



Information, Privacy and Archives Division

Government of Ontario Function-Based Common Records Series: Information Management

December 2014

AUTHORIZATION

**Government of Ontario Function-Based Common Records Series:
Information Management (INF)**

Approval under authority of the *Archives and Recordkeeping Act, 2006*:



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Date:

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Information Management

Function Acronym: INF

Description

The function of managing the ministry's information resources. Includes creating, capturing, securing, registering, classifying, indexing, storing, retrieving and disposing of records and developing in-ministry procedures to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal customers, tracking mail slips, the handling of *Freedom of Information and Protection of Privacy Act* and *Personal Health Information Protection Act* requests. Privacy Impact Assessments and privacy breaches are also classified under this function.

Activities Performed Under This Function

Acronym	Name
ACQ	Acquisition
AGR	Agreements
CAS	Cases
CMM	Committees
CMP	Compliance
CTL	Control
CUS	Customer Service
DSP	Disposal
DST	Distribution
PLA	Planning
PRO	Procedures
SEC	Security

For information about the function-based common records series and their use, please visit the [Function-Based Common Records Series](#) page on iNetwork.

Summary of Series

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
Acquisition (ACQ)				
INF-ACQ-001	Library Materials	CCY + 7 years	After actions are completed	Destroy
Agreements (AGR)				
INF-AGR-001	Transfers of Records	CCY + 7 years	After contract has expired, or is terminated or superseded	Transfer to Archives
Cases (CAS)				
INF-CAS-001	Freedom of Information and Protection of Privacy Act (FIPPA) Files	CCY + 5 years	After appeal period and judicial review period have expired	Destroy
INF-CAS-002	Personal Health Information Protection Act (PHIPA) Files	CCY + 5 years	After appeal period and judicial review period have expired	Destroy
Committees (CMM)				
INF-CMM-001	Ministry Information Management Committees	CCY + 4 years	After actions are completed	Destroy
Compliance (CMP)				
INF-CMP-001	Ministry Records Series	CCY + 10 years	After record series is superseded or obsolete	Destroy
INF-CMP-002	Privacy Impact Assessments (PIA)	CCY + 3 years	After PIA is superseded or obsolete	Destroy

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
Control (CTL)				
INF-CTL-001	File Classification Plans	CCY + 10 years	After plans are superseded or obsolete	Destroy
INF-CTL-002	Business Classification Schemes (BCS)	CCY + 10 years	After BCS is superseded or obsolete	Destroy
INF-CTL-003	Records Transfer Lists	CCY + 20 years	After records are destroyed or transferred to the Archives of Ontario	Destroy
INF-CTL-004	Library Accessioning and Cataloguing	CCY + 3 years	After actions are completed	Destroy
INF-CTL-005	Mail, Postal and Courier Services	CCY + 2 years	After actions are completed	Destroy
Customer Service (CUS)				
INF-CUS-001	Records and Information Management	CCY + 3 years	After actions are completed	Destroy
INF-CUS-002	Library Reference	CCY + 2 years	After actions are completed	Destroy
Disposal (DSP)				
INF-DSP-001	Destruction Records and Disposal Notice Reports	CCY + 20 years	After records are destroyed	Destroy
Distribution (DST)				
INF-DST-001	Library Materials	CCY + 2 years	After actions are completed	Destroy
Planning (PLA)				
INF-PLA-001	Ministry Information Management Plans	CCY + 5 years	After plans are superseded	Transfer to Archives

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
Procedures (PRO)				
INF-PRO-001	Operating Procedures	CCY + 5 years	After procedures are superseded	Destroy
Security (SEC)				
INF-SEC-001	Privacy Breaches	CCY + 15 years	After actions are completed	Destroy

Activity: Acquisition (ACQ)

Description: The process of gaining ownership or use of resources required for the conduct of business through purchase or requisition.

Series #: INF-ACQ-001	
Series Title: Information Management – Acquisition – Library Materials	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6850-20 (Library Acquisitions) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 7 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used in the acquisition of library materials through purchase, subscription, and donation.	
Contents: Records may include but are not limited to orders, subscriptions, donations and related correspondence.	
Notes:	
Cross References:	

Activity: Agreements (AGR)

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements.

