MGCS

Information, Privacy and Archives Division
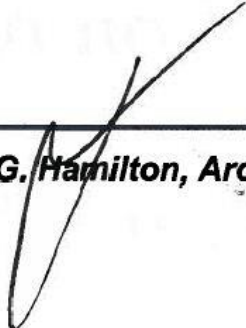
Government of Ontario Function-Based Common Records Series: Strategic Management

December 2014

AUTHORIZATION

Government of Ontario Function-Based Common Records Series:

Strategic Management (STR)

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

2014/12/19

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James G. Hamilton, Archivist of Ontario   Date:

Strategic Management
Function Acronym: STR

Description

The function of applying broad systematic management planning for the ministry. Includes the activities involved with the development, monitoring, and reviewing of business plans, strategic plans, work plans, corporate plans, and agreements and other long-term ministry strategies. Also includes the development of the ministry vision, mission, objectives, continuous improvement processes, quality assurance, enterprise risk management and certification, and the formulation and amendment of legislation which provides the legislative basis for the ministry.

Activities Performed Under This Function

Acronym	Name
ADV	Advice
AGR	Agreements
AUD	Audit
AUT	Authorization
CMM	Committees
CMP	Compliance
CUS	Customer Service
EVA	Evaluation
IMP	Implementation
INQ	Inquiries
JTV	Joint Ventures
LEG	Legislation
MTG	Meetings
PLA	Planning
POL	Policy
PRS	Presentations
PRO	Procedures
REP	Reporting
RSK	Risk Management
SUB	Submissions
VIS	Visits
WRO	Wrongdoing

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
Advice (ADV)				
STR-ADV-001	Subjects	CCY + 6 years	After file is closed	Transfer to Archives
STR-ADV-002	Projects and Issues	CCY + 6 years	After file is closed	Transfer to Archives
STR-ADV-003	Complaints and Investigations	CCY + 6 years	After file is closed	Transfer to Archives
STR-ADV-004	Correspondence	CCY + 6 years	After file is closed	Transfer to Archives
Agreements (AGR)				
STR-AGR-001	Transfers and Divestments	CCY + 7 years	After agreement is amended, terminated or superseded	Transfer to Archives
STR-AGR-002	Memoranda of Agreement and Memoranda of Understanding	CCY + 7 years	After agreement is amended, terminated or superseded	Transfer to Archives
Audit (AUD)				
STR-AUD-001	Internal and External Audits	CFY + 6 years	After audit is finalized or superseded, or after subsequent audit is completed	Transfer to Archives
Authorization (AUT)				
STR-AUT-001	Orders-In-Council and Minister's Orders	CCY + 10 years	After orders are expired, revoked or obsolete	Destroy
STR-AUT-002	Minister's Approvals	CCY + 7 years	After approvals are expired, revoked or obsolete	Transfer to Archives
STR-AUT-003	Delegations of Authority	CCY + 7 years	After delegations are expired, revoked or obsolete	Destroy

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
STR-AUT-004	Procurement	CFY + 7 years	After expiration of contract or actions are completed	Destroy
Committees (CMM)				
STR-CMM-001	Executive and Senior Management Committees	CCY + 9 years	After actions are completed	Transfer to Archives
STR-CMM-002	Ministry, Inter-Ministry and External Committees	CCY + 9 years	After actions are completed	Transfer to Archives
STR-CMM-003	Employee Engagement	CCY + 9 years	After actions are completed	Destroy
Compliance (CMP)				
STR-CMP-001	Standards and Legislative Requirements	CCY + 10 years	After actions are completed	Destroy
Customer Service (CUS)				
STR-CUS-001	Customer Service Charters and Standards	CCY + 3 years	After charters / standards are superseded	Transfer to Archives
Evaluation (EVA)				
STR-EVA-001	Program and Service Design	CCY + 10 years	After actions are completed	Transfer to Archives
STR-EVA-002	Program and Service Monitoring	CCY + 10 years	After actions are completed	Transfer to Archives
Implementation (IMP)				
STR-IMP-001	Policies and Programs	CCY + 10 years	After policy or program is superseded or obsolete	Destroy
STR-IMP-002	Business Continuity and Emergency Management	CFY + 10 years	After business continuity or emergency management plan is superseded	Destroy

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
Inquiries (INQ)				
STR-INQ-001	Formal Inquiries	CCY + 10 years	After file is closed or case if decided	Transfer to Archives
Joint Ventures (JTV)				
STR-JTV-001	Ministries and Stakeholders	CCY + 6 years	After actions are completed	Transfer to Archives
Legislation (LEG)				
STR-LEG-001	Legislation Development and Review	CCY + 10 years	After file is closed or legislation / regulation is enacted	Transfer to Archives
STR-LEG-002	Private Bills and Private Members' Bills	CCY + 10 years	After actions are completed	Transfer to Archives
Meetings (MTG)				
STR-MTG-001	Non-Committee Meetings	CCY + 5 years	After actions are completed	Transfer to Archives
STR-MTG-002	Meeting Books and Calendars	CCY + 5 years	After actions are completed	Destroy
Planning (PLA)				
STR-PLA-001	Strategic and Business Plans	CFY + 10 years	After plan is superseded	Transfer to Archives
STR-PLA-002	Operational Plans	CFY + 10 years	After plan is superseded	Transfer to Archives
STR-PLA-003	Government Transition Plans	CCY + 10 years	After actions are completed	Destroy
Policy (POL)				
STR-POL-001	Development and Review	CCY + 10 years	After actions are completed	Transfer to Archives
STR-POL-002	Approved Directives and Policies	CCY + 10 years	After directive / policy is superseded or obsolete	Transfer to Archives
STR-POL-003	Policy Monitoring and Evaluations	CCY + 10 years	After actions are completed	Transfer to Archives
STR-POL-004	Policy Coordination	CCY+ 10 years	After actions are completed	Transfer to Archives
Presentations (PRE)				
STR-PRE-001	Events	CCY + 5 years	After actions are	Destroy

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
			completed	
Procedures (PRO)				
STR-PRO-001	Development and Review	CCY+ 7 years	After actions are completed	Destroy
STR-PRO-002	Approved Procedures	CCY + 7 years	After procedures are superseded or obsolete	Transfer to Archives
Reporting (REP)				
STR-REP-001	Briefing and Issues Notes	CFY + 10 years	After actions are completed	Transfer to Archives
STR-REP-002	Programs, Services and Systems	CFY + 10 years	After actions are completed	Destroy
STR-REP-003	Organizational Performance	CFY + 10 years	After actions are completed	Transfer to Archives
STR-REP-004	Emergencies and Disasters	CFY + 10 years	After report is completed	Transfer to Archives
Risk Management (RSK)				
STR-RSK-001	Organizational Risk Assessments	CFY + 10 years	After assessment is completed	Destroy
Submissions (SUB)				
STR-SUB-001	Management Board and Treasury Board Submissions	CCY + 10 years	After approvals process is completed	Transfer to Archives
STR-SUB-002	Cabinet Submissions	CCY + 10 years	After actions are completed	Transfer to Archives
Visits (VIS)				
STR-VIS-001	Visiting Officials and Delegations	CCY + 5 years	After actions are completed	Destroy
Wrongdoing (WRO)				
STR-WRO-001	Disclosures	CCY + 7 years	After actions are completed	Destroy

Activity: Advice (ADV)

Description: The activities associated with offering opinions by or to the ministry as to an action or judgement.

