

GOVERNMENT OF ONTARIO COMMON RECORDS SERIES

DEPUTY MINISTERS' OFFICES

DRAFT of August 1, 2008

These series will assist Ontario Government ministries in managing the retention and disposition of public records created, received and used by Deputy Ministers and their offices. The series cover records in paper, electronic, and other formats.

This document is also available on the Archives of Ontario OPS intranet site at [Click for the Archives of Ontario OPS intranet site](http://intra.archives.mbs.gov.on.ca/) <http://intra.archives.mbs.gov.on.ca/>

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

REVISION LOG		
Series Revised	Summary of Change	Date revision signed
None	Revisions to update contact information, terminology and web references.	March 1, 2006
All	Updated to reflect <i>Archives and Recordkeeping Act 2006</i>	July 9, 2007
Introduction	Revisions for consistency with Government of Ontario Records Schedule Requirements of April 1, 2008	August 15, 2008
All series	Revised format for series entries to streamline information. Exclusions and qualifications that apply to most series have been removed from individual series entries. Information security notes have been removed.	August 15, 2008
All series	Eliminated specific periods for in-office and records centre retention – only total retention period is shown.	August 15, 2008
All series	Qualification “subject to culling” removed from “Transfer to Archives” disposition statements.	August 15, 2008

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

AUTHORIZATION

**Common Records Series for Deputy Ministers' Offices of
the Government of Ontario**

Copy of original signed document available – please contact 416-327-1600.

Miriam McTiernan, Archivist of Ontario Date:

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

TABLE OF CONTENTS

1.	INTRODUCTION	5
1.1	Authority	5
1.1	Scope and Adoption	5
1.2	Excluded Records	6
1.2.1	Administrative records	6
1.2.2	Transitory records	6
1.2.3	Excluded records as identified in series entries	6
2.	SERIES INFORMATION	6
2.1	Series Number	6
2.2	Description of the Records	7
2.3	Retention Period	7
2.4	Storage	8
2.5	Final Disposition	8
3.	RECORDS SERIES	9
3.1	Summary table	10
3.2	Deputy Ministers' Subject Files	12
3.3	Deputy Ministers' Committee Records	17
3.4	Deputy Ministers' Correspondence	20
3.5	Correspondence Unit Records	24
3.6	Other Records	26

GOVERNMENT OF ONTARIO COMMON RECORDS SERIES DEPUTY MINISTERS' OFFICES

1. INTRODUCTION

A records schedule is an authorized document governing the retention and disposition of all records created by a public body. Within a schedule are record series and sub-series that describe records used in performing functions of a public body. Taken together, the records series and sub-series comprise a records schedule for the entire public body.

Government common records series describe records that are typically found in many public bodies. Public bodies that are subject to the *Archives and Recordkeeping Act, 2006* may adopt government common series with the approval of the Archivist of Ontario. The common series that are adopted form part of the public body's records schedule along with series and sub-series that are specific to the public body's programs and services.

Public bodies are encouraged to adopt as many common series as are appropriate for records created, collected and used in the performance of functions that are similar or identical across the Ontario government. If not adopted, public bodies must have in place specific series in their approved records schedule that describe records of the common administrative functions.

These common series can be found on the Archives of Ontario intranet site at [Click for the Archives of Ontario intranet site](http://intra.archives.mbs.gov.on.ca/) <http://intra.archives.mbs.gov.on.ca/>.

1.1 Authority

These series have been approved by the Archivist of Ontario in accordance with the *Archives and Recordkeeping Act, 2006*. This Act provides the Archivist with full authorization for retention and disposal of records that these series describe.

1.1 Scope and Adoption

These series cover records used to document the common functions of the office of the Deputy Minister. They are applicable to all records regardless of their format or medium of storage. These series only apply to records created, received and used by the Deputy Minister's Office.

In order to obtain approval of the Archivist of Ontario to include these series in its records schedule, the public body must prepare "Adoption of Government Common Schedule Series" template found in Appendix C of the *Government of Ontario Records Schedule Requirements* document. Send the completed template to recordkeeping@ontario.ca.

