



Information, Privacy and Archives Division


Government of Ontario Function-Based Common Records Series: Equipment and Supplies

December 2014

AUTHORIZATION

**Government of Ontario Function-Based Common Records Series:
Equipment and Supplies (EQS)**

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

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James G. Hamilton, Archivist of Ontario **Date:**

Equipment and Supplies

Function Acronym: EQS

Description

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and supplies stocked and used by the ministry. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Supplies include chemicals, hardware, homeware / cleaning items, medical supplies and stationery.

Activities Performed Under This Function:

Acronym	Name
ALL	Allocation
ARR	Arrangements
AUD	Audit
CMM	Committees
DSP	Disposal
EVA	Evaluation
IST	Installation
INV	Inventory
LSG	Leasing
MTC	Maintenance
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
Allocation (ALL)				
EQS-ALL-001	Office Equipment and Supplies	CCY + 2 years	After confirmation of receipt of equipment or supplies	Destroy
Arrangements (ARR)				
EQS-ARR-001	Deliveries	CCY + 2 years	After receipt of invoices	Destroy
EQS-ARR-002	Relocation	CCY + 2 years	After receipt of invoices	Destroy
EQS-ARR-003	Bookings	CCY + 2 years	After actions are completed	Destroy
Audit (AUD)				
EQS-AUD-001	Annual and Periodic Audits	CFY + 6 years	After audits are finalized, superseded or subsequent audits are completed	Destroy
Committees (CMM)				
EQS-CMM-001	Ministry Equipment and Supplies Committees	CCY + 4 years	After actions are completed	Destroy
Disposal (DSP)				
EQS-DSP-001	Surplus Assets	CFY + 7 years	After assets are disposed of	Destroy
EQS-DSP-002	Hazardous Materials	CCY + 2 years	After actions are completed	Destroy
Evaluation (EVA)				
EQS-EVA-001	Needs Assessments	CFY + 7 years	After actions are completed	Destroy
Installation (IST)				
EQS-IST-001	Equipment Connections and Configurations	CFY + 2 years	After actions are completed	Destroy

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
Inventory (INV)				
EQS-INV-001	Moveable Assets Register	CFY + 7 years	After asset are disposed of	Destroy
Leasing (LSG)				
EQS-LSG-001	Moveable Assets	CFY + 7 years	After leasing agreements are terminated	Destroy
Maintenance (MTC)				
EQS-MTC-001	Warranties and Maintenance	CFY + 7 years	After equipment is replaced or disposed of	Destroy
Procedures (PRO)				
EQS-PRO-001	Operating Procedures	CCY + 5 years	After procedures are superseded or obsolete	Destroy
Security (SEC)				
EQS-SEC-001	Access Controls	CCY + 2 years	After controls are superseded	Destroy
EQS-SEC-002	Loss and Damage Reports	CFY + 7 years	After actions are completed	Destroy

Activity: Allocation (ALL)

Description: The process of assigning equipment or supplies to employees or organizational units.

Series #: EQS-ALL-001	
Series Title: Equipment and Supplies – Allocation – Office Equipment and Supplies	
Rationale for Retention Period	Replicates basic limitation period of 2 years as in the <i>Limitations Act, 2002</i>
Closure Criteria	After confirmation of receipt of equipment or supplies.
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used in the distribution of equipment and supplies within the ministry.	
Contents: Records may include but are not limited to approvals, correspondence, allocation forms, etc.	
Notes:	
Cross References:	

Activity: Arrangements (ARR)

Description: The processes involved in making arrangements for the delivery and usage of equipment or supplies.

