



General Schedule for Electronic and Related Records

Records Retention Schedule

Prepared by the State Records Branch
Public Records Division

Approved by the State Archives and Records Commission



Kentucky Department for
Libraries and Archives

General Schedule for Electronic and Related Records

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General Schedule for Electronic and Related Records

I. Introduction

A General Schedule is a class of records retention schedules which governs the retention and disposition of specified records common to several or all public agencies. The *General Schedule for Electronic and Related Records* covers the records common to agencies with electronic data processing systems. The schedule, like all records retention schedules, is approved by the State Archives and Records Commission for use by all state and local governmental agencies, in conjunction with their approved agency-specific retention schedules. The explanations and definitions provided below are designed to assist in the implementation of the *General Schedule for Electronic and Related Records*.

The increased use of electronic records raises the question of how government agencies should apply records management standards to electronic records and electronic record-keeping systems. Kentucky law defines public records as "*all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings, and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency*" (KRS 171.410, Section 1). Electronic records fall under the definition of public records despite the fact they are hardware and software dependent. Records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium in which the records are created and/or stored.

All public employees who develop, use and maintain electronic records and systems should be aware that records scheduling or adherence to existing schedules must be implemented for the electronic records systems used in their agencies. Ideally, records scheduling should be integrated into the development, implementation and management of electronic systems. Records management practices also encourage cost effective use of computer systems with effective scheduling and legal destruction of records. Office personnel should be trained to use this schedule for determining the *minimum* time that records must be kept to satisfy the administrative, fiscal and legal needs of the agency.

Remember, all state and local government employees are responsible for maintaining the integrity of records whether stored electronically or in hard copy. Information in record-keeping systems must be maintained and accessible, to the appropriate parties, until the all of the legal, fiscal, and administrative retention periods have been met regardless of the medium.

II. How to use the General Schedule for Electronic and Related Records

Schedule format

Each record series listed in the general schedule is presented in the following format:

Series number

This number serves as the identification of the individual record series. All entries in the Electronic and Related Records section of the general schedule begin with "E" (i.e. E0001).

Records Title

This is the title most commonly used for the record followed by a brief description of the contents and use of the record.

Description

A very detailed description of the record series that describes the contents of the record, its use to the agency and any other relevant information about the records series.

Contents

The kind of information contained in a single record, or the types of records contained in a group of records that are filed together to make up a single series.

Disposition Instructions

The **minimum** length of time the records should be retained by the agency before their disposition can take place and detailed instructions of how to dispose of the record.

Organization of the General Schedule

The records series are divided into six broader categories based on the function of the records to the agency or possibly even a subdivision within the agency. All of the records in a particular category share a common use and purpose.

- 1. GENERAL ADMINISTRATION** -- General Administration includes Electronic Data Processing (EDP) policy development, fiscal and personnel administration, planning, and the coordination of activities within EDP units and between an EDP unit and other parts of an agency. Includes records series **E0012 - E0014**
- 2. SYSTEMS AND APPLICATION DEVELOPMENT** -- Systems and application development covers the EDP unit functions related to the development, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes. Includes records series **E0007, E0015 - E0021**
- 3. COMPUTER OPERATIONS AND TECHNICAL SUPPORT** -- Computer operation and technical support covers the EDP unit functions related to operating systems, maintaining hardware and software, system security, data input services, system backup, tape library operations, job and production

control, monitoring system usage, and liaison with hardware and software vendors. Includes records series **E0022 - E0044**

4. **USER/OFFICE AUTOMATION SUPPORT** -- User/Office Automation Support refers to EDP unit functions that provide support to users of a mainframe or office automation, including assisting users to solve software and hardware problems, installing hardware or software, providing training, and the review and recommendation of software for agency use. Includes records series **E0045 - E0048**
5. **NETWORK/DATA COMMUNICATION SERVICES** -- Network and Data Communication Services covers EDP unit functions related to installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and liaison with network providers. Includes records series **E0049 - E0054**
6. **INTERNET SERVICES** -- Internet Services covers records related to providing and monitoring services delivered and received via the Internet. Includes records series **E0055 - E0058**

III. Master Files and Website Content Records

Most of the records in this general schedule are temporary records, common to the day-to-day operation of electronic systems. These records generally relate to the operation and maintenance of the electronic system, not to the programmatic function of the agency. The exception to this are series **E0003 - Master Files** and **E0058 – Website Content Records**. A master file is a record, or group of records, that contain information that an electronic system was designed to create, store, and/or produce. Website content records are the public records that are found on agency websites. These series make up the core records of any electronic system and are unique files that are scheduled as part of the agency's records. Almost all of the other records in this schedule support master files and website content records in some way. These records are usually directly related to the program function of an agency and are scheduled in an agency's records retention schedule separate from this general schedule.

