Office of Information Technology

Functional Analysis
&
Records Disposition Authority

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State Records Commission
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Functional and Organizational Analysis of the Office of Information Technology

Sources of Information

- Representatives of the Office of Information Technology
- Code of Alabama 1975 § 41-28-1 through § 41-28-10, § 41-4-220 through 224
- Alabama Act 2013-68
- Alabama Act 2017-282
- Holdings of the Department of Archives and History Archives Division, State Agency Files (1985-ongoing)
- Office of Information Technology website

Historical Context

The government of the State of Alabama first implemented shared computing technology in the early 1970s. The state legislature established the Department of Finance Data Systems Management Division in 1973, a division intended to “establish and supervise the administration of such data processing centers deemed necessary to best serve the data processing needs of all agencies” (Code of Alabama 1975 § 41-4-221). In 1990, the legislature established the Department of Finance Telecommunications Division “to coordinate and promote efficiency in the acquisition, operation and maintenance of all telecommunications equipment, systems and networks being used by agencies of the state” (Code of Alabama 1975 § 41-4-281). The Department of Finance created the Information Services Division (ISD) in 1997, a merger of its Data Systems Management and Telecommunications Divisions. Although ISD offered shared data services and technical support across state government, at that time, no agency served as a centralized hub of information technology (IT) acquisition, resource management, and/or policy development.


The Alabama Act 2013-68 established the Office of Information Technology (OIT), largely in response to the two commissions’ recommendations. The act likewise created the office of the Secretary of Information Technology, a cabinet-level position to lead the newly created office and to advise the Governor on information technology-related matters. Governor Bentley appointed Mr. L. Brunson White as the first Secretary of Information Technology.

OIT consolidates the state’s IT initiatives within a single agency. Governor Bentley signed Executive Order No. 26 in November 2016, confirming OIT as the state’s lead agency on
information technology. OIT and the Department of Finance subsequently entered into a Memorandum of Understanding (MOU) to transfer to OIT the oversight and leadership of activities of the Department of Finance ISD. The Alabama Act 2017-282 formally transferred ISD to OIT, and the Code of Alabama 1975 § 41-28-9 specifies that “…all references in any law or rule to the Division of Data Systems Management, the Telecommunications Division, or the Information Services Division of the Department of Finance shall be deemed a reference to the Office of Information Technology.”

OIT opened its Security Operations Center (SOC) in 2018. The SOC monitors the state’s electronic resources and responds to possible cybersecurity threats. OIT also makes web safety resources available on its site as part of an initiative to increase citizen awareness of online hazards.

As of 2019, OIT’s staff includes more than 180 personnel working in the disciplines of IT Governance, IT Resource Utilization, and IT Strategic Planning.

Agency Organization

OIT is headed by the Secretary of Information Technology, a cabinet officer who is appointed by and serves at the pleasure of the Governor (Alabama Act 2013-068). The Secretary serves as the state’s Chief Information Officer (CIO) and is the principal advisor to the Governor on matters related to information technology.

OIT’s leadership team also includes its Chief Administrative Officer (CAO), Chief Solutions Officer (CSO), Chief Information Security Officer (CISO), and a Deputy Attorney General. The office is currently divided into the following divisions (as of May 2019): Administrative Services; Application Development; Cybersecurity; Enterprise Project Management (EPMO); Enterprise Systems; Governance, Risk, and Compliance (GRC); Infrastructure; IT Asset Management; Network Engineering; Product Management; Service Design and Transition; Support; and Training and Communication.

Additionally, OIT established a Chief Information Officer (CIO) Advisory Council in December 2013 comprised of senior IT managers from various agencies, including (as of 2019) the following: Alcoholic Beverage Control Board, Department of Corrections, Department of Education, Emergency Management Agency, Department of Environmental Management, Department of Finance State Business Systems Division, Department of Human Resources, Department of Labor, Alabama Law Enforcement Agency (ALEA), Medicaid Agency, Department of Public Health, Department of Rehabilitation Services, Department of Revenue, and Department of Transportation. The membership and composition of the CIO Advisory Council are established at the discretion of the Secretary of Information Technology. The CIO Advisory Council assists the office in its strategic planning and policy development efforts pursuant to the Code of Alabama 1975 § 41-4-224.

As of 2019, the Department of Finance creates and retains OIT’s human resources, legal, and financial records.
Agency Function and Subfunctions

The mandated function of the Office of Information Technology (OIT) is to streamline the delivery of information technology services in state government. As such, it is one of the agencies responsible for performing the Client Services function of Alabama government as described in the “Functional Analysis of Alabama Government.”

In the performance of its mandated function, the office may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** According to the Code of Alabama 1975 § 41-28-4, OIT is empowered to “promulgate rules, regulations, and policies and establish procedures and standards for the management and operation of information technology by state agencies.” These rules, regulations, policies, and procedures may encompass the following topics/subjects: providing technical assistance to state agency administrators on the design and management of state information technology systems; evaluating the cost, system design, and suitability of information technology equipment and related services; establishing standards and policies for project management and project methodologies; and developing a unified and integrated structure and enterprise architecture for information technology systems for all state agencies (Code of Alabama 1975 § 41-28-4).

