



**Recommended Classifications for the
General Schedule and Disposition Schedule for
New York State Government Records**

Publication Date: July 17, 2014

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1 Introduction

The [New York State Information Classification Standard](#) (hereafter referred to as the *Standard*), published by the [New York State Office of Information Technology Services Enterprise Information Security Office](#) (ITS EISO), establishes a process for applying a security classification to the information contained in State agency records. An agency can use the *Standard*, in conjunction with the [New York State Information Security Controls Standard](#), to classify its information assets, identify the controls necessary to protect its information, and prioritize the allocation of security-related resources.

State agencies have asked for standard classifications for the record series identified in the [General Retention and Disposition Schedule for New York State Government Records](#) (hereafter referred to as the *Schedule*), issued by the New York State Archives, State Education Department, and effective January 2008. The idea was that such standard classifications could guide agencies through their own classification process, potentially saving each hundreds of hours of effort.

Subsequently, an inter-agency Work Group was formed in late 2009 to establish information security classifications for the over 200 record series in the *Schedule*. The *Schedule* authorizes the disposition of common administrative records found in most or all State agencies. Agencies may use items from the *Schedule* to authorize records disposition after the indicated minimum retention periods provided they have notified the State Archives of their intent to use this or previous editions of the *Schedule*.

The 2009 Work Group included participation from the following State agencies:

- Department of Taxation and Finance
- Thruway Authority
- Division of Parole
- State Archives, State Education Department
- Chief Information Officer/Office for Technology (CIO/OFT)
- Office of the Attorney General
- Division of Human Rights
- Office of Cyber Security
- Office of the State Comptroller

Upon completion of the classifications by the Work Group, and subsequent review by subject matter experts, this guidance document was created and made available to assist agencies in their information security classification efforts.

Approach Used to Classify Record Series in the Schedule

The *Standard* established an information classification approach based on the three principles of information security:

1. Confidentiality

The property that information is not made available or disclosed to unauthorized individuals, entities, or processes.

2. Integrity

The property that data has not been altered or destroyed from its intended form or content in an unintentional or an unauthorized manner.

3. Availability

The extent to which information is operational, accessible, functional and usable upon demand by an authorized entity (e.g., a system or user).

For each information asset (for the purposes of this document, the record series in the *Schedule*), agencies must identify the potential impact (low, moderate, or high) of an incident affecting that asset's confidentiality, integrity and availability. For *Schedule* items, the Work Group attempted to apply classifications that reflect the recordkeeping practice of most State agencies.

Work Group's Application of the Standard

The Work Group's classifications are *recommendations* only. Each agency will be responsible for determining if classifications are appropriate for its specific environment and whether any changes are necessary. **Similarly, each agency will be responsible for applying classifications to records subject to agency-specific schedules.** While implementing the *Standard* against its own information assets, State agencies should keep the following in mind:

1. When considering the impact of a security event affecting information, think in terms of broad impacts to the State, an agency or citizens.
2. Classification of information asset does not affect records retention or the archival status of records.
3. The *Schedule's* record series refer to agency record copies only; this document does not classify the records maintained by or filed with control agencies.
4. Classifications are designed **for the entirety of the record's lifecycle**, rather than only for the period they are considered active.

Content

The information contained in this guidance document includes

- General Schedule Item #
- Name of Information Asset (i.e., General Schedule Title)

- Assumptions (if any, made by the Work Group)
- Recommended Classification

Please note the questionnaire responses completed for the General Schedule record series are available in a separate document.

You can find out more about information classification by reviewing the [***New York State Information Classification Standard***](#); or by viewing the Information Classification Training available on the ITS EISO web page at www.its.ny.gov/eiso. For a copy of the [***General Retention and Disposition Schedule for New York State Government Records***](#), see http://www.archives.nysed.gov/a/records/mr_pub_genschedule.shtml.

We hope you find this guide useful in your information classification efforts.