Questions about the use of these series should be directed to the Archives of Ontario, Recordkeeping Support Unit at 416-327-1600, toll free at 1-800-668-9933 or by email to recordkeeping@ontario.ca

GOVERNMENT OF ONTARIO COMMON RECORDS SERIES DEPUTY MINISTERS' OFFICES

1.2 Excluded Records

1.2.1 Administrative records

All program areas create and receive internal administrative records. This schedule does not apply to records whose retention and disposition is covered by the Common Series for Administrative Functions.

Those series are available at <http://intra.archives.mbs.gov.on.ca/#schedules>.

1.2.2 Transitory records

Transitory records are records of temporary usefulness in any format or medium, created or received by a public body in carrying out its activities, having no ongoing value beyond an immediate and minor transaction or the preparation of a subsequent record. They are of such short-term value that they are not required to meet legal or fiscal obligations, initiate, sustain, evaluate or provide evidence of decision-making, administrative or operational activities.

The Government of Ontario Common Records Schedule for Transitory Records authorizes the individual who created, received or is responsible for the transitory records to destroy them immediately when no longer used or actively referred to.

Note that transitory records are not the same as duplicate sets of records that are maintained by an office where there is a need to keep duplicate sets of records to serve a business purpose. These duplicate series are to be scheduled and not treated as transitory records

For more information about transitory records, consult the schedule for a detailed description of what constitutes a transitory record. Additional information can also be found in Recordkeeping Fact Sheet: The Fine Art of Destruction: Weeding Out Transitory Records on the Archives of Ontario's RIM Intranet site at [Click for the Archives of Ontario's RIM intranet site](http://intra.archives.mbs.gov.on.ca/) <http://intra.archives.mbs.gov.on.ca/>.

1.2.3 Excluded records as identified in series entries

These series do not apply to records explicitly excluded in the series descriptions described below.

2. SERIES INFORMATION

2.1 Series Number

Each series and sub-series described below represents a logical grouping of related records. Each has a unique number that includes the following:

GOVERNMENT OF ONTARIO COMMON RECORDS SERIES DEPUTY MINISTERS' OFFICES

- The prefix DMO, indicating that the records are covered by the Government of Ontario Common Record Series for Deputy Minister Office Functions.
- The acronym that identifies the public body. For example, for the Ministry of Natural Resources, Deputy Minister Correspondence records series would be DMO-[MNR]-3001.

These series numbers must be used when transferring records to the government records centre facilities or to the Archives of Ontario.

2.2 Description of the Records

Each records series and sub-series includes a description of the records. The description is not meant to be exhaustive. It is intended to indicate the function of the records, their subject contents and/or examples of typical types of documents, and the purpose for which they are used. Where required, the description also indicates records that are specifically excluded, and provides notes about particular limitations on the records.

To accommodate the variety of records typically maintained by the functions described in this document, the series have been somewhat generalized. It is understood that the series identified do not necessarily reflect the way that records are organized within any particular office. Each office will have its own file plan or system of organizing files, which will be far more detailed than the series identified here. Therefore, applying these series in a particular office will require some analysis of the existing filing system in order to determine which files or file classes fall within each series designated for retention purposes.

2.3 Retention Period

Each series indicates a retention period that the records should be kept by the public body. The government common series should not be adopted if the public body requires a different retention period for a particular records series. Instead, a separate series specific to the public body should be prepared for those records. The new series will need to be approved by the Archivist of Ontario as part of the schedule for the public body.

The retention period begins when the file, or set of records, is closed. Criteria for closing a file are based on a trigger event. Sometimes the trigger event is the completion of a project or the resolution of an issue, when there is no further activity on the file. In other cases, the trigger event is more concrete, such as the termination of a contract or the superseding of a policy. For files of an ongoing nature, the end of a calendar or fiscal year may be treated as a trigger event that closes a file pertaining to that year. Once the trigger event occurs, the file is closed and retention period begins.

