, e-mail, the Internet and other computer resources by agency employees, including proxy server logs, login files, chargeback files, data entry logs, system usage files, and related records.

Minimum Retention and Disposition**: Destroy when no longer needed for administrative use, but not before any audit or legal needs have been met.**

Justification: Records may be needed for IT audits, system security, summary reports, planning, or other purposes.

Records Not Covered: *User account records (see item #90238).*

♦ **90240 Summary Computer/Network Usage Reports --** Summary reports and other records created to document computer and network usage for reporting or cost recovery purposes.

Minimum Retention and Disposition: **Destroy 1 fiscal year after creation.**

***Justification*:** Records may be needed for reporting, reference, charge-back billing, IT audits, system security, or other purposes for 1 fiscal year after they were created.

♦ **90241 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.

Minimum Retention and Disposition: **Destroy after current fiscal year, but not before any audit or legal needs have been met.**

***Justification*:** Scheduling records for the current fiscal year may be needed for audits. Information on runs is also retained in internal system logs, which should be retained with system backup covered by item #90237 and computer usage records covered by item #90239.

♦ **90242 Input/Source Documents --** Records or forms designed and used solely for data input and control and not needed for audit, legal or other purposes.

Minimum Retention and Disposition: **Destroy after all data has been entered into the system and, if required, verified.**

***Justification*:** Records used solely for data input to an automated system have no value after data has been entered and verified.

Records Not Covered: *Input records retained for fiscal audit or legal purposes or containing information needed by a program unit should be scheduled by the responsible program unit. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal Operations section of this schedule.*

♦ **90243 Work/Intermediate Files --** Records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system, including "macro" or "startup" file or other electronic record created to preserve a combination of data elements and/or method of displaying these data elements, when all transactions are captured in a master file, central file, transaction file, or database, and the file is not retained to provide an audit trail.

Minimum Retention and Disposition: **Destroy after the transaction is completed, except retain as long as reports, studies and other principal records for which the file is created are retained when the electronic file is needed to recreate or document a transaction.**

***Justification*:** Agencies generally manage these types of files as nonrecords and do not retain them to document agency business or because of the information they contain.

Records Not Covered: *Intermediate files retained to document transactions are covered by item #90244. Intermediate files retained to serve as an audit trail are covered by item #90246. Intermediate files needed for system recovery backup are covered by item #90237.*

♦ **90244 Processed Transaction Files --** Records used to update and/or document a transaction in database or master file and not retained to document a program unit action, including transaction files, DBMS log, update files, and similar records.

Minimum Retention and Disposition: **Destroy when no longer needed for administrative use, but not before any audit or legal needs for records have been met.**

***Justification*:** Transaction records are retained to create an audit trail for a master file/database and can be used to recreate a database/master file or document changes in a master file/database for legal admissibility purposes.

Records Not Covered: *Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check) as opposed to a strictly data processing transaction.*

90245 Print Files (Not Used to Document a Transaction) -- Source output data extracted from the system to produce hardcopy publications, printouts of tabulations, ledgers, registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions.

Minimum Retention and Disposition: **Destroy after all print runs are completed, output verified (if required), and agency has no need to reproduce the report.**

***Justification*:** These records have limited value after all related print runs are completed and the output verified. In many cases, agencies will not manage print files as records.

Records Not Covered: *Print files needed for fiscal audits or retained to document*

transactions.

♦ **90246 Audit Trail Files --** Data generated during the creation of a master file or database and used to validate a master file or database during a processing cycle, such as date stamp, time stamp, user's ID and other data fields.

Minimum Retention and Disposition: **Destroy after records are no longer needed for audit or legal purposes.**

***Justification*:** Audit files are retained to create a management audit trail for and to ensure the quality of data. They can aid in recreating or documenting changes in a master file or database for legal admissibility or other purposes.

Note: *Agencies may wish to retain audit files for 3 backup cycles to conform to standard data processing practices.*

90247 IT Unit's Copies of Output Reports -- Data processing unit's copy of output reports produced for client program units.

Minimum Retention and Disposition: **Destroy after output is distributed.**

***Justification*:** After output is distributed to client, data processing unit's copy has limited value.

♦ **90248 Summary or Extracted Data Files --** Summary or aggregate data from a master file or database, including "snapshots" of data, created solely to distribute data to individuals or program units for reference and use, but not altered or augmented to support program-specific needs.

Minimum Retention and Disposition: **Destroy after data is distributed and, if necessary, receipt is acknowledged.**

***Justification*:** These records are produced to distribute data to an IT unit's clients and have no value once this is accomplished.

Records Not Covered: *Summary or extract files altered or augmented to support program-specific needs.*

♦ **90249 Electronic Indexes, Lists, Registers, and Other Tracking Systems --** Electronic indexes, lists, registers, and other systems used only to provide access to the hardcopy and electronic records in the custody of the IT unit.