2 Classification Reports

2.1 General Administration – 15 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90372	Minutes, Agendas, Meeting Files and Recordings of Governing and Advisory Bodies	Records are public, records are archival and have long-term preservation needs, records document government activity and do not contain PPSI.	Low	Moderate	Moderate
90366	General Administrative Records	Most General Administration files outside of HR would not include PPSI but would contain some material that would be sensitive for periods of time.	Moderate	Moderate	Moderate
90202	Reports of Major Administrative Studies	Information is public, has long-term archival value.	Low	High	Moderate
90203	Major Administrative and Operational Plans	Open to FOIL requests but not necessarily published, has long-term archival value, potentially sensitive information but time dependent.	Moderate	Moderate	Moderate
90204	Reports of Routine Administrative Studies	Records do not contain PPSI and have relatively short retention requirements.	Low	Low	Low
90205	Administrative Study and Survey Work Papers	Does not contain PPSI, short retention period, limited scope.	Low	Low	Low
90206	Routine Administrative and Operational Plans	Does not contain PPSI, short retention period, limited scope.	Low	Low	Low
90207	Administrative Analysis and Planning Subject Files	Does not contain PPSI but not publically available.	Low	Low	Low
90208	Major Administrative Policies and Procedures	Series applies to record copy, policies and procedures are publically available, excludes security related procedures, and have long term retention period.	Low	Moderate	Moderate

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90209	Routine Administrative Policies and Procedures	Does not contain PPSI, could be publicly available, and may be needed for litigation.	Low	Moderate	Low
90362	Agency Copies of Control Agency Policies and Procedures	Does not contain PPSI, is publicly available, not the record copy.	Low	Low	Low
90210	Administrative Policies and Procedures Background and Development Files	Does not contain PPSI, records rarely needed or relied on after procedures issued.	Low	Low	Low
90369	E-Mail Messages	May contain PPSI, will contain sensitive information, not publicly available, critical agency resource.	High	High	High
90370	Agency-Assisted Voter Registration Records	May contain PPSI, voter registration records are considered candidates for fraud by the public.	High	High	Low
90388	Non-Record Copies of Agency Records	The classification for this record series has been done as a courtesy. This item covers a vast array of different types of records with different classifications. Agencies should apply the classifications applicable to the record copy of the materials.	High	High	Low

2.2 Affirmative Action, Reasonable Accommodation, and Human Rights – 7 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90211	Affirmative Action and Reasonable Accommodation Plans and Procedures	These materials are subject to FOIL at every agency and should be available to all staff. There is a moderate impact upon the public trust if the documents are destroyed and a segment of the work force would be disenfranchised if it known that agency heads were not utilizing this information to make pertinent business decisions.	Low	Moderate	Moderate
90212	Recruitment Plans and Reports	This information is subject to FOIL requests. There is no PPSI. The integrity was classified as moderate because the unauthorized modification of this information could have a negative impact upon the public trust. The public depends upon the integrity of the records to demonstrate transparency and adherence to articulated policies and procedures in the selection process of candidates. The lack of availability of these documents at the time they are needed would have a limited impact upon the public trust though it would not have an immediate impact upon the critical functions of the organization.	Low	Moderate	Moderate

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90213	Affirmative Action Program Report Files	This information is subject to FOIL. There is no PPSI contained in this report. The unauthorized access or disclosure of this information would have limited or no impact to the critical functions of the organization. Additionally, the disruption of access to or use of this information would have limited or no impact upon the critical functions of the organization.	Low	Moderate	Low
90214	Affirmative Action and Reasonable Accommodation Subject Files	This may contain PPSI thus confidentiality is High. This may also contain medical records. The disruption of access to or use of this information would have limited or no impact to the critical functions of the organization.	High	High	Low
90215	Affirmative Action and Reasonable Accommodation Case Files	These records will contain PPSI thus confidentiality is High. It may contain medical records thus making the Integrity classification High. The immediate availability of the information is not essential to the critical functioning of the State Entity nor is it imminently necessary for disaster recovery.	High	High	Low