Always refer to the agency's retention schedule, not this general schedule, before disposing of Master File records.

IV. Further Information

For more detailed information on file formats see the KDLA Public Records Division's [Guidelines on File Formats](http://www.kdla.ky.gov/recmanagement/tutorial/fileformats.htm) located at:
<http://www.kdla.ky.gov/recmanagement/tutorial/fileformats.htm>

For further information or explanation of the General Schedule for Electronic and Related Records, or for assistance or advice in handling electronic records please contact the

Kentucky Department for Libraries and Archives,
Public Records Division
300 Coffee Tree Road, P.O. Box 537
Frankfort KY, 40602-0537
(502)564-8300

Visit our web site at:
<http://www.ky.gov>

For assistance with general records management and records scheduling contact:

State Records Branch
Jim Cundy, branch manager
jim.cundy@ky.gov
(502)564-8300 ext. 237

Local Records Branch
Jerry Carlton, branch manager
jerry.carlton@ky.gov
(502)564-8300 ext. 255

For assistance with electronic records issues contact:

Technology Analysis and Support Branch
Glen Mcaninch, branch manager
glen.mcaninch@ky.gov
(502)564-8300 ext. 242

or

Audrey Terry, electronic records specialist
audrey.terry@ky.gov
(502)564-8300 ext. 247

STATE ARCHIVES AND RECORDS COMMISSION

Public Records Division

Kentucky Department for Libraries and Archives

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Series	Records Title	Description	Contents	Disposition Instructions
Master Files				
E0003	Master Files (including Master Files that are components of Database Management Systems)	This series consists of organized and consistent sets of information found within a computer file. This information could be the text of a word processing document, the individual data elements found within a database, the data contained in a spreadsheet, or the graphical images on a website. These records could replace, in whole or in part, hard copy administrative records scheduled for disposal under a State Archives and Records Commission-approved schedule. (e.g., if an agency began creating or receiving electronic reports that had previously been created in paper.) Master files could also consist of the same information that is contained in all or portions of the disposable record(s) it replaces or duplicates. (i.e.: if an agency is imaging paper records) The same retention period and disposal instructions apply to the electronic master file that applied to the previous paper record. Check the Commission-approved schedule to determine the retention period for the master file. Which media version of the records (paper or electronic) an agency should retain depends on a variety of factors such as cost, any potential legal requirements/restrictions, frequency of reference, and the total retention period of the records in question.	These records could consist of the text of a word processing document, the data elements found within a database, or the graphical images on a website.	Delete after the expiration of the retention period authorized in a State Archives and Records Commission-approved schedule for the disposable hard copy file or when no longer needed, whichever is later. Which media version of the records (paper or electronic) an agency should retain depends on a variety of factors such as cost, any potential legal requirements/restrictions, frequency of reference, and the total retention period of the records in question.

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Series	Records Title	Description	Contents	Disposition Instructions
E0059	Electronic Messages	<p>This series encompasses any communication using an electronic messaging system for the conduct of agency business. Electronic messaging systems manage and facilitate the sending and receiving of electronic messages with associated attachments and may also allow for calendaring and scheduling of appointments. These systems have become an increasingly important and common communication tool for public agencies. Unified messaging systems allow for a common user in-box for email, voicemail, and text messages allowing users to manage all three from a single point. Use of mobile technologies such as RIM's Blackberry, Personal Digital Assistants (PDA), and web-enabled cell phones enable users to access messages outside of the office setting. Electronic messaging systems such as a listserv allow for broad distribution of messages sent to a single address to multiple recipients. With the ability to attach files to electronic messages, electronic messaging systems have transitioned from simple messaging systems to repositories of public records. Most electronic messages have very limited value and can be deleted immediately upon receipt, but some document agency functions and provide evidence of agency business. The dynamic and often informal nature of electronic messages, coupled with the ease with which electronic messages can be sent and received, can lead to personal and other non-business related messages being mixed with business related messages. Electronic messages should be managed and retained in a manner that protects the integrity of the records and allows for the efficient management of the records over the prescribed retention period.</p>	<p>Electronic messages are any message sent or received by an electronic messaging system. Electronic messages may be in the form of electronic mail (email); text messages (such as on a Blackberry or other portable device); voicemail messages (in a voicemail box on a phone, or as an audio file in a unified messaging environment); or faxed messages (faxes are electronically transmitted with a paper output, or may be maintained electronically as an electronic fax.) In addition to the body of the message, text-based messaging systems (email, text messages, faxes and voicemail through a unified system) contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Email messages may also include attached files.</p>	<p>Electronic messaging systems are a form of communication. The messages found in these systems can be any type of record. Identify what type of record the message is and delete after the expiration of the retention period authorized in an approved records retention schedule.</p>
1. General Administration				
E0012	Data Processing Unit Subject Files	<p>Correspondence, memoranda, reports, publications, and related records used to support the administration of agency data processing services. These records may exist in either paper or electronic form. Note: In some cases, agencies 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 agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. EXCLUDING system documentation, this series is covered separately (See items E0016, E0017, E0019, and/or E0023)</p>	<p>Correspondence, memoranda, reports, publications, and related records.</p>	<p>Delete/Destroy when obsolete or superseded. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation and source code in an accessible format. This is particularly crucial if the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.</p>
E0014	Data Processing Policies	<p>Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership. These records may exist in either paper or electronic form.</p>	<p>Records covering access and security, systems development, data retention and disposition, and data ownership.</p>	<p>Destroy 3 years after policy is withdrawn, revised, updated, or superseded.</p>

