

## 9. Information Technology

The function of Information Technology (IT) addresses tangible resources like networking hardware and computers as well as intangible resources like software and data. For policies, procedures, and project documentation, see AGENCY MANAGEMENT. For external service on equipment, see ASSET MANAGEMENT. For user chargebacks for data processing services, see FINANCIAL MANAGEMENT. For software license and copyright provisions, see LEGAL. For audits of information systems, see MONITORING AND COMPLIANCE. For websites and social media, see PUBLIC RELATIONS. For disaster preparedness and recovery planning, see RISK MANAGEMENT.

NOTE: All agencies are expected to maintain up-to-date electronic records and imaging policies. (See resources available on the State Archives website, <http://archives.ncdcr.gov/>, for guidance.) These policies allow for digital surrogates to be retained in the place of original paper records, as referenced in Digitization and Scanning Records (RC No. 914.<). However, if an agency does not have an authorized electronic records and imaging policy, the original paper records must be retained according to their disposition instructions.

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Most Information Technology records are either project-based, with a relatively short retention required after the completion of the project, or iterative and, therefore, necessary to retain until superseded or obsolete. Examples include Technical Program Documentation (RC No. 927.1). IT records are likely best organized chronologically based on the trigger event. North Carolina G.S. § 132-6.1(c) establishes that an agency is not required “to disclose security features of its electronic data processing systems, information technology systems, telecommunications networks, or electronic security systems, including hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”; therefore, steps should be taken to maintain the confidentiality of these records. Most IT records will be retained and destroyed in office, but there are some archival records, such as the Geospatial Data (RC No. 916) accumulated by the Center for Geographic Information and Analysis. The State Records Center does not provide temporary storage of electronic records, so no non-archival records in this schedule will transfer to the State Records Center.

Retention of public records in North Carolina is based on their content, not on the format of the records; this Functional Schedule focuses solely on the records created or received in the context of carrying out the Information Technology function of State agencies and does not contain disposition instructions for all electronic records writ large. Nevertheless, knowing that many IT professionals assist agencies with their retention of electronic records, it is worth acknowledging here several relevant points:

- Agencies must make appropriate provisions to retain electronic records so as to comply with retention requirements established by the Department of Natural and Cultural Resources. If the agency maintains data that falls under Federal mandates (e.g., Criminal Justice Information Services [CJIS]) and there is a longer Federal retention period, the more restrictive requirement must be met. These provisions apply whether records are housed on premise or with a contracted provider.
- Even if a record could have been destroyed according to the retention schedule, if the record is still retained – even electronically – it is still subject to public access and discovery requests unless some statutory exception applies.
- From the records management perspective, the entity who has the authority to delete data is considered the data custodian.
- Derivatives of records (e.g., operational reports derived from electronic records or system queries created on an ad hoc or one-time basis for reference purposes) should be considered reference files and can be destroyed when their reference value ends. However, reports that include annotations or substantive information not included in the data master record should be handled as Reports found on the AGENCY MANAGEMENT schedule.

Be aware that metadata should be maintained as long as the records exist in order to document the authenticity of and facilitate access to the associated electronic records. When a file is deleted, any external metadata should also be deleted.

These Functional Schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. (A sample is available on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>.) Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. A key for the Functional Schedule along with definitions of important records management terms can be found in the glossary to this schedule.