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90216	Outreach Program Records	This information may be subject to FOIL but may also contain some PPSI which may be subject to redaction. The unauthorized modification or destruction of these records may have a limited impact upon the public trust as some members may feel disenfranchised if it is known that the paperwork was compromised after submission. It would have only a limited impact upon the critical functions of the State Entity mission but with diminished public trust. The disruption of access to or use of information would have limited to no impact upon the State Entity mission as more than likely, these programs would be deemed extraneous measures and not germane to the agency's core goals.	Low	Low	Low
90217	Human Rights Training Records	This information contains no PPSI. It is subject to FOIL. The unauthorized destruction of this information would have no impact upon the critical functioning of the organization. The disruption of access to use of this information would have no impact upon the State Entity's mission.	Low	Low	Low

2.3 Budget Preparation – 3 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90107	Program Unit Budget Request Files	Materials could contain staffing information such as hiring and layoff plans, which should be kept confidential. This information is used by the Budget Office to make decisions, but all information contained in these files might not make it to the final agency budget submission.	High	Low	Low
90108	Agency Budget Preparation Files	Materials are compiled from the materials prepared in record series 90107. Materials could contain confidential information.	High	Low	Low
90109	Agency Copy of Agency Budget Request	Asset is in its active phase of its life cycle.	High	Low	Low

2.4 Employee Relations – 5 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90357	Grievance Case Records	Assumptions from GOER. GOER does not maintain steps 1 and 2 grievances and would only have the core documents for step 3 grievances. Many contain sensitive information.	High	High	Low
90358	Disciplinary Action Records	These records are not filed with GOER. They are considered very confidential with access provided to the union, employee and to supervisors on a need to know basis.	High	High	Moderate
90359	Labor-Management Process Records	Assumptions from GOER. These records usually do not contain sensitive information. Some material may have limited sensitivity for a limited time period.	Moderate	High	Low
90373	Public Employment Relations Board Cases	Assumptions from GOER. PERB would have the record copy of primary case records. Pending cases would be sensitive.	High	Low	Low
90360	Employee Relations Subject Files	These records will vary tremendously between agencies. They can contain sensitive criminal justice and medical information or can be completely innocuous.	High	High	Moderate

2.5 Equipment, Supplies, and Motor Vehicles Management – 11 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90265	Equipment and Furniture Inventories	This inventory is not needed for Business Continuity and does not contain computer equipment.	Moderate	Moderate	Moderate
90266	Supplies, Commodities, and Parts Inventories	This inventory is not needed for Business Continuity and does not contain computer equipment.	Low	Low	Moderate
90361	Supplies, Commodities, and Parts Disbursement Records		Low	Low	Low
90267	Equipment Control Records		Moderate	Moderate	Moderate
90268	Equipment and Motor Vehicle Maintenance Records	Includes tracking of maintenance and proof of repairs. Information is needed for vehicle accident reporting. In case of an accident, information needs to be available as soon as possible.	Low	Moderate	High
90270	Agency Copies of Centralized Motor Vehicle Assignment Records	Control agency has original purchasing documents.	Low	Moderate	Moderate
90271	Agency Copies of Decentralized Motor Vehicle Assignment Records		Moderate	Moderate	Low
90272	Vehicle Incident Records	Includes AG Civil Recoveries, injury reports, insurance reports, and photos.	High	High	Moderate
90273	Surplus Property Disposition Records		Low	Low	Low

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90365	Agency Recycling Reports	Control agency keeps original documents.	Low	Low	Low
90374	Equipment, Supplies, and Motor Vehicle Management Subject Files	Includes vehicle parking locations/stations and parking facility and staff emergency contacts that may be needed for weather issues. Includes PIN and driver license information.	High	Moderate	Moderate

2.6 Facilities Management – 15 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90274	Fixed Assets Inventory Files		Low	Moderate	Moderate
90275	Agency Copies of Fixed Assets Update Reports		Low	Moderate	Moderate
90276	Agency Copies of Fixed Assets Reinventory Reports		Low	Moderate	Low
90277	Facility Maintenance Work Order Files and Logs	Record series specifically identified as being required for possible legal actions have been designated with a moderate rating for integrity and availability.	Low	Moderate	Moderate
90278	Applications for Use of Facilities and Schedules		Low	Moderate	High
90279	Physical Plant Maintenance/Operations Reference Drawings and Files		High	High	High
90280	Tenant Records		Low	Moderate	Low
90281	Lease Files		Low	Moderate	Low
90282	Space Allocation Planning Files		Moderate	Low	Low
90283	Space Assignment Files		Moderate	Low	Low
90284	Parking Permit Application Files		Low	Moderate	Moderate
90285	Parking Permit Assignment Records		Low	Low	Low
90286	Physical Plant Systems Monitoring and Inspection Records		Moderate	Moderate	High

