



**TRANSMITTAL OF PROPOSED / APPROVED
RECORDS RETENTION AND DISPOSITION SCHEDULE**

State Form 39443 (R5/6-15)

NOTICE
PLEASE KEEP THIS FORM
ATTACHED TO THE SCHEDULE

TO: Diana Halsted/Elaine Kan Technology, Office of IGCN N551		FROM: Amy Robinson Records Management Division Indiana Archives and Records Administration 402 West Washington St. Room W472 Indianapolis, IN 46204	
Affected division (If blank, the retention schedule applies to the entire agency) all divisions		Date sent (month, day, year) 4/25/2016	Date returned (month, day, year)

SECTION I PROPOSED RECORDS RETENTION AND DISPOSITION SCHEDULES

Please have the head of your agency sign this sheet, in the blank provided, to acknowledge approval of the schedule. Then return this packet to the Records Management Division, Indiana Archives and Records Administration. You will be sent a copy of the final version of the schedule after it has been approved by the Oversight Committee on Public Records.

SECTION II GENERAL INFORMATION

An approved Records Retention and Disposition Schedule grants your agency the authority to transfer or destroy records on a continuing basis. For each destruction, notify the Indiana Archives and Records Administration, State Records Center, by using a Records Destruction Notification (SF 16).

The retention schedule must be current to be effective. If your agency needs to change the schedule, notify the Records Management Division so that it may be updated.

Any questions concerning the implementation of this schedule, once approved, should be directed to the Records Management Division at rmd@iara.in.gov.

SECTION III PRE-MEETING REVIEW BY:

Signature of Agency Head	Dewand Neely	Digitally signed by Dewand Neely DN: cn=Dewand Neely, o, ou, email=dneely@iara.in.gov, c=US Date: 2016.04.27 10:38:39 -04'00'	Date signed (month, day, year) 4/27/16
Signature of State Board of Accounts	N/A: fast-track schedule		Date signed (month, day, year)
Signature of Indiana Historical Bureau	N/A: fast-track schedule		Date signed (month, day, year)
Signature of State Archivist			Date signed (month, day, year) 4/27/16

SECTION IV APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULES

The Oversight Committee on Public Records, at its meeting held on 4/27/2016 approved the Records Retention and Disposition schedule for your agency.

The approved schedule is enclosed. The Records Coordinator should retain the original and forward copies to agency staff as needed.

Signature of Indiana Archives and Records Administration final approval	Date signed (month, day, year) 4/27/16
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STATE AGENCY RECORDS RETENTION AND DISPOSITION SCHEDULE

Agency: Indiana Office Of Technology		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION <i>(This Retention Schedule is approved on a space-available basis)</i>	RETENTION PERIOD

OPERATIONS

1	2007-107	REQUEST FOR CHANGE (RFC) Various forms and documentation completed to make changes to system environment to request change and used to document review, testing, implementation and completion of change. Disclosure may be subject to IC 5-14-3-4 (b)(10) & (11).	DESTROY after three (3) calendar years.
2	2007-108	REQUEST FOR CHANGE (RFC) SUPPORTING DOCUMENTATION Test plans, test results, back-out procedures and other miscellaneous documentation used in the change process.	DESTROY after one (1) calendar year.
3	2007-109	BACKUP SCHEDULES AND REPORTS Schedules and reports for back-ups of data and systems.	DESTROY after one (1) calendar quarter.
4	2007-110	USER ACCESS REQUEST A form or user agreement completed to receive user id or access to application, system or service provided by IOT. Completed by individual requesting access, signed by their supervisor and completed by IOT staff once access is granted. Disclosure may be subject to IC 5-14-3-4 (b)(10), (11).	DESTROY three (3) years after termination or deletion of the user's access.
5	2007-111	USER ACCESS CONTROL LIST Listing of users and their access to various systems and services.	DESTROY one (1) calendar quarter after a new list has been produced.
6	2007-112	SYSTEM EVENT LOGS Operating System Event Log; this includes exception reports, access logs, vulnerability reports, performance and various other event logs. Includes mainframe, platform, database, GMIS and any other similar system or monitoring services performed.	DESTROY after one (1) calendar quarter.
7	2007-113	PERFORMANCE LOG Performance logs of systems and equipment prepared monthly.	DESTROY after one (1) calendar quarter.
8	2007-114	DATABASE DOCUMENTATION Documentation of database requirements, fields and other information.	DESTROY three (3) calendar years after documentation has been updated or replaced.
9	2007-115	SYSTEM DOCUMENTATION Includes backup/recovery, batch schedules, user security, user guides and training materials.	DESTROY three (3) calendar years after documentation has been updated or replaced.
10	2007-116	DATA SERVICE ORDERS (DSO) This is received from agencies requesting various data services.	DESTROY three (3) years after all service work ordered is completed and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
11	89-137	TELEPHONE SERVICE ORDERS (TSO) This is received from agencies requesting various telephone services. Signature approval blanks plus State Budget Agency approval are indicated.	DESTROY three (3) years after all service work ordered is completed and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
12	2016-01	SYSTEM BACKUPS - APPLICATION DATA Backup files for application data, maintained for potential system restoration in the event of a system failure or other unintentional loss of data, including e-mail backups.	DELETE/DESTROY after three (3) calendar years.
13	2016-02	SYSTEM BACKUPS - SYSTEM STATE DATA Backup files for operating systems, maintained for potential system restoration in the event of a system failure or other unintentional loss of data.	DELETE/DESTROY after one (1) calendar year.