General Schedule for State Agencies - Electronic and Related Records

Series	Records Title	Description	Contents	Disposition Instructions
2. Systems and Application Development				
E0021	Test Database/Files	Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system	Routine or benchmark data sets, related documentation, and test results.	Destroy when no longer needed but not before user acceptance is documented and retained 3 years for audit requirements, and management reviews and approves test results.
E0007	Technical Reformat File	This series consists of electronic files consisting of data copied from a master file or database for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the State Archives.	COM (Computer Output Microfilm), COLD (Computer Output Laser Disk), Digital to microfilm conversion.	Delete when no longer needed
E0015	Application Development Project Files	Records created and used in the development, redesign, or modification of an automated system or application. These may include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. These records may exist in paper or electronic form. Note: In some circumstances, agencies may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see items E0016 and E0017).	Project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. Records Not Covered: System or application documentation (see items E0016 and E0017)	Delete/Destroy 3 years after system is no longer in use. Note: In some circumstances, agencies may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see items E0016 and E0017).
E0016	Data Systems Specifications	User and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. These records may exist in paper or electronic form.	Records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. Records Not Covered: Data documentation and other records used to explain the meaning, purpose, or origin of data (see item E0017).	Destroy 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format. Note: In some cases, agencies 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 agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.

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Series	Records Title	Description	Contents	Disposition Instructions
E0017	Data Documentation	<p>These records generally created during development or modification and are necessary to access, retrieve, manipulate and interpret data in an automated system. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. These records may exist in paper or electronic form. These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. Note: In some cases, agencies 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 agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.</p> <p>Application design documentation and user's guides covered by item E0016 may also serve to explain how data was interpreted and used.</p>	<p>Data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.</p>	<p>Destroy 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format. Note: In some cases, agencies 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 agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.</p>
E0018	Special Purpose Programs/Source Code	<p>These records consist of the application software or the automated program code which generates the machine-language instructions used to maintain a master file or database or operate an automated information system. Note: This item coincides with item E0027, System Backup Files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice; i.e., that 3 generations of backups be retained (see item E0027).</p>		<p>Delete when related master file, database, or application is no longer in use and has been deleted, but not before audit requirements have been met. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation/source code in an accessible format. This is particularly crucial if the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.</p>
E0019	Technical Program Documentation	<p>These are the paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs. These records are used for reference, backup, system audits, to insure adequacy of change documentation, or to rectify errors in program implementation.</p>	<p>Paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.</p>	<p>Destroy 3 years after replacement, modification, or related programs cease to be used. Note: Agencies may consider retaining documentation for critical systems for a longer period.</p>

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Series	Records Title	Description	Contents	Disposition Instructions
3. Computer Operation and Technical Support				
E0022	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.	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.	Destroy 3 years after procedure is withdrawn, revised, updated, or superseded.
E0023	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.	Includes operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	Destroy after the agency no longer uses related hardware and all data is transferred to and made useable in new hardware environment. Note: In some cases, agencies 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 agency). 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.
E0024	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.	Maintenance contracts for data processing equipment, copies of contracts, service histories, and work orders.	Destroy record copy 3 years after expiration of contract or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference. Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them.
E0025	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.		Destroy 1 year after successful conversion.

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Series	Records Title	Description	Contents	Disposition Instructions
E0026	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.	Disaster recovery manuals, Business continuity plans, inventories, procedure plans, contact lists.	Destroy after 3 years after superseded by revised plan and after audit requirement is met. Note: Agencies should store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.
E0027	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.	Copies of master files or databases, application software, logs, directories, and other records	Destroy after 3 system backup cycles.
E0028	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)	May include user account records, security logs, and password files.	Destroy 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.
E0029	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).	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).	Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.
E0030	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)		Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.