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90287	Facility Management Subject Files	Records are administrative and do not contain infrastructure information. Records may be used for legal proceedings.	Low	Moderate	Low
90375	Contractors Certified Payrolls	Payroll information would be restricted since these are not public sector employees.	High	High	Moderate

2.7 Fiscal Operations – 18 record series

Fiscal Administration – 7 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90100	General Subject and Correspondence Files	Does not contain PPSI.	Low	Moderate	Low
90101	State Fiscal Policies and Procedures Records		Low	Low	Low
90102	Budget Certificates of Approval		Low	Low	Low
90103	Routine Internal Status and Activity Reports		Low	Moderate	Moderate
90104	Nonroutine Financial Reports and Studies		Low	Moderate	Moderate
90105	Audit Reports, Responses and Work Papers		Moderate	Moderate	Moderate
90106	Reconciliation Work Papers		Low	Moderate	Low

Purchasing/Claims and Payments – 5 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90126	Purchase/Accounts Payable Records Related to Agency-Let Contracts	Records are post-bid award.	Low	Moderate	Moderate
90127	Purchase/Accounts Payable Records Not Related to Agency-Let Contracts		Low	Moderate	Moderate
90376	Vendor and State Contracts Reference Files		Low	Moderate	Low
90367	Cancelled Bids File		Low	Moderate	Low
90119	Employee Travel Payment Files		Moderate	Moderate	Low

Revenue and Collections – 1 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90120	Revenue Accounting (Billing and Accounts Receivable) Records		Moderate	Moderate	Moderate

Accounting Reports (New York State Accounting System) – 3 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90121	Accounting/Fiscal Status Reports	OSC holds original.	Low	Low	Low
90122	End of Fiscal Year Status Reports	Records are references.	Low	Low	Low
90123	Daily Journal Reports	Records are references.	Low	Low	Low

Bank Transactions – 2 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90124	Revenue Bank Account Files		High	High	Moderate
90125	Payment Bank Account Files		High	High	Moderate

2.8 Forms Management – 3 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90288	Forms History Files		Low	Moderate	Low
90289	Forms Inventory Records		Low	Low	Low
90290	Forms Management Program Subject Files		Low	Low	Low

2.9 Health, Safety, and Security – 18 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90291	Annual Environmental Audit Report Records	Records contain some personal information. Record series specifically identified as being needed for litigation have been designated with a moderate rating for integrity and availability (i.e., Section 214 of the Civil Practice Law and Rules).	Moderate	Moderate	Moderate
90292	Toxic Substances in the Workplace Notifications and Information Files	No PPSI.	Low	High	High
90293	Lists of Employees Who Handle Toxic Substances		High	Moderate	Moderate
90013	Employee Hazardous Substance Exposure Records		High	High	Moderate
90294	Toxic Substances Training and Education Files	Record series specifically identified as being needed for litigation have been designated with a moderate rating for integrity and availability (i.e., Section 214 of the Civil Practice Law and Rules).	Low	Moderate	Moderate
90295	Employee Occupational Injury and Illness Incident Logs, Reports and Summaries		High	High	Moderate
90296	Annual Occupational Injury and Illness Surveys	Summary data that has been anonymized.	Low	Moderate	Low