GOVERNMENT OF ONTARIO COMMON RECORDS SERIES DEPUTY MINISTERS' OFFICES

The following terms are used throughout the series:

Current Calendar Year (CCY): the current calendar year ends on December 31st

Current Fiscal Year (CFY): the current fiscal year ends on March 31st

Superseded or obsolete: a record is considered to be superseded or obsolete when it is replaced by a more current record (such as a new policy or procedure), or withdrawn from circulation.

2.4 Storage

Series descriptions do not specify a separate on-site and off-site retention; only the overall total retention period is given. Public bodies are free to determine their own on-site versus off-site storage periods and arrange transfer of paper and other hardcopy records to the Information Storage & Retrieval government records centre as necessary. Note, however, that storage at the records centre can only begin after the trigger event for the retention period has occurred.

Electronic records are *not* transferred to the government records centre, but kept by the public body until their full retention requirements have been met. They must be maintained in a fully readable and accessible format for their entire retention period.

2.5 Final Disposition

There are normally two types of disposition for records; transfer to Archives or destroy. Records described in the Common Record Series for Deputy Minister Office Functions have either a “destroy” disposition or a “Transfer to Archives”.

Records in the custody of the Information Storage & Retrieval government record centre will be destroyed on behalf of the public body, and with their consent, at the end of the retention period. Electronic records retained by the public body should be deleted and then irretrievably destroyed at the end of the retention period.

Public bodies must ensure that non-transitory records destructions are documented. It is also the responsibility of the public body to ensure that all legal and operational requirements have been met before records are destroyed. No records may be destroyed where a request for access under the *Freedom of Information and Protection of Privacy Act* is pending, if the public body is aware of pending legal action, where a commission of inquiry or investigation requires the records as evidence, or where the Archivist of Ontario has imposed a temporary moratorium on records destruction.

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

3. RECORDS SERIES

The Deputy Minister's Office provides policy, program and administrative advice and support services to the Minister and Minister's Office by coordinating the input from various divisions and branches on program delivery and strategic issues. The Office is responsible for liaison with other Deputy Ministers' offices in the Ontario Government and with central agencies such as Cabinet Office and the Premier's Office through the Minister's staff. The Deputy Minister takes a leadership role in setting direction for the ministry. The information accumulated and used by the Deputy Minister and the Deputy Minister's Office usually represents the highest policy level.

The Deputy Minister's Office includes the Deputy Minister and other staff members who provide administrative, policy, secretarial, and other support to the Deputy Minister.

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

3.1 Summary of Series

Series Number	Series Title	Retention	Disposition
Deputy Ministers' Subject Files			
DMO-[ACRONYM]--1000	DM's Subject Files	CCY + 6 years after file is closed	Transfer to Archives
DMO-[ACRONYM]--1001	Projects and Issues Files	CCY + 6 years after file is closed	Transfer to Archives
DMO-[ACRONYM]--1002	Internal Ministry Files Series 1002	CCY + 6 years	Transfer to Archives
DMO-[ACRONYM]--1003	External (Other Ministries and Stakeholder) Files	CCY + 6 years	Transfer to Archives
DMO-[ACRONYM]--1004	Planning Files	CCY + 6 years	Transfer to Archives
Deputy Ministers' Committee Records			
DMO-[ACRONYM]--2001	Executive or Senior Management Committee Records	CCY + 9 years	Transfer to Archives
DMO-[ACRONYM]--2002	Deputy Ministers' Committee Records	CCY + 9 years	Transfer to Archives
Deputy Ministers' Correspondence			
DMO-[ACRONYM]--3001	Deputy Ministers' Correspondence	CCY + 5 years	Transfer to Archives
DMO-[ACRONYM]--3002	Briefing and Issue Notes	CCY + 5 years	Transfer to Archives, subject to selection by Archives
DMO-[ACRONYM]--3003	Engagements and Public Events Records	CCY + 5 years	Destroy

