



Directive – Digitizing

Issued By: The Office of the Chief Information Officer

1. Effective Date

This directive took effect on November 18, 2016. The revisions to this directive take effect on July 1, 2018.

2. Application

This directive applies to all government bodies as defined in the *Archives Act* who implement digitization initiatives for the creation of digitized business records.

This directive identifies the requirements for the implementation of a digitization initiative, and provides direction in the creation of master digital records:

- Whose authenticity and reliability are demonstrable;
- That are legally admissible in place of the master analogue records;
- That are in compliance with CAN/CGSB 72.34-2017 *Electronic Records as Documentary Evidence*;
- That are available to be produced at all times.

This directive applies to master records (original records). It does not apply to convenience copies, born-digital records, or archival surrogates.

3. Context

The Government of the Northwest Territories (GNWT) creates records in order to document the actions, transactions, and decisions made in the course of delivering programs and services to clients, to the public, and to other government departments and agencies. The records of government are an important asset and must be effectively managed throughout their lifecycle to support decision-making, legal and accountability requirements, and to preserve the documentary heritage of the NWT.

This GNWT directive outlines the requirements all government bodies must meet in creating and maintaining records in digital format only, where the original master analogue record has been replaced by a master digitized record. In order to dispose of converted source analogue records, the digitizing process must comply with the GNWT's Records Disposition Authority 2018-02, *Converted Source Analogue Records*. Legislation, policies, or business requirements may require the original or other non-digital source records to be kept for a longer period of time.

Digitization activities in the GNWT occur as part of a regular business practice (ordinary course of business) or part of a larger project to digitize a complete series of records (legacy records) and must form part of a government body's comprehensive records management program.

This directive is issued under the authority of the ***Management of Electronic Information Policy (6003.00.20)***

This directive is to be read in conjunction with the related policy instruments, the *Standard – Digitizing*, and the *Guidelines – Digitizing*.

4. Statement

When a government body plans to destroy converted source analogue records, and declare the digitized records as the official records of a business activity, the digitized records are declared the master digitized record.

A master digitized record must be deemed to be authentic and reliable, supporting all business activities and must be capable of withstanding legal scrutiny.

A master digitized record must be generated under strict guidelines, policies and practices, be fully documented, and be maintained within a trusted repository.

Disposal of converted source analogue records may only occur if the digitized master records can be classified and scheduled as master records in the GNWT's *Administrative Records Classification System* (ARCS) or in a government body's approved *Operational Records Classification System* (ORCS).

5. Responsibilities

- Government bodies are responsible for ensuring:
 - Determining the feasibility and legalities of digitizing records in order to destroy the original source record;
 - Ensuring proposed practice is consistent with RDA 2018-02, identifying the scope of the digitization initiative, and confirming GNWT digitization standards and procedures will be followed; and,
 - Ensuring that master digitized records are stored in a GNWT approved trusted repository.
- The Office of the Chief Information Officer is responsible for:
 - The establishment of this directive; and,
 - Verifying trusted repositories that manage and store authoritative master records produced by the digitization process.

6. References

Digitized records are subject to the same provisions as other record formats, as established by the acts, policies, international standards and best practices identified in Appendix B.

7. Monitoring and Reporting

The Office of the Chief Information Officer will monitor to ensure directive and standards are being followed.

8. Enquiries

All enquiries regarding this directive should be directed to the Department of Infrastructure, Corporate Information Management Division.

9. Approval

This directive is effective from the date approved below.

Corporate Chief Information Officer	Signature	Date
Dave Heffernan		2019-02-01

Appendix A

Definitions

Analogue records refers to physical records of various media types (text, photographic, film, microfilm, blueprints, maps, audio, et cetera) that does not require a computer to view embedded information.

Archival surrogates are digitized copies of archival records held by the NWT Archives produced to facilitate access by the public and to protect original records from handling and damage.

Born digital records: Records that originate in a digital form. This is in contrast to digital reformatting, through which analog materials become digital.