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90298	Facility Health and Safety Inspection Records	Record series specifically identified as being needed for litigation have been designated with a moderate rating for integrity and availability (i.e., Section 214 of the Civil Practice Law and Rules).	Moderate	Moderate	Moderate
90299	Health and Safety Code and Regulations Variance Files		Low	Moderate	Moderate
90300	Fire Code Compliance Records		Low	Moderate	Moderate
90301	Fire Safety Program Records		Low	High	High
90302	Fire Safety Education and Training Records		Low	Moderate	Moderate
90303	Building Visitor Logs and Security Videotapes		High	High	High
90304	Building Pass Records		High	High	Moderate
90305	Incident and Investigation Records		High	High	Moderate
90306	Health, Safety, and Security Subject Files		High	High	Moderate
90307	Facility Disaster Preparedness Files		High	High	High
90368	Disaster Response and Recovery Records		High	High	High

2.10 Information Technology – 40 record series

General Administration – 3 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90218	Data Processing Unit Subject Files	May contain records for the administration and support of the data processing configuration. Does not contain PPSI.	Moderate	Low	Low
90219	IT and Data Processing Services Plans	These are agency copies. Some information may be for limited distribution.	Moderate	Low	Low
90224	Records of Chargebacks to IT Services Users	Not an external financial record.	Low	Low	Low

Systems and Application Development – 6 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90225	Application Development Project Files	Records do not contain PPSI. Records do not contain proprietary information. Applications not critical to health or safety. Records not a source for RFP or resulting response to RFP. Applications not critical to security. These are active records for production systems.	Low	Low	Low

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90226	Information Systems Specifications	Records do not contain PPSI. Records do not contain proprietary information. Applications not critical to health or safety. Records not a source for RFP or resulting response to RFP. Applications not critical to security. These are active records for production systems. Completed specifications.	Low	Moderate	Low
90227	Data Documentation (Metadata)	Records do not contain PPSI. Records do not contain proprietary information. Applications not critical to health or safety. Records not a source for RFP or resulting response to RFP. Applications not critical to security. These are active records for production systems.	Low	Moderate	High
90228	Program Listing/Source Code	Records do not contain PPSI. Records do not contain proprietary information. Applications not critical to health or safety. Records not a source for RFP or resulting response to RFP. Applications not critical to security. These are active records for production systems. Not mission critical systems.	Low	High	Moderate
90229	Technical Program Documentation	Records do not contain PPSI. Records do not contain proprietary information. Applications not critical to health or safety. Records not a source for RFP or resulting response to RFP. Applications not critical to security. These are active records for production systems.	Low	Moderate	Low

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90231	Test Database/Files	Records do not contain PPSI. Records do not contain proprietary information. Applications not critical to health or safety. Records not a source for RFP or resulting response to RFP. Applications not critical to security. These are active records for production systems. Data is test data, no live data.	Low	Low	Low

Computer Operations and Technical Support – 21 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90233	Hardware Documentation	Material may be needed for contract disputes, lawsuits.	Moderate	Moderate	Moderate
90235	Data Migration and System Upgrade Records	Records use has a limited time frame.	Low	Moderate	Low
90236	Disaster Preparedness and Recovery Plans	Contains PPSI.	High	High	High
90237	System Backup Files	Contains PPSI.	High	High	High
90238	User Authorization Records		Moderate	High	Moderate
90377	Computer Security Records		High	High	Moderate
90378	Computer Security Incident Records	Records would not be used for disaster recovery.	High	High	Moderate

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90379	Security Breach Notifications	Does not contain PPSI. Security investigation information would not be included with this record. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Section 213, Civil Practice Law and Rules proceedings).	Moderate	Moderate	Moderate
90239	Computer/Network Usage Files		Moderate	High	Moderate
90240	Summary Computer/Network Usage Reports		Low	Moderate	Low
90241	Computer Run Scheduling Records		Low	Moderate	Moderate
90242	Input/Source Documents		Low	Low	Low
90243	Work/Intermediate Files	Files are transient not persistent. Important-Classify confidentiality based on the system.	Low	Moderate	Moderate
90244	Processed Transaction Files	Important note: Classify confidentiality based on the system.	Low	Moderate	Moderate
90245	Print Files (Not Used to Document a Transaction)	Information can be reproduced. Important note: Classify confidentiality based on the system.	Moderate	Low	Low
90246	Audit Trail Files		Moderate	High	Low
90247	IT Unit's Copies of Output Reports	Information can be reproduced. Important note: Classify confidentiality based on the system.	Moderate	Low	Low
90248	Summary or Extracted Data Files	Information can be reproduced. Important note: Classify confidentiality based on the system.	Moderate	Low	Low