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Series	Records Title	Description	Contents	Disposition Instructions
E0031	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.	Daily schedules, run reports, run requests and other records documenting the successful completion of a run.	Destroy after current fiscal year.
E0032	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.	Electronic or paper files or records that may contain uncalibrated and unvalidated data, documents to be reformatted into electronic media.	Delete/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.
E0033	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.	Batch updates to a database that require user approval before data is altered.	Destroy after the transaction is completed.
E0034	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)	Valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes.	Destroy after 3 database/master file backup cycles.

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Series	Records Title	Description	Contents	Disposition Instructions
E0035	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.	Hard copy publications, printouts of tabulations, ledgers, registers, reports	Destroy after all print runs are completed, output verified (if required), and agency has no need to reproduce the report.
E0036	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)	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)	Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.
E0038	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)	Statistical reports, monthly reports, extracted reports.	Delete/Destroy when no longer needed for current business.

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Series	Records Title	Description	Contents	Disposition Instructions
E0039	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)	Electronic indexes, lists, registers, and other finding aids. Databases associated with imaging/document management systems.	Destroy after the related hard copy or electronic records have been destroyed. Note: In some cases, agencies 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 agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
E0040	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.		Destroy after related records or media are destroyed or withdrawn from the tape library.
E0042	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)	Reports on the destruction of files, list of holdings and control logs.	Destroy after superseded.
E0044	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	Includes data element attribute reports, database schema, and related records.	Destroy when superseded or no longer used by agency, but not before audit requirements are met.

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Series	Records Title	Description	Contents	Disposition Instructions
4. User/Office Automation Support				
E0045	Site/Equipment Support Files	This series consists of records documenting support services provided to specific data processing equipment or installations. These include site visit reports, program and equipment service reports, service histories, and correspondence and memoranda that document the day-to-day maintenance of the system equipment. These records may exist in paper or electronic form. (Related record E0047, E0049, E0050, E0051)	Site visit reports, program and equipment service reports, service histories, maintenance logs, and correspondence and memoranda.	Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda 3 years after creation. Destroy service histories and other summary records after the related equipment is no longer in use.
E0046	Help Desk Telephone Logs and Reports	This series consists of records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes. These records are needed to monitor user problems and equipment use, to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes. These records may exist in paper or electronic form. (Related record E0046)		Destroy 1 year after creation.
E0047	Training Course Information	This series consists of memoranda, flyers, catalogues, registration forms, rosters, and other records relating to training courses run by a data processing user support or office automation support unit.	Memoranda, flyers, catalogues, registration forms, rosters, and other records.	Destroy when superseded or obsolete, but retain summary schedule documenting training provided to users until audit requirements are met.
E0048	Software Review Files	This series consists of records related to the review and recommendations for software for agency use. These records include vendor information, manuals, software reviews, and related material.	Includes vendor information, manuals, software reviews, and related material.	Destroy after software is no longer used by agency, but not before audit requirements are met.

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Series	Records Title	Description	Contents	Disposition Instructions
5. Network/Data Communication Services				
E0049	Network Site/Equipment Support Files	This series consists of records documenting support services provided to specific sites and computer to computer interfaces on a network. They may include site visit reports, trouble reports, service histories, and correspondence and memoranda. (Related record E0045, E0050, E0051)	Includes site visit reports, trouble reports, service histories, and correspondence and memoranda.	Destroy site visit reports, trouble reports, and routine correspondence 3 years after creation. Destroy service histories and other summary records after the related equipment or site is no longer in use. Note: Routine records that do not contain substantial information on the maintenance history or site can be weeded and destroyed on an annual basis.
E0050	Inventories of Circuits, Network Connections (Hubs)	This series consists of automated or paper records containing information on network circuits used by the agency. They may include items such as circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit. (Related record E0045, E0050, E0051)	Includes circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.	Destroy after the circuit is no longer used by agency.
E0051	Network or Circuit Installation and Service Files	This series consists of copies of requests by agencies to GOT or service provider for data communication service, installation, or repair and response to the request. They may include items such as work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents. (Related record E0045, E0050)	Includes work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents.	Destroy 1 year after request is filled or repairs are made. Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them.
E0052	Network Usage Files	This series consists of electronic files or automated logs created to monitor network usage. These records may be needed for summary reports, system audits, system security, or other purposes. (Related records E0028, E0029, E0030, E0034, E0036, E0053, E0055, E0056))	May include log-in files and system usage files.	Retain until no longer needed, but not before any appropriate review and verification.
E0053	Network Usage Reports	This series consists of summary reports and other records created to document computer usage for reporting or other purposes. These records may be needed for reporting, reference, charge-back billing, system audits, system security, evaluation of system performance, or other purposes. These records may exist in paper or electronic form. (Related records E0028, E0029, E0030, E0034, E0036, E0052, E0055, E0056)		Destroy 1 fiscal year after creation, but not before audit requirements are met.
E0054	Network Implementation Project Files	This series consists of an agencies' records used to plan and implement a network and may include reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.	Includes reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.	Destroy after superseded, but not before audit requirements are met.

