

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
3. Computer Operation and Technical Support

Record Group
Number
7050

Series	Records Title and Description	Function and Use
U2110	Data Processing Operating Procedures	This series consists 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. They may exist in either paper or electronic form and should be disseminated to all employees that are required to operate the data processing system.
	Access Restrictions	None
	Contents	Procedures manual(s) for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.
	Retention and Disposition	Destroy three (3) years after procedure is withdrawn, revised, updated, or superseded.
U2111	Data Processing Hardware Documentation	This series consists of records documenting the use, operation, and maintenance of an agency's data processing equipment. These records may be in either paper or electronic form and may include any and all operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.
	Access Restrictions	None
	Contents	Includes operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.
	Retention and Disposition	Destroy after the university no longer uses related hardware and all data is transferred to and made useable in new hardware environment. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. Note: Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis.
U2112	Maintenance Contracts Files	This series is made up of maintenance contracts for data processing equipment, and related records including copies of contracts, service histories, and work orders. These records may exist in paper or electronic form.
	Access Restrictions	None
	Contents	Maintenance contracts for data processing equipment, copies of contracts, service histories, and work orders.
	Retention and Disposition	Destroy record copy three (3) years after expiration of contract or three (3) years after final payment, whichever is later. Destroy other copies when no longer needed for administrative reference. Note: Before disposing of these records, universities must ensure that no legal actions have been initiated which might require access to them.
U2113	Operating System and Hardware Conversion Plans	These records deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance and should be part of regular migration/conversion schedule built into the design of the system. These records may exist in either paper or electronic form.
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy one (1) year after successful conversion.
U2114	Disaster Preparedness and Recovery Plans	This series consist of records related to the protection and reestablishment of data processing services and equipment in case of a disaster. These records may exist in either paper or electronic form. They should be backed-up or copies made, with some copies stored off-site in secure location. The plans should be updated on a regular basis and all personnel should be trained in the procedure for implementation of the plans.
	Access Restrictions	None
	Contents	Disaster recovery manuals, Business continuity plans, inventories, procedure plans, contact lists.
	Retention and Disposition	Destroy three (3) years after superseded by revised plan and after audit requirement is met. Note: Universities should store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.

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U2115	System Backup Files	This series consists of 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. These backups are usually done on a regular basis and are not intended for recordkeeping purposes. Some backup media should be stored off-site in a secure location. Backups used to document transactions or retained for purposes other than system security should be scheduled separately by the responsible program unit. Note: It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.
	Access Restrictions	None
	Contents	Copies of master files or databases, application software, logs, directories, and other records
	Retention and Disposition	Destroy after three (3) system backup cycles.
U2116	System Users Access Records	This series consists of electronic or textual records created to control or monitor individual access to a system and its data. These records are primarily created for security purposes, although some records, particularly user account records, are needed for data processing or fiscal audits. These records may include user account records, security logs, and password files. Computer Usage Records (item E0029) may also serve some security purposes. (Related records E0029, E0030, E0034, E0036, E0052, E0053, E0055, E0056)
	Access Restrictions	None
	Contents	May include user account records, security logs, and password files.
	Retention and Disposition	Destroy one (1) year after the individual no longer has access to the system but not before audit requirements for the records modified by that individual have been met.
U2117	Computer Usage Files	Electronic files or automated logs created to monitor computer system usage. Records in this series may include log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage. These records may be needed for summary reports, charge-back billing, system audits, or may be related to other purposes such as system security or evaluation of overall system performance (Related records, E0028, E0030 - Network usage E0052, E0053 - Internet usage E0055, E0056).
	Access Restrictions	None
	Contents	Log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage. Records Not Covered: Security logs and related records (see item E0028).
	Retention and Disposition	Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.
U2118	Summary Computer Usage Reports	Summary reports and other paper records created to document computer usage for reporting or cost recovery purposes. These records may complement records needed for reporting, reference, charge-back billing, system audits, system security, or other purposes (Related records E0028, E0029, E0034, E0036, E0052, E0053, E0055, E0056)
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.
U2119	Computer Run Scheduling Records	This series is used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run. Scheduling records for the current fiscal year may be needed for audits. Information on runs may also be retained in internal system logs, which should be retained with system backup covered by item E0027 and computer usage records covered by item E0030.
	Access Restrictions	None
	Contents	Daily schedules, run reports, run requests and other records documenting the successful completion of a run.
	Retention and Disposition	Destroy after current fiscal year.

