



Information, Privacy and Archives Division

Government of Ontario Function-Based Common Record Series: Information Technology

December 2014

AUTHORIZATION

**Government of Ontario Function-Based Common Records Series:
Information Technology (INT)**

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



James G. Hamilton, Archivist of Ontario

Date:

2014.12.17

Information Technology

Function Acronym: INT

Description

The function of designing, developing or acquiring, testing and implementing hardware infrastructure, and applications and databases to support the business needs of a ministry to capture, store, retrieve, transfer, communicate and disseminate information through information communication technology systems. Includes the evaluation of software and infrastructure services and the procurement, leasing, licensing, service management, maintenance and disposition of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail.

Activities Performed Under This Function

Acronym	Name
AGR	Agreements
APD	Application Development and Management
ARR	Arrangements
AUD	Audit
IMP	Implementation
INV	Inventory
MTC	Maintenance
PLA	Planning
PRO	Procedures
REP	Reporting
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
Agreements (AGR)				
INT-AGR-001	Products and Services	CFY + 7 years	After contracts are terminated or not renewed	Destroy
Application Development and Management (APD)				
INT-APD-001	Projects and Applications	CCY + 7 years	After application has been fully decommissioned, and the information it contains has met applicable records retention requirements or has been successfully migrated to another system	Destroy
Arrangements (ARR)				
INT-ARR-001	Service and Product Requests	CCY + 2 years	After actions are completed	Destroy
Audit (AUD)				
INT-AUD-001	Systems Audits	CFY + 6 years	After audits are finalized, superseded or after subsequent audit	Destroy
Implementation (IMP)				
INT-IMP-001	Projects and Applications	CCY + 7 years	After actions are completed	Destroy
Inventory (INV)				
INT-INV-001	Information Technology and	CCY + 2 years	After inventory is superseded	Destroy

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
	Telecommunications Assets			
Maintenance (MTC)				
INT-MTC-001	Projects and Applications	CCY + 7 years	After application has been fully decommissioned, and the information it contains has met applicable records retention requirements or has been successfully migrated to another system	Destroy
Planning (PLA)				
INT-PLA-001	Ministry Information Technology Plans	CFY + 10 years	After plans are approved	Transfer to Archives
Procedures (PRO)				
INT-PRO-001	Operating Procedures	CCY + 7 years	After database has been fully decommissioned and the information it contains has met applicable retention requirements, or has been successfully migrated to another system	Destroy
Reporting (REP)				
INT-REP-001	Programs, Services and Systems	CCY + 7 years	After final reports are submitted	Destroy
Security (SEC)				
INT-SEC-001	Security Breaches	CCY + 7 years	After actions are completed	Destroy

Activity: Agreements (AGR)

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

Series #: INT-AGR-001	
Series Title: Information Technology – Agreements – Products and Services	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6200-30 (IT / Systems Contract Management) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After contracts are terminated or not renewed
Total Retention	CFY + 7 years
Final Disposition	Destroy
Purpose:	
<p>Information is created and/or received and used to establish information technology and/or telecommunication service agreements (between a ministry and the IT Cluster and/or third party that provide services to it) and establish partnership agreements (between jurisdictions, the broader public sector or private sector).</p>	
Contents:	
<p>Records may include but are not limited to records relating to contract management, such as copies of original contracts, Requests For Information (RFIs), Requests For Proposals (RFPs), and copies of selection documentation.</p> <p>Includes records relating to contracted systems development, service contracts and agreements for systems maintenance, intergovernmental partnership agreements, partnership agreements with the private sector, service level agreements, and related correspondence.</p> <p>Also includes incident reports and other records as they related to vendor performance.</p>	
Notes:	
Cross References:	

Activity: Application Development and Management (APD)

Description: The activities associated with developing systems and managing them over time. Includes developing software and programming codes for business applications, developing specifications, testing and prototyping systems, developing the technical aspects of the design of databases including those for the Internet and Intranet, customizing or configuring off-the-shelf packages and making system changes such as major problem solving, major enhancements and upgrades, and their deployment.

