

*Corporate Management Directives*

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# Management of Recorded Information Directive

Information Technology Policy Branch  
Services Division  
Management Board Secretariat  
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Factsheets, bulletins, guidelines and best practices information are available on the Archives of Ontario Recorded Information Management website at <http://www.gov.on.ca/mczcr/archives/english/rimdocs>. This information can assist ministries and agencies in managing their paper, electronic and other records and data.

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## **PURPOSE**

To protect the legal, fiscal, and other interests of the Ontario Government and the public, by ensuring the ongoing availability, integrity, preservation, and security of all recorded information created, commissioned, or acquired by the government.

To ensure that the associated recorded information management activities and use of storage facilities are efficient and effective.

To ensure the preservation of all recorded information of permanent value.

To identify appropriate roles and responsibilities within government for the efficient and effective management of recorded information.

## **APPLICATION AND SCOPE**

This directive applies to all ministries and Schedule 1 agencies unless exempted in a Memorandum of Understanding, and other scheduled agencies if required by a Memorandum of Understanding.

This directive applies to all recorded information created or commissioned by the Ontario Government, regardless of medium of storage, or acquired from other governments, government organizations and individuals and organizations in the private sector.

Recorded information includes, but is not limited to, the information contained in any record, such as correspondence, memoranda, publications, reports, forms, plans, drawings, maps, pictorial or graphic works, photographs, films, microform records (such as microfiche and microfilm), sound recordings, videotapes, electronic and all other machine readable records, and any record which has been produced from a machine readable record by means of computer hardware and software and any other information storage equipment and technical expertise.

It does not apply to information contained in the following:

- duplicate records preserved within the same medium of storage and retained solely for convenience, reference, or future dissemination;
- publications (such as books, journals, and published reports) which constitute or will constitute part of a library's regular catalogued holdings;
- duplicate stocks of publications, printed literature or blank forms;
- temporary working papers such as rough notes or informal drafts when of no value in documenting the evolution or implementation of government policy or programs.

This directive does not apply to the specialized data management functions associated with planning, developing, and operating computerized information systems except for specific aspects of such functions affecting the following:

- the scheduling of computerized or other recorded information;
- the retention or disposal of computerized or other recorded information;
- the acquisition, preservation, retrieval and interpretation of archival information by the Archives of Ontario;
- the ability to locate information within ministries, agencies, and individual information systems, records series, or other such discrete bodies of information.

An additional directive, Management Board Directive 7-3, Information Technology Security, applies, in conjunction with this directive, to ministry and agency information in electronic form and to all ministry and agency information in paper form or otherwise not in electronic form, when such information is under the operational control of a provider of information technology services.

## **PRINCIPLES**

Recorded information is a vital public resource to be managed effectively on behalf of the people of Ontario to ensure its continued availability, integrity, preservation and security from its initial creation or acquisition to its final disposition, following appropriately defined cycles of retention and disposal.

The Archivist of Ontario has government-wide responsibility to ensure the proper management of recorded information.

Program managers are accountable for managing the recorded information that is under their control or custody, including that created or maintained by a third party on their behalf.

Access to recorded information is to be ensured in accordance with the requirements of the Freedom of Information and Protection of Privacy Act.

Timely disposal must be ensured for recorded information that has been identified by the Archivist of Ontario as not having archival value.

All recorded information of archival value is to be preserved.

The cost and effort of recorded information management activities must be consistent with the value of the information.

## **MANDATORY REQUIREMENTS**

### **Managing**

The Archives of Ontario must develop the government-wide operational directives, standards and guidelines required by this directive for the identification, description, storage, transfer and preservation or disposal of all recorded information, in consultation with ministries, agencies, and professional information systems and records management communities.

Ministries and agencies must manage the recorded information within their control or custody according to the operational directives and standards developed by the Archives of Ontario.

### **Reporting**

Ministries must provide the Archives of Ontario, on request, with all information required for planning and monitoring efficient government-wide management of recorded information.

### **Documentation**

Recorded information must be maintained, controlled and described in such a manner as to permit efficient access, retrieval and interpretation.

### **Recorded Information Schedules**

Ministries must develop recorded information schedules to govern the retention and disposal of:

- all existing recorded information under their control;
- all recorded information as it is created in whatever form.

Recorded information schedules must be kept current to reflect changes in the content of information and its structure, custody, origins, and purpose.

Recorded information schedules must be authorized by the following:

- appropriate program managers
- the Corporate Information Executive;
- the Archivist of Ontario.

In addition program managers shall determine whether the authorization of ministry or agency legal counsel is required.

Ministries must permit the Archivist of Ontario or designate to review at any time, within legislative bounds, all information necessary to determine the archival value of recorded information.

Information systems design, systems development methodologies and information systems data management must accommodate all requirements of this and any other government-wide directive related to recorded information management.