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90249	Electronic Indexes, Lists, Registers, and Other Tracking Systems		Low	Moderate	Low
90251	Reports on the Destruction of Files ("Scratch Reports")		Low	Moderate	Low
90252	Tape Library Control Records		Moderate	Moderate	Moderate

Data Administration – 2 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90253	Data/Database Dictionary Records		Moderate	Moderate	Moderate
90254	Data/Database Dictionary Reports		Low	Low	Low

IT Support – 3 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90255	Site/Equipment Support Files		Moderate	Moderate	Low
90256	Help Desk Telephone Logs and Reports		Moderate	Moderate	Low
90258	Hardware and Software Review Files	This is a reference file and does not include privileged information about infrastructure.	Low	Low	Low

Network/Data Communication Services – 5 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90259	Network Site/Equipment Support Files	Files may contain network related information that would be considered PPSI.	High	High	Low
90260	Inventories of Network Circuits/Connections	Contains network related information that would be considered PPSI.	High	High	Moderate
90261	Network or Circuit Installation and Service Files		High	Moderate	Moderate
90264	Network Implementation Project Files	Records are essential for operating a network.	High	High	Moderate
90363	Agency Internet Services Logs		High	High	Moderate

2.11 Internal Controls – 6 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90308	Internal Control Policies and Directives	Not record copy. Contained in record series 90208 and 90209.	Low	Low	Low
90309	Vulnerability Assessment Files		High	High	Low
90310	Internal Control Audit Work Papers		High	High	Low
90311	Internal Control Audit Reports		High	High	Low
90312	Corrective Action Files		High	High	Low
90313	Internal Control Program Subject Files	Considered general reference files.	Low	Low	Low

2.12 Library Operations – 7 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90314	Interlibrary Loan Files	Items do not cover records maintained by the State Library. The confidentiality and privacy of library users are protected by New York state law (CPLR Article 45, Section 4509) and by the principles of the American Library Association's Code of Ethics.	High	Low	Low
90315	Catalogs of Holdings	Items do not cover records maintained by the State Library.	Low	Low	Low
90316	Circulation and Use Records	Items do not cover records maintained by the State Library. The confidentiality and privacy of library users are protected by New York state law (CPLR Article 45, Section 4509) and by the principles of the American Library Association's Code of Ethics.	High	Low	Low
90317	Reference Requests Records	Items do not cover records maintained by the State Library. The confidentiality and privacy of library users are protected by New York state law (CPLR Article 45, Section 4509) and by the principles of the American Library Association's Code of Ethics.	High	Low	Low
90318	Collection Acquisition Records	Items do not cover records maintained by the State Library.	Low	Low	Low
90319	Serials Subscription Records	Items do not cover records maintained by the State Library.	Low	Low	Low
90320	Library Subject and Correspondence Files	Items do not cover records maintained by the State Library.	Low	Low	Low

2.13 Mail and Messenger Services – 4 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90321	Mail Pickup and Delivery Records	Excludes check receipt logs and attachments. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Article 78, Civil Practice Law and Rules proceedings).	Low	Moderate	Moderate
90322	Mail and Messenger Service Distribution and Routing Plans, Schedules, and Lists		Low	Low	Low
90323	Mailing Address Lists	General mailing lists that do not impact personal privacy/health. Agencies may want to review/classify separately based on audience/purpose of mailing list.	Low	Low	Low
90324	Mail Services Subject Files		Low	Low	Low

