

# Corporate Information Management Handbook

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**Prepared by**

Corporate Information Management  
Department of Infrastructure



Government of  
**Northwest Territories**



# Corporate Information Management Handbook

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## 0002 About this Handbook

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### 1. Introduction

This handbook is for records coordinators, their supervisors, and employees. Its purpose is to support the GNWT's records and information management program. It describes the services offered by the Department of Infrastructure's Corporate Information Management division. It also explains the steps to follow when using these services.

Please send questions about the handbook to [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca).



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## 0003 About Corporate Information Management

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### 1. Introduction

Corporate Information Management (CIM) is a division within the Department of Infrastructure. Although located within the Department of Infrastructure, CIM has a reporting relationship with the GNWT's Chief Information Officer in the Department of Finance.

Corporate Information Management is a shared services provider for the GNWT and is responsible for:

- The development and maintenance of the Recorded Information Management Policy and related policies and standards for the management of recorded information.
- The development of procedures and guidelines for the management of recorded information.
- The provision of advisory and training services.
- The development, operation, and maintenance of the shared systems and infrastructure used by government departments and agencies to manage their recorded information, such as the Digital Integrated Information Management System (DIIMS).
- Providing, with the Department of Infrastructure's regional offices, records storage, retrieval, and disposal services.

Service delivery is provided by CIM's two sections, Corporate Records Management (CRM) and Corporate Electronic Information Management (CEIM).



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## 1.1 Benefits to the GNWT

Information is widely recognized as an important organizational asset. The GNWT realizes a number of benefits from centralizing the services that support the management of the information, these include:

- Economies of scale – by consolidating some of the GNWT’s information management requirements, such as DIIMS licensing, records centre storage, and records destruction services, economies of scale can be achieved leading to lower overall costs.
- Consistency across the government – centralizing service provision encourages the standardization of government information handling processes. This reduces the GNWT’s risk of information loss through mishandling or failure to apply appropriate security and controls to the information.
- Creation of centres of excellence – by consolidating information management services, the GNWT is able to create centres of excellence for document management and records management knowledge in order to support GNWT initiatives, programs, and services.

## 1.2 History

From its earliest days, the Government of the Northwest Territories has recognized the value of managing its information assets. CIM can trace its origins back to the Central Registry that was established by the GNWT in Yellowknife in 1967/68. In 1977 it evolved into the Records Management Unit. The services provided have evolved over time in response to the changing needs of the government. Records centre services have been provided since 1984.

In 1998/99, the Records Management unit introduced iRIMS, which was an electronic records management system used by the records centres to manage boxes and by some departments and agencies to manage paper file folders. iRIMS also had some limited document management capabilities.

In 2011/12, the Records Management unit collaborated with the Office of the Chief Information Officer in a pilot of DIIMS, the GNWT’s Digital Integrated Information Management System. DIIMS combines content management and records management



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capabilities into a single software solution, replacing iRIMS. After the pilot, responsibility for further implementation of DIIMS, as well as system support and maintenance, was given to the Records Management unit. In order to accommodate the new responsibilities created by DIIMS, the Corporate Information Management division was created in 2014.

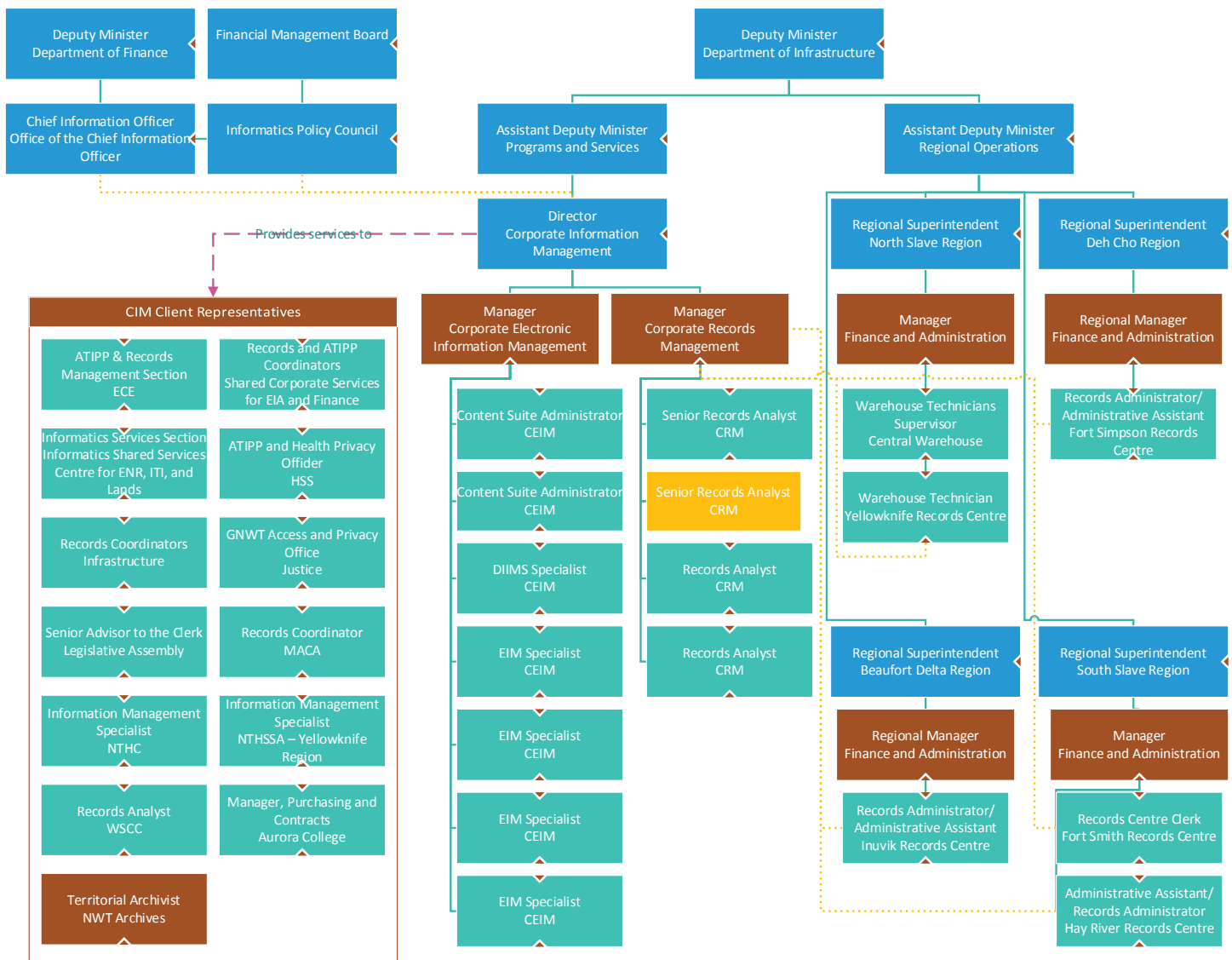
## 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00



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## 4. Organization and Relationships





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## 4001 About the GNWT Records Centres

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### 1. Introduction

The Department of Infrastructure provides records storage, retrieval, and disposal services on behalf of GNWT departments and some agencies.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 There are five GNWT records centres, located in Fort Simpson, Fort Smith, Hay River, Inuvik, and Yellowknife.
- 3.2 The records centres are staffed and operated by the Department of Infrastructure's regional offices.
- 3.3 Records centre services include storage of boxes of records that are in the semi-active phase of their life cycle; retrieval of files and boxes from storage; disposal of records that have reached the final disposition stage of their life cycle.
- 3.4 Corporate Records Management establishes procedures for the records centres.