Series #: STR-ADV-001	
Series Title: Strategic Management – Advice – Subjects	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-1000 (Deputy Ministers' Subject Files) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After file is closed
Total Retention	CCY + 6 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received by the Deputy Minister / Assistant Deputy Minister / Director and used to inform the Deputy Minister / Assistant Deputy Minister / Director, to provide advice to the Office of the Minister / Assistant Deputy Minister, and to provide executive management for the ministry.

Contents:

Records may include but are not limited to information related to policy matters, programs, initiatives, legislation, budget, business planning, and other subjects of significance to the ministry / division.

Includes incoming and outgoing correspondence, memos, reports, policy papers, planning documents, briefing materials, presentations, communications products, background research, draft legislation, legal opinions, copies of agreements, notes, Cabinet records, communication products, etc.

Notes:

Cross References:

See Series LGL-ADV-002 (Legal Services – Advice – Legal Opinions and Advice) for legal advice provided to the ministry / division.

Series #: STR-ADV-002
Series Title: Strategic Management – Advice – Projects and Issues

Rationale for Retention Period	Replicates existing approved retention period in Series DMO-1001 (Projects and Issues Files) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After file is closed
Total Retention	CCY + 6 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received by the Deputy Minister / Assistant Deputy Minister / Director related to projects and issues for the ministry / division. Information is used to advise the Office of the Deputy Minister / Assistant Deputy Minister / Director and to monitor and coordinate ministry / division direction on projects and issues management.

Contents:

Records may include but are not limited to information regarding projects and activities of significance to the Deputy Minister / Assistant Deputy Minister / Director and information concerning current, past, and anticipated contentious or important issues for the ministry / division.

Includes incoming and outgoing correspondence, memoranda, reports, policy papers, planning documents, briefing materials, communications products, background research, draft legislation, legal opinions, presentations, financial records, notes, Cabinet records, etc.

Notes:

Cross References:

See Series LGL-ADV-002 (Legal Services – Advice – Legal Opinions and Advice) for legal advice provided to the ministry / division.

Series #: STR-ADV-003
Series Title: Strategic Management – Advice – Complaints and Investigations

Rationale for Retention Period	Replicates existing approved retention period in Series DMO-1001 (Projects and Issues Files) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After file is closed
Total Retention	CCY + 6 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received by the Deputy Minister / Assistant Deputy Minister / Director related to complaints or investigations and used to advise the Office of the Minister / Deputy Minister / Assistant Deputy Minister and to monitor and coordinate ministry / division direction.

Contents:

Records may include but are not limited to reports and case files related to complaints or investigations by the Ontario Ombudsman, Commissioners, auditors, etc. of significance to the Deputy Minister / Assistant Deputy Minister / Director.

Includes incoming and outgoing correspondence, memoranda, reports, policy papers, planning documents, briefing materials, communications products, background research, draft legislation, legal opinions, presentations, financial records, notes, Cabinet records, etc.

Notes:

Cross References:

See Series LGL-ADV-002 (Legal Services – Advice – Legal Opinions and Advice) for legal advice provided to the ministry / division.

Series #: STR-ADV-004
Series Title: Strategic Management – Advice – Correspondence

Rationale for Retention Period	Replicates existing approved retention period in Series DMO-1000 (Deputy Ministers' Subject Files) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After file is closed
Total Retention	CCY + 6 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received by the Deputy Minister / Assistant Deputy Minister / Director and is used to inform and advise the Minister / Deputy Minister / Assistant Deputy Minister / Director. Correspondence is also used to receive or request advice and information from others.

Contents:

Records may include but are not limited to correspondence received and copies of all correspondence sent by the Deputy Minister / Assistant Deputy Minister / Director or on behalf of the Deputy Minister / Assistant Deputy Minister / Director.

Includes:

- Incoming correspondence addressed to the Deputy Minister / Assistant Deputy Minister / Director from within or outside the government. Includes memoranda, reports, petitions, mass mailings, and other documents enclosed with or attached to incoming correspondence.

- Copies of outgoing correspondence sent by the Deputy Minister / Assistant Deputy Minister / Director with any enclosures or attachments.

- Indexes, registers or systems that track and provide reports and supporting information relevant to the management of incoming and outgoing correspondence.

Notes:

Cross References:

Activity: Agreements (AGR)

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

Series #: STR-AGR-001	
Series Title: Strategic Management – Agreements – Transfers and Divestments	
Rationale for Retention Period	Replicates existing approved retention period in Series LGL-6001 (Contracts / Agreements Files) in the OPS *Government of Ontario Common Records Series: Legal Services*
Closure Criteria	After agreement is amended, terminated or superseded
Total Retention	CCY + 7 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used by the Deputy Minister / Assistant Deputy Minister / Director to maintain a record of the key negotiations, deliberations, decisions involved in the reorganization or divestment of ministry assets and responsibilities and to maintain evidence of the terms and conditions of such agreements.	
Contents: Records may include but are not limited to records relating to the establishment, negotiation, maintenance and review of agreements regarding the transfer of responsibilities and ownership of assets such as property, information, etc. due to administrative change, privatization or corporatization. Includes correspondence and records of negotiations, drafts containing significant changes / alterations or formally circulated for comment, final approved versions of agreements, reviews of agreements, etc.	
Notes: 	
Cross References: See Series LGL-AGR-001 (Legal Services – Agreements – Contracts and Agreements) for records used to prepare and/or negotiate contracts and to provide legal evidence of the terms and conditions of contracts.	

Series #: STR-AGR-002
Series Title: Strategic Management – Agreements – Memoranda of Agreement and Memoranda of Understanding

Rationale for Retention Period	Replicates existing approved retention period in Series LGL-6001 (Contracts / Agreements Files) in the OPS *Government of Ontario Common Records Series: Legal Services*
Closure Criteria	After agreement is amended, terminated or superseded
Total Retention	CCY + 7 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used by the ministry / division to maintain a record of the key negotiations, deliberations, decisions involved in establishing memoranda of agreement (MOAs), memoranda of understanding (MOUs) and service-level agreements (SLAs) between each ministry / division and other ministries / divisions / agencies (e.g. I&IT Clusters, Ontario Internal Audit Division [OIA], Ontario Shared Services, Fleet Management Centre).

Contents:

Records may include but are not limited to records relating to the establishment, negotiation, maintenance and review of agreements regarding arrangements and services between each ministry / division and other ministries / divisions / agencies.

Includes correspondence and records of negotiations, drafts containing significant changes / alterations or formally circulated for comment, approvals, final approved versions of agreements.

Notes:

Cross References:

See Series LGL-AGR-001 (Legal Services – Agreements – Contracts and Agreements) for records used to prepare and/or negotiate contracts, and to provide legal evidence of the terms and conditions of contracts.

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 #: STR-AUD-001	
Series Title: Strategic Management – Audit – Internal and External Audits	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-5050 (Audits, Compliance Reviews and Projects) and Series GOV-5060 (Special Circumstance Audits, Compliance Reviews and Projects Other Purchases: Quotations and Purchase Orders) in the OPS *Government Common Records Series for Administrative Functions of the Government of Ontario*
Closure Criteria	After audit is finalized or superseded, or after subsequent audit is completed
Total Retention	CFY + 6 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to document formal internal or external audits of ministry / division operations and reportable activities against compliance requirements or to measure ministry / division performance at a strategic level.

See Notes below for more information about internal and external audits.

Contents:

Records relating to audits which cross ministry / division functions, examine ministry / division core functions and activities or measure ministry / division performance or compliance at a strategic level.

Records may include but are not limited to compliance audits, financial audits, operational audits, system audits and quality assurance audits.

