

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:

2014.12.17 James G. Happinton, Archivist of Ontario Date:

Summary of Amendments

| Series # | Amendment Type | Description | Approved By | Approval Date |
|-------------|-------------------|--|--|------------------|
| INF-CTL-006 | Addition | Series is new and addresses the lifecycle of analog source records that are digitized according to the <i>Digitization</i> <i>Guideline: Process and</i> <i>Technical Requirements.</i> | John Roberts, Archivist of Ontario | 2021-12-29 |

See corresponding *Authorization of Records Schedule Amendments* for the authorization signature of the Archivist of Ontario or delegate.

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.

| Acronym | Name |
|---------|-------------------|
| ACQ | Acquisition |
| AGR | Agreements |
| CAS | Cases |
| СММ | <u>Committees</u> |
| СМР | Compliance |
| CTL | <u>Control</u> |
| CUS | Customer Service |
| DSP | <u>Disposal</u> |
| DST | Distribution |
| PLA | <u>Planning</u> |
| PRO | Procedures |
| SEC | <u>Security</u> |

Activities Performed Under This Function

For information about the function-based common records series and their use, please visit IPA's Enterprise Recordkeeping, Access and Privacy page on InsideOPS.

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 |
| Control (CTL) | | | | |
| INF-CTL-001 | File Classification Plans | CCY + 10 years | After plans are superseded or | Destroy |

| Series Number | Series Name | Retention Period | Closure Criteria | Final Disposition |
|---------------|---|---|---|----------------------|
| | | | obsolete | |
| 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 |
| INF-CTL-006 | Digitization Guideline Source Records | Varies – after closure criteria have been met | For digitized records that <u>are</u> <u>not</u> likely to be used in legal proceedings: After quality control is completed and digitized records are transferred to a secure digital storage solution. For digitized records that <u>are</u> likely to be used in legal proceedings: After quality control is completed and digitized records are transferred to a secure digital storage solution, and after quality assurance is | Destroy |

| Series Number | Series Name | Retention Period | Closure Criteria | Final Disposition |
|---------------------------|---|---------------------|---------------------------------|-------------------------|
| | | | completed. | |
| 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 |
| 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 | Replicates existing approved retention period in Series GOV-6850-20 | |
| Retention Period | (Library Acquisitions) in the OPS Common Records Series for | |
| | Administrative Functions of the Government of Ontario | |
| Closure Criteria | After actions are completed | |
| Total Retention | CCY + 7 years | |
| Final Disposition | Destroy | |
| Burposo: | 1 | |

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:

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 | Replicates existing approved retention period in Series LGL-6001 |
| Retention Period | (Contracts / Agreements Files) in the OPS Government of Ontario |
| | Common Records Series: Legal Services |
| Closure Criteria | After contract has expired or is terminated or superseded |
| Total Retention | CCY + 7 years |
| Final Disposition | Transfer to Archives |
| Purpose: | 1 |

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:

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: Inform | nation Management – Cases – Freedom of Information and Protection |
| | of Privacy Act (FIPPA) Files |
| Rationale for | Replicates existing approved retention period in Series GOV-6900-10 |
| Retention Period | (Freedom of Information and Protection of Privacy (FIPPA) Case Files) in the OPS Common Records Series for Administrative Functions of the |
| | Government of Ontario |
| 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 *Freedom of Information and Protection of Privacy Act* (FIPPA).

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: Inforr | nation 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</i> <i>of Ontario</i> |
| Closure Criteria | After appeal period and judicial review period have expired |
| Total Retention | CCY + 5 years |
| Final Disposition | Destroy |
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Information is created and/or received and used in the process of requesting information, investigations, privacy complaints, and appeals under the *Personal Health Information Protection Act* (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 | | |
|--|--|--|
| | | |
| Rationale for | Replicates existing approved retention period in Series GOV-7050 | |
| Retention Period | (Committees) in the OPS Common Records Series for Administrative | |
| | Functions of the Government of Ontario | |
| Closure Criteria | After actions are completed | |
| Total Retention | CCY + 4 years | |
| Final Disposition | Destroy | |
| Purpose: | | |

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:

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: I | nformation Management – Compliance – Ministry Records Series | | | |
| Rationale for | Replicates existing approved retention period in Series GOV-6800-10 | | | |
| Retention Period | (Records Schedules and Series) in the OPS Common Records Series for | | | |
| | Administrative Functions of the Government of Ontario | | | |
| 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 | | |
|-------------------------|---|--|--|
| Series Title: Info | | | |
| | (PIA) | | |
| Rationale for | Replicates existing approved retention period in Series GOV-6150 | | |
| Retention Period | (Information Technology Architecture) in the OPS Common Records | | |
| | Series for Administrative Functions of the Government of Ontario | | |
| Closure Criteria | After PIA is superseded or obsolete | | |
| Total Retention | CCY + 3 years | | |
| Final Disposition | Destroy | | |
| Purpose: | | | |

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).