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Series	Records Title and Description	Function and Use
U2120	Input/Source Documents	This series consists of electronic and paper documents and/or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as needed for signatures) and not previously scheduled for retention in an approved agency records retention schedule. May also include electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. 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 that document valid transactions are covered by item E0034. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal Operations records section of this schedule.
	Access Restrictions	None
	Contents	Electronic or paper files or records that may contain uncalibrated and unvalidated data, documents to be reformatted into electronic media.
	Retention and Disposition	Delete or destroy when data have been entered into the master file database and verified, or when no longer required to support reconstruction of, or serve as backup to master file or database, whichever is later, but not before audit requirements are met.
U2121	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. Records Not Covered: Intermediate files retained to document valid transactions, to serve as an audit trail, or needed for system recovery backup.
	Access Restrictions	None
	Contents	Batch updates to a database that require user approval before data is altered.
	Retention and Disposition	Destroy after the transaction is completed.
U2122	Valid Transaction Files	Records used to update and/or document a transaction in database or master file. Valid 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. These records may include valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes. 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, or needed for fiscal audit or legal purposes, should be separately scheduled by the responsible program unit. (Related record E0036)
	Access Restrictions	None
	Contents	Valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes.
	Retention and Disposition	Destroy after three (3) database/master file backup cycles.
U2123	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 when the files are not needed for audit purposes or to document program unit transactions. Print files needed for fiscal audits or retained to document transactions should be separately scheduled by the responsible program unit. For summarized or extracted data files, see E0038. For files used as a means by which data could be reformatted to another medium to meet storage requirements, see E0007.
	Access Restrictions	None
	Contents	Hard copy publications, printouts of tabulations, ledgers, registers, reports
	Retention and Disposition	Destroy after all print runs are completed, output verified (if required), and university has no need to reproduce the report.

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Records Title Series and Description	Function and Use
U2124 Audit Trail Files	Audit trail files consist of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle. Audit files are retained to create a management audit trail for and to ensure the quality of data (quality control). They can aid in recreating or documenting changes in a master file or database for legal admissibility or other purposes by validating the that the system is operating as it is designed to (authentication). Combined with item E0034, audit trail files may also be used to document that a transaction has taken place, recording date, time, user, etc.. (business tracking/verification)
Access Restrictions	None
Contents	Examples of database fields that might be used as an audit trail include: Date Stamp, Time Stamp, User's ID, Account # accessed, Item that was changed (before and after)
Retention and Disposition	Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.
U2125 Summary or Extracted Data Files	This series consists of reports that contain summarized or aggregated information created by combining data elements or individual observations, or extracting files from a single master file or database that is disposable under a KDLA general schedule item or is authorized for deletion by a disposition job approved by KDLA after January 1, 1988, EXCLUDING data files that are: a) created as disclosure-free files to allow public access to the data; or b) created from a master file or database that is unscheduled, or was scheduled as permanent but no longer exists, or can no longer be accessed; c) created by an extraction process which changes the informational content of the source master file or database; which may not be destroyed before securing KDLA approval. (For print and technical reformat files see E0035 and E0007)
Access Restrictions	None
Contents	Statistical reports, monthly reports, extracted reports.
Retention and Disposition	Delete or destroy when no longer needed for current business.
U2126 Finding Aids (Indexes) or Tracking Systems	This record consists of electronic indexes, lists, registers and other finding aids used only to provide access to records authorized for destruction by this general schedule or a KDLA-approved schedule, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. Finding aids and tracking systems of program units other than data processing units should be scheduled by the responsible program unit in conjunction with the related program records. Tracking systems used for audit purposes are scheduled under item E0034, and E0036)
Access Restrictions	None
Contents	Electronic indexes, lists, registers, and other finding aids. Databases associated with imaging/document management systems.
Retention and Disposition	Destroy after the related hard copy or electronic records have been destroyed. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
U2127 Automated Tape Library System Files	This series consists of automated records used to control the location, maintenance, and disposition of magnetic media in a tape library.
Access Restrictions	None
Contents	
Retention and Disposition	Destroy after related records or media are destroyed or withdrawn from the tape library.

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Series	Records Title and Description	Function and Use
U2128	Tape Library Control Records	This series consists of records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. These records may exist in paper or electronic form. (Related record E0036)
	Access Restrictions	None
	Contents	Reports on the destruction of files, list of holdings and control logs.
	Retention and Disposition	Destroy after superseded.
U2129	Data/Database Dictionary Reports	This series consists of periodic printouts from a data/database dictionary system. It includes data element attribute reports, database schema, and related records used for reference purposes. The official copy of essential data documentation is covered by either item E0017 or E0043
	Access Restrictions	None
	Contents	Includes data element attribute reports, database schema, and related records.
	Retention and Disposition	Destroy when superseded or no longer used by university, but not before audit requirements are met.