### **Recorded Information Management Forms**

Ministries must use forms approved by the Archives of Ontario in the scheduling, transfer and disposal of recorded information.

### **Transfers**

All recorded information of archival value, as well as the documentation and other items (for example, software) required by operational directives and standards to access or identify that information, must be preserved and this recorded information and documentation transferred to the Archives of Ontario as required by schedule.

### **Storage**

Ministries must use facilities which meet standards approved by the Archivist of Ontario for storage of recorded information.

### **Security**

Ministries must ensure that no recorded information within the scope of this directive is destroyed or removed from the control or custody of the Government of Ontario except through a current approved recorded information schedule or the permission of the Archivist of Ontario.

## **RESPONSIBILITIES**

### **Archives of Ontario**

The Archives of Ontario is responsible for:

- developing government-wide directives, standards and guidelines for the efficient and effective management of recorded information -- including its identification, description, storage, transfer and preservation or disposal -- on behalf of Management Board Secretariat and in consultation with appropriate government committees, ministry and agency personnel;
- developing operational plans for the government-wide management of recorded information in consultation with appropriate ministry and agency personnel;
- ensuring the development of action plans to reduce the growth in records storage volumes government-wide;
- providing advice and assistance to ministries in implementing this directive and related operational policies and standards;
- developing effective techniques for recorded information management;
- ensuring implementation of educational programs and related instructional materials to provide training in efficient management of recorded information;
- ensuring that programs are developed to enable government executives to acquire an appropriate understanding and awareness of recorded information management issues and policies;
- identifying recorded information of archival value;
- monitoring compliance with recorded information schedules;
- approving forms employed in the scheduling, transfer and disposal of recorded information and ensuring that such forms and associated procedures are efficient and easy to use.

## **Archivist of Ontario**

The Archivist of Ontario is responsible for:

- approving the ultimate preservation or disposal of all Government of Ontario recorded information;
- giving final approval, in consultation with ministries, to retention periods for all government recorded information.

## **Deputy Heads**

Deputy Heads are responsible for:

- ensuring that ministry and agency personnel adhere to the principles and mandatory requirements of this directive;
- ensuring that recorded information management policies and procedures which are consistent with government-wide directives and standards are developed for their ministry or agency;
- obtaining the approval of Management Board of Cabinet for any exemptions to this directive.

## **Corporate Information Executives**

Corporate Information Executives are responsible for:

- ensuring that, within their ministry or agency, appropriate organization and procedures are established to facilitate effective management of recorded information and contain growth in records storage volumes;
- ensuring that ministry and agency personnel acquire an appropriate understanding and awareness of recorded information management policies and guidelines;
- ensuring that appropriate guidelines and standards are established for efficient management, development and use of ministry forms;
- ensuring secure and efficient storage of all recorded information within their ministry or agency;



- ensuring that appropriate personnel are designated with ministry and agency-wide responsibility for:
  - assisting program managers in developing efficient storage and retrieval systems
  - developing recorded information schedules
  - assisting the Archives of Ontario in identifying recorded information of archival value
  - providing appropriate information to the Archives of Ontario as required for planning and monitoring efficient management of recorded information;
- ensuring that appropriate retention periods are identified for all ministry and agency recorded information;
- ensuring that recorded information is documented according to government-wide and ministry standards;
- approving all ministry and agency recorded information schedules.

### **Program Managers**

Program managers are responsible for:

- ensuring that all recorded information under their immediate control is scheduled and in a manner consistent with government policies and guidelines;
- defining appropriate retention periods during the scheduling of recorded information;
- ensuring efficient storage and retrieval of recorded information under their control or custody;
- ensuring that recorded information under their control or custody is protected from physical damage and from unauthorized access, alteration, removal or destruction;
- ensuring that secure storage facilities and recording media, which meet government-wide standards, are utilized for all records under their custody or control;
- eliminating unnecessary collection and maintenance of recorded information;

- ensuring the timely transfer or disposal of the recorded information in their custody in accordance with recorded information schedules and government-wide standards;
- ensuring that appropriate information is provided to the Archives of Ontario as required for planning and monitoring efficient management of recorded information;
- ensuring compliance with the guidelines and standards for the management, development and use of ministry forms.

### **Management Board of Cabinet**

Management Board of Cabinet is responsible for:

- approving corporate strategies and policies for recorded information management;
- reviewing and approving requests for exemptions from this directive.

### **Management Board Secretariat, Services Division**

Management Board Secretariat, Services Division (Information Technology Policy Branch), is responsible for:

- ensuring the development of corporate strategies and policies for recorded information management;
- providing assistance to ministries on policy interpretation.

Management Board Secretariat, Services Division (General Services Branch), is responsible for:

- providing off-site storage facilities for all inactive records within the Government of Ontario in accordance with standards developed by the Archives of Ontario for storage and retrieval;
- ensuring timely disposal of all recorded information in its custody when required by recorded information schedules and in accordance with government-wide standards.