2.14 Minority and Women-Owned Business Development – 4 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90325	Minority and Women-Owned Business Development Annual Agency Goal Plans	Agency copy only.	Low	Moderate	Low
90326	Minority and Women-Owned Business Development Quarterly Compliance and Utilization Reports	Agency copy only.	Low	Moderate	Low
90327	Contractor Compliance Monitoring Files	Original copies of report submitted by Contractors, used by agency to determine compliance with MWBE goals. Record series which may be used for legal proceedings have been designated with a moderate rating for integrity and availability.	Low	Moderate	Moderate
90328	Minority and Women-Owned Business Development Subject Files	Records used to support the Agency's MWBE program. Any contractor complaints are post resolution. Bidder information is post award.	Low	Moderate	Low

2.15 Payroll- 6 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90016	Employee's Withholding Allowance Certificates		High	High	Low
90017	Payroll Preprocessing Reports		High	Moderate	Moderate
90018	Biweekly Payroll Processing Records		High	High	Moderate
90019	Biweekly Payroll Listings (Salary Registers)	Reference records that do not contain social security numbers. This information is available from the PaySR system.	Low	Low	Moderate
90027	Paycheck Log	This information is available from the PaySR system.	Low	Moderate	Moderate
90032	Payroll Deduction and Direct Deposit Records	Post transaction.	High	High	Low

2.16 Personnel – 23 record series

Personnel Administration – 15 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90001	Personal History Files		High	High	Moderate
90002	Employee Summary Service Records	May contain protected information.	High	High	Moderate
90003	Employee Attendance and Leave Records		High	High	Moderate
90004	Summary Reports Regarding Personnel/Payroll Functions		Low	Moderate	Low
90380	Personnel Transaction Forms	These are agency copies of records maintained by control agencies.	High	Moderate	Low
90005	Subject and Correspondence Files	Information on individual employees would not be contained in this file. Files relate to employees in general.	Low	Moderate	Low
90006	Employment Inquiry Files		High	High	Low
90381	Recruitment, Hiring, Interview and Selection Records	Life stage of the records is during the hiring process.	High	High	Moderate
90031	Employment Eligibility Verification Forms		High	High	Low
90371	Employee Suggestion Program Records		Moderate	Low	Low
90382	Employee Assistance Program Records	Contains PPSI.	High	High	Moderate
90383	Employee Ethics Records	Record series which may be used for legal proceedings have been designated with a moderate rating for integrity and availability.	Moderate	Moderate	Moderate

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90384	Commercial Motor Vehicle Driver Alcohol and Controlled Substances Testing: Process Documentation Records	These are process and program records.	Low	High	Moderate
90385	Commercial Motor Vehicle Driver Alcohol and Controlled Substances Testing: Driver Test Results and Related Records		High	High	Moderate
90386	Commercial Motor Vehicle Driver Alcohol and Controlled Substances Testing: Education and Training Records		Low	High	Moderate

Civil Service Administration – 5 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90007	Classification Files	These records do not contain PPSI. Personal Office, however, does not usually treat them as publically accessible, especially when they are actively seeking to classify or reclassify a position.	Moderate	Moderate	Low
90008	Centralized Eligible List Certification Files	Accuracy is important for the canvassing and employment process. May have some sensitive information.	Moderate	Moderate	Low
90009	Decentralized Eligible List Certification Files	The lists themselves are public but responses to canvasses may contain some personal information (address, phone number). It is not clear if this information (which is often publically available raises to the level of PPSI). These files are not replaced at Civil Service.	Moderate	Moderate	Low
90010	Examination Development Files	Access to these records would be controlled for most of their lifecycle. Information would be confidential during early life cycle.	High	Moderate	Low
90011	Examination Administration Files	May be used in administrative or legal proceedings if an exam is challenged.	Moderate	High	Low

Benefits and Health Insurance Administration – 3 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90012	Health Insurance Files		High	High	Moderate
90014	Retirement Benefits Files		High	High	Moderate
90015	Workers' Compensation Files		High	High	Moderate

2.17 Public Information – 12 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90329	Information Inquiries & Request Records	Does not contain PPSI; does not contain any information that would be exempted from disclosure under FOIL Section 87(2); does not contain proprietary information. Agency responses are not source records; they are derived from source records.	Low	Low	Low
90330	Freedom of Information Law (FOIL) Subject Matter and Employee Lists	Does not contain PPSI; all publically available information. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Article 78, Civil Practice Law and Rules proceedings).	Low	Moderate	Moderate
90331	Freedom of Information Requests and Appeals	Does not contain PPSI; does not contain any information that would be exempted from disclosure under FOIL Section 87(2); does not contain proprietary information. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Article 78, Civil Practice Law and Rules proceedings).	Low	Moderate	Moderate