Series #: INF-AGR-001	
Series Title: Information Management – Agreements – Transfers of Records	
Rationale for Retention Period	Replicates existing approved retention period in Series LGL-6001 (Contracts / Agreements Files) in the OPS <i>Government of Ontario Common Records Series: Legal Services</i>
Closure Criteria	After contract has expired or is terminated or superseded
Total Retention	CCY + 7 years
Final Disposition	Transfer to Archives
Purpose:	
Information is created and/or received and used in the process of the ministry entering into a three-party agreement with the Archivist of Ontario and with a public body, person or entity regarding the maintenance, retention, preservation, transfer and disposition of records of its transferred functions.	
Contents:	
Records may include but are not limited to correspondence and negotiations including minutes or notes of meetings with main stakeholders; drafts containing significant changes / alterations or formally circulated for comment; copy of final approved versions of divestments and transfer agreements; and review of agreements.	
Notes:	
Cross References:	

Activity: Cases (CAS)

Description: The activities associated with the Freedom of Information and Protection of Privacy Act (FIPPA) and Personal Health Information Protection Act (PHIPA) request process and maintenance of a case file: from locating responsive records; making recommendations on disclosure, appeals and issuing a formal written decision to requestor.

Series #: INF-CAS-001	
Series Title: Information Management – Cases – Freedom of Information and Protection of Privacy Act (FIPPA) Files	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6900-10 (Freedom of Information and Protection of Privacy (FIPPA) Case Files) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After appeal period and judicial review period have expired
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of requesting information, investigations, privacy complaints, and appeals under the <i>Freedom of Information and Protection of Privacy Act (FIPPA)</i> .	
Contents:	
Case files may contain the following records but are not limited to access or correction request form; copy of receipt of fee; request for more details; or offer of assistance; continuing access request and related statement and fee; notices; decisions; notice of appeal (from the Information and Privacy Commissioner) and order; requests for responsive documents; responsive documents; documented exemption allowing for redaction; redacted records; signature of head / delegated authority; copies of records included in the package sent to the requestor; and all related correspondence.	
Notes:	
Cross References:	
See Series INF-SEC-001 (Information Management – Security – Privacy Breaches) for records relating to reporting breaches of privacy.	

Series #: INF-CAS-002	
Series Title: Information Management – Cases – Personal Health Information Protection Act (PHIPA) Files	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6950-10 (Personal Health Information Protection (PHIPA) Case Files) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After appeal period and judicial review period have expired
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of requesting information, investigations, privacy complaints, and appeals under the <i>Personal Health Information Protection Act</i> (PHIPA).	
Contents:	
Case files may contain the following records but are not limited to access or correction request form; copy of receipt of fee; request for more details; or offer of assistance; continuing access request and related statement and fee; notices; decisions; notice of appeal (from the Information and Privacy Commissioner) and order; requests for responsive documents; responsive documents; documented exemption allowing for redaction; redacted records; signature of head / delegated authority; copies of records included in the package sent to the requestor; and all related correspondence.	
Includes copies of information provided to requestors and related correspondence.	
Notes:	
Cross References:	
See Series INF-SEC-001 (Information Management – Security – Privacy Breaches) for records relating to reporting breaches of privacy.	

Activity: Committees (CMM)

Description: The activities involved with managing committees including advisory committees and task forces (internal and external).

Series #: INF-CMM-001	
Series Title: Information Management – Committees – Ministry Information Management Committees	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-7050 (Committees) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 4 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used when establishing, participating in or attending information management and recordkeeping related committees.	
Contents: Records may include but are not limited to the committee's establishment and dissolution, appointment of members, terms of reference, proceedings, minutes, reports, agenda, and deliverables as required by the committee and all related correspondence.	
Notes:	
Cross References:	

Activity: Compliance (CMP)

Description: The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the ministry is subject. Includes compliance with legislation and with national and international standards.

Series #: INF-CMP-001	
Series Title: Information Management – Compliance – Ministry Records Series	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6800-10 (Records Schedules and Series) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After records series is superseded or obsolete
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of developing, amending and obtaining approval for records series.	
Contents:	
Records may include but are not limited to: copies of approved records series and schedules, associated amendments, indexes to schedules, related holds or moratoria on records series, advice on records scheduling and any related correspondence.	
Notes:	
Cross References:	
See Archives of Ontario Series AO-031 (Records Schedules) for the original hardcopy Archivist of Ontario approved records series.	
See Archives of Ontario Series AO-032 (Records Scheduling Database) for scanned Archivist of Ontario approved records series.	

