



**CAYMAN ISLANDS  
NATIONAL ARCHIVE**  
CAYMAN ISLANDS GOVERNMENT

**Disposal Authorisation  
for  
Information and Technology Management  
Records**

**Administrative Schedule No. 4**

**July 2014**



## **AUTHORISATION FOR THE COMMENCEMENT OF THIS SCHEDULE**

**Issued under the National Archive and Public Records Law (2010 Revision)**

### **Authorisation:-**

Under Section 8 of the National Archive and Public Records Law (2010 Revision), I hereby approve relevant public agencies (as defined under Section 2(1) of the National Archive and Public Records Law (2010 Revision) to administer the disposal of public records in accordance with the prescribed retention periods set out herein.

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Date: \_\_\_\_\_

Franz I. Manderson  
Deputy Governor

## **1. Introduction**

The National Archive and Public Records Law (2010 Revision) provides the regulatory framework to support the disposal of government's informational assets past their retention periods. Approval for the destruction of public records is stipulated in accordance with Section 6(2) b. This Schedule sets retention periods for information and technology management administrative records of all public agencies. Disposal of public records involves destruction, acquisition by the National Archive, records transferred to the custody and ownership of another agency.

## **2. Legislative Framework**

This Schedule is issued under Section 8 of the National Archive and Public Records Law (2010 Revision) and is a requirement for every public agency as defined under Section 2(1) of this Law. Evidentiary backing within practice for establishing a sound records and information management infrastructure is supported by the following legislation:-

- The Cayman Islands Constitutional Order 2009
- Public Service Management Law (2011 Revision)
- Public Service Management Law – Personnel Regulations (2012)
- Public Management and Finance Law (2012 Revision)
- Public Management and Finance Law – Financial Regulations (2010 Revision)
- The Freedom of Information Law (2007)
- Evidence Law (2011 Revision)
- Electronic Transactions Law (2003 Revision)
- Limitation Law (1996 Revision)

## **3. Exclusions**

This Schedule does not cover the destruction of public records:-

- a) If records are deemed to have intrinsic or archival value regardless of its original format or media or records that will be held permanently within agencies.
- b) If there is a government policy or directive not to destroy public records.
- c) If public agencies are reasonably aware records may be required for judicial matters or audits.
- d) If records are subject to access inquiries or appeals under the Freedom of Information Law.
- e) If the Cayman Islands National Archive has issued a standard prohibiting the destruction of specific records required for incorporation into the Historical Collection for long-term preservation.

ITM	INFORMATION AND TECHNOLOGY MANAGEMENT	
ITM/AUD	<b>AUDITING</b> Officially checking quality assurance and operational records to examine whether information technology management activities are being accurately documented in accordance with laws, agreed standards, regulations, best practices, procedures and plans. Includes compliance, recordkeeping system, quality assurance and security audits/risk assessments.	
ITM/AUD/01	<b>Internal and external compliance audits</b> Conducted within Government or by private parties on compliance with information technology and telecommunications standards, such as ISO 9000 series. Includes correspondence, arrangements, audit forms, final reports and feedback. Also documentation of routine inspections of ITM assets, e.g. recordkeeping practices, software related surveys, system statistics, etc.	<b>Review by agency 7 years after final report completed/last action.</b>
ITM/DSL	<b>CONTROL – MAINTENANCE &amp; DISPOSAL</b> Activities related to record centre operations and other secure and controlled storage for public records and archives. Includes arrangements for physical storage. Excludes: security (use ITM/POL/02), finance related records and documentation (see FM/ACQ) and disposal of hardware (use FM/ACQ/02).	
ITM/DSL/01	<b>Offsite storage</b> Correspondence relating to maintenance and management.	<b>Destroy 6 years after contract expired/terminated.</b>
ITM/DSL/02	<b>Retrieval of records</b> Includes copies of delivery lists for the retrieval and return of records to/from the Government Records Centre and records relating to retrieval/return to/from other offsite storage.	<b>Destroy 2 years after records were disposed.</b>
ITM/DSL/03	<b>Location lists</b> Documenting the location of records stored on and offsite.	<b>Destroy 2 years after list superseded.</b>
ITM/DSL/04	<b>Transfer of archival records</b> Documenting the transfer of ownership of records, identified as archival in disposal schedules, from entities defined under the <i>National Archive and Public Records Law (2010 Revision)</i> to the National Archive.	<b>Permanently held in agency.</b>
ITM/DSL/05	<b>Transfer of records to/from another entity</b> Records documenting transfer of custody, control or ownership of agency through restructuring or privatisation.	
ITM/DSL/06	<b>Certificates of destruction</b> Includes proof of destruction forms.	
ITM/DSL/07	<b>Review lists</b> List of records that are on review for disposal (i.e. destruction or transfer to CINA).	<b>Destroy 5 years after action completed.</b>
ITM/DSL/08	<b>Approved file plan and disposal schedules</b>	<b>Permanently held in agency.</b>
ITM/DSL/09	<b>File plan and disposal schedule development</b>	<b>Destroy 10 years after last action.</b>
ITM/DSL/10	<b>Recordkeeping advice and guidance</b>	<b>Destroy 5 years after last action.</b>
ITM/FOI	<b>FREEDOM OF INFORMATION</b> Managing requests, appeals and enquiries that are received under the Freedom of Information (FOI) Law 2007. Includes plans and policy records in relation to the agencies implementation of the FOI	