Convenience copies refers to duplicate copies (either in digital or analog format) of master records created for ease of access and use. Convenience copies are not substitutes or replacements for master records and cannot be relied upon as a record of actions, transactions, or decisions. Convenience copies are typically copied at a lower quality than is required to replace a master record.

Converted source analogue record is a record that has been digitized and is no longer the master record.

Digital is any data or recorded information that exists as binary code (zeros and ones).

Digitization is the process of converting records from analogue (physical) formats to digital formats.

Digitized record is a record that has been converted from an analogue record to a digital record format.

Government body means (a) a department, branch or office of the Government of the Northwest Territories, (b) an agency, board, commission, corporation, office or other body designated in the regulations to the *Archives Act*, or (c) the office of a member of the Executive Council.

Legacy records refers to an existing set of analogue record that are no longer being added to or modified. They may have been created using filing systems that are either no longer used, or have no apparent organization. They are commonly referred to as backlog records.

Master record is a record that is considered the official record and is considered a true and valid record by both the creator and for legal purposes. Also referred to as a substantive or authoritative record.

Master analogue record is a master record created and manipulated in an analogue (physical) state.

Master digitized record is a record that has been converted from an analogue record to a digital record format, and has met the qualifications (quality control, Records Disposition Authority approval) to be deemed the master record.

Public record means a record that is created by or for or is received by a government body in carrying out its activities, but does not include (a) a record of the Legislative Assembly, the office of the Speaker of the Legislative Assembly or the office of the Clerk of the Legislative Assembly, (b) a record of a committee of the Legislative Assembly, (c) a record of a member of the Legislative Assembly, other than a member of the Executive Council, (d) a record of a member of the Executive Council that relates to his or her activities as member of the Legislative Assembly, (e) correspondence sent or received by a member of the Legislative Assembly, unless the correspondence relates to his or her responsibilities as a member of the Executive Council, (f) a record of a member of the Legislative Assembly, including a member of the Executive Council, that relates to his or her constituency office or to his or her representation of constituents, or (g) a surplus copy of a record or a copy of a record that is created only for convenience of reference.

Record is a record of information, regardless of its form and characteristics, the means by which it was created and the media on which it may be stored and, without limited the generality of the foregoing, include (a) a document, book, ledger, photograph, image, audio-visual recording, x-ray, map and drawing, and (b) a record created or stored in digital or other intangible form by electronic means, but does not include software or a mechanism that produces records.

Records Disposition Authority (RDA) is a plan respecting the preservation and destruction of public records as described in the *Archives Regulations*, which must (a) include a comprehensive description of each class of public records; (b) specify the criteria for determining whether a class of public records should be preserved or destroyed; and specify the minimum period during which the government body must retain each class of records that it intends to destroy.

Reliable record is a record whose contents can be trusted as being the full and accurate representation of a transaction.

Trusted Repository a trusted repository (secure storage location) provides reliable, long-term access to managed resources to its designated community, now and in the future. A trusted repository for digital assets must protect the authenticity and reliability of the digital assets stored and managed within it.

Appendix B

References

Archives Act sets the legal framework for disposing, transfer, custody and access to records;

Copyright Act sets the statutes governing copyright in Canada;

Electronic Transactions Act establishes the legal authority of digital records in regards to transactions;

Evidence Act establishes the power and authority of evidence admissible in court, including digital records;

Access to Information and Protection of Privacy Act provides public access to records and protects against unauthorized use or disclosure of personal information by public bodies;

Recorded Information Management Policy (6003.00.18) guides government bodies in the management of their recorded information (regardless of format) and defines the authority and accountability framework;

Records Scheduling Policy (6003.00.24) guides government bodies in the classification, retention, and final disposition of government records;

Management of Electronic Information Policy (6003.00.20) guides government bodies in the management of electronic information;

Electronic Information Security Policy (6003.00.26) guides government bodies in the security of electronic information;

Standard - Digitizing establishes the standards which government bodies must meet when implementing a digitization program;

Guideline - Digitizing provides guidance to assist government bodies in developing and implementing a digitization program;