### 9.1 Data Administration

*DEFINED: Activities related to the administration of agency data.*

*SEE ALSO: Reports generated from data collected by the agency and agency IT plans submitted to the Department of Information Technology and the Office of State Budget and Management are under AGENCY MANAGEMENT. Photogrammetry records produced for transportation projects are under INFRASTRUCTURE MANAGEMENT. Floodplain mapping data is under RISK MANAGEMENT.*

9.1

RC No.	Record Types	Disposition Instructions	Citation
911.3	<p><b>Data Documentation Records</b></p> <p>Records concerning data in automated systems; includes data element dictionary, file layout, code book or table, entity relationships tables, and other records related to the structure, management, and organization of data</p>	<p>RETAIN UNTIL: System is discontinued and/or replaced</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
912.1	<p><b>Data Migration Records</b></p> <p>Technical records documenting data migrations</p> <p><i>NOTE: The data itself is subject to the disposition instructions indicated for its relevant record type; these are merely records about migrating said data</i></p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
913.S	<p><b>Data Warehouses</b></p> <p>Federated data gathered by the agency from other sources for the purposes of comparison and distribution</p> <p>SEE ALSO: Reporting (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p><i>NOTE: Consistent with any restrictions placed on the data producer</i></p>

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.  
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.  
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Disposition Instructions	Citation
914.<	<p><b>Digitization and Scanning Records</b></p> <p>Records concerning data entry and imaging operations; includes quality control records and paper records that are digitized</p>	<p>RETAIN UNTIL: Digitized</p> <p>PLUS: 10 days</p> <p>THEN: Destroy</p> <p><i>NOTE: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type. Agencies must have a DNCR-approved electronic records policy in order to destroy non-permanent paper records that have been digitized</i></p>	
915.3	<p><b>Electronic Records Policies</b></p> <p>Records documenting the policies and procedures employed by the agency to maintain authentic and accessible electronic records</p> <p>SEE ALSO: Agency Policies (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
916.A-1	<p><b>Geospatial Data (1 of 5) – Department of Public Safety</b></p> <p>Records maintained by the Department of Public Safety concerning the first geographic positions and coordinates surveys established for geodetic stations throughout the state</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	<p>PERMANENT (archival) ∞</p>	

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RC No.	Record Types	Disposition Instructions	Citation
916.A-2	<p><b>Geospatial Data (2 of 5) – Department of Information Technology</b></p> <p>Framework datasets maintained by the Center for Geographic Information and Analysis; includes vector and raster datasets</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	PERMANENT (archival) ∞	
916.P-1	<p><b>Geospatial Data (3 of 5) – Department of Environmental Quality</b></p> <p>Data layers maintained by the Department of Environmental Quality; includes data about stream flow in bodies of water</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	PERMANENT (appraisal required) ∞	
916.P-2	<p><b>Geospatial Data (4 of 5) – Department of Transportation</b></p> <p>Data layers maintained by the Department of Transportation; includes road centerline, boundaries, assets (e.g., roads, bridges, railroads, bike routes), and other related data</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	PERMANENT (appraisal required) ∞	
916.R	<p><b>Geospatial Data (5 of 5) – Department of Information Technology</b></p> <p>Thematic datasets maintained by the Center for Geographic Information and Analysis; includes vector and raster datasets</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	<p>RETAIN UNTIL: Reference value ends (appraisal required) ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p>	

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RC No.	Record Types	Disposition Instructions	Citation
917.S	<p><b>Records Backup Information</b></p> <p>Records documenting regular or essential system backups; includes backup tape inventories and other related records</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
918.5	<p><b>System Backups (1 of 2)</b></p> <p>Backups of e-mails sent and received by employees of executive branch agencies in accordance with Executive Order No. 12 (2013)</p> <p>SEE ALSO: Correspondence (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Received/Sent</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p> <p><i>NOTE: Backups of Capstone positions or those identified as having archival e-mail accounts are permanent records</i></p>	<p><u>Authority/Retention</u></p> <p>EO No. 12 (2013)</p>
918.S	<p><b>System Backups (1 of 2)</b></p> <p>Backups of electronic files and data that are generated expressly for the purpose of restoring computer systems in the event of a disaster or accidental damage</p>	<p>Destroy the backups in accordance with your agency's established, regular backup plan and procedures</p> <p>SEE: <a href="#">Preservation Duplicates and Backup Files</a></p>	

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## 9.2 Network and System Administration

*DEFINED: Activities related to the administration of agency IT networks and systems.*

