

**Information Technology Supporting Documentation
Commonwealth of Pennsylvania
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Questionnaire to be submitted during internal and external review processes, including the Communities of Practice (CoP) review:

Records management review of new or existing electronic information systems:

1. Have records retention and disposition schedules been created and approved for the information contained in the system? To obtain this information contact the manager of the appropriate program area or the agency records coordinator.

Yes – list the record series item numbers and associated retention periods and continue with question 2.

No – contact your agency records coordinator to begin working with PHMC to schedule the information and then continue with question 2 after records have been scheduled. (Preliminary schedules may be used to complete this questionnaire but official schedules are to be obtained as soon as possible.)

2. Are any records in the information system scheduled for retention beyond five years?

Yes No

If no, review of the information system for records management requirements is not required, and the completion of the remainder of this questionnaire is not required.

If yes, provide the following information for each series of records with a retention period beyond five years:

- a. Describe the hardware, software, and network components of the system, including any database management software, client software, and any non-standard or customized programs:
- b. List the electronic file formats in which records are stored within the system:
- c. For each series of records (scheduled for retention five or more years) within the system, describe plans to migrate the records to new hardware or software platforms. This information is to include how records will be separated from other records and purged from the system when they have reached the end of their retention period. If records move from active to semi-active

or to inactive phases during their life in the system, then describe in detail how they will be stored in different formats, locations, or media, or accessed in different manners during these phases, including associated cost estimates. Describe contingency plans if major components of the hardware or software become obsolete within the required retention period for records in the system. Most important, describe the impact of losing access to the records before their retention period ends.

- d. Briefly describe the backup and disaster preparedness and recovery plan(s):
 - e. Describe the security plan and access controls to guarantee the authenticity of the records in each system:
3. Are any records in the information system scheduled for retention permanently or for longer than ten years?

Yes No

If yes, provide all of the information below for records scheduled for retention longer than ten years:

- a. Since significant and multiple migrations involving hardware, software, and even format obsolescence are quite likely with records in this category, describe how the software and formats chosen will facilitate long-term preservation of the information in the system:
- b. Describe processes which will be developed to ensure records remain unaltered and trustworthy over an extended time period:
- c. Describe procedures which will be established for periodic auditing of the records management compliance for this information system, including outside review by OA and PHMC:
- d. If the records within the system are subject to the *Right to Know Act* and other public requests, describe how access will be accommodated over the long-term:
- e. Will other parties take custody of the records or have a role in preserving the records? If yes, have they been notified regarding this role and the duration of this role? Explain.