Series #: INF-CMP-002	
Series Title: Information Management – Compliance – Privacy Impact Assessments (PIA)	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6150 (Information Technology Architecture) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After PIA is superseded or obsolete
Total Retention	CCY + 3 years
Final Disposition	Destroy
Purpose:	
<p>Information is created and/or received and used in the process of completing a Privacy Impact Assessment (PIA) conducted whenever there is a substantial change in the collection, use or disclosure of personal information, including the creation or substantial modification of an information system or database containing personal information. Also, in the process of obtaining advice from the Privacy by Design Centre of Excellence (PbD COE).</p>	
Contents:	
<p>Records may include but are not limited to approved Privacy Impact Assessments (PIAs) conducted and supporting records, including correspondence containing advice on PIAs and training information.</p>	
Notes:	
Cross References:	

Activity: Control (CTL)

Description: The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc. to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Series #: INF-CTL-001	
Series Title: Information Management – Control – File Classification Plans	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6800-20 (Active Records Lists / File Classification Plans) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After plans are superseded or obsolete
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of organizing, inventorying and classifying records.	
Contents:	
Records may include but are not limited to records listings and file classification plans.	
Notes:	
Cross References:	

Series #: INF-CTL-002	
Series Title: Information Management – Control – Business Classification Schemes (BCS)	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6800-10 (Records Schedules and Series) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After BCS is superseded or obsolete
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of developing, implementing, maintaining, reviewing and obtaining approvals for the ministry's business classification schemes (BCS), thesauri for record titling, authorised abbreviations and metadata rules and dictionaries.	
Contents:	
Records may include but are not limited to drafts of business classification schemes (BCS), thesauri, rules and dictionaries, final versions and substantive revisions of BCS and related research and correspondence. Also includes plans to maintain and implement the BCS and advice received.	
Notes:	
Cross References:	

Series #: INF-CTL-003

Series Title: Information Management – Control – Records Transfer Lists

Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6800-30 (Records Transfer Documentation) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After records are destroyed or transferred to the Archives of Ontario
Total Retention	CCY + 20 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used in the process of ensuring that records transferred to off-site storage or directly to Archives of Ontario are duly documented to help with the locating and retrieving records as needed.

Contents:

Records may include but are not limited to records transfer lists and other records documenting electronic and hardcopy records stored in off-site storage or transferred to the Archives of Ontario.

Notes:

Cross References:

See Series INF-CMP-001 (Information Management – Compliance – Ministry Records Series) for records relating to the process of developing, amending and obtaining approval for records series.

Series #: INF-CTL-004	
Series Title: Information Management – Control – Library Accessioning and Cataloguing	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6850-10 (Library Accessioning and Cataloguing) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 3 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of documenting the accessioning and cataloguing of materials such as books, periodicals, newspapers, audio-visual materials, sound recordings, and other types of materials found in government libraries / information resource centres.	
Contents:	
Records may include but are not limited to cataloguing records, classification schedules, and indexes to catalogued material.	
Notes:	
Cross References:	

Series #: INF-CTL-005

Series Title: Information Management – Control – Mail, Postal and Courier Services

Rationale for Retention Period	Replicates existing approved retention period for Series GOV-7250 (Mail, Postal and Courier Services) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 2 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used in the process of tracking the receipt and dispatch of inter-office mail, postal and courier services.

Contents:

Records may include but are not limited to mail slips, courier slips, freight slips, records documenting inter-office mail services in and between ministries.

Notes:

Cross References:

Activity: Customer Service (CUS)

Description: The activities associated with establishing standards of customer service and administering specialised services provided to customers by the ministry.

Series #: INF-CUS-001	
Series Title: Information Management – Customer Service – Records and Information Management	
Rationale for Retention Period	Replicates existing approved retention period in COM-5003 (French Language Service Records) in the OPS <i>Government of Ontario Common Records Series: Communications Services</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 3 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used in the process of ministry records management staff providing advice, assistance and in-ministry training.	
Contents: Records may include but are not limited to ministry specific training slide decks, advice and related correspondence.	
Notes:	
Cross References:	

Series #: INF-CUS-002	
Series Title: Information Management – Customer Service – Library Reference	
Rationale for Retention Period	Replicates existing approved retention period for Series GOV-6850-40 (Library Reference) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of providing reference services and on-line computer search services, and in-person reference work.	
Contents:	
Records may include but are not limited to replies to written, e-mailed, and telephone inquiries and requests.	
Notes:	
Cross References:	

Activity: Disposal (DSP)

Description: The process of disposing of records or information resources no longer required by the ministry. Includes destruction or transfer to Archives of Ontario and the program of activities to facilitate the orderly transfer of semi-active and inactive records.