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## 4002 Records Centre Contacts

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### 1. Introduction

The Department of Infrastructure provides records storage, retrieval, and disposal services on behalf of GNWT departments and some agencies.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

3.1 Each records centre is maintained by an employee in the Department of Infrastructure's regional offices. The records centres may be contacted via the following e-mail addresses:

- Fort Simpson: [FortSimpson\\_Records@gov.nt.ca](mailto:FortSimpson_Records@gov.nt.ca)
- Fort Smith: [FortSmith\\_Records@gov.nt.ca](mailto:FortSmith_Records@gov.nt.ca)
- Hay River: [HayRiver\\_Records@gov.nt.ca](mailto:HayRiver_Records@gov.nt.ca)
- Inuvik: [Inuvik\\_Records@gov.nt.ca](mailto:Inuvik_Records@gov.nt.ca)
- Yellowknife: [records\\_management@gov.nt.ca](mailto:records_management@gov.nt.ca)

3.2 The records centre contacts may be contacted using the above e-mail addresses in order to request the retrieval of files and boxes and to arrange delivery and pick-up of files and boxes that have been accepted by CRM for storage or disposal. All other correspondence related to the records centres should be directed to a CRM records analyst at [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca).



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## 4003 Transporting Files and Boxes

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### 1. Introduction

Government records contain confidential and personal information that must be protected from unauthorized access and disclosure. Appropriate safeguards must be in place to protect information when transporting files or boxes containing government records to and from the GNWT records centres.

### 2. References

Government of the Northwest Territories, Information Security Awareness Training (<https://my.hr.gov.nt.ca/courses/information-security-awareness-training>)

Workers' Safety and Compensation Commission, Hazard Alert – Lifting Injuries (<http://www.wsccl.ca/documents/lifting-injuries>)

### 3. Guidelines

- 3.1 GNWT departments and agencies are responsible for any files or boxes containing government records that are being transported to a GNWT records centre until the records are delivered to the records centre and accepted by the records centre employee. The records centres and Corporate Records Management are not responsible for any damage or unauthorized disclosure that may occur prior to or in transit.
- 3.2 Departments and agencies should clearly identify boxes of government records that are awaiting transport to the records centres. The boxes awaiting transport should be isolated from boxes that are not being transferred to the records centres.
- 3.3 Moving and courier contractors who are hired to transport files or boxes containing government records between departmental offices and the records centre should be bonded and be able to pass a criminal records check. If a suitable contractor is not available



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in the community, then government employees may be required to deliver or pick up files or boxes of files in person.

- 3.3.1 In Yellowknife, the Department of Infrastructure's North Slave Regional Office has contracted a moving company to deliver boxes of records and surplus furniture between government offices and the Central Warehouse. CRM records analysts arrange with the Central Warehouse to have transfers to the Yellowknife records centre picked up by the contractor.
- 3.3.2 In Yellowknife, departments and agencies should utilize the services of the successful bidder for the *Standing Offer Agreement – Delivery Service – Small Pickup – Local Community* to courier government records between government offices and the Yellowknife records centre. See the Department of Infrastructure's website for more information (<https://www.inf.gov.nt.ca/en/services/services-partag%C3%A9s-de-l%E2%80%99approvisionnement/standing-offer-agreements>).
- 3.4 Internal mail is not recommended for transporting files that contain confidential or personal information between government offices and the records centres because the chain of custody is not tracked.
- 3.5 When shipping files and boxes containing government records between communities by all weather or winter road, boxes should be taped shut, placed on pallets, and shrink wrapped. The truck should be locked and sealed if possible. The moving contractor should transport the boxes from the originating office to the records centre directly, without making any additional stops. If it is necessary to store the boxes overnight before delivering them at the records centre, the boxes must be stored in a secure, locked facility, where they will be protected from potential water, insect, or rodent damage.
- 3.6 When shipping boxes of government records between Norman Wells and Inuvik by water, boxes should be taped shut, placed on pallets, and shrink wrapped. The originating department is responsible for hiring the Department of Infrastructure's Marine Transportation Service to ship the boxes. The originating department is also responsible for transporting the boxes to the Marine Transportation Service's facilities in Norman Wells and for delivering the boxes from the Marine Transportation Services' facilities in Inuvik to the Inuvik records centre. If it is necessary to store the boxes overnight before delivering



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them at the records centre, the boxes must be stored in a secure, locked facility, where they will be protected from potential water, insect, or rodent damage.

- 3.7 Safe lifting practices should be observed when handling boxes of files. Dollies or carts should be used to transport boxes to and from vehicles and within buildings. Avoid carrying more than one box at a time.



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## 4100 Records Centre Requirements

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### 1. Introduction

In order to offer the best possible service, the Department of Infrastructure has a number of requirements for how boxes containing government records are packed, inventoried, and shipped. Boxes that do not meet these requirements will be returned to the department that owns them at that department's expense.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

3.1 Government records must be packed in standard storage boxes purchased from the Department of Infrastructure's [Warehouse Stocked Items Catalogue](#). See section 4110.

3.2 The files and boxes must be in good shape. Boxes that are not in good shape will not fit properly on records centre shelves and may pose a health and safety hazard to records centre personnel.

- ✓ There should be no signs of water, mould, insect, or rodent damage.
- ✓ The boxes should not be damaged or deformed.
- ✓ The lids or flaps on the boxes must close completely and lie flat. The tops of the boxes must not bulge.
- ✓ The boxes should not weigh more than 15 kg (33 lbs) but they should be mostly full.
- ✓ The bottoms of the Small Rec/Ship Boxes must be taped shut. If the tops of the boxes are sealed shut for transport the records centre personnel may remove the seal on receipt.
- ✓ Map tubes may be sealed with a plastic cap, or a piece of paper or cardboard taped over the end if they do not have flaps that can be closed.



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- ✓ Boxes should not have content descriptions written on or taped to the outside of the box as this poses a security risk.
- ✓ Sticky notes and other papers should not be attached to the boxes. They may be removed by records centre personnel on receipt.
- ✓ Documents must be in file folders or other containers. It is recommended that papers be removed from binders and placed into file folders before packing the boxes. Loose papers are difficult to retrieve and binders are difficult to process for disposal.
- ✓ File folders should be placed upright with their spines on the bottom of the box. It is difficult to retrieve files that are lying on their side.
- ✓ File folders should not be bound with elastic bands, binder clips, string, etc.
- ✓ File folders should not be tightly packed. Records centre personnel must have room in the box to be able to remove a file from the box by hand.
- ✓ All of the files in a box must have the same final disposition (destroy (D) or archival selection (AS/D)).
- ✓ All of the files in a box should have the same closed date, retention period, and final disposition date.
  - The Department of Infrastructure will accept boxes that have a range of closed dates and retention periods into storage in the records centres as long as all of the files in a box are eligible for storage and reach final disposition within five years of each other.
  - The Department of Infrastructure will accept boxes that have a range of closed dates and retention periods for final disposition as long as all of the files in the box have reached their final disposition stage.

3.3 Each individual file folder or volume in each box must be inventoried. If a file has more than one volume, each volume must be inventoried separately. Failure to inventory all volumes may result in records being lost.

The Department of Infrastructure **recommends using DIIMS** to inventory paper files or volumes and assign them to boxes. DIIMS provides better tools for file retrieval and tracking. This reduces the risk of losing information assets. See the [DIIMS Records Classifier Guide](#) for instructions on how to inventory boxes using DIIMS.

If DIIMS is not chosen as an option for inventorying the boxes, a [Box Inventory Form](#) may be used. The Box Inventory Form is available in [MS Word](#) and [MS Excel](#) versions. See the [Box Inventory Form Procedures – Word Version](#) or the [Box Inventory Form Procedures – Excel Version](#) for information on how to complete the form.



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- 3.4 A copy of the appropriate **DIIMS Box Inventory Report** or the **Box Inventory Form** should be placed inside each box.
- 3.5 Each box must be entered into DIIMS, the GNWT's electronic records and document management system, and assigned to a transfer.<sup>1</sup> The boxes in a transfer must be assigned consecutive temporary box numbers (Temp. Box ID); i.e. 01, 02, 03, 04, etc. Each new transfer must start with box number 01. There is no minimum or maximum size for a transfer.
- 3.6 All of the boxes in a transfer must be in the same stage of their life cycle. Transfers should be sorted as follows:
- ✓ All of the boxes are eligible for semi-active storage in the records centre; or
  - ✓ All of the boxes are ready to be transferred to the NWT Archives immediately (final disposition of AS/D); or
  - ✓ All of the boxes are ready to be destroyed immediately (final disposition of D).
- 3.7 Each box must have a DIIMS generated [GNWT Box Label](#) attached to it, printed on Avery 5163 or equivalent label stock.<sup>2</sup>
- ✓ Department personnel must take care to ensure that the correct label is attached to the correct box. The label must have the transfer ID on it. See the *DIIMS Records Classifier Guide* for instructions on how to print box labels.
  - ✓ Labels should not be placed over top of packing tape as they may fall off.
  - ✓ If it appears that the labels are not sticking to the boxes, glue the labels to the boxes. Taping the labels to the boxes is not recommended. Tape dries out over time and may peel off.
  - ✓ Labels must be placed in one of the following locations, based on the type of box and which records centre will be receiving the boxes. This placement is required so that the label is visible when the box is placed on the shelf. Placing labels in the same location improves retrieval times and facilitates records centre audits.
    - ARC File Boxes, Small Rec/Ship Boxes, and cheque boxes:
      - **Fort Smith, Hay River, and Yellowknife** – place the label in the lower right corner of the smaller side (short side) of the box.
      - **Fort Simpson and Inuvik** – place the label in the lower right corner of the larger side (long side) of the box.

<sup>1</sup> The Department of Infrastructure will enter boxes into DIIMS for public agencies that do not have access to DIIMS because they are outside the GNWT network.

<sup>2</sup> The Department of Infrastructure will provide GNWT Box Labels to public agencies that do not have access to DIIMS because they are outside the GNWT network.





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- Map Tubes:
  - Box labels are placed over on the flaps at one end of the tube. They should be taped on to secure them. Place the label on the long side of the tube if the tube does not have a flap and was sealed by taping a piece of paper or cardboard over the end.
  - Drawing labels may be placed along the long side of the tube.
  
- 3.8 Each transfer of boxes must be accompanied by a completed [Records Transfer Slip](#).
  
- 3.9 Each transfer must be submitted to the Department of Infrastructure's Corporate Records Management (CRM) unit by the department or public agency's Records Coordinator. Transfer requests should be e-mailed to [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca).
  
- 3.10 Each transfer must be reviewed and accepted by a CRM Records Analyst.
  
- 3.11 For complete procedures on transfers to storage, see *4200 Transfers to Storage*. For complete procedures on dispositions, see *4400 Records Dispositions*.





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## 4110 Standard Box Sizes

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### 1. Introduction

The GNWT Records Centres can only accommodate certain sized boxes. These boxes may be purchased from the Department of Infrastructure's Warehouse and Surplus Services section, which is part of the North Slave Regional Office.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.0.18

### 3. Guidelines

- 3.1 Boxes that do not meet the required specifications will be returned to the originating department because they do not fit on the records centres shelves. Standard boxes are required for both transfers to storage and transfers for disposition.

Some of the current stock of Square Tube Boxes (map tubes) does not have flaps that can be used to close the boxes. The tubes can be closed with plastic caps which departments must purchase from an external supplier. If appropriate caps cannot be located, departments may seal the boxes with a piece of cardboard or paper taped over the ends.

Stocked Item Number	Stocked Item Description	Notes
22721	Small Rec/Ship Box 15½" x 11¼" x 10"	This box is accepted in the Fort Simpson, Fort Smith, Hay River, and Inuvik records centres.
22821	ARC File Box 15½" x 11½" x 10"	This box is only accepted in the Yellowknife records centre.
224430	4" x 4" x 30" Square Tube Box	This map tube is accepted in the Fort Smith, Hay River, Inuvik, and Yellowknife records centres.



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Stocked Item Number	Stocked Item Description	Notes
224436	4" x 4" x 36" Square Tube Box	This map tube is accepted in the Fort Smith, Hay River, Inuvik, and Yellowknife records centres.
226630	6" x 6" x 30" Square Tube Box	This map tube is accepted in the Fort Smith, Hay River, Inuvik, and Yellowknife records centres.
226636	6" x 6" x 36" Square Tube Box	This map tube is accepted in the Fort Smith, Hay River, Inuvik, and Yellowknife records centres.
	9½" x 24" x 4½" cheque boxes	This box is only accepted in the Yellowknife records centre. Purchase at office supply stores.

## 4. Procedures

- 4.1 Order boxes several weeks before they will be required. The Department of Infrastructure cannot guarantee there will be stocks of boxes on hand at all times.
- 4.2 Look up the boxes in the GNWT Warehouse Catalogue to ensure that the required boxes are in stock. The Catalogue is on the Department of Infrastructure's website (<https://www.inf.gov.nt.ca/en/services/regional-services/warehouse-and-surplus-services>).
- 4.3 Go to the Internal Services section of the Department of Infrastructure's website ([http://intranet.pws.gov.nt.ca/econtracts/Home\\_Page.asp](http://intranet.pws.gov.nt.ca/econtracts/Home_Page.asp)). You may be required to set up or update your account information.
- 4.4 Select Requisitions – Requisition of Warehouse Stocked Items.
- 4.5 Complete the SAM user fields.
- 4.6 Select the items to be ordered and the quantity and complete the shipping information.
- 4.7 Place the order and print a copy of the order form. The order form must be signed by someone with spending authority and the funds must be committed in SAM before the items will be released.
- 4.8 Questions regarding purchasing of stocked items may be directed to the Warehouse Supervisor at (867) 767-9049 ext. 32175.



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## 4111 Damaged Boxes

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### 1. Introduction

The GNWT records centres only accept boxes containing government records that are in good condition. Boxes that are not in good shape will not fit properly on records centre shelves and may pose a health and safety hazard to records centre personnel.

Boxes that are not in good condition will be returned to the originating department at that department's expense.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.0.18

### 3. Guidelines

- 3.1 Records Centre personnel will inspect the condition of the boxes to ensure that they meet the records centre requirements.
- 3.2 Records Centre personnel will notify Corporate Records Management of any issues with the boxes.
- 3.3 Corporate Records Management will work with the records coordinator and the records centre personnel to arrange the return of the boxes to the originating department.

### 4. Procedures

- 4.1 The records centre personnel will inspect the condition of the boxes upon receipt in the records centre loading area.



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- 4.2 Boxes that are in good shape and that meet records centre requirements will be accepted into the records centre for storage or disposal, as appropriate. See 4100 Requirements for Accessing Records Centre Services.
- 4.3 The records centre personnel will notify Corporate Records Management of any issues with the boxes.
  - 4.3.1 The records centre personnel may open some boxes to determine the extent of any water, insect, or rodent damage.
  - 4.3.2 The records centre personnel may take preventative measures and seal the boxes in plastic bags to prevent the spread of mould or pests.
- 4.4 The records analyst from Corporate Records Management will notify the records coordinator that there are issues with the boxes and explain that the boxes will be returned to the department.
- 4.5 The records centre personnel will return the boxes to the originating department. If the boxes have been shipped to the records centre from another community they will be returned to the nearest office belonging to the originating department.



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## 4200 Transfers to Storage

<b>Issued:</b>	July 2018
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### 1. Introduction

The GNWT records centres provide storage and retrieval services for semi-active records belonging to government departments and some agencies.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.0.18

### 3. Guidelines

3.1 In order to be accepted for transfer into storage, files in each box must:

- Be closed (i.e. no additional paper will be added to them);
- Have reached the semi-active stage in their life cycle; and
- Be scheduled by an approved Records Disposition Authority (RDA), such as the GNWT Administrative Records Classification System (ARCS), an Operational Records Classification System (ORCS), or a One-Time Schedule.

3.2 In order to be accepted for transfer into storage, the boxes must meet the records centre requirements. See *4100 Requirements for Accessing Records Centre Services*.

3.3 Files that have reached the end of their semi-active period at the time of transfer or that have a semi-active period of Nil will not be accepted into storage in the records centre.

3.4 Unscheduled records (records that are not classified and scheduled by an approved RDA) and transitory records will not be accepted for storage in the records centre.



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- 3.5 Copies of records centre forms and procedures for completing the forms are available on the Department of Infrastructure's website, <https://www.inf.gov.nt.ca/en/services/internal-services/legislation-policies-procedures-and-guidelines>.
- 3.6 The following service standards apply:
- **Yellowknife:**
    - Boxes will be picked up every second Wednesday by a moving contractor hired by the Department of Infrastructure's North Slave Regional Office. Contact [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca) for a copy of the schedule. If there is a priority move of surplus furniture then the pick-up date will be moved to Thursday.
    - Transfer requests must be received by the Wednesday before the pick-up date in order to ensure that Corporate Records Management has time to review and process the requests.
  - **All Records Centres**
    - Boxes will be shelved and box location information will be uploaded to DIIMS within 24 hours of receipt of the boxes or as soon as possible.

## 4. Procedures

- 4.1 Pack files into boxes. Make sure that the boxes comply with the records centre requirements. See *4100 Requirements for Accessing Records Centre Services*.
- 4.2 Enter the boxes into DIIMS and assign them to a collection. Instructions on how to enter boxes and create collections are available in the [DIIMS Records Classifier Guide](#).
- 4.3 Assign the volumes to the boxes in DIIMS or complete and save the [Word](#) or [Excel Box Inventory Forms](#). Instructions on how to enter volumes and assign them to boxes are available in the *DIIMS Records Classifier Guide*.
- 4.4 Fill out and save a [Records Transfer Slip](#).
- 4.5 Forward the DIIMS box and collection information, the **Records Transfer Slip** and any **Box Inventory Forms** to the departmental records coordinator. Box Inventory Forms are not required if the volumes have been entered into DIIMS and assigned to boxes.
- 4.6 The records coordinator will review the transfer for errors or missing information and may ask for changes.



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- 4.7 The records coordinator assigns the boxes to a transfer in DIIMS.
- 4.8 Print **GNWT Box Labels** from the [DIIMS Records Classifier Reports](#). These labels contain both the transfer ID, the temporary box ID, and the DIIMS box ID. Place the labels on the boxes. Make sure that the correct label goes on the correct box. Placing the wrong label on the wrong box could lead to difficulty in retrieving boxes. It could also lead to premature or incorrect disposal of the records. Instructions for printing the labels are available in the *DIIMS Records Classifier Guide*. See *4100 Requirements for Accessing Records Centre Services* for the correct placement of the labels.
- 4.9 The records coordinator updates the **Records Transfer Slip** and any **Box Inventory Forms** with the transfer ID number and then e-mails them to Corporate Records Management (CRM) (Corporate\_Records@gov.nt.ca). Box Inventory Forms are not required if the volumes have been entered into DIIMS and assigned to boxes.
- 4.10 A CRM records analyst will review the transfer for errors or missing information. If there are no errors or missing information the records analyst will approve the transfer.
- 4.11 In Yellowknife, the records analyst will make arrangements with the Department of Infrastructure's Central Warehouse to have the boxes picked up by a moving contractor. Boxes are usually picked up every second Wednesday. Corporate Records Management can provide the schedule.
- 4.12 In Fort Simpson, Fort Smith, Hay River, and Inuvik, departments are responsible for hiring a moving contractor and for scheduling a delivery time with the records centre personnel.
- Boxes must be dropped off at the records centre loading area. They will not be accepted if delivered to Department of Infrastructure's regional office.
- Boxes must not be dropped off at the records centre outside of scheduled times. Records centre personnel must be on hand to receive the boxes.
- 4.13 Records should be shipped to the records centre soon after they have been accepted by CRM.
- CRM may cancel a transfer that is not shipped within one month of acceptance. The risk increases for the contents of the boxes to have changed while they sit in government office





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space. Files may have been removed and new ones added. These changes may impact the retention and disposition of a box. They may also result in missing or misplaced files.

- 4.14 Records shipped from a community that does not have a records centre are the responsibility of the originating department until they are received by the records centre.

Corporate Records Management and the records centres are not responsible for any damage that may occur in transit.

Corporate Records Management may request photographs of the boxes before they are accepted in order to ensure that the boxes are in good shape before they leave the originating office.

- 4.15 Records centre personnel will visually inspect the boxes on arrival at the records centre to make sure that the boxes comply with the records centre requirements.
- 4.16 If the records centre personnel do not identify any concerns with the boxes, the boxes will be shelved and assigned to a locator code in DIIMS.
- 4.17 The Records Analyst will notify the Records Coordinator that the boxes have been shelved.<sup>1</sup>

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<sup>1</sup> The Department of Infrastructure will provide a Box Location/Status Listing to public agencies that do not have access to DIIMS. The Box Location/Status Listing provides information required to retrieve files and boxes from the records centres. Departments that have access to DIIMS can obtain a copy of the Box Location/Status Listing from the DIIMS Records Classifier Reports.





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## 4210 Re-inventorying Boxes in Storage

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### 1. Introduction

It is sometimes necessary to re-inventory boxes already in storage in the GNWT records centres. Some of the reasons why this may happen include the following:

- Someone has discovered an error in the Box Inventory Forms or the box inventories entered into DIIMS.
- A department or agency has decided to enter older file folders (boxes) into DIIMS to improve searching and retrieval capabilities.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 Records coordinators should discuss any plans to re-inventory boxes with a CRM records analyst.
- 3.2 Boxes must be retrieved from the records centre as regular 30-day retrievals. The records centres do not have on-site facilities for departmental staff to review and re-inventory boxes.
- 3.3 Re-inventoried boxes may be returned to the records centre as part of their original transfer

### 4. Procedures

- 4.1 The records coordinator submits a retrieval request to the records centre to retrieve the box that is to be re-inventoried.



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- 4.2 The records coordinator re-inventories the box and either enters the volumes into DIIMS and adds them to the box or updates the Box Inventory Forms. If the volumes are in DIIMS, DIIMS will notify Corporate Records Management that a change has been made to the box.
- 4.3 The records coordinator sends an e-mail to Corporate Records Management (Corporate\_Records@gov.nt.ca) to notify the CRM records analyst that the box has been updated.
- 4.3.1 If the volumes have been entered into DIIMS and this has resulted in a change to the box level information, the records coordinator should provide the following information:
- New box From Date.
  - New box To Date.
  - New box SO Date, if applicable.
  - New box RSI (retention schedule)
  - New box RDA, if applicable)
- 4.3.2 If the volumes have not been entered into DIIMS, the records coordinator must provide updated Box Inventory Forms.
- 4.4 The CRM records analyst updates the box dates, the RSI, and the RDA fields in DIIMS (if applicable).
- 4.5 The CRM records analyst updates the PDF Box Inventory Forms (if applicable).
- If volumes have been entered into DIIMS, the CRM records analyst will update the PDF Box Inventory Forms with a note indicating that the volumes have been entered into DIIMS and that the Box Inventory Forms should not be used for retention and disposition of records.
- 4.6 The records coordinator returns the box to the records centre.



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## 4300 Retrievals from the Records Centres

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### 1. Introduction

The GNWT records centres provide storage and retrieval services for semi-active records belonging to government departments and some agencies. Records placed in storage may be retrieved by the department that owns them at any time prior to final disposition.

The GNWT is going through a period of change in the way it manages its paper files. For many years, records boxes and the paper file folders inside them were managed using manual systems that relied on typed or handwritten Box Inventory Forms. This changed in 1998 when a new computer system was introduced to manage the boxes. This system was replaced by DIIMS in 2012. Every box in the records centre is listed in DIIMS. The circulation feature in DIIMS can be used to retrieve any box.

DIIMS can also be used to manage paper file folders, which DIIMS refers to as volumes; however, only a portion of the paper file folders housed in the records centres have been entered into DIIMS. Some departments and agencies use DIIMS to list the paper file folders that they send to the records centres while some do not. The use of DIIMS to list paper file folders may vary between divisions within a single department or agency as well.

The differences in the management of paper file folders affect how retrieval services are delivered.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 Retrieval requests must be sent in by e-mail or by using the circulation feature in DIIMS.



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- 3.1.1 To request an **entire box**, use the circulation feature in DIIMS.<sup>1</sup> See the *DIIMS Records Classifier Guide* for more information on how to make a request using DIIMS.
- 3.1.2 To request a **file folder (volume) that is listed in DIIMS**, use the circulation feature in DIIMS. See the [DIIMS Records Classifier Guide](#) for more information on how to make a request using DIIMS.
- 3.1.3 To request a **file folder (volume) that it is not listed DIIMS**, fill out a [Request for Records](#) form and e-mail it to the records centre. See the [Request for Records Form Procedures](#) for information on how to fill out the form.
- 3.2 Requests that do not have all of the required information may not be filled.
- 3.3 The following service standards apply:
- **Urgent requests:** within three hours.
  - **Non-urgent requests:** within 24 hours.
- 3.4 There are two types of retrievals:
- **Regular 30-day retrievals:** items charged out for 30 days will be returned to the records centre at some point in the future.
  - **Permanent returns:** items charged out as a permanent return will not be returned to the records centre.
- 3.5 Departments and agencies are responsible for picking up their items from the records centre. The records centres do not deliver retrieved items. Instead, departments can:
- Send a courier to pick up the item.
  - Pick up the item in person.
  - Ask the records centre administrator to put the item in internal mail. Internal mail is not recommended for items that contain confidential or personal information because the chain of custody is not tracked.

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<sup>1</sup> Aurora College, the Workers' Safety and Compensation Commission, and other agencies that are unable to use DIIMS due to network access issues, may request entire box by filling out a Request for Records form and e-mailing the form to the records centre that houses the records.



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- 3.6 The records centres do not ship items to another community. Instead, the person who made the request must arrange to have the item picked up and delivered to the other community.
- 3.7 Departments and agencies may put restrictions on who can retrieve items from the records centres. Records coordinators must give each records centre a list of employees who are authorized to retrieve items. If no list is provided, the records centres will accept retrieval requests from any employee in that department.
- 3.8 No one can request records belonging to a department or agency other than the one for which they are employed.
- 3.9 Departments and agencies are responsible for keeping track of the items that they retrieve.

## 4. Procedures – Retrieving Items using DIIMS

The following procedures apply to all requests for items that are listed in DIIMS.

- 4.1 Search or browse DIIMS to find the item that you would like to request.
- 4.2 Follow the procedures for requesting physical items in the [DIIMS Records Classifier Guide](#).
- 4.3 The records centre administrator will receive your request, print a request slip, and retrieve the item. They will attach a copy of the request slip to the item. **Do not remove** the slip. If the item is a regular retrieval, this slip will be used by the records centre to make sure that the item is returned to the correct location when you send it back to the records centre.
- 4.4 The records centre administrator will contact you when the item is ready to be picked up.

## 5. Procedures – Retrieving Items using the Request for Records Form

The following procedures apply to all requests for paper file folders (volumes) that are not listed in DIIMS. These procedures may also be used to request entire boxes by agencies that do not have access to DIIMS.

- 5.1 Review Box Inventory Forms and Box Location Status Lists to find the item that you would like to request.
- 5.2 Follow the [Request for Records Form Procedures](#) and fill out a [Request for Records Form](#).
- 5.3 E-mail the completed **Request for Records Form** to the records centre that has the records. See *4002 Records Centre Contacts* for the records centre e-mail addresses.



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- 5.4 The records centre administrator will receive your request, print a request slip, and retrieve the item. They will attach a copy of the request slip to the item. **Do not remove** the slip. If the item is a regular retrieval, this slip will be used by the records centre to make sure that the item is returned to the correct location when you send it back to the records centre.
- 5.5 The records centre administrator will contact you when the item is ready to be picked up.



# Corporate Information Management Handbook

## 4310 Returning Files and Boxes

<b>Issued:</b>	November 2018
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### 1. Introduction

The GNWT records centres provide storage and retrieval services for semi-active records belonging to government departments and some agencies. Records placed in storage may be retrieved by the department that owns them at any time prior to final disposition.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 Items that were charged out as regular 30-day retrievals can be returned. Items must be returned to the records centre that they were originally stored in or retrieved from.
- 3.2 Permanently returned items cannot be returned to the records centre as part of their original transfer. Instead, they must be added to a new transfer.
- 3.3 Items must have the original **Request for Records Form** attached to them. This is to make sure that the items are returned to the correct locations.
- 3.4 Items must not be bundled together with elastic bands.
- 3.5 Items must be delivered to the records centre. Do not deliver items to the Department of Infrastructure's regional office. In Fort Simpson, Fort Smith, Hay River, and Inuvik, contact the records centre administrator to schedule a delivery time and ensure that someone will be at the records centre to receive your items. Do not leave the items outside by the front door of the records centre.



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- 3.6 Items may be delivered in person or by courier. Internal mail is not recommended for confidential or personal information because the chain of custody is not tracked.
- 3.7 The following service standard applies:
- Returned items will be returned to the records centre shelves and charge out information will be updated in DIIMS within 24 hours of receipt of the items or as soon as possible.

## 4. Procedures

- 4.1 In Yellowknife, send charged-out file items to the Records Centre, GNWT Central Warehouse, 415 Byrne Road.
- 4.2 In Fort Simpson, Fort Smith, Hay River, and Inuvik, call the records centre administrator to schedule the delivery.
- 4.3 The records centre administrator will update DIIMS (if applicable). They will then put the item back on the shelf in the records centre.
- 4.4 The records centre administrator will contact you if an item cannot be returned to its original location for some reason. For example, you will be contacted if documents have been added to a paper file folder (volume) and it no longer fits inside its box.





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## 4320 Permanent Returns

<b>Issued:</b>	November 2018
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### 1. Introduction

The GNWT records centres provide storage and retrieval services for semi-active records belonging to government departments and some agencies. Records placed in storage may be retrieved by the department that owns them at any time prior to final disposition.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 A permanent return happens when someone retrieves an item from the records centre and plans to keep it. Permanent returns are also called reactivations.
- 3.2 Items that are permanently returned will not be taken back into the records centre as part of their original transfer. They must be added to a new transfer. The reason for this is that the items may have changed and the original retention and disposition dates may no longer be correct.
- 3.3 Departments and agencies are responsible for picking up their items from the records centre. The records centres do not deliver retrieved items. Instead, departments can:
  - Send a courier to pick up the item.
  - Pick up the item in person.
  - Ask the records centre administrator to put the item in internal mail. Internal mail is not recommended for items that contain confidential or personal information because the chain of custody is not tracked.



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- 3.4 The records centres do not ship items to another community. Instead, the person who made the request must arrange to have the item picked up and delivered to the other community.
- 3.5 Departments and agencies may put restrictions on who can retrieve items from the records centres. Records coordinators must give each records centre a list of employees who are authorized to retrieve items. If no list is provided, the records centres will accept retrieval requests from any employee in that department.
- 3.6 No one can request records belonging to a department or agency other than the one for which they are employed.
- 3.7 Departments and agencies are responsible for keeping track of the items that they retrieved.
- 3.8 The following service standard applies:
- Permanently returned items will be updated in DIIMS within five business days.

## 4. Procedures

- 4.1 For items listed in DIIMS, follow the procedures for requesting physical items in the [DIIMS Records Classifier Guide](#). Select Permanent Return as the Request Type.
- 4.2 For items that have not been entered into DIIMS, follow the [Request for Records Form Procedures](#) and fill out a [Request for Records](#) Form. Select Permanent Return in the Return By section of the form.
- 4.3 The records centre administrator will receive your request, print a request slip, and retrieve the item. They will also cancel the retrieval request in DIIMS.
- 4.4 The records centre administrator will contact you when the item is ready to be picked up.
- 4.5 The records centre administrator will forward the Request for Records e-mail to the Corporate Records Management e-mail account.
- 4.6 For items entered into DIIMS, a CRM records analyst will update the following:
- Permissions will be changed so that records coordinators and records classifiers can modify and move the item.
  - Location will be updated to Department (DEP).



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- Status will be updated to Active (ACT).
  - Status Date will be updated to the date that the item was permanently returned.
  - File folders (volumes) will be removed from their box.
  - Boxes will be removed from their shelves.
- 4.6 For items not entered into DIIMS, a CRM records analyst will update CRM's PDF copy of the box inventory forms to show that the item was permanently returned.
- 4.7 CRM recommends that records coordinators update their Word, Excel, or PDF master box inventory forms to show that the item was permanently returned.
- 4.8 To permanently return an item that was retrieved as regular 30-day retrieval, send an e-mail to the records centre e-mail address and explain that you want to permanently return the item.
- Attach the completed **Request for Records** Form to your e-mail, or
  - For requests made through DIIMS, provide the transfer ID, temp box # or DIIMS Box ID, and the full file number, volume number, and file title.



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## 4321 Permanent Returns Following a Records Centre Program Review

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### 1. Introduction

The Corporate Records Management (CRM) unit conducts annual reviews of the regional records centre programs. The program reviews include taking an inventory of the records centre's holdings. Very often the inventories find that boxes have been charged out of the records centre for several months. CRM permanently returns these boxes to their department or agency. This is done for two reasons:

- The contents of the boxes may have changed while they are charged out, which makes box inventories and box retention and final disposition dates inaccurate.
- CRM is responsible for managing the space in the records centres. Some of the records centres are close to capacity and shelf space must be maximized in order to continue to allow for transfers of new records into storage.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 Items that have been retrieved as regular 30-day retrievals are considered overdue if they have not been returned at the end of the 30 day period (30 calendar days).
- 3.2 CRM will permanently return any boxes identified as overdue during a records centre program review.



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## 4. Procedures

- 4.1 Records centre inventories are conducted by CRM records analysts with assistance from records centre administrators.
- 4.2 The contents of each shelf in the records centre are compared against an inventory list printed from DIIMS.
- 4.3 If an Out Card is found on a shelf, the CRM records analyst will check the retrieval date of the box. If the box is overdue, the CRM records analyst will remove the Out Card from the shelf.
- 4.4 The CRM records analyst will update the following information in DIIMS:
  - Permissions will be changed so that records coordinators and records classifiers can modify and move the item.
  - Location will be updated to Department (DEP).
  - Status will be updated to Active (ACT).
  - Status Date will be updated to the date that the item was permanently returned.
  - Boxes will be removed from their shelves.
- 4.5 The CRM records analyst will notify the records coordinator that the item has been permanently returned.
- 4.6 CRM recommends that records coordinators update their Word, Excel, or PDF master box inventory forms to show that the item was permanently returned



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## 4400 Records Disposition

<b>Issued:</b>	July 2018
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### 1. Introduction

The disposal of records is part of the ordinary and normal business of government. Almost all government records will eventually outlive their usefulness to the department or agency that created them and keeping records longer than necessary is a liability to the government.

Records occupy physical and network storage space and there is a cost to maintain them. Keeping large volumes of out-of-date records also increases the time, resources, and risks associated with searching for information, responding to Access to Information requests, and responding to legal actions.

At the same time, failure to keep records and failure to dispose of records in accordance with the GNWT's accepted business practices exposes the GNWT to risks. There is a risk that information will not be available when required. There is also a risk that the government will not be able to adequately explain what happened to information when responding to a question from the Legislative Assembly, an Access to Information request, an audit, an investigation, or a legal action.

The length of time that records should be kept by a government department or agency is identified in records disposition authorities (RDAs). RDAs also identify the mode of final disposition. The Territorial Archivist reviews and authorizes the disposal of records in accordance with the retention schedules and final dispositions outlined in the records disposition authorities.

Disposing of records without the authorization of the Territorial Archivist is a violation of the *Archives Act*. Anyone who damages or mutilates a record, removes a record from a government office, or destroys a record without authorization from the Territorial Archivist



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is guilty of an offence and is liable on summary conviction to a fine not exceeding \$5,000, or to imprisonment for a term not exceeding one year, or to both.

## 2. References

Agreement on records between the Government of the Northwest Territories and the Interim Commissioner of Nunavut, dated March 29, 1999.

Archives Act, R.S.N.W.T 1998, c.A-6

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

Records Scheduling Policy, ICT Policy 6003.00.24

Information and documentation – Records management – Part 1: Concepts and principles, International Organization for Standardization, ISO 15489-1:2016.

## 3. Guidelines

- 3.1 Records must not be disposed of except in accordance with the retention and disposition set out in an approved RDA, such as the Administrative Records Classification System (RDA 1995-32), an Operational Records Classification System, or a One-Time Schedule, or the Transitory Records Schedule (RDA 1997-02).
- 3.2 Records must not be disposed of unless they have reached the final disposition phase of their life cycles as identified in an approved RDA. Final disposition usually takes the form of transfer to the Northwest Territories Archives or destruction.
- 3.3 The disposal of substantive records must be authorized by the director or regional superintendent responsible for the program that created or maintained the records.

Substantive records are records that contain advice, recommendations, decisions, background material, policies, procedures, financial information and transactions, information about interactions with clients and the public, information about interactions with vendors and partners, information about important discussions, contracts and legal instruments, proposed legislation and regulations, work done for the government by contractors, information that shows that services have been provided or obligations have been incurred, and information that shows that the GNWT's information systems have been maintained and are reliable. Substantive records are classified and scheduled as master or





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copy files in the ARCS or an ORCS. Substantive records are records that the government uses to document its actions and make decisions.

- 3.4 As per the *Agreement on records with the Government of Nunavut*, where the GNWT proposes to destroy substantive records that were created before April 1, 1999, the GNWT will provide the Government of Nunavut with a written notice of the records to be destroyed. The Government of Nunavut will review the records and may determine that it wishes to retain some of the records. Corporate Records Management will coordinate the offer of records to Nunavut and the transfer of any records that Nunavut wishes to retain. There is no requirement to notify the Government of Nunavut about the disposal of transitory records.
- 3.5 Substantive and transitory records relating to pending or current litigation, legal actions, investigations, audits, or Access to Information requests should not be disposed of while that activity is underway or anticipated.
- 3.6 The Department of Infrastructure provides records disposal services for substantive records that have been classified and scheduled in the ARCS or an ORCS to the GNWT, as an extension of its records centre services for paper records and electronic records stored in DIIMS.
- 3.7 All actions relating to disposition of substantive records must be documented. The department that created or maintained the records is responsible for maintaining a record of records disposition. Records documenting the disposition of records may be classified and scheduled in ARCS.
- 3.8 Transitory records may be disposed of by government employees, providing that they meet the requirements of the *Transitory Records Schedule* (RDA 1997-02). Transitory records may contain sensitive confidential and personal information. Disposal of transitory records must be handled with care to avoid disclosure of the information.





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## 4410 Disposition of Physical Records

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### 1. Introduction

The GNWT Records Centres provide records disposal services for substantive government records that are in a physical format, primarily paper. This procedure does not apply to transitory records.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 In order to be accepted by a GNWT records centre for disposal, files in each box must be closed (i.e. no additional paper will be added to them), have reached the final disposition stage in their life cycle, and be scheduled by the GNWT Administrative Records Classification System (ARCS), an Operational Records Classification System (ORCS), or a One-Time Schedule.
- 3.2 In order to be accepted for disposal, the boxes must meet the records centre requirements. See *4100 Requirements for Accessing Records Centre Services*.
- 3.3 Unscheduled records (records that are not classified and scheduled by an approved RDA) and transitory records will not be accepted for disposal in the records centre.
- 3.4 Copies of records centre forms and procedures for completing the forms are available on the Department of Infrastructure's website, <https://www.inf.gov.nt.ca/en/services/corporate-information-management/legislation-policies-procedures-and-guidelines>.
- 3.5 The following service standards apply:



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- **Yellowknife:**
  - Boxes will be picked up every second Wednesday by a moving contractor hired by the Department of Infrastructure's North Slave Regional Office. Contact [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca) for a copy of the schedule. If there is a priority move of surplus furniture then the pick-up date will be moved to Thursday.
  - Transfer requests must be received by the Wednesday before the pick-up date in order to ensure that Corporate Records Management has time to review and process the requests.
- **All Records Centres**
  - Boxes will be received and box location information will be uploaded to DIIMS within 24 hours of receipt of the boxes or as soon as possible.
  - Boxes will be shredded within 24 hours from the time that the Records Analyst authorizes the shredding or as soon as possible. Shredding for the Yellowknife Records Centre is contracted out and takes place once or twice a year, depending on the volume to be shredded.

## 4. Procedures – Disposition from Department

Sometimes records reach the final disposition stage of their life cycle while they are still located in a government office.

The following procedure describes the steps involved in transferring boxes to the records centre in order to dispose of them immediately.

- 4.1 Pack files into boxes. Make sure that the boxes comply with the records centre requirements.
- 4.2 Enter the boxes into DIIMS and assign them to a collection. Instructions on how to enter boxes and create collections are available in the [DIIMS Records Classifier Guide](#).
- 3.2 Assign the volumes to the boxes in DIIMS or complete and save the [Word](#) or [Excel Box Inventory Forms](#). Instructions on how to enter volumes and assign them to boxes are available in the [DIIMS Records Classifier Guide](#).
- 3.3 Fill out and save a [Records Transfer Slip](#).



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- 3.4 Forward the DIIMS box and collection information, the **Records Transfer Slip** and any **Box Inventory Forms** to the departmental records coordinator. Box inventory forms are not required if the volumes have been entered into DIIMS and assigned to boxes.
- 4.3 The records coordinator will review the transfer for errors or missing information and may ask for changes.
- 4.4 The records coordinator assigns the boxes to a transfer in DIIMS.
- 4.5 The records coordinator obtains a **Disposition Authorization Letter** from the director or regional superintendent responsible for the records. The Disposition Authorization Letter must include the Records Disposition Authority number (RDA number) that applies to the records that are being disposed of and the number of boxes being disposed of.

The director or regional superintendent should review the **Box Inventory Forms** or a **Box Inventory report** generated from DIIMS prior to approving the disposal of the records. The reason for this review is to identify any records that should not be destroyed because they are required to respond to litigation, a legal action, an investigation, an audit, or an Access to Information request. Records that are subject to one of these actions must be kept by the department until the matter is resolved.

Corporate Records Management and the records centres are not responsible for identifying records that should be retained for legal, audit, Access to Information, or other reasons.

- 4.6 Print **GNWT Box Labels** from the [DIIMS Records Classifier Reports](#). These labels contain both the transfer ID, the temporary box ID, and the DIIMS box ID. Place the labels on the boxes. Make sure that the correct label goes on the correct box. Placing the wrong label on the wrong box could lead to premature or incorrect disposal of the records. Instructions for printing the labels are available in the *DIIMS Records Classifier Guide*. See 4100 *Requirements for Accessing Records Centre Services* for the correct placement of the labels
- 4.6 The records coordinator updates the **Records Transfer Slip** and any **Box Inventory Forms** with the transfer ID number and then submits them along with the Disposition Authorization Letter to Corporate Records Management (CRM) ([Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca)). Box Inventory Forms are not required if the volumes have been entered into DIIMS and assigned to boxes.



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- 4.7 A CRM records analyst will review the transfer for errors or missing information. If there are no errors or missing information the Records Analyst will accept the transfer for disposition.
- 4.8 The CRM records analyst will open a disposition file and assign a disposition file number to the boxes in DIIMS. The records analyst will send **disposition labels** to the records coordinator, usually via e-mail.
- 4.9 The records coordinator will have the **disposition labels** printed and placed on the boxes and will notify the records analyst when the boxes have been labeled. Disposition labels show the same transfer, temporary box ID number, and DIIMS box ID that is shown on the GNWT Box Labels. Departments must take care to ensure that the correct label is placed on the corresponding box. Placing the wrong label on the wrong box could lead to incorrect disposal of the records.
- 4.10 In Yellowknife, the Records Analyst will make arrangements with the Department of Infrastructure's Central Warehouse to have the boxes picked up by a moving contractor. Boxes are usually picked up every second Wednesday. Corporate Records Management can provide the schedule.
- 4.11 In Fort Simpson, Fort Smith, Hay River, and Inuvik, departments are responsible for hiring a moving contractor and for scheduling a delivery time with the records centre personnel.
- Boxes must be dropped off at the records centre. They will not be accepted if delivered to Department of Infrastructure's regional office.
- Boxes must not be dropped off at the records centre outside of scheduled times. Records centre personnel must be on hand to receive the boxes.
- 4.12 Records should be shipped to the records centre soon after they have been accepted by CRM.
- CRM may cancel a transfer that is not shipped within one month of acceptance. The risk increases when not submitted within a month, for the contents of the boxes to have changed while they sit in government office space. Files may have been removed and new ones added. These changes may impact the retention and disposition of a box. They may also result in missing or misplaced files.



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- 4.13 Records shipped from a community that does not have a records centre are the responsibility of the originating department until they are received by the records centre.

Corporate Records Management and the records centres are not responsible for any damage that may occur in transit.

Corporate Records Management may request photographs of the boxes before they are accepted in order to ensure that they boxes were in good shape before they leave the originating office.

- 4.14 Records centre personnel will visually inspect the boxes on arrival at the records centre to make sure that the boxes comply with the records centre requirements.

- 4.15 If the records centre personnel do not identify any concerns with the boxes, the boxes will be received in DIIMS and processed for disposition.

- Boxes that have a final disposition of Destroy (D) will be shredded.
- Boxes that have a final disposition of Archival Selection (AS/D) will be offered to the NWT Archives. The NWT Archives will review the records and may select all, some, or none of the records for permanent preservation in the Archives. Records not selected by the NWT Archives will be destroyed.
- Records that are to be destroyed and that were created before April 1, 1999 will be offered by the records analyst to the Government of Nunavut prior to being shredded. If the Government of Nunavut requests records, then the records analyst will notify the records coordinator that a request has been made. The records coordinator will determine if the records are eligible for release to the Government of Nunavut and will inform the records analyst of the decision to release the records to Nunavut or not. The records analyst will arrange shipment of the records to Nunavut. Records not requested by Nunavut or not authorized for transfer will be destroyed.

- 4.19 The records analyst will notify the records coordinator when all of the boxes in a transfer have been disposed of.

## 5. Procedures – Disposition from Storage

In most cases, paper records reach the final disposition stage of their life cycle while they are in storage in one of the GNWT's records centres. The following procedure describes the steps involved disposing of records from storage.



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- 5.1 Every April, Corporate Records Management distributes a **Box Disposition Report** to departments and public agencies that have records stored in the GNWT records centres. This report lists all of the boxes that are eligible to be destroyed or transferred to the NWT Archives according to the box retention information that has been entered into DIIMS. Departments have 90 days to respond to the Box Disposition Reports and obtain authorization to dispose of the records.
- If all of the boxes in a report are not approved for disposition or otherwise dealt with by the department by the deadline, the entire department will not be permitted to transfer new boxes into storage. Records retrieval and disposal services are not halted. Transfers to storage may resume when all of the boxes on the disposition report have been approved for disposal or otherwise dealt with.
  - If two departments are required to authorize disposition of boxes due to government reorganization and one department does not respond by the deadline, both departments will be locked out of the records centre.
- 5.2 The records coordinator reviews the **Box Disposition Report** with the directors and regional superintendents who are responsible for the records included on the list.
- The director or regional superintendent should also review the **Box Inventory Forms** or a **Box Inventory report** generated from DIIMS prior to approving the disposal of the records. The reason for this review is to identify any records that should not be destroyed because they are required to respond to litigation, a legal action, an investigation, an audit, or an Access to Information request. Records that are subject to one of these actions must be kept by the department until the matter is resolved.
- Corporate Records Management and the records centres are not responsible for identifying records that should be retained for legal, audit, Access to Information, or other reasons.
- 5.3 Corporate Records Management must be notified of any errors in the Box Disposition Report.
- 5.4 If a disposition hold is required due to a legal matter, audit, or access to information request, written notification from the director or regional superintendent is required by Corporate Records Management. Corporate Records Management will remove the halted boxes from the Box Disposition Report and place them into a disposition hold.





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- 5.5 The records coordinator obtains a **Disposition Authorization Letter** from the director or regional superintendent responsible for the records. The Disposition Authorization Letter must include the Records Disposition Authority number (RDA number) that applies to the records that are being disposed of. It must also include a list of the boxes that are to be disposed of.

Separate letters are required for boxes that are being destroyed and boxes that are being transferred to the NWT Archives.

Separate letters are required for each division or prefix. If more than one director or regional superintendent is responsible for the records due to government or departmental reorganization, both signatures for each of the directors or regional superintendents must appear on the letter.

Corporate Records Management can provide letter templates on request.

- 5.6 The records coordinator e-mails the disposition authorization letters and Box Inventory Forms to Corporate Records Management (Corporate\_Records@gov.nt.ca).
- 5.7 A CRM records analyst reviews the disposition request for errors or missing information. If there are no errors or missing information the records analyst will accept the request for disposition.
- 5.8 The records analyst opens a disposition file and assigns a disposition file number to the boxes in DIIMS.
- 5.9 The records analyst coordinates with the records centre personnel to arrange the disposition of the records.
- Boxes that have a final disposition of Destroy (D) will be shredded.
  - Boxes that have a final disposition of Archival Selection (AS/D) will be offered to the NWT Archives. The NWT Archives will review the records and may select all, some, or none of the records for permanent preservation in the Archives. Records not selected by the NWT Archives will be destroyed.
  - Records that are to be destroyed and that were created before April 1, 1999 will be offered by the records analyst to the Government of Nunavut prior to being shredded. If the Government of Nunavut requests records, then the records analyst will notify the



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records coordinator that a request has been made. The records coordinator will determine if the records are eligible for release to the Government of Nunavut and will inform the records analyst of the decision to release the records to Nunavut or not. The records analyst will arrange shipment of the records to Nunavut. Records not requested by Nunavut or not authorized for transfer will be destroyed.

- 5.10 The records analyst will notify the records coordinator when all of the boxes in a transfer have been disposed of.