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series Number	Series Title	Retention	Disposition
Correspondence Unit			
DMO-[ACRONYM]-- 4001	Petitions and Mass Mailings	1 year after inclusion on a summary report	Destroy
DMO-[ACRONYM]-- 4002	Correspondence Unit Administration Records	CCY + 5 years	Destroy
Other			
DMO-[ACRONYM]-- 5001	Cabinet Submissions and Cabinet Records	CCY + 10 years	Transfer to Archives
DMO-[ACRONYM]-- 5002	Management Board and Treasury Board Submissions and Records	CCY + 10 years	Transfer to Archives
DMO-[ACRONYM]-- 5003	Orders-in-Council and Ministers' Orders	CCY + 7 year	Destroy
DMO-[ACRONYM]-- 5004	Policies and Procedures	CCY + 7 years	Transfer to Archives
DMO-[ACRONYM]-- 5005	Executive Assistants' Files	CCY + 6 years	Destroy

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

3.2 Deputy Ministers' Subject Files

This section pertains to the core subject area records used by the Deputy Minister. The Deputy Minister's Executive Assistant or other staff in the Deputy Minister's Office may also use these records.

If subject files are grouped together or interfiled, use the main series to manage the records:

DMO-[ACRONYM]-1000 Deputy Ministers' Subject Files

If subject files are separated into different groups or file blocks that match one or more of the series below, use these series where appropriate:

DMO-[ACRONYM]-1001 Projects and Issues Files

DMO-[ACRONYM]-1002 Internal Ministry Files

DMO-[ACRONYM]-1003 External (Other Ministries and Stakeholders) Files

DMO-[ACRONYM]-1004 Planning Files

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention & Disposition
DMO- [ACRONYM]-- 1000	<p data-bbox="391 333 959 365">DEPUTY MINISTERS' SUBJECT FILES</p> <p data-bbox="391 411 1208 585">Records created or accumulated and used by the Deputy Minister or the Deputy Minister's Executive Assistant to provide advice to the Minister or to provide direction to the ministry or to interact with other governments or external parties.</p> <p data-bbox="391 611 1230 1003">Includes information related to policy matters, programs, projects, issues, initiatives, legislation, budget, business planning, and other subjects of significance to the Deputy Minister's ministry. Contains incoming and outgoing correspondence, memos, reports, policy papers, planning documents, briefing materials, presentations, communications products, draft legislation, legal opinions, copies of agreements, notes, Cabinet records, communication products, etc. May also include reports and case files related to complaints or investigations by Ombudsmen, Commissioners, auditors, etc.</p> <p data-bbox="391 1029 1256 1201">Records are used to inform the Deputy Minister, to provide advice to the Minister and Minister's Office, and to provide executive management for the ministry. Also used to liaise with Cabinet Office and other central agencies and to interact with stakeholders.</p>	Transfer to Archives CCY + 6 years after file is closed

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention & Disposition
DMO- [ACRONYM]-- 1001	<p>PROJECTS AND ISSUES FILES</p> <p>Records accumulated and used by the Deputy Minister or the Deputy Minister's Executive Assistant, related to:</p> <ul style="list-style-type: none"> • PROJECTS – information regarding projects and activities of significance to the Deputy Minister. • ISSUES – current, past, and anticipated contentious or important issues for the ministry. • COMPLAINTS OR INVESTIGATIONS - reports and case files related to complaints or investigations by Ombudsmen, Commissioners, auditors, etc. <p>Series may contain incoming and outgoing correspondence, memoranda, reports, policy papers, planning documents, briefing materials, communications products, draft legislation, legal opinions, presentations, financial records, notes, Cabinet records, etc. Individual records in this series may be duplicated in the files of the Minister's Office or ministry policy and program areas.</p> <p>Records are used to advise the Minister and Minister's Office and to monitor and coordinate ministry direction on projects and issues management.</p> <p><u>Excludes:</u> Records that are accumulated and used by an individual other than the Deputy Minister who has responsibility for directing a major and significant project – a separate records schedule is required for these records.</p>	<p>Transfer to Archives CCY + 6 years after file is closed</p>