	Law and the agencies obligations under it, as well as records relating to decisions about releasing, withholding or redacting documents as a result of FOI requests. Excludes: records of financial transactions, e.g. payments of fees (use FM/ACC/02) and statistics (use ITM/FOI/05).	
ITM/FOI/01	<b>Appeals</b> Includes internal reviews, appeals to the Information Commissioner and judicial reviews. Records should be cross-referenced with original request case file.	<b>Review 10 years after appeal has been resolved.</b>
ITM/FOI/02	<b>Requests (case files)</b> Includes documentation of redaction, proactive and in response to requests.	<b>Review 10 years after last action.</b>
ITM/FOI/03	<b>FOI implementation</b> Documenting how to fulfil agencies obligations under the law, e.g. procedures for handling requests, policy and procedures for handling personal data arising from these requests. Includes monitoring to ensure that implementation goes according to schedule and that standards are met and documentation for introduction of new software. Excludes statistical usage data.	<b>Review 10 years after superseded/obsolete.</b>
ITM/FOI/04	<b>Publication Scheme</b> Includes records relating to the automatic publication of an agency’s information which is readily available to the public without the need for specific written requests.	<b>Destroy 10 years after scheme superseded/obsolete.</b>
ITM/FOI/05	<b>Reports for Information Commissioner’s Office (ICO)</b> As required of agencies by ICO.	<b>Destroy after 5 years.</b>
ITM/FOI/06	<b>Guidance</b> Directives issued by the ICO and FOI Unit.	<b>Destroy 5 years after superseded/last action.</b>
ITM/FOI/07	<b>IM Network meetings/training</b> Supporting documentation and notes in preparation for and as a result of a meeting and/or training session.	
ITM/FOI/08	<b>Disclosure Logs</b> List of FOI requests, outcomes and records released (if any). Excludes personal information related to the applicant, withdrawn requests, administrative closures and unsuccessful requests.	<b>Destroy 10 years after last action.</b>
<b>ITM/IPY</b>	<b>INTELLECTUAL PROPERTY - COPYRIGHT</b> Management of agency’s intellectual property and use of material held by the agency which is the intellectual property of another party. Includes the administration of crown copyright. Excludes: the administration of payments (see FM/ACC) and policy and procedures (see ITM/POL).	
ITM/IPY/01	<b>Reproduction requests</b> Applications received by public agency for permission to reproduce material for which it owns copyright.	<b>Destroy 7 years after last action.</b>
ITM/IPY/02	<b>Applications for use of copyright</b> Applications made by public agencies to use copyrighted material (including software) owned by another party.	
ITM/IPY/03	<b>Copyright infringement</b> Documentation relating to copyright infringement cases.	
ITM/IPY/04	<b>Copyright declaration forms</b>	
<b>ITM/LIB</b>	<b>CONTROL – LIBRARY</b> Acquiring and maintaining print and electronic documents, official and other publications for	