Name of Records Analyst: Amy Robinson	Date prepared:	Date of Oversight Committee on Public Records final approval: 4/27/2016
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14	2016-03	<p>MASTER FILE AND DATABASE BACKUPS</p> <p>Backup files for the master copy of state agency electronic records and databases, maintained in case the original is damaged or erased.</p>	<p>DELETE/DESTROY after three (3) calendar years or when agency's original records have been deleted in accordance with their applicable records retention schedule.</p>
IN.GOV			
15	99-45	<p>WWW.IN.GOV WEBSITE PAGES</p> <p>Series consists of all web pages published to the IN.gov website, by and for State Agencies, for the purpose of disseminating government information.</p>	<p>At the end of each fiscal year, TRANSFER all website pages on a formatted medium to the STATE ARCHIVES for permanent archival retention.</p>
16	2016-04	<p>WWW.IN.GOV CALENDAR DATA</p> <p>Calendar and press release data posted and released by State Agencies via the IN.gov website and other electronic media outlets.</p>	<p>TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, one (1) year after the end of the calendar year covered by the data. DELETE agency copy of data after transfer and when no longer required for internal Office of Technology research purposes.</p>
17	2016-05	<p>WWW.IN.GOV STATISTICAL DATA</p> <p>Website usage statistics for all IN.GOV web pages, obtained and arranged through a variety of statistical applications and services.</p>	<p>TRANSFER statistical data to the STATE ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, three (3) years after the end of the calendar year covered by the data. Prior to STATE ARCHIVES transfer, assure that all statistical data is accessible to state agencies upon request, by MIGRATING existing data to any new application or statistics package, or preserving it in an open-source format.</p>
CUSTOMER SERVICE CENTER – HELP DESK/INCIDENT MGT.			
18	2007-117	<p>PROBLEM MANAGEMENT TICKETS</p> <p>Tickets created when customer calls or e-mails are routed through IOT's help desk to provide services or fix problems.</p>	<p>DESTROY after three (3) calendar years.</p>
19	2007-118	<p>PROBLEM MANAGEMENT REPORTS</p> <p>Reports created on problem management tickets for various reporting purposes.</p>	<p>DESTROY after one (1) calendar quarter.</p>
SECURITY			
20	2007-119	<p>SECURITY REPORTS</p> <p>Reports produced to monitor and investigate security issues. Disclosure may be subject to IC 5-14-3-4 (b)(10) & (11). As monitoring initiated to assess potential security risks, these records may be retained during an investigation without disclosure to an affected employee pursuant to IC 5-14-3-4(a)(3), (b)(1) or (b)(19).</p>	<p>RETAIN for the duration of investigation.</p> <p>Upon satisfaction of any disciplinary action arising from report, TRANSFER employee-specific records to PERSONNEL FILE (GRPER-5) at the employing agency. At that time, the records are subject to disclosure to affected employees.</p> <p>DESTROY one (1) year after report date if agency has determined that monitoring reveals nothing that will be used in a disciplinary action.</p>

21	2007-120	SECURITY ASSESSMENTS Assessments of security of the state information and systems, generally provided by outside party. Disclosure may be subject to IC 5-14-3-4 (b)(10).	TRANSFER to the RECORDS CENTER after two (2) fiscal years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY in the RECORDS CENTER after an additional eight (8) fiscal years. TOTAL RETENTION: ten (10) fiscal years.
22	2007-121	INFORMATION RESOURCES USER AGREEMENT (IURA) Agreement for use and access to state IT resources including hardware and software. Disclosure may be subject to IC 5-14-3-4 (b)(10).	DESTROY three (3) years after termination or deletion of the user's access.
23	2007-122	INCIDENT RESPONSE Notification of incident involving state information technology equipment or electronic data. Disclosure may be subject to IC 5-14-3-4 (b)(10).	DESTROY five (5) years after date of incident.
DISASTER RECOVERY/CONTINUITY			
24	2007-124	OFF-SITE BACKUP MEDIA AND DOCUMENTATION Materials stored offsite for disaster recovery and continuity for agency including materials used for periodic testing of plans. Back-up media used for restoration procedures, required paper documents to perform job functions and other miscellaneous materials needed for recovery that apply to system functionality and job functions. Disclosure may be subject to IC 5-14-3-4 (b)(10).	Destroy when outdated or replaced.
25	2007-125	DISASTER RECOVERY AND CONTINUITY TRAINING PLAN Testing plans and assignments. Disclosure may be subject to IC 5-14-3-4 (b)(10).	Destroy ten (10) years after plans are outdated or replaced.
26	2007-126	DISASTER RECOVERY AND CONTINUITY TRAINING TEST RESULTS Documentation of the results of testing of the plans. Including recommendation and issues noted. Disclosure may be subject to IC 5-14-3-4 (b)(10).	Destroy when outdated or replaced.
PROJECT MANAGEMENT			
27	2007-127	PROJECT DOCUMENTATION Documentation of agreement between IOT and another agency to provide services and/or equipment as well as bill for those services. Records may include project charters, statements of work (SOW), memoranda of understanding (MOU), project work plans, status reports and changes requested under the IOT project management process.	TRANSFER to the RECORDS CENTER three (3) years after conclusion of the project detailed in the related Statement of Work, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional seven (7) years in the RECORDS CENTER. TOTAL RETENTION: ten (10) years plus receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
GMIS			
28	2007-128	CHANGE REQUESTS LOG Log and related documentation of requested changes and issues with the system.	DESTROY one (1) year after decommission of the related software application.