Series #: INT-APD-001	
Series Title: Information Technology – Application Development and Management – Projects and Applications	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6200-40 (IT / Systems Construction) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After application has been fully decommissioned, and the information it contains has met applicable records retention requirements or has been successfully migrated to another system
Total Retention	CCY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of ministries requesting the development of information technology applications from the IT Clusters and Information Technology Services (ITS) and providing business requirements. Includes the ongoing management of systems, such as major changes, enhancements, upgrades, customizations or configurations.	
Contents:	
Records may include but are not limited to background research, project proposals / business cases, project gating / management records, notes of meetings or reports analyzing issues and the outcomes of consultation with employees, stakeholders etc., systems documentation, information regarding the source code and the source code itself, information regarding the interrelationship between systems, system specific data dictionaries.	
Also includes records of establishment of system logs, application and allocation of	

metadata, business rules, user requirements, system specifications and configurations, security requirements, privacy impact assessments (PIAs), security and risk management such as Threat Risk Assessments (TRAs), rectification of developmental problems, requests for system changes during development, Requests for Change (RFCs), and final sign-off by parties.

Records of deployment including agreement to deploy and acceptance, records of testing strategies, e.g. user testing, result forms, test reports, test plans and user acceptance tests (signed off).

Notes:

Cross References:

See Series INT-MTC-001 (Information Technology – Maintenance – Projects and Applications) for records relating to regular changes, enhancements, upgrades, customizations or configurations.

Activity: Arrangements (ARR)

Description: The activities involved in making arrangements for the usage of technology and telecommunications equipment.

Series #: INT-ARR-001	
Series Title: Information Technology – Arrangements – Service and Product Requests	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6450 (End-user Support) 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 requesting a service or product such as Desktop and Field Services, Enterprise Email Services, Mobile IT, Networking Services, Telephone Services, etc. from IT Services Catalogue through the Service Order Desk Online (S.ODO) system.	
Contents: Records may include but are not limited to S.ODO registration information and request confirmation (email).	
Notes:	
Cross References:	

Activity: Audit (AUD)

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

Series #: INT-AUD-001	
Series Title: Information Technology – Audit – Systems Audits	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-5050 (Audits, Compliance Reviews and Projects) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After audits are finalized, superseded or after subsequent audit
Total Retention	CFY + 6 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of responding to information system audits such as information technology (IT) audits and integrated audits (IT and financial).	
Contents:	
Records may include but are not limited to audit program documentation, work documentation, draft memoranda, correspondence and copies of final audit reports and records of remedial action.	
Notes:	
Cross References:	

Activity: Implementation (IMP)

Description: The activities associated with carrying out or putting into action plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes the implementation of applications or systems, and standalone projects for installation but excludes the minor installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met.

Series #: INT-IMP-001	
Series Title: Information Technology – Implementation – Projects and Applications	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6100 (Information Resource Management) 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 process of implementing technology and telecommunications strategies, projects, equipment and systems. Systems can include off-the-shelf products or internally developed applications.	
Contents:	
Records may include but are not limited to records relating to the implementation of technology and telecommunications strategies, projects, equipment and systems.	
Includes notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc.; project management documentation; records of implementation strategies and pilots; records of implementation testing; records of migration strategies and quality assurance checks for migration; records of allocation of technology and telecommunications equipment to individuals or organizational units as part of implementation roll-outs; access permission; records of monitoring of implementation and related correspondence.	
Notes:	

Cross References:

See Series INF-SEC-001 (Information Management – Security – Privacy Breaches) for records relating to breaches or suspected breaches of privacy.

Activity: Inventory (INV)

Description: The activities associated with listing and preparing lists of items and assets in the possession of the ministry. For assets, it may be with a view to reassessing the need for replacing them, identifying missing items and determining the condition of the existing items.

Series #: INT-INV-001	
Series Title: Information Technology – Inventory – Information Technology and Telecommunications Assets	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6650-30 (Telecommunications Inventories) in the <i>OPS Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After inventory is superseded
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of managing the inventory of information technology and telecommunications assets.	
Contents:	
Records may include but are not limited to listings of information technology and telecommunications assets.	
Notes:	
Cross References:	

Activity: Maintenance (MTC)

Description: The activities associated with the upkeep, repair, servicing and preservation of technology and telecommunications equipment and the maintenance of systems.