  The CIO Advisory Council assists the Secretary of Information Technology in developing procedures and standards to be applied across the breadth of state government. Members are senior IT managers from various agencies that together represent a broad view of the state’s IT needs and support services. The Council meets monthly, and its membership and composition are established at the discretion of the Secretary of Information Technology.

- **Planning and Promoting.** According to the Code of Alabama 1975 § 41-28-4, the Secretary of Information Technology and his/her staff are empowered to “develop a comprehensive four-year strategic plan for the state's information technology to include acquisition, management, and use of information technology by state agencies.” OIT updates this plan annually, submits it to the Governor, and presents it to the legislature during a public meeting of the Permanent Legislative Oversight Committee on Information Technology.

  OIT collaborates with the Alabama Supercomputer Authority to “promote standards and coordinate services and infrastructure to ensure that information technology is used to support designated needs areas, including identifying applications, equipment, and services that may be statewide in scope and assisting state agencies in avoiding duplication of applications, equipment, and services” (Code of Alabama 1975 § 41-28-4).

- **Providing Services.** According to the Code of Alabama 1975 § 41-28-4, OIT may “solicit, receive, and administer funds, goods, services, and equipment from public and private entities to be used for the purchase of computers, satellites, hardware, software, and other information technology equipment and services and for staff training in the use..."
of information technology development programs.” The Office provides services in areas including, but not limited to, the following: network access, business process automation, communication, core computing, customer support, cybersecurity, data analytics, governance, information storage, and IT professional services.

- **Inventorying.** The Code of Alabama 1975 § 41-28-4 charges OIT to “establish an inventory of information technology resources to allow identification of underutilized or idle resources and all data and data systems in state agencies to promote improved asset management, utilization, and data sharing, with information technology resources to include personnel, software, hardware, and services.” The office compiles accumulated inventories of state IT assets, including expenditures, hardware, software, and staffing. The office then analyzes its findings to make policy recommendations.

- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency including:

  **Managing the Agency:** Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, tracking), publicizing and providing information, managing records, and managing information systems and technology.

  **Managing Finances:** Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency’s budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

  **Managing Human Resources:** Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker’s compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; investigating and disciplining.

  **Managing Properties, Facilities, and Resources:** Activities include inventoring and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing security for property managed by the agency; insuring property; and assigning, inspecting and maintaining agency property.
Records Appraisal of the Office of Information Technology

The following is a discussion of the two major categories of records created and/or maintained by the Office of Information Technology: Temporary Records and Permanent Records.

Temporary Records

Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the office are discussed below:

- **Survey/Study Working Files.** OIT conducts two main varieties of surveys: (1) mass surveys encompassing all client state agencies, with the results aggregated and published in summary report; and (2) informal surveys which serve as customer feedback. *(Note: Informal surveys fall outside the scope of this record series, as they are supplementary documents included in the IT Management Platform Tickets series described below.)*

  OIT conducts internal studies, some of which may be published. Past studies have included “IT Human Capital Management” and “BYOD [Bring Your Own Device].” Files produced in the course of conducting statewide surveys and/or internal studies are to be retained for three (3) years after conclusion of the research.

- **Disaster Recovery Testing Files.** OIT conducts periodic disaster recovery testing of state information systems. Files produced in the course of disaster recovery testing may include, but are not limited to, logs and correspondence. The series is to be retained for three (3) years after audit as its contents are subject to audit by federal bodies including, but not limited to, the Federal Bureau of Investigation (FBI), the Internal Revenue Service (IRS), and the Social Security Administration (SSA). OIT is audited by the listed federal agencies on a regular three-year schedule and is also subject to audit by the Examiners of Public Accounts.

- **System Logs.** These records document the Office of Information Technology’s efforts to monitor the state network for errors and intrusions. System logs may include, but are not limited to, the following: security logs, traffic logs, informational logs, audit logs, and usage reports. These logs record operating system events occurring within the hardware and/or software of agencies throughout the state network, including agencies which are subject to IRS Publication 1075.

  The recommended retention is seven (7) years for system logs of state agencies subject to IRS Publication 1075 and one (1) year for system logs of state agencies not subject to IRS Publication 1075. This publication of the Internal Revenue Service (IRS) prescribes a seven-year retention for records pertaining to federal tax information (FTI), including, but not limited to, those created by the Department of Revenue.

**Explanatory note: Federal Tax Information (FTI) is taxpayer data that is received from the IRS or a secondary source. State agencies that receive this data or participate in**
the handling or processing of this data must, as a condition of receipt of FTI, implement the security controls specified in IRS Publication 1075. OIT owns, hosts, and/or operates systems that transmit and store FTI. It is an IRS requirement that FTI agencies must retain records of information system audit events for seven (7) years (audit events are listed in Publication 1075). Currently, it is difficult to separate traffic (information flows) containing FTI from those that do not contain FTI. Therefore, the seven (7) year retention rule of the IRS is frequently applied by default.