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90332	Personal Privacy Impact Statements	Does not contain PPSI; all publically available information. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Article 78, Civil Practice Law and Rules proceedings).	Low	Moderate	Moderate
90333	Personal Privacy Records Access Requests and Appeals	Contains PPSI. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Article 78, Civil Practice Law and Rules proceedings).	High	Moderate	Moderate
90387	Personal Information Disclosure Records	Contains PPSI to uniquely identify an individual. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Section 94.3 of Public Officers Law).	High	Moderate	Moderate
90334	Requests for Record Amendments or Corrections and Appeals	Contains PPSI. Record series specifically identified as being required by law/statute have been designated with a moderate rating for integrity and availability (i.e., needed for Article 78, Civil Practice Law and Rules proceedings).	High	Moderate	Moderate
90335	Personal Privacy Annual Reports	Does not contain PPSI, all public information. Not the source record.	Low	Low	Low
90336	Press Release/Publication Files	Does not contain PPSI, all public information. Material is for historical purposes (i.e., after the fact).	Low	Low	Low

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90337	Annual Report Development Files	Information is for limited distribution within the agency. Note items in this record series may be accessible under FOIL.	Moderate	Moderate	Moderate
90338	Agency Annual Reports	Does not contain PPSI, all public information.	Low	Moderate	Moderate
90339	Public Information Subject Files	Information is for limited distribution within the agency. Note items in this record series may be accessible under FOIL. Falls under FOIL Section 87(2)(g).	Moderate	Moderate	Low

2.18 Publication and Reproduction Services – 4 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90340	Publication Job Files	Does not contain fiscal records.	Low	Low	Low
90341	Publication Production Records		Low	Moderate	Low
90342	Duplication Service Job Files	Does not contain fiscal records. Not for general public consumption.	Low	Low	Low
90343	Publication and Duplication Subject Files		Low	Low	Low

2.19 Records Management – 5 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90344	Records Inventory Files	Inventory is used for scheduling purposes and not as a record center control tool.	Low	Moderate	Low
90345	Records Disposition Authorization Files	Copies of RDAs are maintained by the State Archives as the central oversight agency.	Low	Low	Low
90346	Records Storage Files	The State Archives possesses copies of some of these records. Note the location paired with information about some of the records could be sensitive information.	Low	Moderate	Moderate
90347	Records Disposal Files	The State Archives possesses copies of some of these records.	Low	Moderate	Low
90348	Records Management Program Subject Files		Low	Moderate	Low

2.20 Telecommunications Management – 6 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90349	Telephone and Fax Machine Installation and Service Job Files	Job has been completed.	High	Moderate	Low
90350	Telecommunications Use Logs and Reports	These records are copies.	Moderate	Low	Low
90353	Telecommunications Planning Records		High	Moderate	Moderate
90354	Telephone Wiring Schematics and Diagrams		High	High	High
90355	Telephone and Fax Directories		Low	Moderate	Moderate
90356	Telephone Services Subject Files		Low	Moderate	Low

2.21 Training – 4 record series

General Schedule Item #	Name of Information Asset	Assumptions	Recommended Classification		
			Confidentiality	Integrity	Availability
90020	Course Information Records	Records include course content and curriculum; could be relevant to on-line training; does not include intellectual property; does not include PPSI; doesn't cover agency training offered to outside customers.	Low	Low	Low
90021	Course Registration Processing Records	Contains PPSI; does not contain credit card information.	High	Low	Low
90022	Employee Training History	Contains PPSI; covered by Personal Privacy Protection Law; could be sensitive; often included in personnel files.	High	Moderate	Low
90023	Tuition Reimbursement Program Records	GOER maintains primary record; agency maintains copy; contains PPSI; contains financial information; may contain grades.	High	Low	Low