Series #: INT-MTC-001	
Series Title: Information Technology – Maintenance – Projects and Applications	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6250-30 (Database Maintenance) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After application has been fully decommissioned, and the information it contains has met applicable records retention requirements or has been successfully migrated to another system
Total Retention	CCY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of maintaining of technology and telecommunications equipment.	
Contents:	
Records may include but are not limited to records relating to the maintenance of technology and telecommunications equipment.	
Includes project management documentation; notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc.; correspondence and records of advice from vendors, suppliers, consultants, etc.	
Also includes records of maintenance inspections; requests for maintenance; reports to monitor activity of systems; and documentation of minor maintenance action.	
Notes:	
Cross References:	
See Series INT-APD-001 (Information Technology – Application Development and Management – Projects and Applications) for records relating to major changes, enhancements, upgrades, customizations or configurations.	

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 #: INT-PLA-001	
Series Title: Information Technology – Planning – Ministry Information Technology Plans	
Rationale for Retention Period	Replicates existing approved retention period in-Series PP-4300 (Operational Planning) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After plans are approved
Total Retention	CFY + 10 years
Final Disposition	Transfer to Archives
Purpose:	
Information is created and/or received and used in the process of developing, reviewing and finalizing the ministry's technology and telecommunications plans.	
Contents:	
Records may include but are not limited to background research, notes of meetings, drafts and final approved plans related to quality control, acquisition and implementation projects, systems security, information system security, information management and technology strategy, access control, telecommunications, and contingencies.	
Also includes correspondence, memoranda, reports, working papers, and work plans.	
May include copies of business plans and budgets.	
Notes:	
Cross References:	

Activity: Procedures (PRO)

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

Series #: INT-PRO-001	
Series Title: Information Technology – Procedures – Operating Procedures	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6350-10 (IT / Systems Operating Procedures) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After database has been fully decommissioned and the information it contains has met applicable retention requirements, or has been successfully migrated to another system
Total Retention	CCY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to develop and review ministry procedures related to information technology and telecommunications.	
Contents:	
Records may include but are not limited to final versions of manuals, handbooks, guidelines, etc. detailing procedures for ministry learning and development programs such as system usage procedures.	
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.	
Also may include security standards, copies of disaster recovery plans as they relate specifically to electronic records, and backup and recovery procedures.	
Notes:	
Cross References:	

Activity: Reporting (REP)

Description: The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

Series #: INT-REP-001	
Series Title: Information Technology – Reporting – Programs, Services and Systems	
Rationale for Retention Period	Replicates retention period in Series 20.20.1 (Technology and Telecommunications – Reporting) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After final reports are submitted
Total Retention	CCY + 7 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of developing and reviewing formal reports regarding technology and telecommunications programs, services and systems, e.g. reports on systems development and implementation.	
Contents:	
Records may include but are not limited to background research, records relating to the outcomes of consultations, draft versions of reports containing significant changes / alterations or formally circulated for comment and copies of final approved versions of reports.	
Notes:	
Cross References:	

Activity: Security (SEC)

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

Series #: INT-SEC-001	
Series Title: Information Technology – Security – Security Breaches	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6500 (IT/Systems Security and Reliability) 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 process of receiving or reporting (from and to IT Cluster) on suspected or proven breaches of security for technology and telecommunications systems.	
Contents:	
Records may include but are not limited to reports on security leaks, records of investigations into alleged security breaches and records of referral of breaches to law enforcement authorities. Include loss / stolen reports, police reports and changes to inventory.	
Also may include records documenting disaster incidents as they relate to information technology and electronic records, and the steps taken to remedy the situation. Includes incident reports, correspondence and reviews.	
Also may include reports and statistics of a purely administrative nature produced and used in the management of IT systems, including routine incident reports.	
Notes:	
Cross References:	