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention & Disposition
DMO- [ACRONYM]-- 1002	<p>INTERNAL MINISTRY FILES</p> <p>Incoming and accumulated records and copies of outgoing documents related to policies, programs, projects, issues, activities, events, and general matters of interest in the Deputy Minister's ministry. May contain correspondence, memoranda, reports, policy and planning documents, briefing materials, researched information, communication products, meeting notes and minutes, presentations, financial records, notes, printed material, etc. May also include records related to liaison with ministry agencies, boards, and commissions. Individual records may be duplicated in files of the Minister and/or ministry program areas.</p> <p>Records are used to provide executive management for the ministry.</p>	Transfer to Archives CCY + 6 years
DMO- [ACRONYM]- 1003	<p>EXTERNAL (OTHER MINISTRIES AND STAKEHOLDER) FILES</p> <p>Incoming and accumulated records and copies of outgoing documents related to the ministry's stakeholders, other Ontario ministries, and other outside groups or bodies of interest to the ministry and Deputy Minister's Office. May contain incoming and outgoing correspondence, memoranda, reports, policy papers, strategic or business plans, communication products, meeting notes and minutes, presentations, financial records, audit records, notes, researched information, publications and printed matter, etc.</p> <p>May also include records related to liaison with agencies, boards, and commissions. Individual records may be duplicated in files of the ministry program areas.</p> <p>Records are used to liaise with other ministries in the Ontario government, with stakeholders and outside groups, and with other national or international governments or bodies.</p>	Transfer to Archives CCY + 6 years

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention & Disposition
DMO- [ACRONYM]-- 1004	<p data-bbox="391 333 651 365">PLANNING FILES</p> <p data-bbox="391 411 1252 768">Records created or accumulated and used by the Deputy Minister and the Executive Assistant, that are related to the Ontario government's fiscal, business or results-based planning process and the ministry's plans. May contain information from the Minister's office, Cabinet Office, Treasury Board, Management Board, and other central agencies as well as information from the ministry's policy and program areas. Includes correspondence, memoranda, reports, plans, budgets, estimates, submissions, and other records.</p> <p data-bbox="391 793 1203 896">Similar records may be located in files of the ministry program area with specific responsibility for managing the business planning process.</p> <p data-bbox="391 921 1187 1129">Records are used to monitor and provide executive management of the ministry's budget and planning processes and to liaise with the Minister's Office, central agencies, and the ministry program area or areas responsible for development of the ministry's budget and plans.</p>	Transfer to Archives CCY + 6 years

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

3.3 Deputy Ministers' Committee Records

This section is used to manage information related to committees, councils, working groups, task forces, or other forums chaired by the Deputy Minister or for which the Deputy Minister's Office has the primary responsibility for keeping the official copies of the records. There are two series in this section:

DMO-[ACRONYM]-2001 Executive or Senior Management Committee Records

DMO-[ACRONYM]-2002 Deputy Ministers' Committee Records

Series 2002 is intended for managing the records of all Deputy Minister committees and groups other than the Ministry Executive or Senior Management Committee.

NOTE: If the retention periods indicated here are not suitable for the records of a particular committee or group, a ministry should arrange to establish a different records schedule to cover those records. (As always, the records series must be approved by ministry officials and the Archivist of Ontario before it can be used.)

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention & Disposition
DMO- [ACRONYM]-- 2001	<p>EXECUTIVE OR SENIOR MANAGEMENT COMMITTEE RECORDS</p> <p>The records of or related to the ministry's Executive Committee or Senior Management Committee or meetings of the senior executives of the ministry. These meetings are usually chaired by the Deputy Minister and also attended by the Assistant Deputy Ministers and various Directors.</p> <p>Series contains agenda, meeting minutes or notes, meeting information packages, presentations, reports, correspondence, and other records pertaining to the committee or group and its meetings. May include records related to sub-committees. However, most sub-committees are not chaired by the Deputy Minister and therefore official copies of sub-committee records are usually located in other offices or program areas.</p> <p>Records are used to maintain a record of the key plans, deliberations, decisions, and activities of the ministry's senior committee or executive forum.</p> <p><u>Note:</u> If primary responsibility for keeping the records of the Executive or Senior Management Committee is delegated to an office other than the Deputy Minister's Office, that office should use this records series to manage their retention and disposition.</p>	<p>Transfer to Archives CCY + 9 years</p>