*Note: If the agency is subject to Federal incident monitoring, all relevant security incident reporting must be retained until the Federal audit is complete.*




9.2

RC No.	Record Types	Disposition Instructions	Citation
921.S 	<b>Automated Program Listing Source Code</b> Automated program code that generates the machine language instructions used to operate an automated information system	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 132-6.1(c)
922.1	<b>Data Authentication (1 of 2)</b> Fixity checks and other periodic tests of data validity	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy*	
922.<	<b>Data Authentication (2 of 2)</b> Audit trails documenting user actions within monitored IT systems	RETAIN UNTIL: Disposition of IT system THEN: Destroy*	
923.1	<b>IT Assistance Records</b> Records documenting troubleshooting and problem-solving assistance provided by information systems personnel; includes help desk assistance requests, work orders, site visit reports, service histories, resolution records, and other related records	RETAIN UNTIL: Resolution PLUS: 1 year THEN: Destroy	
924.1-1 	<b>Network and System Security Records (1 of 4)</b> Records documenting the security of networks and systems; includes records concerning firewalls, anti-virus programs, and other related records	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-6.1(c)

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RC No.	Record Types	Disposition Instructions	Citation
924.1-2	<b>Network and System Security Records (2 of 4)</b> Records documenting access requests and authorizations, system access logs, and other related records	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	
924.2	 <b>Network and System Security Records (3 of 4)</b> Records documenting incidents involving unauthorized attempted entry or probes on data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware; includes logs, extracts, compilations of data, and other related records	RETAIN FROM: Creation PLUS: 2 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-6.1(c)
924.5	<b>Network and System Security Records (4 of 4)</b> Finalized cyber incident reports	RETAIN FROM: Resolution PLUS: 5 years THEN: Destroy	
925.S	 <b>Network Diagrams</b> Records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 132-6.1(c)
926.3	 <b>System Documentation</b> Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication; includes system overviews, dataset inventories, server names, IP addresses, purpose of the systems, vendor-supplied documentation, installed software, and current source code	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(g) G.S. § 132-6.1(c)

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RC No.	Record Types	Disposition Instructions	Citation
927.1 	<b>Technical Program Documentation</b> Records concerning program code, program flowcharts, program maintenance logs, systems change notices, and other related records that document modifications to computer programs	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 132-6.1(c)
928.S	<b>Voice Over Internet Protocol (VoIP) Records (1 of 3)</b> Records concerning line registrations	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
928.1	<b>Voice Over Internet Protocol (VoIP) Records (2 of 3)</b> Records concerning call logs	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy	
928.<	<b>Voice Over Internet Protocol (VoIP) Records (3 of 3)</b> Voicemail records	RETAIN UNTIL: Received PLUS: 30 days THEN: Destroy	
929.S	<b>Web Management and Operations Records</b> Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel; also includes server environment configuration specifications  SEE ALSO: Social Media and Websites (PUBLIC RELATIONS)	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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## Records That Will Transfer to the State Records Center

The RC No. listed beside each Record Type is found on the Functional Schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.

**916.A Geospatial Data:** Transfer superseded or retired dataset to the State Records Center for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Geographic Information and Analysis, Center for	Geospatial Framework Raster Dataset (Elevation and Bathymetry, Orthoimagery)	49947
Geographic Information and Analysis, Center for	Geospatial Framework Vector Dataset (Hydrography, Geodetic Control, Cadastral, Transportation, Governmental Units, Elevation and Bathymetry)	49946
Geographic Information and Analysis, Center for	Geospatial Thematic Raster Dataset	49949
Geographic Information and Analysis, Center for	Geospatial Thematic Vector Dataset	49948
Public Safety, Department of	Geodetic Control Maps File	44496
Public Safety, Department of	Geodetic Subject File	2716
Public Safety, Department of	North Carolina Geodetic Survey Index Triangulation Data File	17210