> ***Minimum Retention and Disposition:*** **Destroy after the related hardcopy or electronic records have been destroyed or reorganized, or the electronic indexes, lists, registers, and other tracking systems no longer provide utility for records access.**
>
> ***Justification*:** Electronic indexes and tracking systems have no value after the related records are destroyed or reorganized. Additionally, such records can be expensive to maintain and should not be retained when no longer of value.
>
> ***Records Not Covered:*** *Electronic indexes and tracking systems of program units other than IT units.*

♦ **90251 Reports on the Destruction of Files ("Scratch Reports") --** Records containing information on the destruction of files stored on electronic media in a tape library.

> ***Minimum Retention and Disposition:*** **Destroy when no longer needed for administrative purposes, but not before any audit or legal needs for records documenting the destruction of files have been met.**
>
> ***Justification*:** Records may be needed for a brief period to document that files were properly destroyed.

♦ **90252 Tape Library Control Records --** Records used to control the location, maintenance, and disposition of electronic media in an off-line tape storage library, including lists of holdings and control logs.

> ***Minimum Retention and Disposition:*** **Destroy after superseded or after concerned records or media are destroyed or withdrawn from the tape library.**
>
> ***Justification*:** Retention insures that current information on media stored in tape library is available.

DATA ADMINISTRATION -- Data administration covers IT unit functions related to data administration support, including the maintenance of data standards, corporate data models, and data definitions and dictionaries.

♦ **90253 Data/Database Dictionary Records --** Records, usually in an automated system, used to manage data, 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.

> ***Minimum Retention and Disposition:*** **Destroy after discontinuance or modification of the related application, but not before the application's data is destroyed or transferred to a new structure or format and any audit or legal needs have been met.**
>
> ***Justification*:** These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off-line. In such cases, it is essential that related documentation be retained in an accessible format.

♦ **90254 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.

> ***Minimum Retention and Disposition:*** **Destroy when superseded or no longer used by agency, but not before any audit or legal needs have been met.**
>
> ***Justification*:** Records have no administrative value after need for reference ceases.
>
> ***Records Not Covered:*** *The official copy of essential data documentation is covered by either item #90227 or #90253.*

IT SUPPORT -- Refers to IT unit functions that provide support to users of mainframe or office computers, 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.

90255 Site/Equipment Support Files -- Records documenting support services provided to specific computer equipment or installations, including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda.

> ***Minimum Retention and Disposition:*** **Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda 3 years after creation. Destroy service histories and other summary records after the related equipment is no**

longer in use.

***Justification*:** After the related equipment is no longer in operation the records have limited value.

♦ **90256 Help Desk Telephone Logs and Reports --** Records, including records generated from automated help desk ticketing systems, 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.

Minimum Retention and Disposition: **Destroy 1 year after creation.**

***Justification*:** Records are needed for at least 1 year to monitor user problems and equipment use, to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes.

♦ **90258 Hardware and Software Review Files --** Records related to the review and recommendations for hardware and software for agency use, including vendor information, manuals, software reviews, and related material.

Minimum Retention and Disposition: **Destroy when no longer needed for administrative use.**

***Justification*:** Records have limited administrative value after completion of review, although agencies may wish to retain records until hardware or software is no longer in use.

NETWORK/DATA COMMUNICATION SERVICES -- Network and Data Communication Services covers IT unit functions related to installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and liaison with OFT and other network providers. It also includes records related to providing and monitoring services delivered and received via the Internet. For related records, see the Telecommunications Management section of this schedule.

90259 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.

Minimum Retention and Disposition: **Destroy site visit reports, trouble reports, and**

routine correspondence 3 years after creation. Destroy service histories and other summary records after the related equipment or site is no longer in use.

***Justification*:** The records have limited value after the related site or equipment is no longer in operation.

Note: *Routine records that do not contain substantial information on the maintenance history or site can be weeded and destroyed on an annual basis.*

♦ **90260 Inventories of Network Circuits/Connections --** Electronic or paper records containing information on network circuits or connections 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.

Minimum Retention and Disposition: **Destroy after superseded by new inventory or after the network circuit or connection is no longer used by agency, whichever is sooner.**

***Justification*:** The records have no value after the related circuit is no longer in operation.

♦ **90261 Network or Circuit Installation and Service Files --** Copies of requests by agencies to the OFT Division of Telecommunications or service provider for data communication service, installation, or repair and response to the request, including work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and non-official copies of fiscal documents.

Minimum Retention and Disposition: **Destroy 3 years after request is filled or repairs are made.**

***Justification*:** Records should be retained 3 years for management analysis and planning.

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 Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

♦ **90264 Network Implementation Project Files --** Agency records used to plan and implement a network, including reports, justifications, working diagrams of proposed network, wiring

schematics, and diagrams.

Minimum Retention and Disposition: **Destroy after superseded or obsolete.**

***Justification*:** Records are essential for operating a network.

♦ **90363 Agency Internet Services Logs --** Electronic files, logs or other records created to monitor access and use of agency services provided via the Internet, including, but not limited to, services provided via FTP (file transfer protocol), website or agency Telnet services.

Minimum Retention and Disposition: **Destroy when no longer needed for administrative use, but not before any audit or legal needs have been met.**

***Justification*:** Records may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, IT audits, system security, or other purposes.