Series #: EQS-ARR-001	
Series Title: Equipment and Supplies – Arrangements – Deliveries	
Rationale for Retention Period	Replicates retention period in Series 5.4.1 (Equipment and Stores – Arrangements) in the New South Wales General Retention and Disposal Authority: Administrative Records.
Closure Criteria	After receipt of invoices
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to document the delivery of surplus assets, equipment and supplies to the ministry, as well as equipment and supplies to the ministry by vendors. Also used to arrange for the delivery of surplus assets to Ontario Shared Services (OSS) Surplus Assets Management for disposal.	
Contents:	
Records may include but are not limited to delivery requests; packing slips; delivery receipts; quotes; copies of purchase orders; copies of invoices; completed forms; requisitions; copies of Disposal Delivery Requests (DDR); work orders and correspondence.	
Notes:	
Cross References:	

Series #: EQS-ARR-002

Series Title: Equipment and Supplies – Arrangements – Relocation

Rationale for Retention Period	Replicates retention period in Series 5.4.2 (Equipment and Stores – Arrangements) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After receipt of invoices
Total Retention	CCY + 2 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used to administer the movement or relocation of equipment within an office space.

Contents:

Records may include but are not limited to requests for moves, copies of invoices, negotiation correspondence / documentation, etc.

Notes:

Cross References:

See Series FPM-MOV-001 (Facilities and Property Management – Moving – Moving Coordination) for records relating to the relocation of equipment due to office moves or renovations.

Series #: EQS-ARR-003

Series Title: Equipment and Supplies – Arrangements – Bookings

Rationale for Retention Period	Replicates existing approved retention period in Series GOV-3500 (Parking Areas) 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 the ministry's booking and tracking of equipment and supplies.

Contents:

Records may include but are not limited to booking records relating to equipment and supplies.

Notes:

Cross References:

See Series EQS-SEC-001 (Equipment and Supplies – Security – Access Controls) for records relating to registers of lock combinations, control of keys, etc.

Activity: Audit (AUD)

Description: The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

Series #: EQS-AUD-001	
Series Title: Equipment and Supplies – Audit – Annual and Periodic Audits	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-5050 (Audits, Compliance Reviews and Projects) in the OPS Common Records Series for Administrative Functions of the Government of Ontario.
Closure Criteria	After audits are finalized, superseded or subsequent audits are completed
Total Retention	CFY + 6 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used for conducting an audit of equipment and supplies, as well as the ministry's processes for acquiring equipment and supplies and any remedial action.	
Contents: Records may include but are not limited to records of audit planning or liaison with auditing body; minutes or notes of meetings; notes taken at interviews; draft versions of reports containing significant changes / alterations or formally circulated for comment; approved versions of reports; records of remedial action; correspondence.	
Notes:	
Cross References:	

Activity: Committees (CMM)

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

Series #: EQS-CMM-001	
Series Title: Equipment and Supplies – Committees – Ministry Equipment and Supplies Committees	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-7050 (Committees – Internal Administration) 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 to maintain a record of the key plans, deliberations, decisions, and activities of ministry equipment and supplies management initiatives.	
Contents:	
Records may include but are not limited to meeting agendas and minutes, reports, presentations, correspondence, and other records pertaining to the committee’s meetings and communications.	
Includes the committee’s establishment and dissolution, appointment of members, and terms of reference.	
May include records related to sub-committees.	
Notes:	
Cross References:	

Activity: Disposal (DSP)

Description: The process of disposing of equipment and supplies no longer required by the ministry by sale, transfer, termination of lease, auction or destruction.

Series #: EQS-DSP-001	
Series Title: Equipment and Supplies – Disposal – Surplus Assets	
Rationale for Retention Period	Replicates existing approved retention period in Series 3700-20 (Moveable Assets Disposal and Surplus) in the OPS Common Records Series for Administrative Functions of the Government of Ontario.
Closure Criteria	After assets are disposed of
Total Retention	CFY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the disposal of government-owned surplus assets. This includes the re-use, redeployment, recycling and the disposal / sale of surplus moveable assets.	
Contents:	
Records may include but are not limited to written notices and related correspondence; handover reports; assessments and certifications of value of goods; written quotes; approvals to proceed; transfer records; Disposal Delivery Request (DDR); Service Order Desk Online (SODO) requests; Moveable Assets Record; Surplus Assets Client Requisition (SACR); and, Disposal Declaration Report (DDR).	
Notes:	
A surplus moveable asset is anything owned by the Government of Ontario that is not fixed. (Fixed items would include doors, overhead light fixtures, etc.)	
Surplus moveable assets include:	
<ul style="list-style-type: none"> • Office furniture • Government-owned computers and peripherals (scanners, printers, etc.) • Electronic Waste (TVs, video equipment, etc.) • Laboratory equipment – non-hazardous or contaminated • Consumable supplies (such as paper) 	

- Refrigerators

Ontario Shared Services (OSS) Surplus Assets Management has a mandate to provide services to all Government of Ontario ministries and Schedule 1 Agencies. Ministries are not permitted sell surplus assets themselves.

