Procedure:

1. Complete all sections of this form.

2. Provide a copy of the completed form (physical print-out or scan and e-mail) to the ***ITO Information Security Branch*** once it's completed. The completed copy that is sent must include the required signatures.

3. A representative of the Information Security Branch will contact the Project Manager identified in Section 1 to clarify any outstanding questions or concerns.

4. Sections of this form will be routed to other parties where indicated, especially where other actions may be required such as a privacy impact assessment (PIA).

5. Further security assessment/s will only be conducted by the Information Security Branch if information disclosed on this form reveals a need to conduct further security assessment/s.

6. A "Requirement for Full Security Assessment" form will be delivered to the Project Manager identified, after the Information Security Branch has completed their review of this form. A Project Security Compliance Assessment and/or a Technical Security Assessment will only be performed if required based on information provided in this form.

Please direct any inquiries about this form, with the exception of the records management section, to the ITO contact below:

> **Crystal Zorn, Director, Information Security Branch**
> Phone: **787-2555**   e-mail: **crystal.zorn @gov.sk.ca**

Please direct inquiries regarding the records management section to the Saskatchewan Archives contact below:

> **Information Management Inquiry Line**
> Phone: **787-0734**   e-mail: **recordhelp@archives.gov.sk.ca**

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.

Section 1: General Information

Project Information	
Project Name	
Project Code / Task Name	
Project Manager	
Customer Ministry/Agency	
Business Owner (The individual from the customer ministry who is accountable for the project.)	
Owner Contact Phone	
Owner Contact Email	
Information Classification Level (Please refer to the **classification guidelines**. Please indicate the highest classification level that applies to information within the project scope.)	A ☐ B ☐ C ☐ Public ☐

Signature Block			
By means of signatures below, the undersigned validate that the information disclosed in this form is accurate and complete to the best of their knowledge at the time this form was completed.			
Project Manager	Print name	Signature	Date
Business Owner	Print name	Signature	Date

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.

Section 2: Security

The business owner identified in Section 1 should complete the following security checklist.

This checklist will be forwarded to the Security Officer/s responsible for the information related to the project under review. This checklist will also be retained by the Information Security Branch so they possess a record of it for the ITO's compliance requirements.

Ministry/Agency:	
Project Name:	
Security Considerations	**Yes/No**
1. Will this project be leveraging an existing solution that has already been assessed?	
2. Will this project require any connection to a third-party's network or to data hosted outside of the ITO's infrastructure?	
3. Will this project be a publicly available service or be accessible from the Internet?	
4. Is this an authenticated service that users will require an account to use? (i.e. require government provided user login)	
5. Will this project require access from non-government users, agencies, organizations or partners?	
6. Will this project require custom application development?	
7. Has a data recovery plan been established to backup and restore data?	
8. Is this solution considered critical to the delivery of services as defined in your ministry BCP (Business Continuity Plan) and SLA (Service Level Agreement)?	

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.

Section 3: Privacy

The business owner identified in Section 1 should complete the following privacy checklist. If any of the items are within the scope of the project, a formal privacy impact assessment (PIA) should be performed.

This checklist will be forwarded to the Privacy Officer/s responsible for the information related to the project under review so they can arrange for the completion of a PIA if one is required. This checklist will also be provided to the ITO's Business Improvement Unit so they possess a record of it for the ITO's compliance requirements.

Ministry/Agency:	
Project Name:	

Does the project include Personally Identifiable Information (PII)?	Yes/No
1. Race, Creed, Religion, Colour, Sex, Sexual Orientation, Family/Marital Status, Disability, Age, Nationality, Ancestry, or Place of Origin	
2. Education, Criminal or Employment History, or Financial Transactions	
3. Identifying number, symbol, or other particular assigned to the individual (other than the individual's health services number as defined in *The Health Information Protection Act)* (e.g. S.I.N. #)	
4. Home or business address, home or business telephone number or fingerprints of the individual	
5. Personal opinions or views of the individual (except where they are about another individual)	
6. Correspondence sent to a government institution by the individual that is implicitly or explicitly of a private or confidential nature, and replies to the correspondence that would reveal the content of the original correspondence	
7. Views or opinions of another individual with respect to the individual	
8. Information that was obtained on a tax return or gathered for the purpose of collecting a tax	
9. Information that describes an individual's finances, assets, liabilities, net worth, bank balance, financial history or activities or credit worthiness	
10. Name of the individual where it appears with other personal information that relates to the individual	
11. Name of the individual where the disclosure of the name itself would reveal personal information about the individual.	

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.

Does the project include Non-Personal Information?	Yes/No
12. The classification, salary, discretionary benefits or employment responsibilities of an individual who is or was an officer or employee of a government institution or a member of the staff of a member of the Executive Council;	
13. The salary or benefits of a legislative secretary or a member of the Executive Council	
14. The personal opinions or views of an individual employed by a government institution given in the course of employment, other than personal opinions or views with respect to another individual	
15. Financial or other details of a contract for personal services	
16. Details of a licence, permit or other similar discretionary benefit granted to an individual by a government institution	
17. Details of a discretionary benefit of a financial nature granted to an individual by a government institution	
18. Expenses incurred by an individual travelling at the expense of a government institution	
Does the project include Personal Health Information (PHI)?	**Yes/No**
19. Personal health information with respect to • the physical or mental health of the individual • any health service provided to the individual • the donation by the individual of any body part or bodily substance • providing health services to an individual or incidentally to the provision of health services • registration information	

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.

Section 4: Records Management

Contact information for Saskatchewan Archives:
Information Management Inquiry Line – phone: 787-0734 **or e-mail:** recordhelp@archives.gov.sk.ca

The following checklist is intended for government to ensure that records management requirements are addressed from the outset of the project as government agencies undertake new IT initiatives.

The checklist has been developed in accordance with *The Archives Act, 2004*, *The Electronic Documents Act*, and ensures compliance with *The Freedom of Information and Protection of Privacy Act* and *The Health Information and Protection Act*. Any requirements affecting the management of electronic information included in agency-specific legislation or regulations should be determined and addressed by the creating agency.

Please note, the information contained in all electronic media is subject to the disposal requirements laid out in *The Archives Act, 2004* as well as historical appraisal. Government institutions are responsible for ensuring that the information is retained (electronically or in other formats) and retrievable until approval to destroy has been obtained from the Provincial Archivist or the information is acquired for permanent preservation by the Saskatchewan Archives. The ITO should be made aware of any long term information managed by the system, so proper preservation procedures are established.

This checklist should be completed by the business unit/branch/division responsible for management of the information contained within the system. It is advised that the business unit/branch/division contacts the Archives prior to the initiation of the project to discuss records management requirements and to clarify any questions concerning the Project Records Management Assessment (see contact information below).

This checklist will be forwarded to Saskatchewan Archives so they possess their own copy for their records.

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.

Ministry/Agency:	
Project Name:	

Question	Comments	Yes/No
1. Is it clear which business unit/branch/division is responsible for the information within the system?	If no, determine who the 'owner' of the information is and identify the information for which your business unit is responsible. If responsibility for the management of the information or some of it is shared or resides with another unit, this unit should be consulted to ensure its information management requirements are integrated.	
2. Is there a retention schedule approved after 1993 which outlines for how long the information within the system must be retained for?	If no, contact the Saskatchewan Archives re: operational records schedule (ORS) development. If you are not sure if your office has an approved ORS, please contact the Archives. If records are administrative, you can apply the Administrative Records Management System 2006 (ARMS2006). Please contact the Archives if you have any questions in this regard.	
3. If there is an approved applicable schedule, is the information within the system classified in accordance with the schedule?	If no, make sure the information will be identified as per approved applicable schedule (ARMS2006 or ORS). Contact the Archives, if you have any questions in this regard. If there is no approved schedule, this is not applicable	
4. Do you know how to ensure that the information to be contained within the system along with all related metadata is retained and remains accessible and legible for as long as it is necessary in accordance with an approved retention schedule?	If no, develop preservation strategies (e.g. migration strategy, etc.). Consult ITO for technical advice and the Archives re: historical appraisal. The strategies are very important for all information handled by the system but are vital for long-term information or information of historical value as determined by the Archives. Please make sure that data dictionaries, system manuals, application manuals are retained and are available for as long as information is managed by the system (*see ARMS2006 6120-90*)	
5. Can the system export the information/data and capture the necessary metadata to ensure the information is meaningful over time?	If no, seek advice from ITO for technical support and contact the Archives re: historical appraisal. This applies if the information may be needed for longer than the anticipated life of the system or if of long-term historical value.	

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.

6.	Has your institution's Designated Records Officer (DRO) or Records Manager (RM) been consulted on policies and procedures concerning disposal of information handled by the system?	If answering no for these questions, consult RM and/or DRO or contact Saskatchewan Archives for procedural help. Consult the ITO for technical advice. It is important to identify information that will be overwritten or deleted over time to ensure there are provisions in place to carry out the process.	
7.	Does the system have the capability to identify and delete information/data that is no longer needed and has met applicable retention periods in an approved schedule?		
8.	Are there procedures in place to carry out the deletion/destruction of electronic records?		
9.	Can reports produced by the system be captured and retained (electronically or in other formats, e.g. hard copy print out) until they can be disposed of according to the terms of an approved retention schedule and required disposal process?	If no, ensure that these reports/extracts are covered by an approved applicable schedule and that processes are in place to retain them in your filing system (electronically or in paper).	
10.	If the project involves the transfer of official records to electronic format from other formats (e.g. paper), are there procedures in place governing this process and allowing for the disposal of source documents?	If relevant, contact the Archives re: development of Policy for Disposal of Additional Records.	

If the proposed plan or design of the project changes, this form must be reviewed by the Project Manager and the Business Owner, and potentially resubmitted if changes to the scope alter responses to items on the form previously submitted. If changes are discovered late without this form having been reviewed, this form may be required to be resubmitted, and assessments conducted again, prior to project implementation.