Series #: INF-DSP-001	
Series Title: Information Management – Disposal – Records Destruction and Disposal Notice Reports	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6800-40 (Records Destruction and Disposal Notices) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After records are destroyed
Total Retention	CCY + 20 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of documenting the disposal of electronic and hardcopy records.	
Contents:	
Records may include but are not limited to Disposition Notice Reports (DNRs) for records that have been destroyed by Archives of Ontario's Information Storage and Retrieval (IS&R) or other off-site storage facility, and records documenting the disposal of records stored on-site and in ministries.	
Notes:	
Cross References:	

Activity: Distribution (DST)

Description: The activities associated with disseminating information items through loans, deliveries or other customer services.

Series #: INF-DST-001	
Series Title: Information Management – Distribution – Library Materials	
Rationale for Retention Period	Replicates existing approved retention period for Series GOV-6850-30 (Library Circulation) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used in the documenting the circulation process of library material.	
Contents: Records may include but are not limited to internal circulation and interlibrary loans documentation.	
Notes:	
Cross References:	

Activity: Planning (PLA)

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Series #: INF-PLA-001	
Series Title: Information Management – Planning – Ministry Information Management Plans	
Rationale for Retention Period	Replicates retention periods in Series 12.20.1 and 12.20.2 (Information Management - Planning) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After plans are superseded
Total Retention	CCY + 5 years
Final Disposition	Transfer to Archives
Purpose:	
Information is created and/or received and used to develop and review the ministry's information management and recordkeeping plans.	
Contents:	
Records may include but are not limited to copies of the background research, drafts versions of plans containing significant changes / alterations or formally circulated for comment, notes of meeting or reports, final approved versions of plans and related correspondence.	
Includes records and information management plans, privacy management plans, operational plans, vital records plans, etc.	
Notes:	
Cross References:	

Activity: Procedures (PRO)

Description: Standard methods of operating laid down by a ministry according to formulated policies.

Series #: INF-PRO-001	
Series Title: Information Management – Procedures – Operating Procedures	
Rationale for Retention Period	Replicates retention periods in Series 12.22.1 and 12.22.2 (Information Management – Procedures) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After procedures are superseded
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to develop and review ministry procedures related to information management.	
Contents:	
Records may include but are not limited to final versions of manuals, handbooks, guidelines, etc. detailing procedures for ministry information management programs such as library procedures, records management procedures, security arrangements for information resources, information security and privacy classification procedures on handling and security of records, etc.	
Includes records relating to the development and review of procedures, including background research, draft versions of procedures containing significant changes/alterations or formally circulated for comment, reports analysing issues, and the outcomes of consultation.	
Notes:	
Cross References:	

Activity: Security (SEC)

Description: The activities associated with measures taken to protect information resources from accidental or intentional damage or from unauthorised access.

Series #: INF-SEC-001	
Series Title: Information Management – Security – Privacy Breaches	
Rationale for Retention Period	Replicates retention period in Series 12.25.1 (Information Management – Security) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 15 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used in the process of reporting (to the Information and Privacy Commission [IPC], to the Information, Privacy and Archives [IPA] Division of the Ministry of Government and Consumer Services [MGCS], and/or to law enforcement authorities), assessing, containing, documenting, briefing on breaches or suspected breaches of privacy. And also, when necessary, notifying individuals whose personal information was affected by the privacy breach.	
Contents: Records may include but are not limited to advisements to the Freedom of Information and Protection of Privacy Act (FIPPA) Coordinator, to the Information and Privacy Commission (IPC), to the Information, Privacy and Archives (IPA) Division of MGCS, and/or to law enforcement authorities; decisions on remediation; and notifications of privacy breach to individuals whose personal information was affected by the privacy breach.	
Notes:	
Cross References: See Series INF-CAS-001 (Information Management – Cases – Freedom of Information and Protection of Privacy Act [FIPPA] Files) for records relating to FIPPA information requests, investigations, privacy complaints, and appeals.	

See Series INF-CAS-002 (Information Management – Cases – Personal Health Information Protection Act [PHIPA] Files) for records relating to PHIPPA information requests, investigations, privacy complaints, and appeals.

See Series INT-SEC-001 (Information Technology – Security – Security Breaches) for records relating to breaches of security for technology and telecommunications systems.