Also may include records of audit planning or liaison with auditing body, correspondence, draft versions of audit reports containing significant changes/alterations or formally circulated for comment, final approved versions of audit reports, and records of remedial action.

Notes:

Internal audits involve an independent and objective assurance and consulting activity designed to add value and improve ministry / division operations. It helps the ministry / division to accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. Internal audit can be undertaken by resources within a ministry / division or outsourced with the ministry's / division's oversight and is provided in accordance with appropriate internal audit standards.

External audits involve conducting an audit of a reportable activity, conducted by an appropriately qualified individual or firm that is independent of the ministry / division being audited. The audit is undertaken in accordance with applicable auditing and/or assurance standards; agreed criteria where appropriate; generally acceptable accounting principles where applicable; and the laws, regulations, policies, etc. governing the activity. Examples of external audits are attest audits of financial statements; value for money audits to assess the effectiveness, efficiency and economy of operations; or audits to determine compliance with laws, regulations, ministry / division policies and procedures.

Cross References:

See Series EQS-AUD-001 (Equipment and Supplies – Audit – Annual and Periodic Audits) for audits of equipment and supplies, as well as the ministry's processes for acquiring equipment and supplies and any remedial action.

See Series FIN-AUD-001 (Financial Management – Audit – Audits, Compliance Reviews and Projects) for financial audits of procedures, programs, systems, purchase agreements, and financial accounts as well as to fraud investigations, special investigations, consulting engagements, and control self-assessments.

See Series INT-AUD-001 (Information Technology – Audit – Systems Audits) for audits of information systems such as IT (information technology) audits and integrated audits (IT and financial).

Activity: Authorization (AUT)

Description: The process of seeking and granting permission to undertake a requested action.

Series #: STR-AUT-001	
Series Title: Strategic Management – Authorization – Orders-In-Council and Minister's Orders	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-2300 (Minister's Orders) and in Series PP-2400 (Orders-in-Council) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After orders are expired, revoked or obsolete
Total Retention	CCY + 10 years
Final Disposition	Destroy

Purpose:

Information is created and/or received by the Office of the Deputy Minister / Assistant Deputy Minister / Director and used to maintain a record of appointees to agencies, boards and commissions, as well as other approved orders.

Contents:

Records may include but are not limited to Orders-in-Council signed by the Lieutenant Governor and orders signed by the Premier or Minister, particularly those authorizing appointments to the ministry's agencies, boards and commissions.

Also includes orders signed by the Minister that authorize other activities of government.

Includes related material such as resumes and biographies of appointed persons, correspondence, notes, background materials, summary reports, tracking records, etc.

Notes:

Final Orders-in-Council are located in the records of Cabinet Office. (See Cross References)

Cross References:

See Cabinet Office Series 211 (Orders-in-Council / Regulations Orders-in-Council) for final Orders-in-Council issued by the Executive Council Office (Cabinet Office).

See Series STR-AUT-002 (Strategic Management – Authorization – Delegations of Authority) for delegations signed by the Assistant Deputy Minister to authorize delegations of

responsibilities identified through legislative or operational requirements.

See Series LGL-ADV-003 (Legal Services – Advice – Orders-in-Council) for records used to research and prepare Orders-in-Council which fall within the mandate of the ministry.

See Series LGL-ADV-004 (Legal Services – Advice – Minister's Orders) for records used to research and prepare Minister's Orders which fall within the mandate of the ministry.

Series #: STR-AUT-002
Series Title: Strategic Management – Authorization – Minister's Approvals

Rationale for Retention Period	Replicates existing approved retention period in Series LGL-3004 (Ministerial Approvals) in the OPS *Government of Ontario Common Records Series: Legal Services*
Closure Criteria	After approvals are expired, revoked or obsolete
Total Retention	CCY + 7 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used by the Deputy Minister / Assistant Deputy Minister to prepare and document ministerial approvals pursuant to legislative requirements.

Contents:

Records may include but are not limited to correspondence, drafts, final versions, etc. relating to the preparation of documents for the Minister's signature in order to permit ministries / divisions to carry out specific activities which require the Minister's approval. Includes signed Ministerial approvals.

Notes:

Cross References:

See Series LGL-ADV-005 (Legal Services – Advice – Minister's Approvals) for records used to prepare and document Ministerial approvals pursuant to legislative requirements.

Series #: STR-AUT-003
Series Title: Strategic Management – Authorization – Delegations of Authority

Rationale for Retention Period	Replicates existing approved retention period in Series LGL-3004 (Ministerial Approvals) in the OPS *Government of Ontario Common Records Series: Legal Services*
Closure Criteria	After delegations are expired, revoked or obsolete
Total Retention	CCY + 7 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used by the Deputy Minister / Assistant Deputy Minister to prepare and document delegations of responsibility and authority pursuant to legislative and the *Delegation of Authority Key Directive, March 2000* requirements.

Contents:

Records may include but are not limited to risk assessment reviews, documented instruments, signed delegations of authority including delegation of financial authority (DOFA) and electronic delegation of authority (eDA), and related correspondence.

Notes:

Cross References:

Series #: STR-AUT-004
Series Title: Strategic Management – Authorization – Procurement

Rationale for Retention Period	Replicates existing approved retention period in Series GOV-2000-10 (Tendered Purchases) in the OPS *Common Records Series for Administrative Functions of the Government of Ontario*
Closure Criteria	After expiration of contract or actions are completed
Total Retention	CFY + 7 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used by the Deputy Minister / Assistant Deputy Minister / Director to approve and document activities associated with the procurement of goods and services pursuant to the requirements of the *Procurement Directive, October 2012*.

Contents:

Records may include but are not limited to records used to approve the procurement of all goods and services (e.g. consulting services, information technology) required to meet ministry / division needs.

Also may include annual procurement plans, vendor of record (VOR) arrangements, Advance Contract Awards Notices (ACANs), Requests for Information (RFIs), Requests for Proposal (RFPs), Request for Qualifications (RFQs), Request for Services (RFSs), Requests for Quotations (RFQs), vendors' responses, proposals, tender submissions, tender specifications, advertisements, working papers, waivers, evaluation criteria, summaries, signed copies of legal agreements or contracts, and approvals from delegated authorities, etc.

Also may include post-contract award notifications, post-delivery evaluations of vendor performance, debriefing documentation and records regarding unsuccessful bids.

Also may include VOR exemptions.

Notes:

Cross References:

See Series FIN-PRU-001 (Financial Management – Procurement – Tendered Purchases) for records relating to the process of planning, tendering and acquiring good and services.

See Series FPM-PRU-001 (Facilities and Property Management – Procurement – Buildings) for records relating to acquisitions of buildings and structures acquired for internal OPS use.

See Series FPM-PRU-002 (Facilities and Property Management – Procurement – Land) for records relating to the acquisition of land for internal OPS use.

See Series FPM-PRU-003 (Facilities and Property Management – Procurement – Land Easements and Rights of Way) for records relating to acquisition of rights of way and easements acquired for internal OPS purposes.

See Series PSR-PRU-001 (Public and Stakeholder Relations – Procurement – Creative Works and Services) for records relating to the planning, tendering and acquiring of creative works and services.

