

INFORMATION SYSTEMS AND TECHNOLOGY

6000 - 6999

The Information Systems and Technology Section includes records relating to the planning, development, maintenance and operation of automated information systems. This includes records regarding information system and technology plans and models; end-user services; network design and implementation; database administration; and systems development, maintenance, operations, reports and security.

NOTE: This section applies only to records regarding the establishment and operation of computer systems. To classify and assign retention periods to electronic records created by computer systems, refer to the appropriate section of ARMS 2006 or your ORS.

For example, computer generated payroll reports are classified as 5510-20 PAY ADMINISTRATION - PAYROLL REPORTS AND REGISTERS.

LIST OF PRIMARIES

6000	Information Systems and Technology - General	6120	System Development
6030	Information Systems Planning	6140	System Maintenance
6060	Database Development and Administration	6160	System Operations
6080	End-User Support	6180	System Reports
6100	Network Design and Management	6200	System Security and Reliability

6000 INFORMATION SYSTEMS AND TECHNOLOGY - GENERAL
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Records relating generally to automated information systems and technology issues and functions not shown elsewhere in this section. Includes client requests for information technology services.

For computer equipment and supplies SEE primaries 3100 to 3130.

For administrative planning and evaluation SEE primary 1680.

Number	Secondary Title	Retention	Final Disposition
6000 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	D
6000 – 02	Standards	SO + 6y	D
6000 – 20	Reports and Statistics	SO + 2y	D
6000 – 50	Service Requests	3y	D

6030 INFORMATION SYSTEMS PLANNING
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Records relating to corporate planning and review of information systems including analysis of information resources (data) to ensure effective management of the information by automated systems. Includes planning and strategies for information systems, research and evaluations of new technologies, information technology architecture standards, management and control of data as a shared resource, information needs analyses, etc. This primary also includes organization-wide information models (data modeling, data dictionary, etc.), data administration projects (planning and control, conceptual design, integrity and definition of data resources, etc.) and information technology architecture projects.

For computer equipment and supplies SEE primaries 3100 to 3130.

For computer hardware and software inventories SEE primary 3030.

Number	Secondary Title	Retention	Final Disposition
6030 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	A
6030 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6030 – 02	Standards	SO + 6y	D
6030 – 03	Planning and Review - includes information analysis, information models, etc.	SO + 6y	A
6030 – 20	Reports and Statistics	SO + 2y	D
6030 – 50	Research and Evaluations	SO + 6y	D
6030 – 55	Projects	SO + 6y	A

The retention period *indicates current fiscal year plus the number of years listed.*

SO - Superseded or Obsolete; **N/A** – not applicable
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6060 DATABASE DEVELOPMENT AND ADMINISTRATION

Records relating to the design, maintenance and operation of databases (indexing, retrieving, updating records, etc.). This primary is generally intended for centrally managed databases with decentralised access by more than one system (client-server databases). It includes planning, physical database design, performance testing and evaluation, and optimization of database management systems. Also includes maintenance tasks related to database operations.

For commercial database software SEE primary 3130.

For databases which are integrated within and developed as part of a single system SEE primary 6120.

For client application development SEE primary 6120.

Number	Secondary Title	Retention	Final Disposition
6060 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	D
6060 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6060 – 02	Standards	SO + 6y	D
6060 – 20	Reports and Statistics	SO + 2y	D

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6060 DATABASE DEVELOPMENT AND ADMINISTRATION (continued)

Number	Secondary Title	Retention	Final Disposition
6060 – 55	Database Planning and Design - includes capacity planning	SO* + 6y	D
6060 – 60	Database Maintenance	SO* + 2y	D
6060 – 65	Performance Monitoring and Evaluation	3y	D

SO* = Until the database has been decommissioned and the information it contains has met applicable retention requirements, or has been successfully migrated to another system.

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6080 END-USER SUPPORT

Records relating to the provision of support services to end-users of information systems and technology. Includes records related to the establishment and operation of help desk services (inquiry log, escalations). In addition, it includes records related to customized information retrieval services provided to end-users for systems which do not directly support client needs (ad-hoc reports, queries, etc.). It also includes records related to the provision of training and support for automated systems (user orientation, etc.).