Contents:

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.

Notes:

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 | Replicates existing approved retention period in Series GOV-6800-20 |
| Retention Period | (Active Records Lists / File Classification Plans) in the OPS Common |
| | Records Series for Administrative Functions of the Government of |
| | Ontario |
| Closure Criteria | After plans are superseded or obsolete |
| Total Retention | CCY + 10 years |
| Final Disposition | Destroy |
| Durness | |

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:

| Series #: INF-CTL-002 | | |
|-------------------------|--|--|
| Series Title: Info | Series Title: Information Management – Control – Business Classification Schemes | |
| | (BCS) | |
| Rationale for | Replicates existing approved retention period in Series GOV-6800-10 | |
| Retention Period | (Records Schedules and Series) in the OPS Common Records Series for | |
| | Administrative Functions of the Government of Ontario | |
| 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:

| Series #: INF-CTL-003 | | |
|-------------------------|---|--|
| Series Title | Series Title: Information Management – Control – Records Transfer Lists | |
| Rationale for | Replicates existing approved retention period in Series GOV-6800-30 | |
| Retention Period | (Records Transfer Documentation) in the OPS Common Records Series | |
| | for Administrative Functions of the Government of Ontario | |
| Closure Criteria | After records are destroyed or transferred to the Archives of Ontario | |
| Total Retention | CCY + 20 years | |
| Final Disposition | Destroy | |

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 | Replicates existing approved retention period in Series GOV-6850-10 |
| Retention Period | (Library Accessioning and Cataloguing) in the OPS Common Records |
| | Series for Administrative Functions of the Government of Ontario |
| 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, audiovisual 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:

| Series #: INF-CTL-005 | |
|-----------------------|--|
| Series Title: Info | ormation Management – Control – Mail, Postal and Courier Services |
| Rationale for | Replicates existing approved retention period for Series GOV-7250 (Mail, |
| Retention Period | Postal and Courier Services) in the OPS Common Records Series for Administrative Functions of the Government of Ontario |
| Closure Criteria | After actions are completed |
| Total Retention | CCY + 2 years |
| Final Disposition | Destroy |
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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:

Series #: INF-CTL-006

Series Title: Information Management – Control – Digitization Guideline Source Records

This records series is to be used together with the *Digitization Guideline: Process and Technical Requirements* issued by the Information, Privacy and Archives Division, Ministry of Government and Consumer Services.

| Rationale for | The determination of the retention period (after the closure criteria |
|-------------------|---|
| Retention Period | have been met) is at the discretion of the ministry or agency. |
| | |
| Closure Criteria | For digitized records that <u>are not</u> likely to be used in legal |
| | proceedings: After quality control is completed and digitized records |
| | are transferred to a secure digital storage solution. |
| | |
| | For digitized records that are likely to be used in legal |
| | proceedings: After quality control is completed and digitized records |
| | are transferred to a secure digital storage solution, and after quality |
| | assurance is completed. |
| | |
| | Note: Examples of legal proceedings include tribunals, appeals, |
| | investigations, and audits. |
| | |
| Total Retention | Varies – after closure criteria have been met. |
| | |
| | Note: The determination of the retention period is at the discretion of |
| | the ministry or agency. |
| | |
| Final Disposition | Destroy – only if the following conditions have been met: |
| | An Attestation of Digitization Process has been submitted to the |
| | Information, Privacy and Archives Division; and |
| | |
| | Source records have been digitized according to the process and tashaisal requirements outlined in the Digitization Quidaline |
| | technical requirements outlined in the Digitization Guideline. |
| | Note: Source records cannot be destroyed if they are required to be |
| | Note: Source records cannot be destroyed if they are required to be |
| | retained in their original format by law or regulation, or if they have |
| | been appraised as having intrinsic value by the Information, Privacy and Archives Division. |
| | |

Source records are created and/or received and used in the process of a ministry's or agency's business activities.