OSS Surplus Asset Management does not handle the following assets:

- Computer software
- Hazardous waste
- Firearms
- Ammunition
- Vehicles

Cross References:

Series #: EQS-DSP-002

Series Title: Equipment and Supplies – Disposal – Hazardous Materials

Rationale for Retention Period	Replicates existing approved retention period in Series 16.16.3 (Property Management - Maintenance) in the New South Wales General Retention and Disposal Authority: Administrative Records.
Closure Criteria	After actions are completed
Total Retention	CCY + 2 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used for arranging for the disposal of hazardous materials.

Contents:

Records may include but are not limited to pick-up request, confirmation, and correspondence.

Notes:

Cross References:

Activity: Evaluation (EVA)

Description: The process of determining the suitability of potential or existing items of equipment or supplies in relation to meeting the needs of the given situation. Includes ongoing monitoring.

Series #: EQS-EVA-001	
Series Title: Equipment and Supplies – Evaluation – Needs Assessments	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-3800 (Supplies Management) in the OPS Common Records Series for Administrative Functions of the Government of Ontario.
Closure Criteria	After actions are completed.
Total Retention	CFY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used for determining the ministry's requirements for equipment or supplies.	
Contents:	
Records may include but are not limited to assessments of whole-of-government solutions (i.e. period contracts, buyers guides, vendors of record [VORs]); records of the development and issue of specifications and/or business cases; copies of storage area research and selection records; records relating to evaluation and monitoring undertaken for existing equipment; proposals, briefing notes or business cases; approvals; and correspondence.	
Notes:	
Cross References:	

Activity: Installation (IST)

Description: The activities involved in placing equipment in position and connecting and adjusting it for use.

Series #: EQS- IST-001	
Series Title: Equipment and Supplies – Installation – Equipment Connections and Configurations	
Rationale for Retention Period	Replicates existing approved retention period in Series 5.10.1 (Equipment and Stores – Installation) in the New South Wales General Retention and Disposal Authority: Administrative Records.
Closure Criteria	After actions are completed.
Total Retention	CFY + 2 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used for documenting the installation, connection and configuration of equipment (e.g. computers, printers, etc.).	
Contents: Records may include but are not limited to copies of work orders, bills of lading, invoices, floor plans and drawings, and correspondence.	
Notes:	
Cross References: See Series INT-IMP-001 (Information Technology – Implementation – Projects and Applications) for records relating to implementing technology and telecommunications strategies, projects, equipment and systems.	

Activity: Inventory (INV)

Description: The activities associated with listing and preparing lists of items and assets in the possession of the ministry.

Series #: EQS-INV-001	
Series Title: Equipment and Supplies – Inventory – Moveable Assets Register	
Rationale for Retention Period	Replicates existing approved retention period in Series 3700-10 (Moveable Assets Inventorying) in the OPS Common Records Series for Administrative Functions of the Government of Ontario.
Closure Criteria	After assets are disposed of.
Total Retention	CFY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to maintain an up-to-date inventory record of movable assets and assign an asset tag number to the asset; to conduct periodic verification of moveable assets; and provide an up-to-date inventory listing to the ministry Asset Management Coordinator	
Contents:	
Records may include but are not limited to completed Moveable Assets Registration Advice forms; Moveable Assets Record (report); moveable assets listings; physical count records; reconciliation reports; asset valuation reports; approvals to proceed; handover reports; tracking logs; moveable assets registers; asset tags statistics; and correspondence.	
Notes:	
Program areas complete and submit a Moveable Assets Registration Advice form to the ministry Assets Management Coordinator, and retain a copy for reference. All moveable assets valued at or above the current threshold must be registered and assigned an asset tag number.	
Cross References:	
See Series INT-INV-001 (Information Technology – Inventory – Information Technology and Telecommunications Assets) for records relating to managing the inventory of information technology and telecommunications assets.	