For computer equipment and supplies SEE primaries 3100 to 3130.

For computer training and development courses SEE primaries 5785 to 5815.

For computer equipment loans SEE 3000-02.

Number	Secondary Title	Retention	Final Disposition
6080 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	D
6080 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6080 – 02	Standards	SO + 6y	D
6080 – 20	Reports and Statistics	SO + 2y	D
6080 – 50	Help Centre/Help Desk	3y	D
6080 – 55	Information Retrieval Services	2y	D
6080 – 60	Training and Support	3y	D

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6100 NETWORK DESIGN AND MANAGEMENT

Records relating to data network developments within and between agencies, regions, districts or branches. Includes the establishment and management of local-area networks (LANs), wide-area networks (WANs) and other types of computer networks (metropolitan-area networks, etc.)

For commercial network hardware and software SEE primaries 3100 to 3130.

Number	Secondary Title	Retention	Final Disposition
6100 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	A
6100 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6100 – 02	Standards	SO + 6y	D
6100 – 20	Reports and Statistics	SO + 2y	D
6100 – 50	Development Projects - includes planning, design and installation	SO + 3y	A
6100 – 65	Performance Monitoring and Evaluation	SO + 3y	A
6100 – 70	Network Maintenance	SO + 2y	D

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6120 SYSTEM DEVELOPMENT

Records relating to the development of automated information systems and software including application development, application customization, Website development, etc. Includes business area analyses, feasibility studies, application and data requirements, application and data design, test plans, results and analysis, and documentation development such as operations manuals, user manuals, training manuals, source listings of program code, data set names, backup file names and quality assurance reports.

NOTE: Published documentation for commercial systems are not scheduled records, but may be filed under secondaries 90 or 95 for convenience.

For computer equipment and supplies SEE primaries 3100 to 3130.

For records relating to development and collation of information found on websites SEE primary 1525.

Number	Secondary Title	Retention	Final Disposition
6120 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	A
6120 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6120 – 02	Standards	SO + 6y	D
6120 – 20	Reports and Statistics	SO + 2y	D

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6120 SYSTEM DEVELOPMENT (continued)
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Number	Secondary Title	Retention	Final Disposition
6120 – 50	Projects - Information related to each system may be kept in one case file for smaller projects, or it can be broken into secondaries 55 to 95 if desired.	SO* + 2y	D
6120 – 55	Project Management - includes project evaluations	SO* + 2y	A
6120 – 60	Planning and Initiation	SO* + 2y	D
6120 – 65	Requirements Analysis	SO* + 2y	D
6120 – 70	Design	SO* + 2y	D
6120 – 75	Construction - programming, etc.	SO* + 2y	D
6120 – 80	Testing	SO* + 2y	D
6120 – 85	Deployment	SO* + 2y	D
6120 – 90	System Documentation - includes finished programs	SO* + 2y	D
6120 – 95	User Documentation	SO* + 2y	D

SO* = Until the system has been decommissioned and the information it manages has met applicable retention requirements, or has been successfully migrated to another system.

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6140 SYSTEM MAINTENANCE

Records relating to the maintenance of automated information systems (i.e. commercial applications, customized applications, websites, etc.). This includes the ongoing correction of software defects, as well as modifications made to accommodate changes in hardware, to speed up operational aspects of a system, or to reflect a change in user requirements. This primary applies to both internally-developed systems (see primary 6120) as well as commercial applications. It includes change management standards, enhancement requests and modification projects (upgrade planning and implementation, next release items, etc.).

For computer equipment and supplies SEE primaries 3100 to 3130.

For Audits and Compliance Reviews SEE primary 4160.

For information technology planning and review SEE primary 6030.

Number	Secondary Title	Retention	Final Disposition
6140 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	D
6140 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6140 – 02	Standards	SO + 6y	D
6140 – 20	Reports and Statistics	SO + 2y	D
6140 – 50	Maintenance Case Files - includes change/enhancement requests, modification projects, etc.	SO* + 2y	D

SO* = until the system has been decommissioned and the information it manages has met applicable retention requirements, or has been successfully migrated to another system.