Activity: Committees (CMM)

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

Series #: STR-CMM-001	
Series Title: Strategic Management – Committees – Executive or Senior Management Committees	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-2001 (Executive or Senior Management Committee Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 9 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to maintain a record of the key plans, deliberations, decisions, and activities of the ministry / division Executive Committee or Senior Management Committee.	
Contents: Records may include but are not limited to agendas, minutes of meetings, meeting information packages, briefing notes, policy papers, reports, presentations, proceedings, correspondence, and other records pertaining to the committee or group and its meetings. Includes the committee's establishment and dissolution, appointment of members, and terms of reference. May include records related to sub-committees.	
Notes:	
Cross References:	

Series #: STR-CMM-002
Series Title: Strategic Management – Committees – Ministry, Inter-Ministry and External Committees

Rationale for Retention Period	Replicates existing approved retention period in Series DMO-2002 (Executive or Senior Management Committee Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 9 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to maintain a record of the key plans, deliberations, decisions, and activities of the committees or working groups in which executive or senior management (Deputy Minister / Assistant Deputy Minister / Director) participates. These committees or working groups may be internal to the ministry (e.g. ministry audit committee) or inter-ministerial or external to the Ontario government.

Contents:

Records may include but are not limited to records related to committees, councils, task forces, working groups, or other forums chaired by executive or senior management (Deputy Minister / Assistant Deputy Minister / Director) or for which the Office of the Deputy Minister / Assistant Deputy Minister / Director provides secretariat services or maintains the Ontario government's or the ministry's copy of record.

Includes records of federal / provincial meetings and other outside meetings attended by the Deputy Minister / Assistant Deputy Minister / Director.

May include agendas, minutes of meetings, meeting information packages, briefing notes, policy papers, reports, presentations, correspondence, and other records pertaining to the committee or group and its meetings.

Includes the committee's establishment and dissolution, appointment of members, and terms of reference.

May include records related to sub-committees.

Notes:
Cross References:

Series #: STR-CMM-003	
Series Title: Strategic Management – Committees – Employee Engagement	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-2002 (Executive or Senior Management Committee Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 9 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 employee engagement committees.

Contents:

Records may include but are not limited to the records of ministry employee engagement committees responsible for promoting the completion of employee surveys (e.g. OPS Employee Engagement, OPS Pulse) and developing and implementing employee engagement initiatives. Initiatives may include awareness, promotional and outreach activities, social events, etc.

Includes meeting agendas and minutes, briefing notes, reports, presentations, correspondence, and other records pertaining to the committee's meetings and its 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:

See Series STR-REP-002 (Strategic Management – Reporting – Programs, Services and Systems) for reports relating to employment engagement programs.

Activity: Compliance (CMP)

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

Series #: STR-CMP-001	
Series Title: Strategic Management – Compliance – Standards and Legislative Requirements	
Rationale for Retention Period	Replicates retention period in Series 19.4.1 (Strategic Management – Compliance) in the New South Wales *General Retention and Disposal Authority: Administrative Records*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used to demonstrate the ministry's / division's compliance with OPS standards, or with legislative requirements (e.g. *Accessibility for Ontarians With Disabilities Act*).	
Contents: Records may include but are not limited to records relating to initiatives at a ministry or division-wide or program-specific level that demonstrate the ministry's / division's adherence with OPS standards or with legislative requirements. Includes records of assessments of requirements with which the ministry / division must comply, background research into existing levels of compliance, and records of initiatives to address or improve compliance.	
Notes: 	
Cross References: See Series STR-AUD-001 (Strategic Management – Audit – Internal and External Audits) for records relating to formal internal or external audits against compliance requirements.	

See Series FIN-CMP-002 (Financial Management – Compliance – Certificate of Assurance) for records relating to the preparation of the Certificate of Assurance supporting the publication of the Financial Statements of the Province of Ontario.

See Series INF-CMP-001 (Information Management – Compliance – Records Series) for records relating to compliance with legislation regarding developing, amending and obtaining approval for records series.

See Series OHS-CMP-001 (Occupational Health and Safety – Compliance – Workplace Violence Prevention Program), Series OHS-CMP-002, (Workplace Discrimination and Harassment Program), and Series OHS-CMP-003 (Occupational Health and Safety – Compliance – Safe Workplace Program) for records relating to compliance with occupational health and safety requirements.

Activity: Customer Service (CUS)

Description: The activities associated with the strategic planning, monitoring and evaluation of services provided to customers by the ministry.

Series #: STR-CUS-001	
Series Title: Strategic Management – Customer Service – Customer Service Charters and Standards	
Rationale for Retention Period	Replicates existing approved retention period in COM-5003 (French Language Service Records) in the OPS *Government of Ontario Common Records Series: Communications Services*
Closure Criteria	After charters **/** standards are superseded
Total Retention	CCY + 3 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to establish ministry- and division-level customer service charters and standards used to guide the actions of the ministry / division.	
Contents: Records relating to the development and review of ministry- or division-wide strategies to deliver quality services to clients or stakeholders. Records may include but are not limited to ministry- or division-wide charters, standards or guarantees of service, such as accessibility standards for customer service (O. Reg. 429/07) pursuant to the *Accessibility for Ontarians with Disabilities Act, 2005*. Records may include background research, draft versions of plans containing significant changes/alterations or formally circulated for comment, notes of meetings or reports analysing issues and the outcomes of consultation, and final approved version of charters, standards or guarantees.	
Notes:	
Cross References:	

Activity: Evaluation (EVA)

Description: The process of determining the suitability of potential or existing policies and programs, services or systems in relation to meeting the needs of the given situation. Includes ongoing monitoring.

Series #: STR-EVA-001	
Series Title: Strategic Management – Evaluation – Program and Service Design	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-3100 (Program and Service Design) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to evaluate the development and design of potential or new programs, services and systems that relate to the strategic management of the ministry / division.	
Contents: Records relating to the design of potential or new cross-ministry / cross-division or ministry- or division-wide programs, services or systems or major/significant new initiatives. Records may include but are not limited to option papers, business cases, rollout and communications plans, change management, research and analytical reports, risk assessments, contingency plans, education and training materials, memoranda, incoming and outgoing correspondence.	
Notes:	
Cross References: See Series STR-REP-002 (Strategic Management – Reporting – Programs, Services and Systems) for records relating to reports regarding ministry / division strategic management programs, services and systems.	

Series #: STR-EVA-002

Series Title: Strategic Management – Evaluation – Program and Service Monitoring

Rationale for Retention Period	Replicates existing approved retention period in Series PP-3200 (Program and Service Monitoring Evaluations) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to monitor existing programs or services to determine their suitability in meeting the needs of the ministry / division.

Contents:

Records relating to the evaluation of existing cross-ministry / cross-division or ministry- or division-wide programs and services, including program-related performance standards and measurements, fiscal monitoring and tracking of programs as well as the evaluation of their outcomes.

Records may include but are not limited to discussion and analytical papers, research reports, incoming and outgoing correspondence, financial statistics, key performance indicators to measure program or service quality, and materials relating to program or service-wide governance and accountability.

Also may include materials on the role of key stakeholders in the ministry's / division's accountability and reporting mechanisms.

Notes:

Cross References:

See Series FIN-EVA-001 (Financial Management – Evaluation – Financial Performance) for records relating to financial management performance measures.

See Series PSR-EVA-001 (Public and Stakeholder Relations – Evaluation – Ministry Service Standards) for records created and used to monitor and measure performance of ministry (program-specific) customer service standards.

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 monitoring to ensure that the implementation goes according to schedule and that standards are met.

