

Information Technology Policy

System Design Review of Electronic Information Systems

Questionnaire

Number

OPD-INFRM005A

Effective Date

September 21, 2007

Category

Information

Supersedes

None

Contact

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Scheduled Review

March 2024

Questionnaire to be completed and submitted via email to RA-OAODDT@pa.gov before the implementation of an electronic information system.

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 below and continue with question 2.
- No** – Contact your agency’s records coordinator 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. Will the information system store data that will need to be managed over time?

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 need:

- 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 shall include how records will be separated from other records, purged from the system when they have reached the end of their retention period, and if records move from active-use to inactive-use.
- 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. For solutions provided or hosted by third parties, has an agreement been established with Commonwealth Standard IT Terms and Conditions.

- Yes**
- No**
- Not applicable (internal solution)**

If no:

- a.** Describe any exemptions related to records management.
- b.** For new and existing contracts, describe the agreed upon process for the migration of data upon termination of contract with the vendor.

4. Are any records in the information system scheduled for retention for longer than ten (10) years and/or permanently?

Yes

No

If **Yes**, provide all of the information below for records scheduled for retention longer than ten (10) 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 solution 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 that 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 Law 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.

This chart contains a history of this publication's revisions.

Version	Date	Purpose of Revision
Original	09/21/2007	Base Document
Revision	11/18/2010	ITP Refresh
Revision	06/25/2021	ITP Refresh
Revision	03/14/2023	Added resource account for submission of questionnaire Question 1 – Removed reference to PHMC Question 2 – Updated Life-Cycle stages to match OCRIM terminology Question 3 – New question related to solutions hosted by third parties