- **IT Management Platform Tickets.** OIT utilizes an IT management platform to receive and process “tickets” in a variety of topical areas. (As of July 2019, the agency is utilizing the cloud-based ServiceNow system.) Staff may produce one or more of the following types of tickets in the scope of cybersecurity-related work: security tickets (to describe a security-related incident/event contemporaneously), request tickets (to document a state agency’s request for cybersecurity servicing), and forensic tickets (to document the activities of state employees on the network). Staff may produce one or more of the following types of tickets in the scope of client agency support-related work: request tickets (to document a state agency’s request for IT support) and incident tickets (to describe an IT system error/problem contemporaneously).

Different types of tickets include various categories of information. For example, incident tickets contain (1) the original client email message, (2) circuit data, (3) Internet Protocol (IP) ranges, and (4) user information. Customer feedback is appended to a ticket following resolution.

These tickets encompass the work of agency advocates, who are individuals who serve as points of contact between OIT and its client state agencies. The IT management platform is also used to process escort requests, which permit individuals without sufficient security clearance to visit secure facilities if accompanied.

The recommended retention is seven (7) years pursuant to IRS Publication 1075. This publication of the Internal Revenue Service (IRS) prescribes a seven-year retention for records pertaining to federal tax information (FTI), including, but not limited to, those created by the Department of Revenue.

- **IT Management Platform User Information.** OIT utilizes an IT management platform to receive and process “tickets” in a variety of topical areas. (As of July 2019, the agency is utilizing the cloud-based ServiceNow system.) Information is produced and maintained pertaining to users that interact with the tickets on the platform. For example, the platform may store private messages sent by a user, and/or a list of work groups to which the user belongs.

The recommended retention is seven (7) years pursuant to IRS Publication 1075. This publication of the Internal Revenue Service (IRS) prescribes a seven-year retention for records pertaining to federal tax information (FTI), including, but not limited to, those created by the Department of Revenue.
- **Audiovisual Records Documenting Support Services.** OIT utilizes a cloud-based remote support platform for IT organizations in the course of its support services. The platform produces and stores screen recordings of work performed during the agency’s response to a support request. The maintenance of the recordings protects support staff from allegations made by client state agencies regarding possible privacy violations. The recommended retention is seven (7) years pursuant to IRS Publication 1075. This publication of the Internal Revenue Service (IRS) prescribes a seven-year retention for records pertaining to federal tax information (FTI), including, but not limited to, those created by the Department of Revenue.

- **Telecommunications Call Detail Records.** OIT produces detail records for all telephone calls placed within the state phone network. Detail records log call metadata, including, but not limited to, call duration and parties to the call. The recommended retention is (7) seven years pursuant to IRS Publication 1075. This publication of the Internal Revenue Service (IRS) prescribes a seven-year retention for records pertaining to federal tax information (FTI), including, but not limited to, those created by the Department of Revenue.

- **Contracts for Services Rendered by or for OIT.** OIT produces and maintains various types of contracts. Interagency agreements are signed between OIT and its client state agencies and contracts are signed between OIT and its own third-party vendors. Interagency agreements have many components which may be internally referred to by titles including, but not limited to, the following: agency master agreements (AMAs), statements of work (SOWs), interagency agreements (IAAs), memoranda of understanding or agreement (MOUs or MOAs). OIT may execute some types of agreements with both client agencies and third-party vendors, such as nondisclosure agreements (NDAs) and service level agreements (SLAs).

  A records retention of six (6) years after expiration or cancellation of the contract provides a reasonable review period for staff. Statements of work (SOWs) performed by OIT for client state agencies are excluded from this series and are designated as permanent.

- **Networking Files.** These records are compiled in the course of network administration and include, but are not limited to, operational, reporting, planning, and procurement records. Operational records may include, but are not limited to, the following: frame databases, order databases, campus fiber records, cut sheets, configuration records, and IP address records. Reporting records may include port change tracking and App Service Environment (ASE) management conversion records. Planning records may include network drawings and network drawing customer records. Procurement records may include purchasing quotes and network design quotes.

  The recommended retention is seven (7) years pursuant to IRS Publication 1075. This publication of the Internal Revenue Service (IRS) prescribes a seven-year retention for records pertaining to federal tax information (FTI), including, but not limited to, those created by the Department of Revenue.
- **Service Catalogs.** These records comprise comprehensive lists of services offered by OIT. The office overhauls the master catalog on an infrequent basis but updates it continuously using “change pages,” which are appended to the catalog currently in use. Documents in this series are to be retained until superseded to facilitate ongoing development of the catalog.

- **Service Price Lists.** These records comprise comprehensive lists of the prices for services offered by OIT. The office overhauls the master catalog on an infrequent basis but updates it continuously using “change pages,” which are appended to the price list currently in use. Prices for services offered by OIT are duplicated in statements of work (SOWs) signed by the office and its client state agencies, which are designated as permanent records. Documents in this series are to be retained until superseded to facilitate ongoing development of the price list.