Series #: STR-IMP-001	
Series Title: Strategic Management – Implementation – Policies and Programs	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-2200 (Directives and Operating Policies) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After policy or program is superseded or obsolete
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose: Information is created and/or received by the Deputy Minister / Assistant Deputy Minister / Director and used to document and monitor the implementation of government-wide policies and programs within the ministry / division.	
Contents: Records may include but are not limited to records relating to the implementation of government-wide policies, key direction statements and initiatives concerning important or innovative programs (such as integrated accessibility standards, workplace discrimination and harassment prevention strategies, the OPS employee recognition policy, etc.).	
Notes:	
Cross References:	

Series #: STR-IMP-002	
Series Title: Strategic Management – Implementation – Business Continuity and Emergency Management	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-4300 (Operational Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After business continuity or emergency management plan is superseded
Total Retention	CFY + 10 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used by the ministry / division to document the implementation of business continuity planning (BCP) / emergency management (EM) and continuity of operations program (COOP) plans within the ministry / division.

Contents:

Records relating to the implementation and administration of ministry / division business continuity planning (BCP) / emergency management (EM) and continuity of operations program (COOP) plans, in response to emergencies or disasters that affect ministry / division operations.

Records may include but are not limited to procedures, standards, evaluations, copies of ministry BCP / EM and COOP plans, business impact analyses, business services risk assessments, emergency contact information, and other emergency plans and protocols including documentation of action taken to implement plans and correspondence between relevant parties.

Notes:

Excludes: Source policy and/or program documents created and held by Emergency Management Ontario (EMO).

Cross References:

See Series STR-PLA-002 (Strategic Management – Planning – Operational Plans) for final approved versions of business continuity planning (BCP) / emergency management (EM) and continuity of operations program (COOP) plans.

See Series STR-REP-004 (Strategic Management – Reporting – Emergencies and Disasters) for records relating to reporting on the effects of emergencies, disasters and recovery strategies on ministry / division operations.

See Series FPM-IMP-001 (Facilities and Property Management – Implementation – Site Emergency Management) for records relating to implementing and administering site-specific emergency plans for a building or space within a building.

See Series LAB-PLA-001 (Labour Relations – Planning – Labour Disruption Contingency Plans) for records relating to contingency planning for labour disruptions.

Activity: Inquiries (INQ)

Description: The activities associated with liaising with bodies carrying out inquiries, and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Commissions of Inquiry and the Ontario Ombudsman. Includes the ministry's participation in the inquiry by providing evidence in the form of records, submissions or employees.

Series #: STR-INQ-001	
Series Title: Strategic Management – Inquiries – Formal Inquiries	
Rationale for Retention Period	Replicates existing approved retention period in Series LGL-4005 (Judicial Reviews Files) in the OPS *Government of Ontario Common Records Series: Legal Services*
Closure Criteria	After file is closed or case is decided
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to document the ministry's response to formal inquiries (e.g. Commissions of Inquiry and Ontario Ombudsman inquiries).	
Contents: Records may include but are not limited to statements and submissions, legal advice from ministry and external legal services, responses to final reports and records of implementation of recommendations, and copies of transcripts of evidence or inquiry proceedings. Also may include correspondence with ministry staff, supporting documentation, and research materials. Includes records relating to formal inquiries not involving the ministry or where the ministry submits a nil response. Includes records relating to matters referred from watchdog bodies, such as the Ontario Ombudsman, to the ministry for initial investigation and response.	
Notes:	
Cross References: See Series LGL-LIT-005 (Legal Services – Litigation – Judicial Reviews) for records relating to legal actions and proceedings before courts and tribunals.	

Activity: Joint Ventures (JTV)

Description: The activities involved with managing joint operations with other organizations or with other levels of government where there is a contract/agreement, joint contribution of funds and/or time. Also includes private sector ventures with public sector organizations, and co-research or collaboration between ministry units, agencies or organizations.

Series #: STR-JTV-001	
Series Title: Strategic Management – Joint Ventures – Ministries and Stakeholders	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-1003 (External [Other Ministries and Stakeholder] Files) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 6 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to establish and monitor strategic alliances that relate to the core responsibilities of the ministry / division or other strategic joint venture arrangements.

Contents:

Records relating to incoming and accumulated records and copies of outgoing documents related to the ministry's / division's stakeholders, including: other ministries in the Ontario government; Ontario agencies, boards and commissions; local, provincial, national and international governments or bodies; other intergovernmental stakeholders; and other outside groups or bodies of interest to the ministry and Office of the Deputy Minister / Assistant Deputy Minister / Director.

Records may include but are not limited to incoming and outgoing correspondence, memoranda, reports, policy papers, strategic or business plans, communication products, meeting notes and minutes, presentations, financial records, audit records, notes, researched information, publications and printed materials.

Also may include joint venture agreements.

Notes:
Cross References:

Activity: Legislation (LEG)

Description: The activities involved with making laws. Includes bills, acts and subsections of acts, regulations, and amendments to each.

Series #: STR-LEG-001	
Series Title: Strategic Management – Legislation – Legislation Development and Review	
Rationale for Retention Period	Replicates existing approved retention period in Series LGL-3001 (Acts and Regulations) in the OPS *Government of Ontario Common Records Series: Legal Services*
Closure Criteria	After file is closed or legislation / regulation is enacted
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to document the development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the ministry.	
Contents: Records may include but are not limited to preliminary drafting instructions, draft legislation or regulations, amendments, submissions to the ministry's Senior Management or Executive Committee, reports, submissions received, and records documenting the outcomes of consultation with relevant ministries / divisions and stakeholders.	
Notes:	
Cross References: See Series STR-CMM-001 (Strategic Management – Committees – Executive or Senior Management Committees) for records relating to Executive or Senior Management Committee. See Series LEG-ADV-001 (Legal Services – Advice – Acts and Regulations) for records relating to legal advice sought and received on new or amended acts / regulations that fall within the mandate of the ministry / division, and that assess the impact of acts / regulations of other ministries.	

Series #: STR-LEG-002

Series Title: Strategic Management – Legislation – Private Bills and Private Members' Bills

Rationale for Retention Period	Replicates existing approved retention period in Series PP-2500 (Private Bills and Private Members' Bills) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received by the Office of the Deputy Minister / Assistant Deputy Minister / Director and used to maintain a record of proposed private bills and private members' bills.

Contents:

Records may include but are not limited to copies of proposed bills received from individual Members of the Provincial Parliament or from the public.

May include supporting documentation such as correspondence, notes, background materials, summary reports, tracking records, etc.

Notes:

Cross References:

See Series LEG-ADV-001 (Legal Services – Advice – Acts and Regulations) for records relating to legal advice sought and received on new or amended acts / regulations that fall within the mandate of the ministry / division, and that assess the impact of acts / regulations of other ministries.

Activity: Meetings (MTG)

Description: The activities involved with gatherings held to formulate, discuss, update, or resolve issues and matters.

Series #: STR-MTG-001	
Series Title: Strategic Management – Meetings – Non-Committee Meetings	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-3003 (Engagements and Public Events Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 5 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to manage the appointments and participation of the Deputy Minister / Assistant Deputy Minister / Director in meetings that are not committee related within and outside of government pertaining to the management of the ministry / division as a whole or its program areas.

Contents:

Records may include but are not limited to agendas, minutes, meeting summaries, advice and briefing notes, speaking notes, speeches, presentations, background materials, reports, recommendations and resolutions, and correspondence arising from business discussed and resolutions passed.

Also may include invitations, meeting notifications, and related correspondence.

Notes:

Cross References:

See Series STR-CMM-001 (Strategic Management – Committees – Executive or Senior Management Committees) for records relating to Executive or Senior Management Committee.

See Series STR-CMM-002 (Strategic Management – Committees – Internal, Inter-Ministerial and External Committees) for records relating to other committees, councils, task forces, working groups, or other forums.

