

Policy | Recorded Information Management

Issued by: Informatics Policy Council

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1. Policy Statement

- 1.1. The Government of the Northwest Territories recognizes the importance of managing its recorded information in a way that supports the delivery of government programs and services.
- 1.2. To that end, government bodies will manage recorded information in their custody and control in a way that is consistent with this policy and complies with the *Archives Act*, the *Access to Information and Protection of Privacy Act*, the *Financial Administration Act*, and all other Northwest Territories legislation.

2. Purpose

- 2.1. This policy guides government bodies in managing their recorded information (records). It assigns responsibility for managing recorded information to the government bodies that created or acquired them. It also establishes a framework to promote cooperation on government-wide issues and public policy issues relating to recorded information management.

3. Principles

- 3.1. Recorded information management supports GNWT programs and services:
 - 3.1.1. Recorded information management helps program managers deliver programs and services to the public and to government and supports the operations of the government body. Recorded information must be maintained in a manner which supports decision-making and maintain government accountability to the public for its actions.
- 3.2. Government bodies are responsible for managing recorded information:
 - 3.2.1. Government bodies are responsible for managing the recorded information that they create or receive while delivering and supporting programs and services, using enterprise-wide systems and services, and in compliance with enterprise-wide policies and standards.
 - 3.2.2. Government bodies manage recorded information in order to maintain their usefulness, integrity, and ability to support the delivery of programs and services.
 - 3.2.3. They also manage recorded information as a reliable source of information about the actions of government.

3.3. Recorded information must be managed:

3.3.1. Recorded information used to conduct government business must be created and managed in a way that maintains its usefulness, authenticity, and reliability, as a complete record of government activity, to meet legal admissibility requirements.

3.3.2. Recorded information must support government accountability and transparency:

3.3.2.1. To protect the government's legal and fiscal interests.

3.3.2.2. To preserve a historical record of government operations.

3.3.2.3. To provide public access to information.

3.3.2.4. To protect the privacy or other rights of individual citizens.

3.4. Recorded information must be managed consistently across government

3.4.1. There is a need for specialized technical assistance to program managers and a value in having government bodies take a consistent approach to meeting public policy needs.

3.4.2. A consistent approach to recorded information management improves the economy, efficiency, and effectiveness of government programs and services.

4. Scope

4.1. This policy applies to government bodies as identified in the *Archives Act*.

5. Definitions

5.1. Control refers to the government body's power or authority to direct and make decisions about the management and use of recorded information.

5.2. Custody means safekeeping or care.

5.3. 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.

5.4. Recorded Information see Record.

6. Authority and Accountability

6.1. Financial Management Board

6.1.1. The Financial Management Board has responsibilities assigned to it by the *Financial Administration Act*. These responsibilities include:

6.1.1.1. The approval of plans, policies and strategies associated with information management and information technology.

6.1.1.2. Acting on all matters in respect of reporting requirements to ensure the accountability of departments, public agencies, and other reporting bodies, for the allocation of and the results achieved by the use of information technology resources.

6.1.1.3. Approves the Informatics Policy Council (IPC) Terms of Reference, the GNWT's Information Management and Technology (IMT) Strategy, and any associated investments proposed by the IPC.

6.2. Informatics Policy Council

6.2.1. The Informatics Policy Council has responsibilities assigned to it by the Financial Management Board. The Informatics Policy Council is responsible for ensuring that the GNWT's IMT function, including information systems (IS), information management (IM), and information technology (IT), are managed in accordance with the applicable strategies and policies.

6.2.1.1. It will approve government-wide policies and standards related to the management of recorded information.

6.2.1.2. It will approve exemptions to government-wide policies and standards related to the management of recorded information.

6.3. Recorded Information Management Committee

6.3.1. The Recorded Information Management Committee will support Information Management and Technology governance by providing recommendations to the Chief Information Officer on the management of recorded information; promote the adoption of best practices; work in collaboration to implement strategies and recommendations; assess opportunities to promote risk reduction, effectiveness, and efficiencies; endorse solutions which alleviate risk, advocate for continual learning opportunities; and contribute to reporting on recorded information management.

6.4. Department of Infrastructure

6.4.1. The Department of Infrastructure, as represented by the Enterprise Information Management division, has responsibilities as assigned by the Infrastructure Establishment Policy. These responsibilities include:

6.4.1.1. Accountability to the Informatics Policy Council for the implementation and maintenance of this policy, including reporting on enterprise-wide key performance indicators.