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Series	Records Title	Description	Contents	Disposition Instructions
6. Internet Services				
E0055	Agency Internet Services Logs	This series consists of electronic files or automated logs created to monitor access and use of agency services provided via the Internet. These records may include services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web site, or via agency Telnet services. This series may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, system audits, system security, or other purposes. (Related records E0028, E0029, E0030, E0034, E0036, E0052, E0053, E0056)		Destroy after no longer needed, but not before audit or legal requirements for the record have been met.
E0056	Employee Internet Use Logs	This series consists of electronic files or automated logs created to monitor and control use of the Internet by agency employees. These records may include services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web site, or via agency Telnet services. This series may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, system audits, system security, or other purposes. (Related records E0028, E0029, E0030, E0034, E0036, E0052, E0053, E0055)		Retain until no longer useful, but not before any appropriate review and verification.
E0057	Website Content Records	This series represents any content on an agency's website that meets the statutory definition of a record [KRS 171.410 (1)], or records that may be generated when a user interacts with the website. Agency websites provide access to records that document an agency's duties and activities. In some cases agencies may be conducting business transactions or providing services to the public through its website. For a growing number of agencies, the website may be the primary point of access to agency records for the general public and agency personnel. Websites may be static with content added and removed on a regular schedule or they may interactive and dynamic where content is pulled together at the user's request from data in agency databases. Some agency websites are relatively simple collections of the work of the entire agency, or they may be complex with each divisional unit in the agency maintaining a unique collection of pages. Agencies should analyze their websites and determine if the records found on the site are scheduled or a schedule needs to be created for the records. Some websites could contain vital records, especially those sites providing services through the site. Some websites may contain restricted information that is password protected or requires some form of registration to access the site. Agencies need to conduct a risk assessment to determine the level of recordkeeping and security required for website content.	May contain a variety of records in several formats (text, data, digital image, audio, or video files). Records commonly found on agency websites include: publications (M0007), meeting minutes (M0008), annual reports (M0022), photos (M0047), press releases (M0045), maps, organizational charts (M0011), policies and procedures (M0003), and mission statements (M0014). Websites may also serve as access points for data in agency databases (E0003-Master Files). Agencies need to analyze the content of their websites and inventory the records that are found on the site.	Delete duplicate copies of records when no longer needed by the agency. Delete official copies after the retention period authorized in a State Archives and Records Commission-approved records retention schedule. Agencies that maintain permanent records on their sites should contact KDLA if the records are taken offline.

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Series	Records Title	Description	Contents	Disposition Instructions
E0058	Website Format and Control Records	<p>This series represents the applications automated files, commands and scripts that assist in the creation, design, and operation of a website. Agencies may use a state approved Content Management System (CMS) to control placement of content on a site, update frequency, track version control of individual pages, and manage removal of content. Agencies commonly use a standard template or style sheets to provide background layout and information that ensure uniformity of the "look and feel" of all of the pages on a site. Some websites serve as the main access point to data in agency databases and therefore use specialized applications and commands to pull and arrange that data on command. This series also includes the records that assist in controlling and tracking access to websites and the corresponding content on the site.</p>	<p>This series may include: style sheets; templates; XML schema or DTD's; dynamically rendered content such as Cold Fusion (.cfm) files, Hypertext Preprocessor (.php) files, Server Side Inclusions (.shtml), and Active Server Page (.asp) files; specialized scripts embedded in HTML pages (such as javascript); Common Gateway Interface (CGI); Structured Query Language (SQL).</p>	<p>Maintain until related website content file, database, or application is no longer in use or has been superceded, but not before any administrative, legal, or audit requirements have been met. Note: In some cases agencies will retain data for extended periods, sometimes offline. It is essential that they retain related applications and code in an accessible format. This is particularly crucial when the related website content records are judged to be archival. When web related records are transferred to the State Archives Center, it is essential that they be accompanied by the appropriate applications, templates, and controls that allow for an accurate rendering of the content. See the appropriate transfer requirements for more instruction.</p>