**This schedule applies to: Consolidated Technology Services**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Consolidated Technology Services (CTS) relating to the unique function of providing utility technology services to state and other government agencies. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

**Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designation as “Archival” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

**Revocation of previously issued records retention schedules**

All previously issued records retention schedules to Consolidated Technology Services are revoked. Consolidated Technology Services must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

**Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on February 6, 2019.

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| *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the State Auditor:**  **Al Rose** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the Attorney General:**  **Suzanne Becker** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the Office of Financial Management:**  **Gwen Stamey** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **The State Archivist:**  **Steve Excell** |

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | December 7, 2011 | Consolidation of all existing disposition authorities (with some minor revisions) relating to the functions and activities of the former Department of Information Services that were transferred to the new Consolidated Technology Services on October 1, 2011. |
| 1.1 | September 2, 2015 | Addition of the “Information Technology Policy” and “Information Technology Systems and Services” sections following the transfer of functions and activities to Consolidated Technology Services from both Office of Financial Management and Department of Enterprise Services on July 1, 2015. |
| 1.2 | February 6, 2019 | Revoking disposition authorities for two record series relating to the functions and activities transferred from Consolidated Technology Services to the Office of Financial Management in January 2019. |

For assistance and advice in applying this records retention schedule,

please contact the Consolidated Technology Services’ Records Officer

or Washington State Archives at:

[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

**TABLE OF CONTENTS**

[1. AGENCY MANAGEMENT 4](#_Toc258242)

[1.1 CONTRACTS AND PURCHASING RECORDS 4](#_Toc258243)

[2. FINANCIAL MANAGEMENT 5](#_Toc258244)

[2.1 FISCAL AND ACCOUNTING RECORDS 5](#_Toc258245)

[3. INFORMATION TECHNOLOGY POLICY 6](#_Toc258246)

[4. TECHNOLOGY SERVICES 7](#_Toc258247)

[Glossary 12](#_Toc258248)

[INDEXES 15](#_Toc258249)

1. AGENCY MANAGEMENT

This section covers records relating to the overarching management of agency business and its general administration which are not covered by the *State Government General Records Retention Schedule*.

*See State Government General Records Retention Schedule for additional records relating to agency management.*

| * 1. CONTRACTS AND PURCHASING RECORDS   The activity of managing purchasing records generated by state agencies in the course of procuring services, supplies, and equipment. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 11-12-62927  Rev. 0 | ***Vendor Protests / Appeals***  Copies of Vendor Protests of agency acquisitions. Also includes copies of vendor appeals to protest decision. | **Retain** for 6 years after final disposition of protest / appeal  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

1. FINANCIAL MANAGEMENT

This section covers records relating to the function of managing the agency’s financial resources, obligations and monetary infrastructure which are not covered by the *State Government General Records Retention Schedule*.

*See State Government General Records Retention Schedule for additional records relating to financial management.*

| * 1. FISCAL AND ACCOUNTING RECORDS   The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the agency. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 11-12-62929  Rev. 0 | ***Billing Sheets Bursting Distribution***  Bursting billing sheets, distribution billing sheets. | **Retain** for 6 months after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62930  Rev. 0 | ***General Ledger Mainframe System Reports to Cost Center Managers***  A summary of revenues and expenditures, including profit and loss statements, distributed to cost center managers. | **Retain** for 6 years after end of fiscal year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-12-62931  Rev. 0 | ***Rate Setting Information***  Provides information on which to base the rates charged for telecommunication services. | **Retain** for 2 years after rate change  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

1. INFORMATION TECHNOLOGY POLICY

This section covers records relating to the coordination of information technology policy.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 15-09-68832  Rev. 0 | Information Technology Portfolios and Compliance Letters  Provides a record of these policies that were updated at that period of time. | **Retain** for 7 years after end of calendar year  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |

1. TECHNOLOGY SERVICES

This section covers records relating to provision of utility technology services to state and other government agencies.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 11-12-62932  Rev. 0 | ***Automated Scheduling***  CA7-Flowcharts (Electronic Records) as backup. | **Retain** until updated  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62933  Rev. 0 | ***CA-7 Automated Scheduling System*** | **Retain** for 1 month after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62934  Rev. 0 | ***CKDDLY – Check List of Daily Jobs***  Checklist of the mainframe of daily jobs. This checklist consists of all the jobs that are scheduled to run in “Scheduler”. If Scheduler were down, the list would be used to know what jobs to run on the UNISYS platform. There is no need to keep it longer because it is used as a backup. | **Retain** until end of day  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62935  Rev. 0 | ***Computer Printouts***  Backups – daily. Console Logs – daily. | **Retain** for 1 month after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62936  Rev. 0 | ***CREPRT – Daily Print Dollar***  Computer printout to verify accuracy of jobs: CREPRT/tape library reports. | **Retain** until end of week  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62937  Rev. 0 | ***CTIFBK/Star Library***  Computer printout to verify accuracy of the job. | **Retain** until end of week  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62938  Rev. 0 | ***CTS and its Customers System Specifications and Design Review/Analysis***  Documentation describing CTS' and its customers' system operations, including, but not limited to, system documentation records, user guides, system flowcharts, input/output specifications. | **Retain** for 6 years after date of review  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 11-12-62939  Rev. 0 | ***Customer Tape Tracking*** | **Retain** for 1 month after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62940  Rev. 0 | ***Cyber Security Forums***  Cyber security exercises, security information sharing groups (i.e. Multi-state ISAC, RIIG), security listservs (i.e., WACIRC listserv), incident alerts, etc. Covers documents created during CTS' involvement in cyber security response exercises, cyber security information sharing groups, cyber security listserv postings, security incident alerts, etc. | **Retain** for 6 months after date created  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62941  Rev. 0 | ***Daily Save – Production and Development System*** | **Retain** until end of day  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62942  Rev. 0 | ***Data Center Conventions Manual*** | **Retain** until updated  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62943  Rev. 0 | ***Offsite Storage***  Reference notebooks for status of transferred/retrieval for data at Offsite Storage. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-12-62944  Rev. 0 | ***Off-Siting Forms/Documentation*** | **Retain** until end of day  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62945  Rev. 0 | ***Operations Logs***  Job Logs – daily. Turnover logs. | **Retain** for 6 months after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62946  Rev. 0 | ***Production Quality Error Reports*** | **Retain** for 4 months after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62947  Rev. 0 | ***Security Contact Database***  Contact information for customer security administrators. The electronic database is maintained and updated as needed. Upon notification from a customer that the contact individual in the database has been terminated or left the position, CTS security personnel, update the database by replacing previous contact information with the new data. This database is a real-time constantly changing database. | **Retain** until termination or replacement of contact individual  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62948  Rev. 0 | ***Setup Sheets***  Jobs held in computer staging area. | **Retain** for 3 months after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62949  Rev. 0 | ***Tape Media Checkout Receipt*** | **Retain** until return of tape  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62950  Rev. 0 | ***Tape Transfer Control Log*** | **Retain** until end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-12-62951  Rev. 0 | ***Technical Bulletins***  Notifications to customers of changes, upgrades on CTS computing systems. Bulletins are sent to CTS customers regarding history of changes to CTS systems (S390, Unisys, servers, etc.). | **Retain** for 6 years after date created  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 11-12-62952  Rev. 0 | ***Unisys Tech Support Customer Correspondence*** | **Retain** for 5 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

Glossary

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| ***Appraisal*** |
| **The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.** |
| ***Archival (Appraisal Required)*** |
| **Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.**  *Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.* |
| ***Archival (Permanent Retention)*** |
| **Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.**  *WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates.* |
| ***Disposition*** |
| **Actions taken with records when they are no longer required to be retained by the agency.**  *Possible disposition actions include transfer to Washington State Archives and destruction.* |
| ***Disposition Authority Number (DAN)*** |
| **Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.** |
| ***Essential Records*** |
| **Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.**  *Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.* |
| ***Non-Archival*** |
| **Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.**  *Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.* |
| ***Non-Essential Records*** |
| **Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.** |
| ***OFM (Office Files and Memoranda)*** |
| **Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.**  *RCW 40.14.010 – Definition and classification of public records.*  *(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”* |
| ***OPR (Official Public Records)*** |
| **Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.**  *RCW 40.14.010 – Definition and classification of public records.*  *(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; … and all other documents or records determined by the records committee… to be official public records.”* |
| ***Public Records*** |
| **RCW** **40.14.010** *–* **Definition and classification of public records.**  *“… The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business…”* |
| ***Records Series*** |
| **A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.** |
| ***State Records Committee*** |
| **The committee established by RCW 40.14.050 to review and approve disposition of state government records.**  *Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.* |