- **Project Management Files.** OIT manages agency-wide IT projects in state government from the discovery phase through the completion phase. The office provides project management and business analysis support, continually refining its services based on feedback from agencies and from the CIO Advisory Council.

  Working/in-progress project files include information about ongoing IT projects. Concluded project files include information about completed or suspended IT projects. Information can include, but is not limited to, project charters, business cases, project request forms, project management plans, and project closure reports. These files are to be retained for five (5) years after completion/suspension of the project to facilitate review by staff.

  Project management files are distinct from governed project management working files and final files, which document a special classification of project management performed by OIT. Governed project working files are described separately below.

- **Governed Project Management Working Files.** These records describe a special classification of project management performed by OIT. An IT project being implemented by another state agency is designated as governed if one or more of the following criteria is fulfilled: (1) total project costs exceed $1M USD; (2) the project involves multiple state agencies and the total project costs exceed $500,000.00 USD; (3) the Office of the Governor or a sponsoring agency requests OIT governance. OIT manages large-scale IT projects in state government from the discovery phase through the completion phase.

  Governed project management working files can include such records as project plans and monthly status reports. These files are to be retained for five (5) years after completion/suspension of the project to facilitate review by staff.
At the conclusion of a governed project, a governed project management final file is developed which consists of information including, but not limited to, project charters, business cases, project request forms, and project closure reports. Final files are deemed historically significant due to their documentation of statewide IT initiatives.

Governed project management working files and final files are distinct from project management files, which document routine IT project management performed by OIT. Project management files are described separately above.

- **Application Development Project Files.** OIT assists agencies in the design, development, and maintenance of various applications, including, but not limited to, websites, client-server applications, databases, and mainframes. Files created in the course of a development project may include, but are not limited to, scheduling files, informal meeting notes, methodology documentation, internal requirement specifications, research, and correspondence. These files are to be retained for five (5) years after completion/suspension of the project to facilitate review by staff.

- **Source Control Files.** OIT practices source control of the code developed by staff in response to requests from client state agencies. Changes to the code over time are managed and tracked using a source code management system. These files are to be retained five (5) years after being superseded to facilitate review by staff.

- **Procurement Research Files.** OIT conducts pre-procurement product studies to determine suitability of products for use by the state. Such studies may be in the form of a limited deployment or Proof of Concept. Records of such studies may include information pertaining to procurement of (1) items necessary to conduct a managed project, and/or (2) IT assets to be deployed across the state network. Information in the files may include, but is not limited to, product research records, pre-solicitation correspondence, cost spreadsheets, recommendation letters, and justification letters. These files are to be retained three (3) years to facilitate review by staff.

- **Building Access Badge Files.** OIT issues building and parking area access badges to state personnel working in certain buildings on the capitol complex. Building access badge files consist of three (3) components: a paper form, a database entry, and the tangible badge itself. When the badge is turned in, both the badge and the corresponding paper record are moved to a different filing location. Records pertaining to individual badges are retained for one (1) year after the badge is deactivated. The one (1) year retention gives staff adequate time to complete any necessary billing adjustments for the badges.

- **Asset Management Databases.** OIT maintains databases documenting its acquired assets which could include, but are not limited to, hardware components, software components, and building access components. The databases track assets throughout the product lifecycle, from purchase to active service through retirement. The agency’s property database associates IT assets with bar codes, which may be scanned during property audits performed by the Office of State Auditor. OIT also utilizes an asset
management platform to receive and process tickets describing issues with IT equipment. A records retention of two (2) years after the end of the fiscal year in which the asset is retired provides a reasonable review period for staff.

- **Register of Administrative Rules.** According to the Code of Alabama 1975 § 41-22-6 through § 41-22-7, agencies must compile and maintain “an official register of regulations which shall be compiled, indexed, published in loose-leaf form, and kept up to date…” This “official register of regulations” is known as “The Office of Information Technology Code” and must be made available upon request to all persons. Since the register must be updated on an ongoing basis, it is to be retained until superseded.

- **Administrative Rule Change Working Files.** The Alabama Administrative Procedure Act (Code of Alabama Title 41 Chapter 22) details the steps which an agency must follow when updating its administrative rules. Working files are produced in the course of proposal, adoption, amendment, and/or repeal of administrative rules. Records in this series may include but are not limited to the following: received public comments, economic impact statements, and business impact analyses. A retention of 1 year after adoption, amendment, repeal, or rejection of an administrative rule permits review by staff when considering similar rules.

**Permanent Records**

The Archives Division recommends the following records as permanent.