See Series STR-PRE-001 (Strategic Management – Presentations – Events) for records relating to the participation of the Deputy Minister / Assistant Deputy Minister / Director in events within and outside of government.

Series #: STR-MTG-002
Series Title: Strategic Management – Meetings – Meeting Books and Calendars

Rationale for Retention Period	Replicates existing approved retention period in Series DMO-3003 (Engagements and Public Events Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 5 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used to manage the appointments and participation of the Deputy Minister / Assistant Deputy Minister / Director in meetings within and outside of government pertaining to the management of the ministry / division as a whole or its program areas.

Contents:

Records may include but are not limited to logs, daily itineraries, diaries, journals, or calendars that record the meetings of the Deputy Minister / Assistant Deputy Minister / Director, as well as records that track or indicate the status of meeting invitations.

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 #: STR-PLA-001	
Series Title: Strategic Management – Planning – Strategic and Business Plans	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-4200 (Business and Fiscal Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After plan is superseded
Total Retention	CFY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to provide executive management of the ministry / division strategic and business planning processes and to liaise with the Office of the Deputy Minister / Assistant Deputy Minister / Director, central agencies, and the ministry / division program area(s) responsible for development of the strategic plans of the ministry / division.

Contents:

Records relating to the Ontario government's business and budget planning process and the development and review of the strategic and business plans of the ministry / division. Includes records relating to the mission, vision and long-term objectives of the ministry / division.

Records may include but are not limited to background research, draft versions of plans containing significant changes / alterations or formally circulated for comment, notes of meetings or reports analysing issues and the outcomes of consultation, as well as records relating to strategic policy planning exercises. Plans may address the financial and human resources implications of policy initiatives and funding analyses, and operating funding proposals and requests.

Includes final approved versions of strategic or business plans, including ministry annual plans and multi-year plans (e.g. Program Review, Renewal and Transformation [PRRT] plans). Also includes related expenditure estimates, budgets, submissions, reports, memoranda and correspondence.

Also may include information from the Office of the Minister / Deputy Minister / Assistant Deputy Minister / Director, Cabinet Office, Ministry of Finance, Treasury Board, Management Board, and other central agencies, as well as information from the ministry's policy and program areas.

Also may include records relating to the preparation for the Estimates Debate with the Standing Committee on Estimates, such as briefing notes, speaking notes, presentations and correspondence.

Notes:

Cross References:

See Series STR-SUB-001 (Strategic Management – Submissions – Management Board and Treasury Board Submissions) for Management Board and Treasury Board submissions (MB20s / TB20s).

See Series ORG-PLA-001 (Organizational Design – Planning – Organizational Structure) for records relating to the development of plans for the structuring or restructuring and establishment of sections or business units.

See Series FIN-PLA-001 (Financial Management – Planning – Annual Financial Planning and Estimates Support) for financial records relating to the preparation of annual planning and estimates.

Series #: STR-PLA-002	
Series Title: Strategic Management – Planning – Operational Plans	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-4300 (Operational Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After plan is superseded
Total Retention	CFY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to provide executive management of the ministry / division / program area operational planning processes and to liaise with the Office of the Deputy Minister / Assistant Deputy Minister / Director / senior management committee, central agencies, and the ministry / division / program area(s) responsible for development of the plans.

Contents:

Records may include but are not limited to records relating to the development and review of operational plans of ministry / division programs and services, other than the ministry's / division's strategic and business plans.

Includes final approved versions of plans for providing ongoing administrative or operational support – e.g. business continuity planning (BCP) / emergency management (EM) and continuity of operations program (COOP) plans, procurement plans, fraud control strategies, risk management plans, total asset management plans, accommodation plans, and physical security plans.

Also includes final approved versions of plans related to ministry / division implementation of OPS-wide initiatives – e.g. green plans, diversity plans, accessibility plans, etc.

Also may include correspondence, memoranda, background research, draft versions of plans containing significant changes/alterations or formally circulated for comment, and notes of meetings or reports analysing issues and the outcomes of consultation.

Notes:

Cross References:

See Series FPM-PLA-001 (Facilities and Property Management – Planning – Asset Management Plans) for records used in the process of the planning of built assets.

See Series INF-PLA-001 (Information Management – Planning – Ministry Information Management Plans) for records relating to the ministry's information management and recordkeeping plans.

See Series INT-PLA-001 (Information Technology – Planning – Ministry Information Technology Plans) for records relating to the development and review of the ministry's information technology and telecommunications plans.

See Series LAB-PLA-001 (Labour Relations – Planning – Labour Disruption Contingency Plans) for records relating to contingency planning for labour disruptions.

See Series LDV-PLA-001 (Learning and Development – Planning – Organizational Learning Plans and Programs) for records relating to the development of ministry learning and development plans and programs.

Series #: STR-PLA-003

Series Title: Strategic Management – Planning – Government Transition Plans

Rationale for Retention Period	Replicates existing approved retention period in Series PP-4400 (Government Transition Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used to monitor and provide executive management to the ministry / division in the event of, or as a result of, a change in government after an election or a Cabinet shuffle during the term of a government.

Contents:

Records may include but are not limited to briefing binders and materials, instructions for managing the transition, material pertaining to special meetings or committees.

Notes:

Cross References:

See Series STR-CMM-001 (Strategic Management – Committees – Executive or Senior Management Committees) and STR-CMM-002 (Strategic Management – Committees – Internal, Inter-Ministerial and External Committees) for records relating to committees, working groups, or other forums pertaining to government transition planning.

Activity: Policy (POL)

Description: The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making and as the basis from which the ministry's operating procedures are determined.

Series #: STR-POL-001	
Series Title: Strategic Management – Policy – Development and Review	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-2000 (Policy Development – General) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to maintain a record of ministry- and division-level policies used to guide the decisions and actions of the ministry / division.	
Contents: Records may include but are not limited to records documenting policy initiatives leading to the development, review, or revision of policies on cross-ministry / cross-division or ministry- and division-wide matters. Includes supporting documentation such as policy agendas, policy proposals, incoming and outgoing correspondence, minutes of meetings and consultations, research and analytical reports, policy proposals, copies of Cabinet submissions, background research, draft versions of policies containing significant changes / alterations or formally circulated for comment. Also may include early drafts of briefing notes, issues notes, and House Books tied to specific policy development projects.	
Notes:	
Cross References:	

Series #: STR-POL-002	
Series Title: Strategic Management – Policy – Approved Directives and Policies	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-2200 (Directives and Operating Policies) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After directive / policy is superseded or obsolete
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to maintain a record of government-wide and ministry- and division-level directives and policies used to guide the decisions and actions of the ministry / division.

Contents:

Records may include but are not limited to final approved versions of directives and policies on government-wide, cross-ministry / cross-division or ministry- or division-wide matters.

Also may include related material such as correspondence, notes and background materials.

Notes:

Cross References:

Series #: STR-POL-003

Series Title: Strategic Management – Policy – Policy Monitoring and Evaluations

Rationale for Retention Period	Replicates existing approved retention period in Series PP-1200 (Policy Monitoring and Evaluations) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to monitor and evaluate cross-ministry / cross-division or ministry- or division-wide policy and policy agendas.

Contents:

Records may include but are not limited to records relating to the tracking of the policy agendas, the evaluation of policy development and coordination processes, reviews of existing policies and policy-related performance standards.

Includes monitoring and evaluating policy agendas of Cabinet, the ministry, as well as other ministries and jurisdictions whose activities may impact the ministry's policy agenda.

Also may include incoming and outgoing correspondence, memoranda, discussion and analytical papers, research reports, meeting notes, minutes, and presentations.