RDA 2018-02 Converted Source Analogue Records provides for the scheduling and disposal of converted source analogue records, when approved by the Territorial Archivist and the Deputy Head;

CAN/CGSB-72.34-2017, Electronic Records as Documentary Evidence is a Canadian national standard for the management of electronic information;

ISO 15489-1:2016, Information and documentation – Records management – Part 1: Concepts and Principles is an international standard for records management programs;

ISO/TR 15801:2009, Document management – Information stored electronically – Recommendations for trustworthiness and reliability is an international standard for the management of electronic information;

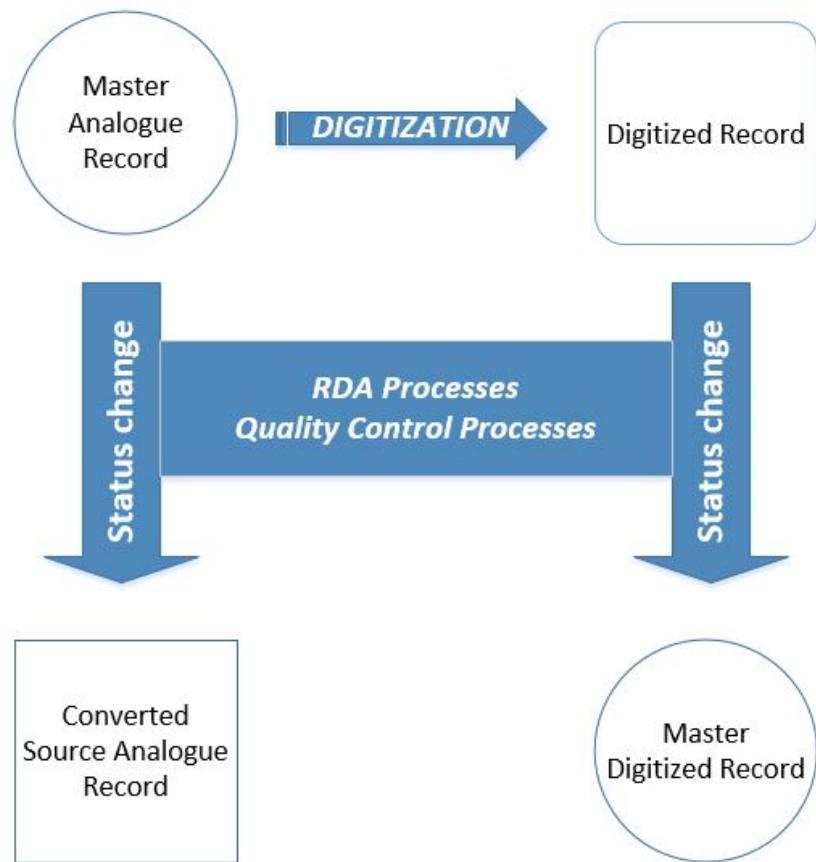
ISO 23081-1:2006, Information and documentation – Records management processes – Metadata for records – Part 1: Principles is an international standard for the capture of metadata about records;

ISO 23081-2:2009, Information and documentation – Records management processes – Metadata for records – Part 2: Conceptual and implementation issues is an international standard for the capture of metadata about records;

ANSI/AIIM TR34-1996 Sampling Procedures for Inspection by Attributes of Images in Electronic Image Management (EIM) and Micrographics Systems is a quality control procedure for microfilming and digitizing of records.

Appendix C

Language/Process Map



Appendix D

Revision History

Version	Author	Description
Issue 1 Draft	Digitization Working Group	April 2015-October 2016: Draft prepared for approval by Chief Information Officer.
Issue 1 Final	Corporate Information Management, Department of Infrastructure	November 2016: Final version submitted for approval by Chief Information Officer.
Issue 2 Draft	Corporate Information Management, Department of Infrastructure	September 2017-May 2018: Draft prepared for approval by Chief Information Officer. Revised for consistency with the Standard – Digitizing and the Guidelines – Digitizing
Issue 2 Final	Corporate Information Management, Department of Infrastructure	Amendment submitted for approval by Chief Information Officer.