This records series addresses the lifecycle of analog source records that are digitized according to the *Digitization Guideline* as part of an authorized digitization project whereby the digitization process ensures a digital record that is trustworthy and authentic, and whereby the digital record becomes the authoritative record.

Once the source records are digitized and the quality control check (and quality assurance for digitized records that are likely to be used in legal proceedings) is completed, this records series becomes the governing records series for the source records.

The digitized records resulting from an authorized digitization project are maintained as the authoritative record in a secure digital storage solution that can safeguard the authenticity and reliability of the digitized records.

Authority: *Digitization Guideline: Process and Technical Requirements* issued by the Information, Privacy and Archives Division, Ministry of Government and Consumer Services

Contents:

Records in this series are exclusive to analog source records that are digitized as part of an authorized digitization project in accordance with the *Digitization Guideline*.

Excludes:

- Source records that have <u>not</u> been digitized according to the process and technical requirements outlined in the *Digitization Guideline*.
- Source records required to be retained in their original format by law or regulation.
- Source records that have been appraised as having intrinsic value by the Information, Privacy and Archives Division.

Notes:

The intrinsic value of the source records must be appraised by the Information, Privacy and Archives Division, and a records series for the digitized records must be approved by the Archivist of Ontario before proceeding with your digitization project.

Consult with your ministry or agency legal counsel, records and information management (RIM) team, freedom of information (FOI) and privacy team, and with the Information, Privacy and Archives Division, to ensure that legal, recordkeeping, access / FOI, privacy, and archival requirements have been met, before proceeding with a digitization project.

If source records are already scheduled under an approved ministry or agency core records series, consult with your ministry or agency RIM team before using INF-CTL-006.

Cross References:

Separate records series govern the digitized records as authoritative records.

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 | Replicates existing approved retention period in COM-5003 (French |
| Retention Period | Language Service Records) in the OPS Government of Ontario Common |
| | Records Series: Communications Services |
| Closure Criteria | After actions are completed |
| Total Retention | CCY + 3 years |
| Final Disposition | Destroy |
| Purpose: | • |

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:

| Series #: INF-CUS-002 | | |
|-------------------------|---|--|
| Series Title: I | Series Title: Information Management – Customer Service – Library Reference | |
| Rationale for | Replicates existing approved retention period for Series GOV-6850-40 | |
| Retention Period | (Library Reference) in the OPS Common Records Series for | |
| | Administrative Functions of the Government of Ontario | |
| Closure Criteria | After actions are completed | |
| Total Retention | CCY + 2 years | |
| Final Disposition | Destroy | |
| Durness | · | |

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:

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: Infor | Series Title: Information Management – Disposal – Records Destruction and Disposal | |
| | Notice Reports | |
| Rationale for | Replicates existing approved retention period in Series GOV-6800-40 | |
| Retention Period | (Records Destruction and Disposal Notices) in the OPS Common | |
| | Records Series for Administrative Functions of the Government of | |
| | Ontario | |
| 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:

Activity: Distribution (DST)

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

| Series #: INF-DST-001 | | |
|-------------------------|---|--|
| Series Tit | Series Title: Information Management – Distribution – Library Materials | |
| Rationale for | Replicates existing approved retention period for Series GOV-6850-30 | |
| Retention Period | (Library Circulation) in the OPS Common Records Series for | |
| | Administrative Functions of the Government of Ontario | |
| 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:

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: Info | Series Title: Information Management – Planning – Ministry Information Management | |
| | Plans | |
| Rationale for | Replicates retention periods in Series 12.20.1 and 12.20.2 (Information | |
| Retention Period | Management - Planning) in the New South Wales General Retention and | |
| | Disposal Authority: Administrative Records | |
| Closure Criteria | After plans are superseded | |
| Total Retention | CCY + 5 years | |
| Final Disposition | Transfer to Archives | |
| Duran a a a a | | |

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:

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 | Replicates retention periods in Series 12.22.1 and 12.22.2 (Information |
| Retention Period | Management – Procedures) in the New South Wales General Retention |
| | and Disposal Authority: Administrative Records |
| 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:

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 | Replicates retention period in Series 12.25.1 (Information Management |
| Retention Period | – Security) in the New South Wales General Retention and Disposal |
| | Authority: Administrative Records |
| 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.