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6160 SYSTEM OPERATIONS

Records relating to the ongoing operation of information systems. Includes records relating to problems and incidents, disk and tape space management and the monitoring and control of large systems. This primary also includes monitoring of day-to-day operations of websites.

For computer equipment and supplies SEE primaries 3100 to 3130.

For backup/recovery procedures SEE primary 6200.

For data entry forms and records pertaining to data entry and processing SEE primary 1775.

For records related to information stored on electronic media (tape library, inventories, etc.) SEE primary 1745.

For Audits and Compliance Reviews SEE primary 4160.

For information technology planning and review SEE primary 6030.

Number	Secondary Title	Retention	Final Disposition
6160 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	D
6160 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6160 – 02	Standards	SO + 6y	D
6160 – 20	Reports and Statistics	SO + 2y	D

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6160 SYSTEM OPERATIONS (continued)

Number	Secondary Title	Retention	Final Disposition
6160 – 60	Problems and Incidents	3y	D
6160 – 65	Space Management	3y	D
6160 – 70	System Monitoring	3y	D

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6180 SYSTEM REPORTS

Records relating to reports and statistics produced and used exclusively by computing systems. This primary generally applies to computer-generated reports created at regular intervals (typically daily, weekly, or monthly) which assist in the monitoring and control of automated information systems. Types of reports covered by this primary include system activity/usage reports, incident reports, maintenance reports, status reports and verification reports.

NOTE: This primary does NOT apply to reports created by systems for other administrative and operational uses within an agency. These records should be scheduled under the appropriate entry in your operational schedule (ORS) or in other sections of ARMS 2006.

Number	Secondary Title	Retention	Final Disposition
6180 – 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	D
6180 – 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6180 – 02	Standards	SO + 6y	D
6180 – 50	Activity Reports	SO	D
6180 – 55	Incident Reports	3y	D
6180 – 60	Maintenance Reports	SO + 3y	D
6180 – 65	Status Reports	3y	D
6180 – 70	Verification Reports	SO	D
6180 – 75	Other Reports	6y	D

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6200 SYSTEM SECURITY AND RELIABILITY

Records relating to ensuring the security and reliability of automated information systems. Includes security standards, user access controls (password lists), backup and recovery procedures and system backup files which are created solely for the purpose of ensuring system security and reliability. This primary also covers Year 2000 (Y2K) preparedness projects files including analysis documentation, communication, project plans, progress reports, etc

For information security SEE primaries 1810 and 17870.

For disaster recovery plans SEE primary 1370.

Number	Secondary Title	Retention	Final Disposition
6200 - 00	Policy and Procedure - includes standards, guidelines, directives, etc.	SO + 6y	A
6200 - 01	General <i>This secondary is intended to be used sparingly. It can be used <u>ONLY</u> if the records are not required to support financial, legal or specific administrative functions.</i>	2y	D
6200 - 02	Standards	SO + 6y	A
6200 - 20	Reports and Statistics	SO + 2y	D
6200 - 50	Access Controls	SO + 2y	D
6200 - 55	Backup/Recovery Procedures	SO + 3y	D
6200 - 60	System Backup Files	SO*	D
6200 - 65	Project Case Files - includes Y2K project	SO + 6y	A

SO* = System Backup Files are routinely made for security of information and emergency system recovery purposes. System Backup Files are only required for limited periods of time in order to meet the administrative and operational requirements of government agencies.

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6200 SYSTEM SECURITY AND RELIABILITY (continued)

System backups are typically made on a daily, weekly, monthly, and/or annual basis.

Backups usually include data or data extractions, but may also include commercial or custom-designed software. Backup procedures and their frequency may differ from system to system. An acceptable practice is to re-use electronic backup media according to a re-use schedule established on a system-by-system basis.

Disposal of these records through destruction or re-use of the media may proceed according to internal disposal procedures.

NOTE: This classification does not apply to disk or tape backups made for other purposes. For example, electronic records transferred to tape, disk, etc. for long-term preservation must be classified by function, and disposed according to an approved records schedule.