**Promulgating Rules and Regulations**

- **Meeting Minutes, Agendas, and Packets of the CIO Advisory Council.** The CIO Advisory Council’s meeting minutes, agendas, and packets document the actions and activities of the council. Meeting minutes may undergo a formalized signature process or, alternatively, may be summaries of events that are transcribed during the meeting and informally emailed to participants afterwards. The Council may discuss restricted information about the state security network during some of its meetings. The records provide important documentation of the council’s proceedings that may not be found elsewhere. *(Bibliographic Title: Meeting Files)*

- **Policies, Standards, and Guidelines (Governing All State Agencies).** These records document policies, standards, and guidelines governing the management of state information resources. The documents are titled according to a standard nomenclature and filed by subject according to a numerical classification scheme. Subjects represented in the numerical classification scheme include, but are not limited to, the following: Information Technology (General); IT Planning, Budget, and Procurement; IT System Lifecycle Management; IT Project Governance; IT Architecture; and Security and Privacy. OIT also develops policies and procedures to facilitate recovery of the state network in the event of disaster. Policies, standards, and guidelines may be transmitted to the Alabama Department of Archives and History once the information contained no longer poses a security risk. *(Bibliographic Title: State Agency IT Regulations)*
Planning and Promoting

- **State IT Strategic Plans.** According to the Code of Alabama 1975 § 41-28-4, the Secretary of Information Technology and his/her staff shall “develop a comprehensive four-year strategic plan for the state's information technology to include acquisition, management, and use of information technology by state agencies.” The plan is updated annually, submitted to the Governor, and presented to the legislature during a public meeting of the Permanent Legislative Oversight Committee on Information Technology. *(Bibliographic Title: State IT Strategic Plans)*

- **Survey/Study Final Reports.** OIT periodically conducts surveys and studies in its efforts to research “the streamlining and consolidation of governmental functions,” including “appropriate and responsible use of taxpayer funds” (Code of Alabama 1975 § 41-28-1.1). Surveys are externally distributed to all client state agencies, with the results aggregated and published in summary reports. The office also conducts internal studies, such as “IT Human Capital Management” (February 2015) and “BYOD [Bring Your Own Device] Governance” (June 2016). The final reports of these surveys/studies are considered historically significant due to their documentation of agency priorities and initiatives. *(Bibliographic Title: Study Reports)*

- **Official Directives.** The Secretary of Information Technology periodically issues official directives and memoranda addressed to agency heads and other cabinet members. The records are essential to document statements of policy not otherwise addressed in a formal policy document or to direct agencies to ensure policy compliance through the completion of certain actions. *(Bibliographic Title: Directives)*

- **Incident Response Manuals (Playbooks).** The Incident Response Manual (Playbook) is an internally produced manual which gradates agency responses to network events and incidents. For purposes of the manual, an “event” occurs when hardware and/or software malfunction due to an unknown cause (ex. third-party intrusion), while an “incident” occurs when OIT staff cause hardware and/or software to malfunction inadvertently. Playbooks are continuously updated and demonstrate the evolution of OIT’s incident response strategies in response to constantly changing threats. Playbooks may be transmitted to the Alabama Department of Archives and History once the information contained no longer poses a security risk. *(Bibliographic Title: Incident Response Manuals)*
Providing Services

- **After-Action Reports.** These reports are compiled following high-level events or incidents as defined by the incident response playbook. The reports describe the circumstances surrounding an incident and OIT’s response to the incident, including lessons which may be applied to future incidents. After-action reports are submitted to the Governor and are retained permanently due to their documentation of OIT’s incident response strategies. The reports may be transmitted to the Alabama Department of Archives and History once the information contained no longer poses a security risk. *(Bibliographic Title: After-Action Reports)*

- **Statements for Services Rendered by OIT.** OIT signs statements of work (SOWs) with its client state agencies that define the scope and extent of work that OIT may be asked to perform for the client within a contractual period. The statements of work have long-term value due to their documentation of information technology initiatives undertaken across the state. The statements may be transmitted to the Alabama Department of Archives and History once the information contained no longer poses a security risk. *(Bibliographic Title: Services Statements)*

- **Governed Project Management Final Files (Excludes Working Files).** These records describe a special classification of project management performed by OIT. An IT project being implemented by another state agency is designated as governed if one or more of the following criteria is fulfilled: (1) total project costs exceed $1M USD; (2) the project involves multiple state agencies and the total project costs exceed $500,000.00 USD; (3) the Office of the Governor or a sponsoring agency requests OIT governance. Information in a governed project management final file can include, but is not limited to, project charters, business cases, project request forms, and project closure reports. Governed project management final files do not include working documents such as project plans and monthly status reports. Final files are deemed historically significant due to their documentation of statewide IT initiatives. *(Bibliographic Title: Governed Project Files)*

Inventorying

- **Annual Reports of the Asset Management Database.** OIT maintains a database of information technology resources documenting its own acquired assets as well as the assets/resources of other state agencies. Resources could include, but are not limited to, hardware and software components, personnel and services. Annual reports of the asset management database provide a “snapshot” of the state’s IT assets. The reports have long-term value due to their documentation of asset management and utilization, data sharing, and IT initiatives undertaken across the state. Reports may be transmitted to the Alabama Department of Archives and History once the information contained no longer poses a security risk. *(Bibliographic Title: Asset Management Annual Reports)*
Administering Internal Operations

- **Policies and Procedures (Internal).** These policies and procedures are promulgated by the Secretary of Information Technology, the CIO Advisory Council, and/or government compliance staff. They document the agency’s roles in regulating employee conduct and use of OIT facilities. *(Bibliographic Title: Internal Policies and Procedures)*

- **Certified Copies of the Administrative Rules.** The Alabama Administrative Code is a compilation of the rules of all state agencies covered by the Alabama Administrative Procedure Act. Each agency covered by the Act may propose and adopt revisions to its administrative rules. According to the Code of Alabama 1975 § 41-22-6, “each agency shall have an officer designated as its secretary and shall file in the office of the secretary of the agency a certified copy of each rule adopted [by the agency].” *(Bibliographic Title: Not Applicable) (Maintained by the Office of Information Technology)*

- **Administrative Files that Document Policy, Process, and Procedure.** These records, which include official correspondence of the agency, document actions and positions of the agency, do not include correspondence dealing with routine matters. These records include, but are not limited to, correspondence with state officials, legal/advisory correspondence, and subject files of the Secretary of Information Technology. *(Bibliographic Title: Administrative Correspondence)*

- **Annual and Other Periodic Reports.** These records include reports created by the agency that document its critical activities. The Code of Alabama 1975 § 41-28-4 requires that OIT issue annual reports to the Governor, the legislature, and the general public concerning the coordination and operation of the agency. The frequency of report publications may vary (annual, biannual, quarterly, etc.). Interim reports that contain the same substantive information as a corresponding annual or other periodic report need not be retained permanently. Where no agency annual report exists, or where the agency annual report does not adequately document activities of the agency, then division annual reports should be retained. *(Bibliographic Title: State Publications)*

- **Special Reports.** These records include reports created by the agency pertaining to a specific topic or subject area. Special reports may be prepared on an irregular schedule. Interim reports that contain the same substantive information as a corresponding special report need not be retained permanently. *(Bibliographic Title: State Publications)*

- **Informational and Promotional Materials.** These records are created to build public awareness about a variety of issues and department related activities. The publications help document the activities of OIT and how the office views these activities. Promotional publications may include, but are not limited to, the following: newsletters, press releases, and brochures. *(Bibliographic Title: Publicity Files)*

- **Website and Social Media Site(s).** The office maintains websites at www.oit.alabama.gov and www.cybersecurity.alabama.gov, and social media sites with Facebook and Twitter. Information on the website includes services offered, policies and
procedures, business opportunities, and press releases. ADAH staff capture and preserves the agency’s website and other social media sites via a service offered by the Internet Archive [Archive-It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure your agency and social media site(s) are captured and preserved. If your agency’s website and social media site(s) are not being captured by the service, please contact the Archives Division at 334-242-4452 to get them included. (Bibliographic Title: Website and Social Media Site[s])
Permanent Records List
Office of Information Technology

Promulgating Rules and Regulations

1. Meeting Minutes, Agendas, and Packets of the CIO Advisory Council
2. Policies, Standards, and Guidelines (Governing All State Agencies)

Planning and Promoting

1. State IT Strategic Plans
2. Survey/Study Final Reports
3. Official Directives
4. Incident Response Manuals (Playbooks)

Providing Services

1. After-Action Reports
2. Statements of Work for Services Rendered by OIT
3. Governed Project Management Final Files (Excludes Working Files)

Inventorying

1. Annual Reports of the Asset Management Database

Administering Internal Operations

1. Policies and Procedures (Internal)
2. Certified Copies of the Administrative Rules*
3. Administrative Files that Document Policy, Process, and Procedure
4. Annual and Other Periodic Reports
5. Special Reports
6. Informational and Promotional Materials
7. Website and Social Media Site(s)

*indicates records that the Office of Information Technology determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff is available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.
Office of Information Technology Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission’s staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It establishes minimum retention periods and disposition instructions for those records and provides the legal authority for the Agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from “mutilation, loss, or destruction,” so that they may be transferred to an official’s successor in office and may be made available to members of the public. Records also must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the agency records manager or ADAH Archives Division at (334) 242-4452.

Explanation of Records Requirements

The RDA shall govern the disposition of all records, regardless of format, created by the agency from creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.

This RDA supersedes any previous records disposition schedules or RDAs governing the retention of the records created by the Agency. Copies of superseded schedules are no longer valid and may not be used for records disposition.

The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.

Certain other record-like materials are not actually regarded as official records and may be disposed of under this RDA. Such materials include (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document agency activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, may include, but are not limited to, telephone call-back messages, drafts of ordinary documents not needed for their evidential value, copies of material sent for information purposes but not needed by the receiving office for future
business, and internal communications about social activities; (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

**Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Agency and lists the groups of records created and/or maintained as a result of activities and transactions performed in carrying out these subfunctions. The Agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular biannual meetings.

**Promulgating Rules and Regulations**

**MEETING MINUTES, AGENDAS, AND PACKETS OF THE CIO ADVISORY COUNCIL**
Disposition: PERMANENT RECORD.

**POLICIES, STANDARDS, AND GUIDELINES (GOVERNING ALL STATE AGENCIES)**
Disposition: PERMANENT RECORD.

**Planning and Promoting**

**STATE IT STRATEGIC PLANS**
Disposition: PERMANENT RECORD.

**SURVEY/STUDY FINAL REPORTS**
Disposition: PERMANENT RECORD.

**Survey/Study Working Files**
Disposition: Temporary Record. Retain 3 years.

**OFFICIAL DIRECTIVES**
Disposition: PERMANENT RECORD.

**Disaster Recovery Testing Files**
Disposition: Temporary Record. Retain 3 years after audit.

**INCIDENT RESPONSE MANUALS (PLAYBOOKS)**
Disposition: PERMANENT RECORD.

**Providing Services**

**AFTER-ACTION REPORTS**
Disposition: PERMANENT RECORD.
System Logs

a. System Logs describing State Agencies Subject to IRS Publication 1075
   Disposition: Temporary Record. Retain 7 years.

b. Systems Logs describing State Agencies Not Subject to IRS Publication 1075
   Disposition: Temporary Record. Retain 1 year.

IT Management Platform Tickets
Disposition: Temporary Record. Retain 7 years.

IT Management Platform User Information
Disposition: Temporary Record. Retain 7 years.

Audiovisual Records Documenting Support Services
Disposition: Temporary Record. Retain 7 years.

Telecommunications Call Detail Records
Disposition: Temporary Record. Retain 7 years.

Telecommunications Call Audio Recordings
Disposition: Temporary Record. Retain 7 years.

Telecommunications Call Transcriptions
Disposition: Temporary Record. Retain 7 years.

Telecommunications Voicemail Messages
Disposition: Temporary Record. Retain 7 years.

Telecommunications Conference Video Recordings
Disposition: Temporary Record. Retain 7 years.

STATEMENTS FOR SERVICES RENDERED BY OIT
Disposition: PERMANENT RECORD.

Contracts for Services Rendered by or for OIT
Disposition: Temporary Record. Retain 6 years after expiration or cancellation.

Invoices for Services Rendered by OIT
Disposition: Temporary Record. Retain 1 year after audit.

Networking Files
Disposition: Temporary Record. Retain 7 years.

Service Catalogs
Disposition: Temporary Record. Retain until superseded.
Service Price Lists
Disposition: Temporary Record. Retain until superseded.

Project Management Files
Disposition: Temporary Record. Retain 5 years after completion/suspension of the project.

GOVERNED PROJECT MANAGEMENT FINAL FILES (EXCLUDES WORKING FILES)
Disposition: PERMANENT RECORD.

Governed Project Management Working Files
Disposition: Temporary Record. Retain 5 years after completion/suspension of the project.

Application Development Project Files
Disposition: Temporary Record. Retain 5 years after completion/suspension of the project.

Source Control Files
Disposition: Temporary Record. Retain 5 years after superseded.

Procurement Research Files
Disposition: Temporary Record. Retain 3 years.

Building Access Badge Files
Disposition: Temporary Record. Retain 1 year after badge is deactivated.

Inventorying

Asset Management Databases
Disposition: Temporary Record. Retain asset management files for 2 years after the end of the fiscal year in which the asset is retired.

ANNUAL REPORTS OF THE ASSET MANAGEMENT DATABASE*
Disposition: PERMANENT RECORD.

Administering Internal Operations: Managing the Agency

POLICIES AND PROCEDURES
Disposition: PERMANENT RECORD.

CERTIFIED COPIES OF ADMINISTRATIVE RULES
Disposition: PERMANENT RECORD. Retain in office.

Register of Administrative Rules
Disposition: Temporary Record. Retain until superseded.
Administrative Rule Change Working Files
Disposition: Temporary Record. Retain 1 year after adoption, amendment, repeal, or rejection of the rule.

ADMINISTRATIVE FILES THAT DOCUMENT POLICY, PROCESS, AND PROCEDURE
Disposition: PERMANENT RECORD.

ANNUAL AND OTHER PERIODIC REPORTS
Disposition: PERMANENT RECORD.

SPECIAL REPORTS
Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL MATERIALS
Disposition: PERMANENT RECORD.

Routine Correspondence
Disposition: Temporary Record. Retain 3 years.

Administrative Reference Files
Disposition: Temporary Record. Retain for useful life.

Board Member Files
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the term expires.

Board Appointment Letters
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the term expires.

Internal Procedures
Disposition: Temporary Record. Retain until superseded.

Legislative Files (drafts of proposed agency-sponsored legislation, tracking files and records)
Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency’s approved RDA (copies of transmittal forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to State Records Commission)
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the RDA was superseded.
Copies of Approved RDA
Disposition: Temporary Record. Retain 1 year after the audit for the fiscal year in which the RDA is superseded.