INDEXES

ARCHIVAL RECORDS INDEX

*See the State Government General Records Retention Schedule for additional “Archival” records.*

INFORMATION TECHNOLOGY POLICY

Information Technology Portfolios and Compliance Letters 6

TECHNOLOGY SERVICES

Technical Bulletins 11

ESSENTIAL RECORDS INDEX

*See the State Government General Records Retention Schedule for additional “Essential” records.*

TECHNOLOGY SERVICES

CTS and its Customers System Specifications and Design Review/Analysis 8

DISPOSITION AUTHORITY NUMBERS (dan’s) INDEX

11-12-62927 4

11-12-62929 5

11-12-62930 5

11-12-62931 5

11-12-62932 7

11-12-62933 7

11-12-62934 7

11-12-62935 7

11-12-62936 7

11-12-62937 8

11-12-62938 8

11-12-62939 8

11-12-62940 8

11-12-62941 8

11-12-62942 9

11-12-62943 9

11-12-62944 9

11-12-62945 9

11-12-62946 9

11-12-62947 10

11-12-62948 10

11-12-62949 10

11-12-62950 10

11-12-62951 11

11-12-62952 11

15-09-68832 6

Subject INDEX

*Note: The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.*

A

appeals (vendors) 4

audits *see SGGRRS*

automated scheduling 7

B

backups *see also SGGRRS*

printouts 7

tape checkout receipts/transfer control logs 10

tape tracking 8

bids (contracts) *see also SGGRRS*

deposit logs/vendor protests 4

billing sheets 5

bills (legislation) *see SGGRRS*

budgets *see SGGRRS*

C

CA-7 automated scheduling system 7

CKDDLY (daily jobs check list) 7

complaints *see SGGRRS*

console logs (printouts) 7

contracts *see also SGGRRS*

bid deposit logs/data/vendor protests 4

copyright *see SGGRRS*

CREPRT (daily printout) 7

CTIFBK (printouts) 8

customers (security contact database) 10

cyber security 8

D

daily jobs (checklist) 7

daily save 8

data center conventions manual 9

design review/analysis (systems) 8

E

error reports (production quality) 9

expenditure (reports) 5

F

facilities *see SGGRRS*

financial reports *see also SGGRRS*

revenues/expeditures 5

fleet (vehicles) *see SGGRRS*

flowcharts

CA-7 automated scheduling system 7

system specifications 8

forums (cyber security) 8

G

grants *see SGGRRS*

grievances *see SGGRRS*

H

human resources *see SGGRRS*

I

information systems *see also SGGRRS*

specifications/review/analysis 8

information technology portfolios 6

input/output specifications 8

intellectual property *see SGGRRS*

J

job logs 9

L

leases *see SGGRRS*

leave *see SGGRRS*

M

meetings *see SGGRRS*

motor vehicles *see SGGRRS*

O

offsite storage 9

operations logs 9

P

patents *see SGGRRS*

payroll *see SGGRRS*

personnel *see SGGRRS*

planning *see SGGRRS*

plans (drawings) *see SGGRRS*

policies *see SGGRRS*

printouts

backups/console logs 7

CREPRT/CTIFBK/Star Library 7, 8

procedures *see SGGRRS*

production quality error reports 9

profit/loss statements 5

protests (vendors) 4

public disclosure *see SGGRRS*

public records requests *see SGGRRS*

purchasing *see SGGRRS*

R

rate setting 5

records management *see SGGRRS*

revenue (reports) 5

S

scheduling (automatic) 7

security (cyber) 8

security contact database 10

setup sheets 10

Star Library (printouts) 8

storage (offsite) 9

system specifications 8

T

tapes (backup)

checkout receipts/transfer control logs 10

tracking 8

tech support (Unisys) 11

technical bulletins 11

telecommunication (rate setting) 5

timesheets *see SGGRRS*

trademarks *see SGGRRS*

training *see also SGGRRS*

cyber security forums 8

travel *see SGGRRS*

turnover logs 9

U

Unisys tech support 11

V

vehicles *see SGGRRS*

vendors (protests/appeals) 4