Notes:

Cross References:

Series #: STR-POL-004
Series Title: Strategic Management – Policy – Policy Coordination

Rationale for Retention Period	Replicates existing approved retention periods in Series PP-1000 (Policy Coordination – General) and in Series PP-1100 (Policy Coordination Liaisons) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to ensure that the ministry's / division's policies and program design are developed in a manner that makes them compatible with other related policies and programs and consistent with the Ontario government's overall policy objectives.

Includes the fostering and management of ongoing liaisons and general relations with other policy organizations.

Contents:

Records may include but are not limited to incoming and accumulated records and copies of outgoing documents related to: the ministry's / division's program areas; Cabinet and Cabinet committees; other Ontario ministries, agencies, boards, and commissions; intergovernmental stakeholders; and other outside groups or bodies of interest to the ministry / division.

Also may include incoming and outgoing correspondence, memoranda, research and analytical reports, policy plans, policy agendas, policy papers, meeting notes and minutes, presentations, researched information, publications and printed materials, copies of Cabinet submissions and other policy products and any other records that relate to policy coordination.

Notes:

Cross References:

Activity: Presentations (PRS)

Description: The activities involved with giving presentations for training, professional, community relations or promotional purposes.

Series #: STR-PRS-001	
Series Title: Strategic Management – Presentations – Events	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-3003 (Engagements and Public Events Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used to document the participation of the Deputy Minister / Assistant Deputy Minister / Director in events within and outside of government pertaining to the management of the ministry / division as a whole or its program areas.	
Contents: Records may include but are not limited to transcripts of final versions of presentations, addresses, speeches, or papers delivered by the Deputy Minister / Assistant Deputy Minister / Director at significant occasions or public events, including conferences. Includes draft versions of presentations, background research, and audio, video or other recordings of presentations. Also may include invitations, notifications, and related correspondence.	
Notes: 	
Cross References: See Series PSR-EVM-001 (Public and Stakeholder Relations – Event Management – Planning and Coordination) for records relating to the planning and coordination ministry-hosted events. See Series PSR-PRS-001 (Public and Stakeholder Relations – Presentations – Events) for presentations delivered by ministry representatives (other than the Deputy Minister / Assistant Deputy Minister / Director) at public events, celebrations, ceremonies, functions, or conferences, including public events held by the ministry.	

Activity: Procedures (PRO)

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

Series #: STR–PRO–001	
Series Title: Strategic Management – Procedures – Development and Review	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-5004 (Policies and Procedures) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 7 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used to maintain a record of ministry and division procedures used to guide the functioning of program areas.	
Contents: Records may include but are not limited to records relating to the development and review of the ministry's / division's manuals, handbooks, guidelines, etc. detailing the ministry's / division's procedures on cross-ministry / cross-division or ministry- or division-wide matters. Also may include related material such as draft versions of procedures containing significant changes / alterations or formally circulated for comment, background research, notes of meetings, reports analyzing issues and the outcomes of consultation.	
Notes: 	
Cross References: 	

Series #: STR-PRO-002
Series Title: Strategic Management – Procedures – Approved Procedures

Rationale for Retention Period	Replicates existing approved retention period in Series DMO-5004 (Policies and Procedures) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After procedures are superseded or obsolete
Total Retention	CCY + 7 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to maintain a record of ministry and division procedures related to the functioning of program areas.

Contents:

Records may include but are not limited to final approved versions of ministry- and division-level manuals, handbooks, standards, guidelines, etc. detailing the ministry's or division's procedures on cross-ministry / cross-division or ministry- or division-wide matters.

Also may include related material such as correspondence and notes.

Notes:

Cross References:

See Series STR-CUS-001 (Strategic Management – Customer Service – Customer Service Charters and Standards) for records relating to ministry- and division-level customer service charters and standards.

See Series FIN-PRO-001 (Financial Management – Procedures – Operating Procedures) for records relating to procedures for ministry financial management programs.

See Series INF-PRO-001 (Information Management – Procedures – Operating Procedures) for records relating to ministry information management procedures.

See Series INT-PRO-001 (Information Technology - Procedures – Operating Procedures) fore records relating to information technology and telecommunications procedures.

See Series LAB-PRO-001 (Labour Relations – Procedures – Operating Procedures) for records relating to ministry labour relations procedures.

See Series LDV-PRO-001 (Learning and Development – Procedures – Organizational Programs) for records relating to procedures for organizational learning and development programs.

See Series ORG-PRO-001 (Organizational Design – Procedures – Operating Procedures) for records relating to ministry organizational design procedures.

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 #: STR-REP-001	
Series Title: Strategic Management – Reporting – Briefing and Issues Notes	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-4300 (Operational Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CFY + 10 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to inform and advise the Deputy Minister / Assistant Deputy Minister / Director regarding ministry / division policies and activities, and to provide direction and advice to ministry / division policy and program areas.	
Contents: Records relating to briefing notes and issues notes received from ministry policy and program areas to inform the Deputy Minister / Assistant Deputy Minister / Director or request advice or decisions from the Deputy Minister / Assistant Deputy Minister / Director. Records may include but are not limited to copies of briefing notes sent by the Offices of the Deputy Minister / Assistant Deputy Minister / Director of the to the ministry's / division's policy and program areas. In addition, may include copies of briefing notes sent to the Minister / Assistant Deputy Minister with approval and comments by the Deputy Minister / Director.	
Notes:	

Cross References:

See Series PSR-REP-002 (Public and Stakeholder Relations – Reporting – Issues) for records relating to reporting on issues management activities across the ministry, and to informing and advising the Deputy Minister and senior management.

Series #: STR-REP-002	
Series Title: Strategic Management – Reporting – Programs, Services and Systems	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-4300 (Operational Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CFY + 10 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used to inform the Deputy Minister / Assistant Deputy Minister / Director regarding ministry / division strategic management programs, services and systems.

Contents:

Records relating to the development and review of reports regarding ministry / division strategic management programs, services and systems.

Records may include but are not limited to periodic reports that span multiple programs, services and systems.

Also includes background research, draft versions of reports containing significant changes/alterations or formally circulated for comment, and final approved versions of reports.

Notes:

Cross References:

See Series INT-REP-001 (Information Technology – Reporting – Programs, Services and Systems) for records relating to reports regarding technology and telecommunications programs, services and systems.

See Series PSR-REP-001 (Public and Stakeholder Relations – Reporting – Programs and Services) for records relating to reporting on and monitoring public and stakeholder relations and customer service programs and services.

Series #: STR-REP-003
Series Title: Strategic Management – Reporting – Organizational Performance

Rationale for Retention Period	Replicates existing approved retention period in Series PP-4300 (Operational Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CFY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to inform the Deputy Minister / Assistant Deputy Minister / Director regarding the ministry's / division's organizational performance.

Contents:

Records relating to the development and review of reports (e.g. annual reports, quarterly reports, etc. or substantial ad hoc reports) regarding the performance of the ministry / division in fulfilling its core responsibilities and meeting its goals and objectives.

Records may include but are not limited to background research, statistics, draft versions of reports containing significant changes/alterations or formally circulated for comment, and final approved versions of reports assessing and monitoring ministry / division performance.

Notes:

Cross References:

Series #: STR-REP-004

Series Title: Strategic Management – Reporting – Emergencies and Disasters

Rationale for Retention Period	Replicates existing approved retention period in Series PP-4300 (Operational Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After report is completed
Total Retention	CFY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to inform the Deputy Minister / Assistant Deputy Minister / Director regarding the ministry's / division's assets, operating capabilities, and organizational performance in response to emergencies or disasters.