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention & Disposition
DMO- [ACRONYM]- 2002	<p>DEPUTY MINISTERS' COMMITTEE RECORDS</p> <p>Records related to committees, councils, task forces, working groups, or other forums chaired by the Deputy Minister or for which the Deputy Minister's Office provides secretariat services or maintains the Ontario government's or the ministry's copy of record. These committees or groups may be internal to the ministry or inter-ministerial or external to the Ontario government.</p> <p>Includes records of federal/provincial meetings and other outside meetings attended by the Deputy Minister. Series may contain agenda, meeting minutes or notes, meeting information packages, presentations, reports, correspondence, and other records pertaining to the committee or group and its meetings. May also include records related to sub-committees.</p> <p>Records are used to maintain a record of the key plans, deliberations, decisions, and activities of the committees or groups in which the Deputy Minister participates.</p> <p><u>Excludes:</u> information related to the ministry's Executive or Senior Management Committee – see series MIN-[ACRONYM]-2001. Also excludes records kept for committees for which the Deputy Minister's Office does not maintain the ministry's copy of record – the office providing secretariat service should ensure the committee's are scheduled with its records.</p>	<p>Transfer to Archives CCY + 9 years, subject to selection by Archives</p>

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

3.4 Deputy Ministers' Correspondence

This section covers all incoming and outgoing correspondence, memoranda, and other material sent to or signed by the Deputy Minister. It includes records in paper or electronic format (such as e-mail). The series are:

DMO-[ACRONYM]-3001	Deputy Ministers' Correspondence
DMO-[ACRONYM]-3002	Briefing and Issue Notes
DMO-[ACRONYM]-3003	Engagements and Public Events Records

The Deputy Minister's correspondence is usually managed by a Correspondence Unit, which may be located in the Deputy Minister's Office or the Communications Branch or unit. For further information on Correspondence Unit records, see the next section (DMO-[ACRONYM]-4000 series).

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention and Disposition
DMO- [ACRONYM]-- 3001	<p>DEPUTY MINISTERS' CORRESPONDENCE</p> <p>All correspondence received and copies of all correspondence sent by the Deputy Minister or on behalf of the Deputy Minister. Includes:</p> <ul style="list-style-type: none"> • Incoming correspondence addressed to the Deputy Minister from within or outside the government. Includes memoranda, reports, and other documents enclosed with or attached to incoming correspondence. • Copies of outgoing correspondence sent by the Deputy Minister or the Deputy Minister's Office, with any enclosures or attachments. • Indexes or registers (including electronic databases) that track and provide supporting information relevant to management of the Deputy Minister's correspondence. • Reports created by indexes and tracking systems in managing and administering the Minister's correspondence. • Records of telephone calls received indicating person called, nature of query, etc. <p>May also include briefing notes or records related to the Deputy Minister's engagements and public events if these are interfiled with the Deputy Minister's correspondence. But use series DMO-[ACRONYM]--3002 and DMO-[ACRONYM]--3003 if these are filed separately.</p> <p>Records are used to inform and advise the Minister, central government agencies, the ministry's policy and program areas, staff, stakeholders, members of the public, etc. Correspondence is also used to receive or request advice and information from others.</p> <p><u>Excludes:</u> Copies of petitions and mass mailings – see Correspondence Unit records, series DMO-[ACRONYM]--4001.</p>	<p>Transfer to Archives CCY + 5 years</p>

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention and Disposition
DMO- [ACRONYM]-- 3002	<p data-bbox="391 333 837 365">BRIEFING AND ISSUE NOTES</p> <p data-bbox="391 407 1230 659">Briefing notes and issue notes received from ministry policy and program areas to inform the Deputy Minister or request advice or decisions from the Deputy Minister. Also includes copies of briefing notes sent by the Deputy Minister's Office to the ministry's policy and program areas. In addition, may include copies of briefing notes sent to the Minister with approval and comments by the Deputy Minister.</p> <p data-bbox="391 680 1230 827">Records are used to inform and advise the Deputy Minister regarding ministry policies and activities and current activities, and to provide direction and advice to ministry policy and program areas.</p> <p data-bbox="391 848 1230 982"><u>Note:</u> This series is intended for use where briefing and issue notes are maintained as a separately arranged file group. Series does not include briefing notes that are kept as an integral part of another file or series.</p>	Transfer to Archives CCY + 5 years

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention and Disposition
DMO- [ACRONYM]-- 3003	<p>ENGAGEMENTS AND PUBLIC EVENTS RECORDS</p> <p>Records related to planning and guiding the Deputy Minister's participation in meetings and events within and outside the government. Includes:</p> <ul style="list-style-type: none"> • Correspondence notes and messages inviting the Deputy Meeting and/or delegate to take part in events or speak to a group. • Logs, daily itineraries, diaries, journals, or calendars that record the Deputy Minister's appointments. • Paper or electronic records that track or indicate the status of invitations. • Speeches, speaking notes, presentations, briefing and background materials, agendas, event summaries, and other information regarding the Deputy Minister's participation in events and tours. <p>Records used to manage the Deputy Minister's appointments and participation in events.</p> <p>Excludes: Information kept as in integral part of another file or series. E.g., If invitations and speeches are interfiled with correspondence, they should be managed as part of series DMO-[ACRONYM]--3001, Deputy Minister's Correspondence.</p>	Destroy CCY + 5 years

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

3.5 Correspondence Unit Records

A Correspondence Unit manages the correspondence of any or all of the Minister, Deputy Minister, Assistant Deputy Ministers, and other senior executives in the ministry.

This section does not cover the actual correspondence of these executives; the correspondence and any related records (tracking system records, summary reports) are covered by schedules for the executives' records:

- Where the Correspondence Unit holds official copies of the Minister's correspondence and related records (tracking system records, summary reports), these should be managed according to the *Common Records Schedule for Ministers' Office Records* – see series MIN-[ACRONYM]-2001, Ministers' Correspondence.
- Where the Correspondence Unit holds official copies of the Deputy Minister's correspondence and related records (tracking system records, summary reports), these should be managed according to the *Common Records Schedule for Deputy Ministers' Office Records* – see series [DMO-\[ACRONYM\]-3001, Deputy Minister's Correspondence](#).
- Official copies of the correspondence of Assistant Deputy Ministers and other senior executives should be managed by the standard records schedule for the applicable office.

Correspondence Unit records series that are covered by this section are:

DMO-[ACRONYM]-4001 Petitions and Mass Mailings

DMO-[ACRONYM]-4002 Correspondence Unit Administration Records

Note: This section is also available in the *Common Series for Communications Services Records*, for the use of Correspondence Units within the Communications Services Branch.

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention and Disposition
DMO- [ACRONYM]-- 4001	<p>PETITIONS AND MASS MAILINGS</p> <p>Incoming petitions and correspondence from mass mail-in campaigns sent by members of the public to the ministry, Minister, Deputy Minister, or other officials of the ministry, and managed by the Correspondence Unit. May also include mass mailings sent to the Premier where they are related to the ministry's programs.</p> <p><u>Excludes:</u> All correspondence that is handled as a separate item. Also excludes summary reports of petitions and mass mailings kept with a copy of the outgoing letter(s). These records must be managed according to records schedules for regular correspondence to the individuals.</p> <p><u>Note:</u> All incoming correspondence including petitions and mass mailings must be retained for at least 1 year, under the <i>Freedom of Information and Protection of Privacy Act</i>.</p>	<p>Destroy 1 year after inclusion on a summary report</p>
DMO- [ACRONYM]-- 4002	<p>CORRESPONDENCE UNIT ADMINISTRATION RECORDS</p> <p>Policies, procedures, reports, correspondence, memoranda, meeting records, statistics, and other information related to the operation and management of the Correspondence Unit.</p>	<p>Destroy CCY + 5 years</p>

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

3.6 Other Records

Other activities of a Deputy Minister or Deputy Minister's Office may result in the following record series:

- DMO-[ACRONYM]-5001 Cabinet Submissions and Cabinet Records
- DMO-[ACRONYM]-5002 Management Board and Treasury Board Submissions and Records
- DMO-[ACRONYM]-5003 Orders-in-Council and Ministers' Orders
- DMO-[ACRONYM]-5004 Policies and Procedures
- DMO-[ACRONYM]-5005 Executive Assistants' Files

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention and Disposition
DMO- [ACRONYM]-- 5001	<p>CABINET SUBMISSIONS AND CABINET RECORDS</p> <p>Submissions to Cabinet and related material, as well as other information sent to or received from Cabinet or Cabinet Committees. Cabinet submissions especially pertain to policies and legal Acts and Regulations governing the ministry and its program.</p> <p>Includes Cabinet submissions from the Deputy Minister's ministry as well as Cabinet submissions from other ministries that the Deputy Minister's ministry has been asked to comment on. Series may also include the related comments, notes, correspondence, reports, discussion papers, presentations, background material, selected extracts or copies of Cabinet minutes, summary reports, tracking records, etc.</p> <p>Records are used to monitor Cabinet submissions and liaise with Cabinet Office.</p>	Transfer to Archives CCY + 10 years
DMO- [ACRONYM]-- 5002	<p>MANAGEMENT BOARD AND TREASURY BOARD SUBMISSIONS AND RECORDS</p> <p>Submissions to Management Board of Cabinet or the Treasury Board and related material, as well as other information sent to or received from Management Board or Treasury Board. Includes submissions and completed "Application and Report to Management Board" records commonly known as "MB20s", submitted by the ministry to obtain in-year funding approvals. Also includes related correspondence, notes, comments, clarifications, background material, reports, discussion papers, presentations, selected extracts or copies of Management Board or Treasury Board minutes, summary reports, tracking records, etc.</p> <p>Records are used to monitor Management Board and Treasury Board submissions and liaise with those boards, especially regarding funding to ministry program areas.</p>	Transfer to Archives CCY + 10 years

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention and Disposition
DMO- [ACRONYM]-- 5003	<p>ORDERS-IN-COUNCIL AND MINISTER'S ORDERS</p> <p>Orders-in-Council signed by the Lieutenant Governor and orders signed by the Premier or Minister to authorize appointments to the ministry's agencies, boards and commissions, or to order other activities of government. Also includes related material such as resumes and biographies of appointed persons, correspondence, notes, other background material, summary reports or tracking records, etc.</p> <p>Duplicate copies may be kept in the related Ministry Division and/or Legal Services office. Final Orders-in-Council are also located in the Cabinet Office.</p> <p>Records are used to maintain a record of appointees to agencies, boards and commissions and other approved orders.</p> <p><u>Excludes:</u> Records used to liaise with agencies, boards and commissions – see the DMO-[ACRONYM]--1000 series section.</p>	Destroy CCY + 7 years
DMO- [ACRONYM]-- 5004	<p>POLICIES AND PROCEDURES</p> <p>Original or official copies of approved corporate and ministry-level policies, procedures, guidelines, standards, and directives. May also contain related material such as correspondence, notes, lists or tracking records.</p> <p>Background material and records related to the planning and development of policies and procedures will usually be located in the program area that undertook these activities.</p> <p>Records are used to maintain a record of corporate and ministry-level policies and procedures used to guide the decisions and actions of government staff and offices, or the functioning of program areas.</p>	Transfer to Archives CCY + 7 years after superseded

**GOVERNMENT OF ONTARIO COMMON RECORDS SERIES
DEPUTY MINISTERS' OFFICES**

Series #	Series Title and Description	Retention and Disposition
DMO- [ACRONYM]-- 5005	EXECUTIVE ASSISTANTS' FILES Records accumulated and used by the Deputy Minister's Executive Assistant or other assistant to the Deputy Minister. May include correspondence, reports, briefing materials, financial planning and financial management records, memos, reports, policy papers, planning documents, briefing materials, records regarding projects or contentious issues, presentations, communications products, etc. May also contain records related to committees and meetings attended by the Assistant. Files used by the Executive Assistant may also be located in the Deputy Minister's Subject Files – see DMO-[ACRONYM]-1000 series on this records schedule.	Destroy CCY + 6 years