

Information Technology Records

These guidelines were developed using the knowledge and background of subject matter experts and Records Management professionals. They are presented for your reference in establishing retention standards for your program records. These guidelines need to be considered in context with advice from your agency counsel. Should you decide that a different retention is necessary for your program, please communicate these changes to the CalRIM Program staff. In any event, your records retention strategy needs to be well documented, closely followed and available for examination should the opportunity for litigation occur.

Records and their proper maintenance are a matter of law and fact. The Government Code, Sections 14740 through 14775 and 12168.7 are attached at the end of this article. Records constitute a risk that must be managed properly to minimize the liability to the state. The Department of General Services has established the Records Management Program to assist state agencies in the management of this risk.

There are 13 specific types of records created and maintained by and for Information Technology, IT, professionals. Chief Information Officers, CIO, are legally responsible for the creation and maintenance of:

- Feasibility Study Reports;**
- Requirements Analysis Documentation;**
- Requests For Proposals;**
- Requests For Information;**
- Systems Documentation;**
- Testing Documentation;**
- Program Source Code;**
- Programmer Documentation;**
- Program (User) Documentation and Training Materials;**
- Special Project Reports;**
- Post Implementation Evaluation Reports;**
- Reference Manuals;**
- Information technology asset audits.**

All records and their maintenance must be reported to the Director of General Services. This is done through the Agency Records Management Analyst, (RMA). The RMA is a specially trained individual who can assist in records identification and maintenance. This person is appointed by the agency head to identify and coordinate records within the agency, department, board, bureau or commission.

There are other record types for which the CIO is responsible. These records are not IT in nature, but are managed and maintained by IT professional. To determine the type and nature of these program records and their proper maintenance, the IT professional must work together with the program personnel and the RMA in the development of systems that will correctly manage the program records.

The personnel of the Records Management Program are available, at no charge, on a consultancy basis to any state or local government agency, department, board, bureau, or commission. These professionals can be contacted directly. The contact information is

available on the web page <http://www.pd.dgs.ca.gov/> take the Records Management hyperlink.

GENERAL RETENTION SCHEDULE FOR INFORMATION TECHNOLOGY RECORDS

GROUP NUMBER	DESCRIPTION OF RECORDS	RECOMMENDED RETENTION PERIOD
1	FEASIBILITY STUDY REPORTS (FSR) (Approved)	
	At approving authority (DOIT & TIRU):	Destroy four (4) years after approved Post Implementation Evaluation Report (PIER).
	At IT program:	Destroy four (4) years after approved Post Implementation Evaluation Report (PIER).
	Disapproved FSRs	Destroy one (1) year after disapproval.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy four (4) months after approval/disapproval of FSR or following an audit, whichever is earlier.
2	REQUIREMENTS ANALYSIS DOCUMENTATION	
	At IT program:	Destroy four (4) years after approved Post Implementation Evaluation Report (PIER) or following an audit, whichever is earlier.
	Associated with disapproved FSRs:	Destroy one (1) year after disapproval of the FSR.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy four (4) months after approval/disapproval of RFP or following an audit, whichever is earlier.
3	REQUESTS FOR PROPOSALS (RFP)	
	At approving authority (DOIT, TIRU & DGS):	Destroy four (4) years after approved Post Implementation Evaluation Report (PIER), IT program will notify.
	At IT program:	Destroy four (4) years after approved PIER or when the system is no longer operational, whichever is later.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy four (4) months after approval/disapproval of RFP or following an audit, whichever is earlier.
4	REQUESTS FOR INFORMATION	
	At IT program:	Destroy after four (4) years or after development of an RFP, whichever is later.

	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy four (4) months after approval/disapproval of RFP or following an audit, whichever is earlier.
5	SYSTEMS DOCUMENTATION	
	At IT program:	Destroy one (1) years after the system is no longer operational or following an audit, whichever is earlier.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR)	Destroy four (4) months after the system is no longer operational or following an audit, whichever is later.
6	TESTING DOCUMENTATION	
	At IT program:	Destroy two (2) years after approved PIER or following an audit, whichever is later.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy four (4) months after approval/disapproval of PIER or following an audit, whichever is later.
7	PROGRAM SOURCE CODE	
	At IT program	Destroy two (2) years after the system is no longer operational or following an audit, whichever is later.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy three (3) months after the system is no longer operational or following an audit, whichever is later.
8	PROGRAMMER DOCUMENTATION	
	At IT program:	Destroy one (1) years after the system is no longer operational.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy three (3) months after the system is no longer operational or when no longer needed, whichever is later.
9	PROGRAM (USER) DOCUMENTATION AND TRAINING MATERIALS	
	At IT program	Destroy one (1) years after the system is no longer operational.
	At all levels (data collection material such as logs, time studies, interviews,	Destroy three (3) months after the system is no longer operational or when no longer needed, whichever is

	questionnaires, computer printouts and records related to the development of an FSR)	later.
10	SPECIAL PROJECT REPORTS	
	At approving authority (DOIT & TIRU):	Destroy four (4) years after approved Post Implementation Evaluation Report (PIER) or following an audit, whichever is later.
	At IT program:	Destroy four (4) years after the system is no longer operational
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR)	Destroy three (3) months after the system is no longer operational or following an audit, whichever is later.
11	POST IMPLEMENTATION EVALUATION REPORTS	
	At approving authority (DOIT & TIRU):	Destroy two (2) years after the system is no longer operational or following an audit, whichever is later.
	At IT program:	Destroy two (2) years after the system is no longer operational or following an audit, whichever is later.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy three (3) months after the system is no longer operational or following an audit, whichever is later.
12	REFERENCE MANUALS	
	At IT program:	Destroy when revised, superseded, or rescinded
13	INFORMATION TECHNOLOGY ASSET AUDITS (INVENTORIES)	
	At IT program:	Destroy four (4) fiscal years after the fiscal year of the inventory, the inventory is superceded by another inventory, the asset is no longer operational, has been disposed of, or is no longer owned by the program, whichever is later.
	At all levels (data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR):	Destroy three (3) months after the asset is no longer operational, has been disposed of, or is no longer owned by the program, whichever is later.