	reference use by staff. Includes records documenting the library system. Excludes: record surveys (see ITM/RCD/03) and policy and procedures (see ITM/POL).	
ITM/LIB/01	<b>Catalogues</b> Includes descriptive records of the Staff Library collection to make materials in the collection more accessible. E.g. indexes, classification schemes and thesauri.	<b>Destroy once entity no longer exists.</b>
ITM/LIB/02	<b>Subscriptions</b> Includes records of memberships to e-journals/magazines, professional journals, associations and societies.	<b>Destroy 7 years after expiration/renewal/cancellation of subscription.</b>
<b>ITM/PLA</b>	<b>PLANNING</b> Discussing and preparing to implement, manage and monitor ITM-related activities. Evaluating needs, setting objectives and designing strategies to achieve proposed outcomes. Excludes software development (see ITM/SOF).	
ITM/PLA/01	<b>Final versions of agency-wide plans</b>	<b>Review 7 years after plan superseded/obsolete.</b>
ITM/PLA/02	<b>Final versions of business unit plans</b>	<b>Destroy 2 years after plan superseded/obsolete.</b>
ITM/PLA/03	<b>Final version of minutes of meetings</b> Includes minutes and supporting documents tabled at routine meetings held to discuss ITM activities.	<b>Review 7 years after minutes approved.</b>
ITM/PLA/04	<b>Planning process and development of action plans</b> Working papers documenting the process and development of the plans. Includes drafts, reports, feedback and comments.	<b>Destroy 2 years after new plan adopted.</b>
ITM/PLA/05	<b>Conduct and administration of meetings</b> Working papers documenting the conduct and administration of meetings. Includes agendas, notices of meetings, draft minutes and supporting documents.	<b>Destroy 2 years after last action.</b>
<b>ITM/POL</b>	<b>POLICY</b> Records documenting the development and establishment of ITM related policies. Includes proposals and procedures. Excludes Freedom of Information (see ITM/FOI).	
ITM/POL/01	<b>Information Management Policy</b> Records documenting the development and establishment of agency's policy related to ITM activities. E.g. ITM security, web, intranet and email, preservation. Includes proposals, reports of consultations and final policy documents.	<b>Review 5 years after new policy/procedures superseded.</b>
ITM/POL/02	<b>ITM-related procedures</b> Standard agency operating procedures which support established policy. Includes agency manuals, handbooks, directives, etc.	
<b>ITM/RCD</b>	<b>CONTROL – RECORDS</b> Systematically controlling all agencies records, regardless of format. Activities associated with creating and maintaining control mechanisms. Includes mail processing. Excludes library catalogues (use ITM/LIB/02).	
ITM/RCD/01	<b>Mail processing and tracking tools</b> Documentation for the receipt and despatch of agency mail including classified and registered mail. Includes diaries, registers, copy logs and reports of loss.	<b>Destroy 5 years after last action.</b>
ITM/RCD/02	<b>Documentation for recordkeeping systems</b> Includes indexes, catalogues and other finding aids.	<b>Review after system superseded.</b>

ITM/RCD/03	<b>Information and records surveys</b>	<b>Destroy 5 years after superseded/last action.</b>
<b>ITM/RES</b>	<b>RESEARCH AND DEVELOPMENT</b> Investigations into a subject area associated with the ITM used to support the development of projects, reports, guidance and standards. Excludes: policy and procedures (see ITM/POL) and software development (see ITM/SOF).	
ITM/RES/01	<b>Research papers</b> Includes business cases, reports of consultants, major drafts and final documents.	<b>Review 5 years after reference ceased.</b>
<b>ITM/SOF</b>	<b>SOFTWARE DEVELOPMENT</b> Administering the development of software from conception through to final completion and implementation. Includes requirements, design agreement, usage, maintenance and documentation for software training, use and revisions. Excludes: records relating to research, design, implementation and system documentation (refer to Computer Services Department's <u>operational</u> file plan and schedule).	
ITM/SOF/01	<b>Research</b> Records documenting the investigation and identification of specific applications to meet business needs. Includes final versions of documentation for all applications, i.e. those that did and did not go into production.	<b>Review 7 years after software superseded or if software was not implemented, destroy 5 years after last action.</b>
ITM/SOF/02	<b>Business requirements</b> Includes function, behaviour and required performance of software, feasibility studies.	<b>Destroy 7 years after software superseded or if software was not implemented, destroy 5 years after last action.</b>
ITM/SOF/03	<b>Requirement specification/scope document</b> Copies.	
ITM/SOF/04	<b>Project plan (signed)</b> Copy of agreement on system design specifications and copies of revised plans.	
ITM/SOF/05	<b>Use cases and testing plans</b> Includes user documentation on cases, procedures and results.	<b>Destroy 7 years after plans superseded.</b>
ITM/SOF/06	<b>Implementation plans</b> Includes software training, installation, user manuals, customisation, testing and evaluation.	
ITM/SOF/07	<b>Project plan change history</b> Requests for changes and copies of CSD initiated changes.	<b>Destroy 7 years after last action.</b>
ITM/SOF/08	<b>Maintenance</b> Enhancements and corrections.	<b>Destroy 5 years after last action.</b>
<b>ITM/SYS</b>	<b>SYSTEMS ADMINISTRATION</b> Administering the IT systems and telecommunications appliances at the systems operation level. Records documenting operating systems configuration and installation. Includes monitoring, routine maintenance and up-keep. E.g. back-ups, restores, parts replacement and patches, communications utilities and applications. Also includes documentation for database management, security, routine audits of systems and software and helpdesk.	
ITM/SYS/01	<b>Software licences</b>	<b>Destroy after software is no longer used.</b>
ITM/SYS/02	<b>System description manuals</b> Includes records about what the records and information management systems do and how they work.	<b>Review once agency is no longer in existence.</b>

ITM/SYS/03	<b>System maintenance logs</b>	<b>Destroy once information kept on system no longer exists.</b>
ITM/SYS/04	<b>Back-up logs</b>	<b>Destroy 1 year after last action.</b>
ITM/SYS/05	<b>System logs</b> For history of access or change to data. Includes user access registers, passwords, Internet access logs, audit trails, and documentation for recovery of information on an <i>ad hoc</i> basis.	<b>Destroy 10 years after last action.</b>
ITM/SYS/06	<b>Help-desk logs</b>	<b>Destroy 1 year after last action.</b>
ITM/SYS/07	<b>Maintenance of email systems</b>	
ITM/SYS/08	<b>Major breaches of security</b> E.g. resulting in threat. Either data on computers or hard copies of data.	<b>Review 7 years after last action.</b>
ITM/SYS/09	<b>Minor breaches of security</b> E.g. resulting in embarrassment.	<b>Destroy 7 years after last action.</b>
ITM/SYS/10	<b>Sanitisation of equipment</b> Records regarding the permanent removal of all data from digital devices before disposal or reuse.	<b>Destroy 7 years after disposal of equipment.</b>
<b>ITM/TEL</b>	<b>TELECOMMUNICATIONS</b> Maintaining and updating the agencies Intranet site and/or website to ensure up to date information is displayed. Ensuring that telephones, fax machines, cellular phones, voice mail, local area networks, satellite communication systems and internet connections are well maintained and in good working order. For phone bills, etc. see Financial Management schedule. Includes: voice, video and Internet communications services.	
ITM/TEL/01	<b>Intranet and Web updates</b> Includes content audits, versioning and publishing directories.	<b>Destroy 7 years after final audit or when superseded.</b>
ITM/TEL/02	<b>Appliance maintenance logs</b> Includes records of telephone, switchboard, mobile phones and radio maintenance correspondence. For contracts use FM/ACQ/03.	
ITM/TEL/03	<b>Telecommunications logs</b> Usage or assignment of appliance (radio, telephone, fax and computers), e.g. fax machine logs and mobile phone assignment registers.	<b>Destroy 1 year after last action.</b>