- 6.4.1.2.** Developing policies and standards regarding the management of recorded information throughout government, in collaboration with stakeholder groups, for approval by the Informatics Policy Council.
- 6.4.1.3.** Developing directives and guidelines regarding the management of recorded information throughout government, in collaboration with stakeholder groups for approval by the Chief Information Officer.
- 6.4.1.4.** The development and approval of GNWT-wide procedures and best practice guidance to promote consistency in recorded information management programs across government. This includes standardized procedures and best practices for the creation, tracking and retrieval, retention, and disposal of recorded information.
- 6.4.1.5.** Provisioning of recorded information advisory and training services to government bodies.
- 6.4.1.6.** Developing, operating, supporting, and maintaining the enterprise-wide content management system for managing the recorded information owned by government bodies. This includes the establishment of procedures and best practices for using the system.
- 6.4.1.7.** Taking a leadership role by researching and evaluating innovations and industry trends in recorded information management and make recommendations in consultation with stakeholders.
- 6.4.1.8.** Making available records storage, retrieval, and disposal services on behalf of government bodies.

6.5. Department of Education, Culture, and Employment

- 6.5.1.** The Department of Education, Culture, and Employment, as represented by the Northwest Territories Archives, has responsibilities as assigned by the *Archives Act*. These responsibilities include:
 - 6.5.1.1.** Identifying, arranging, describing, preserving, and making accessible recorded information having long term or historical value.
 - 6.5.1.2.** Developing policies, standards, and guidelines regarding the final disposition of archival recorded information in collaboration with stakeholder groups, for approval by the Informatics Policy Council.
 - 6.5.1.3.** Performing other duties assigned to it by the *Archives Act* or the regulations.
- 6.5.2.** The Territorial Archivist has responsibilities as assigned by the *Archives Act*. These responsibilities are interpreted as:
 - 6.5.2.1.** Empowered to ensure that records required by the NWT Archives may not be destroyed. However, accountability for the destruction of recorded information resides with the Deputy Head of each government body.
 - 6.5.2.2.** Performing other duties imposed by the *Archives Act* or the regulations.

6.6. Department of Finance

6.6.1. The Department of Finance, as represented by the Office of the Chief Information Officer has responsibilities as assigned by the *Financial Administration Act*. The Office of the Chief Information Officer is responsible for leading the development and implementation of the IMT strategy and policy framework.

6.7. Government Bodies

6.7.1. Government bodies are responsible for protecting and maintaining the recorded information in their custody or control. Within government bodies, Deputy Ministers or equivalents are accountable for the management of recorded information. A government body's responsibilities include:

6.7.1.1. Managing its recorded information to meet the public policy requirements set out in the *Financial Administration Act*, the *Archives Act*, the *Access to Information and Protection of Privacy Act*, and other acts and regulations that may affect its specific programs and records.

6.7.1.2. Adhering to and operationalizing IPC policies and strategies within their own environment and for participating on the advisory committees that support the IMT governance framework.

6.7.1.3. Managing its recorded information in a way that supports the business of the government body and maintains the usefulness and integrity of the recorded information as evidence of the actions and decisions of government.

6.7.1.4. Developing recorded information management programs in compliance with government-wide policies, standards, and guidelines.

6.7.1.5. Requesting exemptions from the Informatics Policy Council where government-wide policies, standards, and guidelines do not meet their operational needs.

6.7.1.6. Collaborating with other government bodies in the development of government-wide policies, standards, and guidelines.

7. Provisions

7.1. The Government of the Northwest Territories recognizes the importance of managing its recorded information in a way that supports the delivery of government programs and services.

7.2. To that end, government bodies will manage recorded information in their custody or under their control in a way that is consistent with this policy and complies with the *Archives Act*, the *Access to Information and Protection of Privacy Act*, the *Financial Administration Act*, and all other Northwest Territories legislation.

8. References

- 8.1. **Archives Act** sets the legal framework for disposing, transfer, custody and access to records.
- 8.2. **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
- 8.3. **Financial Administration Act** establishes principles, accountabilities, and responsibilities for responsible fiscal and resource management for the GNWT.
- 8.4. **Education, Culture and Employment Establishment Policy** (71.00) establishes and sets the mandate for the Department of Education, Culture and Employment.
- 8.5. **Finance Establishment Policy** (15.00) establishes and sets the mandate for the Department of Finance.
- 8.6. **Infrastructure Establishment Policy** (31.00) establishes and sets the mandate for the Department of Infrastructure.
- 8.7. **ISO 15489-1:2016, Information and documentation – Records management – Part 1: Concepts and Principles** is an international standard for records management programs.

9. Approval

Policy is effective from the date approved below.

Deputy Secretary to FMB	Signature	Date
William MacKay		April 11, 2022