Activity: Leasing (LSG)

Description: The activities involving in leasing items of equipment from another organization.

Series #: EQS-LSG-001	
Series Title: Equipment and Supplies – Leasing – Moveable Assets	
Rationale for Retention Period	Replicates existing approved retention period in Series 2000-20 (Other Purchases: Quotations and Purchase Orders) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After leasing agreements are terminated
Total Retention	CFY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to document the development, approval and management of leases related to moveable assets.	
Contents:	
Records may include but are not limited to lease requests, business cases, approvals, copies of leasing and maintenance agreements, invoices / receipts, negotiations, and correspondence.	
Notes:	
Cross References:	

Activity: Maintenance (MTC)

Description: The activities associated with the upkeep, repair, servicing and preservation of internal / external conditions of equipment and supplies.

Series #: EQS-MTC-001	
Series Title: Equipment and Supplies – Maintenance – Warranties and Maintenance	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-3750 (Equipment Management Files) in the OPS Common Records Series for Administrative Functions of the Government of Ontario.
Closure Criteria	After equipment is replaced or disposed of
Total Retention	CFY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to document repairs, maintenance, inspections, and commissioning or alteration of equipment.	
Contents:	
Records may include but are not limited to maintenance / service agreements; service-level agreements; warranties and guarantees; price quotes; Disposal Declaration Report; inspection reports; calibration reports; maintenance logs; work orders; service schedules; and correspondence.	
Notes:	
Cross References:	

Activity: Procedures (PRO)

Description: The activities involved with developing and adopting standard organizational methods of operating according to formulated policy.

Series #: EQS-PRO-001	
Series Title: Equipment and Supplies – Procedures – Operating Procedures	
Rationale for Retention Period	Replicates existing approved retention period in Series 19.16.1 Strategic Management – Procedures) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After procedures are superseded or obsolete
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 equipment and supplies.	
Contents:	
Records may include but are not limited to final versions of manuals, handbooks, guidelines, etc. detailing procedures for the use and maintenance of equipment and supplies.	
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 analyzing issues, and the outcomes of consultation.	
Notes:	
Cross References:	

Activity: Security (SEC)

Description: The activities associated with measures taken to protect equipment and supplies from accidental or intentional damage or from unauthorised access.

Series #: EQS-SEC-001	
Series Title: Equipment and Supplies – Security – Access Controls	
Rationale for Retention Period	Replicates basic limitation period of 2 years as in the <i>Limitations Act, 2002</i>
Closure Criteria	After controls are superseded
Total Retention	CCY+ 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to maintain security controls in order to prevent damage, unauthorized access or theft of equipment and supplies.	
Contents:	
Records may include but are not limited to registers of lock combinations, control of keys, etc.	
Notes:	
Cross References:	
See Series FPM-SEC-002 (Facilities and Property Management – Security – Security Systems) for records relating to security measures to buildings or premises.	
See Series EQS-ARR-003 (Equipment and Supplies – Arrangements – Bookings) for records relating to the booking of equipment.	

Series #: EQS-SEC-002

Series Title: Equipment and Supplies – Security – Loss and Damage Reports

Rationale for Retention Period	Replicates retention period in Series 5.19.1 (Equipment and Stores – Security) in the New South Wales General Retention and Disposal Authority: Administrative Records.
Closure Criteria	After actions are completed
Total Retention	CFY + 7 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used for reporting stolen or missing moveable assets, and loss incurred to equipment and supplies.

Contents:

Records may include but are not limited to correspondence, loss / damage reports, police reports, incident reports / security reports.

Notes:

Cross References:

See Series INT-SEC-001 (Information Technology – Security – Security Breaches) for records relating to information technology-related security breaches.