Computer Systems Documentation (Hardware/Software Specifications and Warranties)
Disposition: Temporary Record. Retain documentation of former system 1 year after audit for the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

WEBSITE AND SOCIAL MEDIA SITE(S)
Disposition: PERMANENT RECORD.

Note: ADAH staff capture and preserve the agency’s website and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure your agency and social media site(s) are captured and preserved. If your agency’s website and social media site(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included.

Administering Internal Operations: Managing Finances

**Note: While the Office of Information Technology retains responsibility to maintain all records listed under this subfunction, the Department of Finance creates and retains the records.

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products (includes AST-1 and AST-1A)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Purchase and Repair Order Documents
Disposition: Temporary Record. Retain for life of warranty.
Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting contracts for services or personal property
Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process (including requests for proposals and unsuccessful responses)
Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the bids were opened.

Agency Audit Reports
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting the application for, award of, receipt and disbursement of, and reporting of expenditure of federal funds received through grants and federal funds
Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.

Records documenting the unsuccessful application for grants and federal funds
Disposition: Temporary Record. Retain 1 year.

Administering Internal Operations: Managing Human Resources

**Note: While the Office of Information Technology retains responsibility to maintain all records listed under this subfunction, the Department of Finance creates and retains the records.

Job Recruitment Materials
Disposition: Temporary Record. Retain 1 year after audit.

Application Materials
Disposition: Temporary Record. Retain 1 year.

Position Classification Questionnaire
Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm.

Records documenting payroll deduction authorizations
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.
Records documenting payroll deductions for tax purposes (including Form 941)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Personnel File - Records documenting an employee’s work history - generally maintained as a case file
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting employees’ daily and weekly work schedules
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting employee hours worked, leave earned, and leave taken
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records Documenting Leave Donations
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records of Final Leave Status
Disposition: Temporary Record. Retain record of individual employees’ cumulative leave 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files (Applications and Correspondence)
Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting Equal Employment Opportunity Commission (EEOC) Charges of Discrimination
Disposition: Temporary Record. Retain 6 years after final dispensation.

Equal Employment Opportunity Commission Case Files
Disposition: Temporary Record. Retain 3 years.
Employee Administrative Hearing Files
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records Documenting Employee Grievances (Internal Complaints)
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting complaints against the agency and its employees from outside the agency (made by members of the public, officials, or supervisees, etc.)
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records (maintained separately from employee personnel file), documenting employee disciplinary proceedings and appeals of formal reprimands, demotions, transfers, or terminations resulting from a grievance or complaint
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting the administration of the unemployment compensation program
Disposition: Temporary Record. Retain 6 years after conclusion of eligibility.

Employee Flexible Benefits Plan Files (Applications and Correspondence)
Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Administering Internal Operations: Managing Properties, Facilities, and Resources

Semiannual Inventory Lists
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later. (Code of Alabama 1975 § 36-16-8[1])

Agency Copies of Transfer of State Property Forms (SD-1)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit.

Property Inventory Cards and/or Computer Files
Disposition: Temporary Record. Retain 1 year after audit.

Property Inventory Affidavits
Disposition: Temporary Record. Retain 1 year after compliance or financial audit.

Receipts of Responsibility for Property
Disposition: Temporary Record. Retain until return of item to property manager.
Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency
Disposition: Temporary Record. Retain 1 year after audit for the year in which the equipment is removed from the property inventory.

Facilities/Building Security Records (including visitor logs)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Real Property Renting/Leasing records
Disposition: Temporary Record. Retain 6 years after the termination of lease or rental agreement or until agency is audited and audit report is released, whichever is longer.

Facilities/Building Security Records (including visitor logs)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit.

Motor Pool Vehicle Use Records
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

Insurance Policies/Risk Management Records
Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders
Disposition: Temporary Record. Retain 1 year.

Records Documenting Vehicle Use/Mileage
Disposition: Temporary Record. Retain 1 year.
Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975, § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Agency as stipulated in this document.

One condition of this authorization is that the Agency submit an annual Records Disposition Authority (RDA) Implementation Report on its activities, including documentation of records destruction, to the State Records Commission.

Recommendations

In addition, the Agency should make every effort to establish and maintain a quality record-keeping program by conducting the following activities:

The Agency should designate a staff member in a managerial position as its records liaison/records manager, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the Agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the Open Meetings Act, audit requirements, or any legal notice or subpoena.

The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the
office should preferably employ an electronic records management system capable of sorting e-
mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine
the condition of the permanent records maintained in the custody of the Agency and inspect
records destruction documentation. Agency records managers and/or the ADAH archivists are
available to instruct the staff in RDA implementation and otherwise assist the Agency in
implementing its records management program.

The State Records Commission adopted this records disposition authority on October 30, 2019.

Steve Murray, Chairman
State Records Commission

By signing below, the agency acknowledges receipt of the retention periods and requirements
established by the records disposition authority.

Marty Redden, Acting Secretary of Information Technology
Office of Information Technology

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