Contents:

Records relating to reporting on emergencies or disasters that result in or have the potential to result in significant damage to government assets or the operating capabilities of the ministry / division, or the performance of the ministry / division in meeting its goals and objectives. Also includes the reporting on recovery strategies.

Records may include but are not limited to final approved versions of reports, background research, statistics, and draft versions of reports containing significant changes / alterations or formally circulated for comment. Also may include photographs and records of assessment of damage.

Notes:

Cross References:

See Series STR-IMP-003 (Strategic Management – Implementation – Business Continuity and Disaster Plans) for records relating to the implementation of business continuity planning (BCP) / emergency management (EM) and continuity of operations program (COOP) plans.

Activity: Risk Management (RSK)

Description: The process involving the identification of risks at a strategic level, and the implementation of appropriate practices and procedures which will reduce wastage and the impact of economic loss arising from an incident.

Series #: STR-RSK-001	
Series Title: Strategic Management – Risk Management – Organizational Risk Assessments	
Rationale for Retention Period	Replicates existing approved retention period in Series PP-4200 (Business and Fiscal Planning) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After assessment is completed
Total Retention	CFY + 10 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used by the Deputy Minister / Assistant Deputy Minister / Director to identify and assess organizational risks at the ministry- or division-level, pursuant to the *Risk Management Policy for the Province of Ontario, 2002*.

Contents:

Records may include but are not limited to records relating to the identification and assessment of organizational risks at the ministry- or division-level in order to assist planning and the implementation of strategies to minimize their impact.

Includes threat risk assessments (TRAs), recommendations, evaluation of recommendations, other types of risk assessments, decisions, correspondence and notes.

Notes:

Cross References:

See Series STR-AUT-002 (Strategic Management – Authorization – Delegations of Authority) for risk assessment reviews relating to delegations of responsibility and authority pursuant to legislative and *Delegation of Authority Key Directive* requirements.

See Series FPM-RSK-001 (Facilities and Property Management – Risk Management – Facilities Risk Assessments) for records relating to risk assessments associated with facilities or services of a building or premise.

See Series OHS-RSK-001 (Occupational Health and Safety – Risk Management – Health and Safety Assessments) for records relating to occupational health and safety concerns raised by employees, where risk assessments indicate hazards or risks to employees, and and where monitoring of employees' health is necessary.

Activity: Submissions (SUB)

Description: The activities involved with the preparation and submission of a formal
document (e.g. report, statistics) supporting a case or opinion held by the
ministry for the purpose of either gain or support.

Series #: STR-SUB-001	
Series Title: Strategic Management – Submissions – Management Board and Treasury Board Submissions	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-5002 (Management Board and Treasury Board Submissions and Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After approvals process is completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives
Purpose: Information is created and/or received and used to monitor Management Board and Treasury Board submissions (MB20s / TB20s) and to liaise with those boards, especially regarding funding to ministry program areas.	
Contents: Records may include but are not limited to submissions to Management Board of Cabinet or the Treasury Board (MB20s / TB20s) and related material, as well as other information sent to or received from Management Board or Treasury Board. Submissions include: Application and Report to Management Board (MB20) Form; Report to Management Board Supplement – PSAB Accounting Impacts Form; and Executive Summary (if submission is greater than five pages). Also may include related correspondence, notes, comments, clarifications, background material, summary reports, discussion papers, business cases, presentations, selected extracts or copies of Management Board or Treasury Board minutes, tracking records, as well as copies of budgets, and estimates, etc.	

Notes:

Cross References:

See Series FIN-SUB-001 (Financial Management – Submissions – Management Board Cabinet and Treasury Board Secretariat Submission Development) for records relating to the process of developing and submitting for ministry senior management approval formal financial reports to Treasury Board Secretariat (TBS) and Management Board of Cabinet (MBC).

Series #: STR-SUB-002

Series Title: Strategic Management – Submissions – Cabinet Submissions

Rationale for Retention Period	Replicates existing approved retention period in Series DMO-5001 (Cabinet Submissions and Cabinet Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices* and Series PP-2100 (Cabinet Submissions) in the OPS *Government of Ontario Common Records Series: Policy and Planning Functions*
Closure Criteria	After actions are completed
Total Retention	CCY + 10 years
Final Disposition	Transfer to Archives

Purpose:

Information is created and/or received and used to monitor Cabinet submissions and liaise with Cabinet Office.

Contents:

Records may include but are not limited to drafts and significant versions of submissions to Cabinet and related material, sent to or received from Cabinet or Cabinet committees pertaining to policies, statutes and regulations governing the ministry and its programs.

Includes Cabinet submissions from other ministries that the Deputy Minister / Assistant Deputy Minister has been asked to comment on.

Also may include the related comments, notes, correspondence, memoranda, reports, discussion papers, presentations, background material, selected extracts or copies of Cabinet minutes, summary reports, tracking records, etc.

Notes:

Cross References:

See Series ORG-SUB-001 (Organizational Design – Submissions – Executive Development Committee and Public Service Commission) for records relating to submissions to the Executive Development Committee of Cabinet regarding major organizational design activities where there are potential significant strategic implications.

Activity: Visits (VIS)

Description: The activities involved in arranging visits by officials and delegations to the ministry, with a view to inform, educate or promote the services, operation and role of the ministry.

Series #: STR-VIS-001	
Series Title: Strategic Management – Visits – Visiting Officials and Delegations	
Rationale for Retention Period	Replicates existing approved retention period in Series DMO-3003 (Engagements and Public Events Records) in the OPS *Government of Ontario Common Records Series: Deputy Ministers' Offices*
Closure Criteria	After actions are completed
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used to document the visits of officials and other delegations to the ministry / division that require the participation of the Deputy Minister / Assistant Deputy Minister / Director.	
Contents: Records may include but are not limited to records relating to visits made to the ministry / division by Ontario Members of Provincial Parliament (MPPs), senior OPS executives, other government officials, officials from other jurisdictions, non-government affiliated persons, including out-of-province and international delegations. Records may include invitations, itineraries and programs, visit reports, records of security arrangements, letters of appreciation, etc.	
Notes:	
Cross References: See Series STR-PRE-001 (Strategic Management – Presentations – Events) for records relating to the participation of the Deputy Minister / Assistant Deputy Minister / Director in events within and outside of government. See Series PSR-VIS-001 (Public and Stakeholder Relations – Visits – Site Visits) for records relating to coordinating site visits.	

Activity: Wrongdoing (WRO)

Description: The processes which allow the disclosure of wrongdoing, and strategies for the prevention of wrongdoing (including fraud).

Series #: STR-WRO-001	
Series Title: Strategic Management – Wrongdoing – Disclosures	
Rationale for Retention Period	Replicates retention period in Series 19.5.2 (Strategic Management – Corruption) in the New South Wales *General Retention and Disposal Authority: Administrative Records*
Closure Criteria	After actions are completed
Total Retention	CCY + 7 years
Final Disposition	Destroy

Purpose:

Information is created and/or received and used by the ministry's ethics executive (Deputy Minister) to document the ministry's disclosure of wrongdoing, and strategies for the prevention of wrongdoing (including fraud).

Contents:

Records may include but are not limited to records relating to the ministry's reporting requirements in accordance with the *Disclosure of Wrongdoing (Public Service Commission) Directive*.

Includes disclosure correspondence, assessments, legal and financial advisements, reports, decisions, and summary information. Also may include referrals to the Office of the Integrity Commissioner of Ontario (OIC), and copies of OIC recommendations and reports.

Notes:

Cross References: