



# Enterprise Information Management Handbook

July | 2023

Government of  
Northwest Territories

English

French

Cree

Tłchq

Chipewyan

## South Slavey

## North Slavey

Gwich'in

Inuvialuktun

Inuktitut

Inuinnaqtun

French:

866-561-1664 Toll Free

## 0001

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## About this Handbook

<b>Issued:</b>	July 2018
<b>Last Updated:</b>	July 2023

### 1. Introduction

Please visit the Department of Infrastructure's [website](#) for the latest version of this handbook.

This handbook is for Departmental Records Management Teams (also referred to as records coordinators), supervisors, and employees. Its purpose is to support the Government of the Northwest Territories' (GNWT) records and information management (RIM) program. It describes the services offered by the Department of Infrastructure's Enterprise Information Management (EIM) division and the steps to follow when using these services. It also provides guidance on the development and implementation of the RIM program.

#### 1.1 Audience

The information in this handbook is intended for the following organizations, which receive services from EIM. These organizations are variously referred to in legislation as Government Bodies, Public Bodies, or Departments and Public Agencies.

- Legislative Assembly of the Northwest Territories
- Elections NWT
- GNWT Departments
  - Education, Culture and Employment
  - Environment and Climate Change
  - Executive and Indigenous Affairs
  - Finance
  - Health and Social Services
  - Industry, Tourism and Investment
  - Infrastructure
  - Justice
  - Municipal and Community Affairs
- GNWT Agencies, Boards, Commissions, and Corporations
  - NWT Business Development and Investment Corporation
  - Housing NWT

DIIMS, records centre, and other records and information management services are provided to some GNWT organizations which are not on the above list, through service arrangements or to facilitate the use of certain DIIMS workflows. These organizations follow the same procedures as a department with respect to the services they use.

GNWT organizations which do not use EIM services may find information in this handbook useful in the management of their organization's records. It is recommended that they contact the NWT Archives for guidance regarding the retention and disposal of public records as per the *Archives Act*.

## 1.2 Terminology and Abbreviations

The term "department" will be used throughout this handbook, but it encompasses the organizations listed in part 1.1.

GNWT means Government of the Northwest Territories.

EIM means the Enterprise Information Management Division of the Department of Infrastructure.

ERM means the Enterprise Records Management section within EIM.

ECM means the Enterprise Content Management section within EIM.

DIIMS Service Desk means the group within ECM which handles service requests, incidents, and communications with DIIMS users.

## 1.3 Questions About the Handbook

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

# 2. About Managing Records

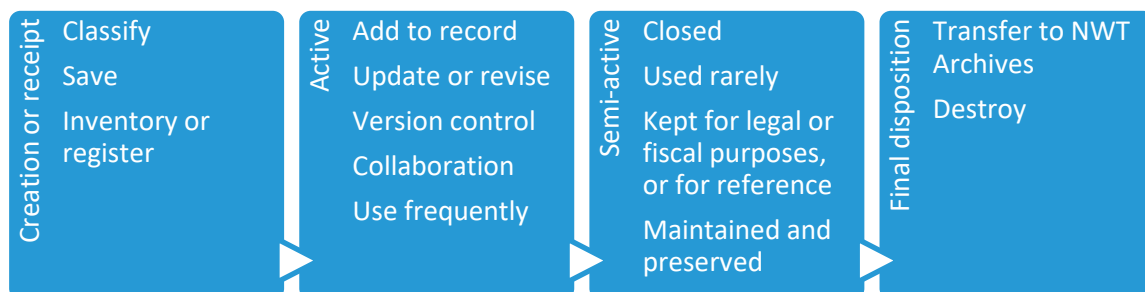
Managing records consists of the following activities:

- Creation or receipt – records are created or received, and then a decision is made to keep them as official records.
- Capture – the records are saved, organized, and stored with related records.
- Classification and indexing – the records are assigned a classification number from the Administrative or Operational Records Classification Systems (ARCS or ORCS) and inventoried as a government asset using DIIMS or a file list.
- Storage and use – records are kept for business, legal and financial accountability, public accountability, and historical reasons. At all times, measures are taken to protect the records from physical damage and from unauthorized access, disclosure, change, loss, or destruction. These measures may include migration or conversion of records for long-term preservation and access purposes.



- Retention and disposal – records are kept for the retention periods set out in ARCS or ORCS. They are disposed of in compliance with the provisions of the *Archives Act*. Disposition holds are applied in certain circumstances.

Records are often described as having a life cycle, as shown in the diagram below.



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# About Enterprise Information Management

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

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

EIM is a centralized service 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 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 EIM's two sections, Enterprise Records Management (ERM) and Enterprise Content Management (ECM).

### 1.1 Benefits to the GNWT

Information is widely recognized as an important organizational asset. The GNWT realizes several 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 creates centres of excellence for document management and records management knowledge 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. EIM can trace its origins back to the Central Registry that was established by the GNWT in Yellowknife (Sòmbak'è) in 1967/68. In 1977 it became 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.

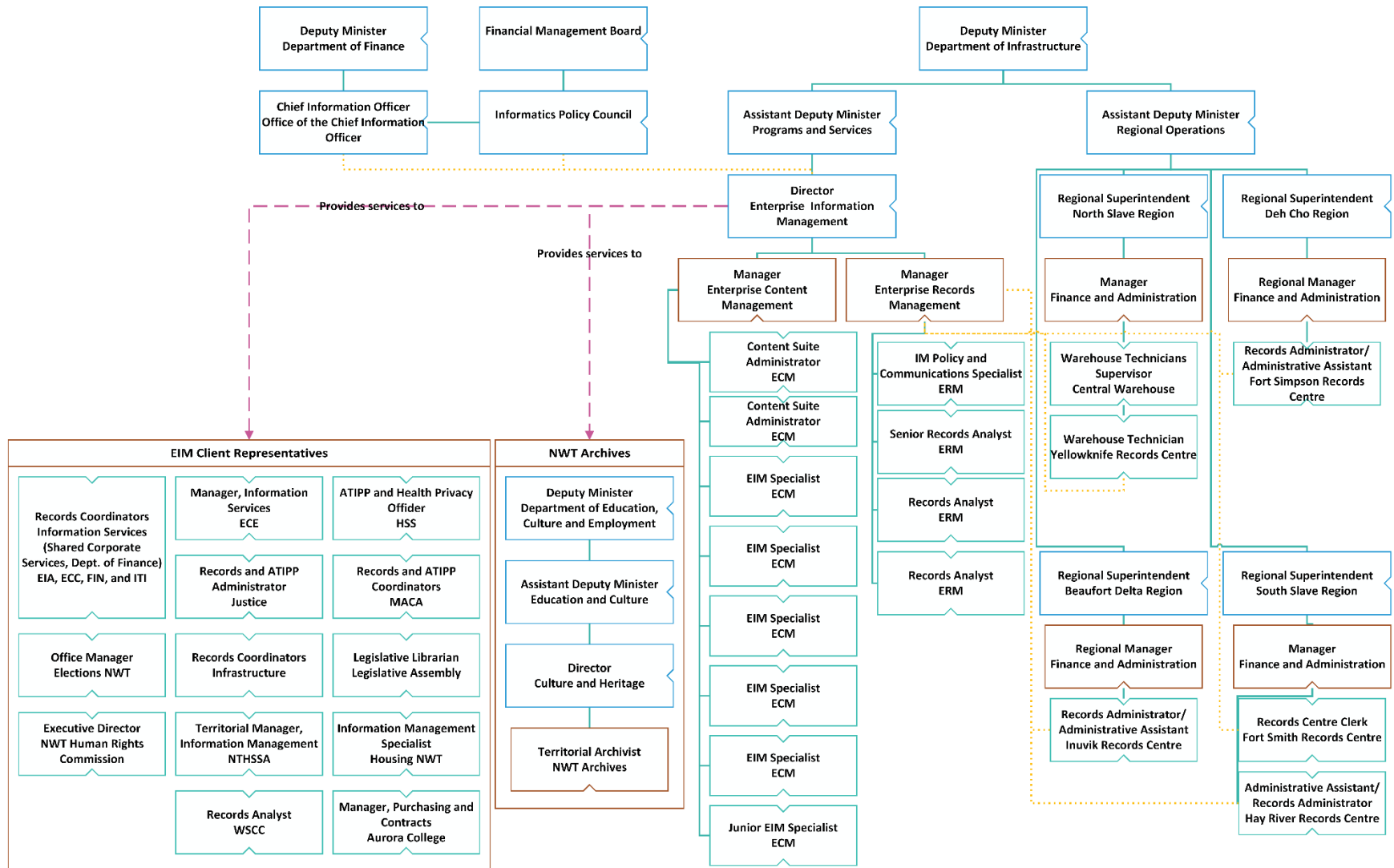
In 1998/99, the Records Management unit introduced iRIMS, which was an electronic records management system used by the records centres to manage boxes and by some departments to manage paper file folders. iRIMS also had some limited document management capabilities.

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 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. To accommodate the new responsibilities created by DIIMS, the Corporate Information Management division was created in 2014. The division was renamed Enterprise Information Management in 2021.

## 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

### 3. Organization and Relationships



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# Enterprise Information Management Service Catalogue

<b>Issued:</b>	December 2021
<b>Last Updated:</b>	December 2021

## 1. Introduction

The Service Catalogue is an inventory of services performed by Enterprise Information Management (EIM). It includes a description of each service, information about who can access the service, and information on how to access the service.

EIM services are included in the [Information and Technology Services Portal](#), which is accessible via [Bear Net](#). A PDF copy of the Service Catalogue is available from EIM on request.

## 2. References

Enterprise Information Management Service Catalogue

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# About Departmental Records and Information Management Programs

<b>Issued:</b>	July 2021
<b>Last Updated:</b>	July 2023

## 1. Introduction

Government departments are responsible and accountable for the management of records and information in their custody and under their control. The management of records must comply with the *Archives Act*, *Access to Information and Protection of Privacy Act*, and other applicable legislation. In addition, records and information management (RIM) programs conform to the *Recorded Information Management Policy* and its related policies, standards, and guidelines.

Within this governance framework, departments develop RIM programs to suit their individual needs and achieve their program objectives.

While each department implements its own RIM program, the programs share common features which support common principles. The guiding principles of a RIM program are articulated in ARMA International's *Generally Accepted Recordkeeping Principles*: Accountability, Transparency, Integrity, Protection, Compliance, Availability, Retention, and Disposition. Guiding principles are also found in the RIM standards issued by the Canadian General Standards Board and the International Organization for Standardization.<sup>1</sup>

EIM provides services to departmental RIM programs. It does not oversee or direct these programs.

The information below is intended to identify potential components of departmental RIM programs. Each department has a different mix of program components and may include some components which are not listed here.

## 2. References

Archives Act, R.S.N.W.T. 1988, c.A-6

Infrastructure Establishment Policy, Executive Council Policy 31.00

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<sup>1</sup> The GNWT has not formally adopted or endorsed the Principles or any other national or international standard; however, they are useful for articulating the universal goals of a RIM program and for assessing RIM programs.

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

Generally Accepted Recordkeeping Principles, ARMA International, 2017

CAN/CGSB 72.34-2017 Electronic records as documentary evidence

ISO 15489-1:2016 Information and documentation – Records management – Part 1: Concepts and principles

ISO 30300:2020 Information and documentation – Records management – Core concepts and vocabulary

ISO 30301:2019 Information and documentation – Management systems for records – Requirements

ISO 30302:2022 Information and documentation – Management systems for records – Guidelines for implementation

### 3. Best Practices - Accountability

- 3.1 The department identifies a senior manager who has overall responsibility for the RIM program (RIM senior manager). Ideally the senior management team acts as a steering committee to set priorities and address issues. The RIM senior manager also liaises with EIM's management team as the customer of EIM's services and advises EIM of departmental requirements.
- 3.2 The department identifies at least one employee to work with the RIM senior manager as part of a Department Records Management Team and assigns responsibilities for the department-wide records and information management program in their job description.

Alternatively, the department's RIM program may be coordinated by a shared service unit.

The team members hold positions of trust. Department Records Management Team members necessarily have access to a considerable amount of highly confidential and personal information. Typical duties for the Department Records Management Team include some, or all, of the following,

- Developing Operational Records Classification Systems (ORCS).
- Coordinating or managing the deployment and use of the Administrative and Operational Records Classification Systems (ARCS and ORCS).
- Developing RIM procedures for the department.
- Developing and delivering department-specific training and assisting supervisors in developing training plans for employees.
- Coordinating the application of records retention and disposition schedules to the department's records with EIM.

- Coordinating the creation and maintenance of records inventories.
- Coordinating the transfer of paper records to the GNWT records centres.
- Monitoring retrievals of records from the records centres.
- Supporting the deployment and use of DIIMS within the department.<sup>2</sup>
- Monitoring and reporting to management on the use of DIIMS.
- Supporting the effective organization and use of network file shares (shared drives) within the department, if applicable.
- Leading a departmental RIM committee.
- Monitoring or assessing the departmental RIM program and preparing recommendations for improvements.
- Acting as the primary point of contact with respect to RIM issues and concerns for employees and management.
- Acting as the primary point of contact with the EIM division and the NWT Archives.
- Representing the department on the interdepartmental Recorded Information Management Committee (RIMC) and other RIM or DIIMS related committees and working groups.
- Regularly visiting headquarters and regional offices to provide training and support.
- Coordinating the transfer of custody and control over records due to re-organization or transfer of programs to another department.

3.3 The department establishes an internal RIM committee comprised of the RIM senior manager, the Department Records Management Team, and representatives from each division and region. The purpose of this committee is to help organize activities within the department and ensure consistency in RIM practices between different divisions and regions.

## 4. Best Practices - Transparency

4.1 The department creates a RIM procedures manual, which addresses such topics as,

- The creation of records and files.
- Filing procedures.
- File naming conventions.
- The use of DIIMS or network file shares.
- The use of DIIMS workflows.
- Records retrieval procedures for a centralized or decentralized program which may restrict records centre retrieval requests to specific, authorized employees.
- Records sharing, distribution, and tracking procedures.
- Digitization procedures.

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<sup>2</sup> DIIMS stands for Digital Integrated Information Management System. DIIMS is an enterprise content management system used by the GNWT to manage electronic documents and paper records. It is maintained and supported by EIM.



- Vital/essential records protection procedures.
- Procedures for the preservation of long-term records.
- Remote work procedures.
- The management of records posted to online collaboration tools.

The procedures manual is a key component of the RIM program and supports the authenticity and reliability of the records as evidence of government business.

## 5. Best Practices - Integrity

- 5.1 In compliance with the *Archives Act* and the *Records Scheduling Policy*, the Department Records Management Team prepares functional analysis and ORCS for all divisions and regions which require them.
- 5.2 In compliance with the *Records Scheduling Policy*, the Department Records Management Team reviews approved ORCS at least once every five years with the relevant program areas to confirm the ORCS is current and prepares amendments to the ORCS as required.
- 5.3 Paper files are classified and organized in filing cabinets based on the file classifications in ARCS and ORCS.
- 5.4 The ARCS and ORCS folder structure in DIIMS is used to save electronic records, including e-mail. The Department Records Management Team monitors and reports on the use of DIIMS by employees to the RIM senior manager.<sup>3</sup>
- 5.5 Departments which have not implemented DIIMS organize their network file shares into folder hierarchies which reflect the file classification structure of ARCS and ORCS. The Department Records Management Team monitors and reports on the use of all network file shares by employees to the RIM senior manager. This could include monitoring duplication.

## 6. Best Practices - Security

- 6.1 The Department Records Management Team works with EIM to identify security groups and security requirements for DIIMS.
- 6.2 The Department Records Management Team provides the GNWT records centres with lists of employees who are authorized to retrieve records from the records centres and make sure those lists are kept up to date.
- 6.3 The department takes steps to ensure paper records are kept in secure locations which are inaccessible to the public or to those who do not have a need to know.
- 6.4 The department takes steps to protect electronic information, particularly when employees are working remotely.

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<sup>3</sup> DIIMS is the preferred solution for managing the government's electronic records. DIIMS reporting tools allow for reporting on use of the Enterprise and Personal workspaces, access and permissions, use of General folders, and records centre retrievals for boxes and volumes entered in DIIMS.

## 7. Best Practices - Compliance

- 7.1 The Department Records Management Team works with managers and supervisors across the department to identify employees who require RIM training. This includes new employees and existing employees who may require “refresher” training or training on new procedures.

Ideally, employees are required to participate in annual RIM training activities.

Relevant training topics include the ownership of government records, the creation and use of records, saving records, searching for records and records retrieval, using ARCS and ORCS, the identification and disposal of transitory records, and use of DIIMS.

- 7.2 The Department Records Management Team provides RIM training to employees on department-specific RIM procedures. This training is in addition to the GNWT-wide training provided by EIM.
- 7.3 The Department Records Management Team regularly visits headquarters and regional offices to provide advice, guidance, and to review the state of the RIM program.
- 7.4 The Department Records Management Team reports on compliance issues to the RIM senior manager.
- 7.5 The department includes the general competency, [Attention to Detail](#), as an evaluation criterion in performance evaluations.

## 8. Best Practices - Availability

- 8.1 The department uses DIIMS to inventory or register paper files from the moment they are created. DIIMS is used to manage paper records throughout their life cycle.

If a department does not use DIIMS to manage active paper files, it creates and maintains file inventories or file lists so that it is possible to locate and account for its physical records holdings.

File charge-out tools are used to keep track of the movement of physical records in an office.

- 8.2 The Department Records Management Team has access to all locations in DIIMS, all network file shares, and to online collaborative workspaces so they can effectively coordinate the management of the records.

## 9. Best Practices – Retention and Disposition

- 9.1 The department designates appropriate storage equipment and locations for active paper records.
- 9.2 The department annually reviews paper and electronic records, and close records which have met their file closure criteria.

- 9.3 The department routinely transfers paper records to GNWT records centres for semi-active storage.
- 9.4 Senior managers review the disposal of paper and electronic records. During the review process they identify records which should be kept longer due to a current legal matter, audit, access to information request, or government reorganization.
- 9.5 Disposition holds are put in place for records which are subject to a legal matter, such as an investigation or lawsuit, audit, access to information request, or government reorganization.
- 9.6 The department establishes projects to classify and schedule unmanaged records stored in department office space, the GNWT records centres, and network file shares.
- 9.7 The department establishes a strategy for the long-term preservation of records which it is required to keep for more than 10 years.

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# About the Recorded Information Management Committee

<b>Issued:</b>	July 2021
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## 1. Introduction

The Recorded Information Management Committee (RIMC) is an interdepartmental committee established under the authority of the Informatics Policy Council (IPC).

The RIMC was established in 2002. New Terms of Reference were issued in 2021.

The RIMC's objectives include supporting Information Management and Technology governance; promoting the adoption of records management (RM) principles, standards, and best practices; working in collaboration to implement RM strategies and recommendations; assessing and analyzing RM opportunities; endorsing RM solutions; advocating for continued learning opportunities; and contributing to corporate reporting.

The RIMC is chaired by the Manager, Enterprise Records Management, representing the Enterprise Information Management division in the Department of Infrastructure. The membership includes representatives from GNWT departments, Housing NWT, the Northwest Territories Health and Social Services Authority, the Workers' Safety and Compensation Commission, the Northwest Territories Archives, and the Office of the Government Chief Information Officer.

The RIMC reports through the Director of Enterprise Information Management to the Government Chief Information Officer, who reports in turn to the IPC.

## 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Informatics Policy Council, Financial Administration Manual Policy 115

Information Management and Technology (IMT) Governance Policy, IMT Policy Manual

Recorded Information Management Policy, IMT Policy Manual

Recorded Information Management Committee Terms of Reference, approved January 2021

0007

## About the *Archives Act*

<b>Issued:</b>	July 2021
<b>Last Updated:</b>	July 2021

### 1. Introduction

The *Archives Act* is the NWT legislation which supports the GNWT's records and information management program and governs the life cycle of the government's records. In addition to establishing the mandate for the NWT Archives, it:

- Provides a definition for a public record and a government body.
- Establishes the process for the transfer of public records which have archival value by government bodies to the custody and control of the NWT Archives.
- Prohibits the unauthorized destruction of public records. Government bodies can only destroy public records with the written approval of the Territorial Archivist.

The *Archives Regulations* provide further direction on the retention and disposal of public records and authorize government bodies to create plans for the preservation and disposal of public records. These plans, which are commonly referred to as Records Disposition Authorities, provide a classification system for identifying, categorizing, and organizing public records as well as a records retention and disposition schedule which outlines how long records will be kept and whether they will eventually be transferred to the NWT Archives or destroyed.

### 2. References

Archives Act, R.S.N.W.T. 1988, c.A-6

Archives Regulations, R-028-2008

Designation of Government Body Regulations, R-110-99

# RECORDED INFORMATION MANAGEMENT POLICY FRAMEWORK

1001

# About the Recorded Information Management Policy Framework

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2023

## 1. Introduction

In 2002, the Informatics Policy Committee (IPC) issued a Knowledge Management Strategy for the GNWT. Several records management and document management issues were brought up during the consultations on the strategy. The main issue was the need to set up a governance structure for records management in the GNWT. In response to these concerns, IPC created the Recorded Information Management Community of Interest (RIMCOI) and gave it the task of developing a records management policy framework.

RIMCOI developed the Recorded Information Management Policy. IPC approved the Policy in November 2002. RIMCOI also developed a Go Forward Plan. This plan listed other policies, standards, and guidelines that were required to guide the GNWT's records management program. The Corporate Records Management unit in the Department of Public Works and Services and the Recorded Information Management Committee completed the Go Forward Plan.

The Recorded Information Management policy framework has been incorporated into the Department of Finance's Information Management and Technology (IMT) Policy Manual.

## 2. References

Financial Administration Act, S.N.W.T. 2015, c.13

Archives Act, R.S.N.W.T. 1988, c.A-6

Finance Establishment Policy, Executive Council Policy 15.00

Infrastructure Establishment Policy, Executive Council Policy 31.00

Education, Culture and Employment Establishment Policy, Executive Council Policy 71.00

Northwest Territories Archives, Executive Council Policy 71.06

Informatics Policy Council, Financial Administration Manual directive 115

## IMT Policy Manual

### 3. Authority

3.1 The *Financial Administration Act* establishes the Financial Management Board (FMB). The Act assigns the FMB with responsibility for approving information management plans, policies, and strategies. FMB has delegated some of this responsibility to the Informatics Policy Council.

3.2 The Informatics Policy Council (IPC) is responsible for making sure that the GNWT's information and communications technology functions are compliant with strategies and policies.

IPC Policies apply to all departments and public agencies that operate within the GNWT's Data Communications Network.

3.3 The Office of the Chief Information Officer (OCIO) in the Department of Finance supports IPC. The OCIO leads the development and implementation of the information management and technology strategy and policy framework (IMT strategy). The Government Chief Information Officer has the authority to approve interpretation bulletins associated with the IMT strategy.

3.4 The Department of Infrastructure is responsible for developing policies and providing advice and assistance to support the management of the Government's recorded information.

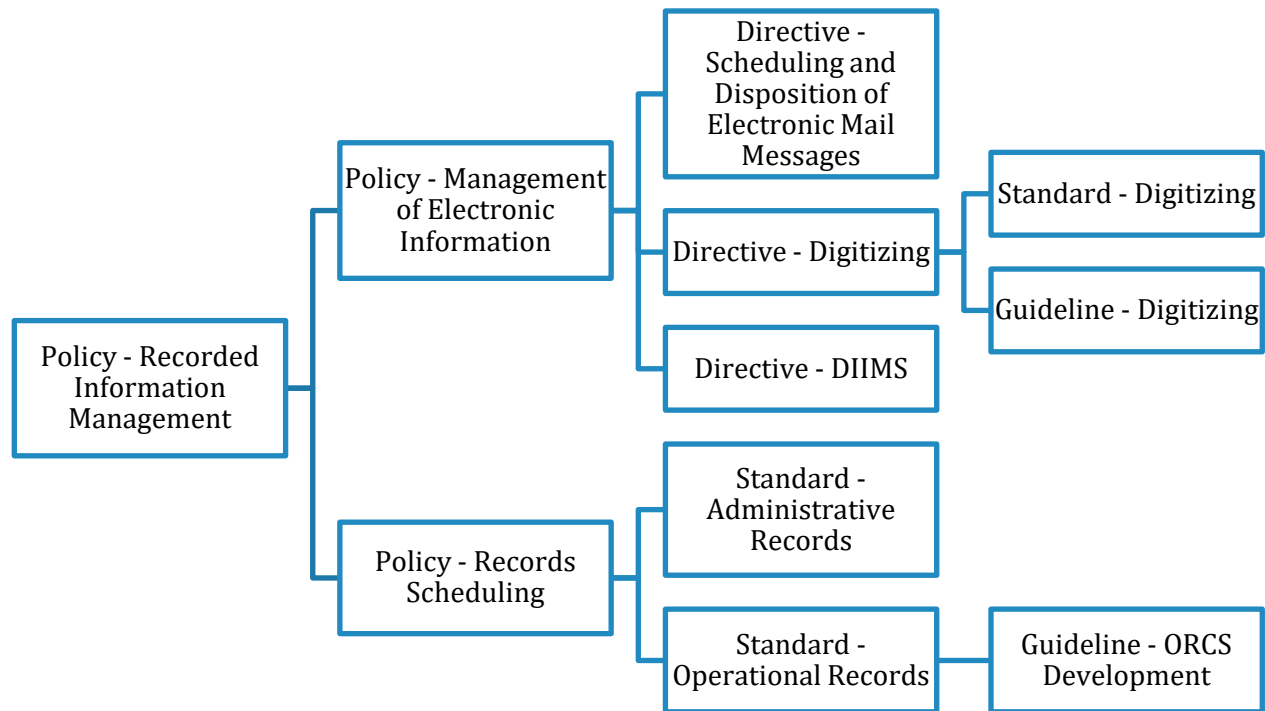
3.5 The Recorded Information Management Committee (RIMC) is an interdepartmental committee. RIMC's members include representatives from EIM, NWT Archives, the Office of the Government Chief Information Officer, and departments. The Manager, ERM, is the chair of RIMC.

3.6 The Northwest Territories Archives is responsible for acquiring and preserving records that document the history of the GNWT. The Territorial Archivist has the authority to identify government records that have archival value and approve the disposal of the remainder.

3.7 Each department is responsible for the management of the records and information in its custody or under its control, in compliance with GNWT-wide policies, directives, and standards.



## 4. Overview of the RIM Policy Framework



# 1100

## Recorded Information Management Policy

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Recorded Information Management Policy was approved by the Informatics Policy Committee in November 2002. Non-substantive changes to the policy were approved by the Informatics Policy Council in September 2018.

A copy of the policy may be accessed [here](#).

### 2. References

Recorded Information Management Policy, IMT Policy Manual

1200

## Management of Electronic Information Policy

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Management of Electronic Information Policy was approved by the Informatics Policy Committee in May 2005. Non-substantive changes to the policy were approved by the Informatics Policy Council in September 2018.

A copy of the policy may be accessed [here](#).

### 2. References

Management of Electronic Information Policy, IMT Policy Manual

# 1210

## Directive - DIIMS

<b>Issued:</b>	July 2023
<b>Last Updated:</b>	July 2023

### 1. Introduction

The Directive – DIIMS was approved by the Government Chief Information Officer in 2022.

Contact Enterprise Information Management to obtain a copy of the Directive.

### 2. References

Directive – DIIMS

### 3. Best Practices

3.1 Departments monitor employee access to DIIMS so that their access permissions are consistent with their responsibilities. Examples of how a department can demonstrate compliance with this requirement include:

- Managers review DIIMS user lists during onboarding and offboarding, or at the start and end of a contract or casual employment.
- Managers review DIIMS user lists when there are significant, long-term changes to an employee's responsibilities, such as through changes to job descriptions or long-term acting appointments.
- Managers review DIIMS user lists when employees are away from their home positions for long periods of time, such as on secondment, transfer assignment, education leave, maternity/parental leave, or deferred salary leave.

3.2 Departments take corrective action where employees are not using DIIMS in compliance with procedures and records disposition authorities. Examples of how a department can demonstrate compliance with this requirement include:

- Managers periodically spot-check DIIMS folders to make sure employees are saving records appropriately.

3.3 EIM monitors DIIMS to make sure it is used in compliance with approved IMT policies and DIIMS procedures. EIM works with department managers and Department Records Management Teams to take corrective actions. Examples of how EIM may demonstrate compliance with this requirement include:

- Routinely comparing DIIMS accounts to Active Directory to identify accounts which are no longer active.
- Routinely reviewing known areas of concern.
- Making reporting tools available to Department Records Management Teams.
- Providing reports to department managers upon request.

## 4. Procedures

- 4.1 Managers request an updated copy of the DIIMS user lists from the department's records management team or the DIIMS Support Desk.
- 4.2 The Department's Records Management Team or the DIIMS Support Desk downloads the user reports from the DIIMS Records Classifier Reports page and provides the information for the appropriate division or program to the manager who requested the information.  
  
**Note:** It may be necessary to edit or redact the reports to maintain security and confidentiality.
- 4.3 Managers review the DIIMS user lists to ensure that access permissions and supplemental markings are consistent with employee responsibilities.
- 4.4 Managers contact the Department Records Management Team or the DIIMS Support Desk to request changes to employee access permissions.

1230

## Directive - Digitizing

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Directive - Digitizing was approved by the Chief Information Officer in November 2016. A revised version of the directive was approved in February 2019.

A copy of the directive may be accessed [here](#).

### 2. References

Directive - Digitizing

# 1231

## Standard - Digitizing

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Standard - Digitizing was approved by the Chief Information Officer in February 2019.

A copy of the standard may be accessed [here](#).

The Checklist – Digitizing was developed as a reference resource. It summarizes the compliance requirements for a digitization program. A copy of the checklist is available [here](#).

### 2. References

Standard - Digitizing

# 1232

## Guideline - Digitization

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Guideline - Digitization was approved by the Chief Information Officer in February 2019.

A copy of the guideline may be accessed [here](#).

### 2. References

Guideline - Digitization



# 1300

## Records Scheduling Policy

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Records Scheduling Policy was approved by the Informatics Policy Committee in June 2007. Non-substantive changes to the policy were approved by the Informatics Policy Council in September 2018.

A copy of the policy may be accessed [here](#).

### 2. References

Records Scheduling Policy, IMT Policy Manual

1310

## Administrative Records Standard

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Administrative Records Standard was approved by the Informatics Policy Committee in August 2004. Non-substantive changes to the standard were approved by the Informatics Policy Council in September 2018.

A copy of the standard may be accessed [here](#).

### 2. References

Administrative Records Standard, IMT Policy Manual

1320

## Operational Records Standard

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The Operational Records Standard was approved by the Informatics Policy Committee in June 2007. Non-substantive changes to the standard were approved by the Informatics Policy Council in September 2018.

A copy of the standard may be accessed [here](#).

### 2. References

Operational Records Standard

# 1321

## ORCS Development Guideline

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2021

### 1. Introduction

The ORCS Development Guideline was approved by the Informatics Policy Committee in June 2007.

A copy of the guideline may be accessed [here](#).

### 2. References

ORCS Development Guideline, IMT Policy Manual

# ENTERPRISE RECORDS MANAGEMENT

# 2001

## About Enterprise Records Management

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

ERM looks after several government-wide records and information management programs and services which support the division's mandate.

ERM is responsible for the following:

- Developing policies, standards, and guidelines.
- Providing advice and training services to departments.
- Developing government-wide common records disposition authorities.
- Reviewing records disposition authorities developed by departments to confirm compliance with the Records Scheduling Policy and related standards and guidelines. ERM also reviews records disposition authorities to ensure that records retention schedules make reasonable use of the government's physical and electronic records storage capacity.
- Researching and evaluating innovations and industry trends.
- Providing, with the Department of Infrastructure's regional offices, secure records storage, retrieval, and disposal services for government records.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

2002

## Agencies, Boards, Commissions, Corporations, and Other Branches of Government

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

ERM provides services to GNWT departments and a few agencies, boards, commissions, and corporations (public agencies). ERM also provides some services to the legislative and judicial branches of government.

### 2. References

Archives Regulations, R-026-2008

Infrastructure Establishment Policy, Executive Council Policy 31.00

### 3. Guidelines

- 3.1 ERM does not provide services directly to a public agency unless it has a records management program in place. This includes having its own Records Management Team or long-term support from a GNWT department's Records Management Team.
- 3.2 Exceptions to Guideline 3.1 may be made due to historic arrangements with ERM.
  - 3.2.1 The Northwest Territories Health and Social Services Authority – Stanton Territorial Hospital may not transfer records which are classified and scheduled by RDA 2001-07 into storage in the GNWT records centres because RDA 2001-07 does not conform to the *ORCS Development Guideline* and the retention schedules cannot be implemented in the GNWT records centres.
  - 3.2.2 Aurora College is permitted to work directly with ERM to transfer financial records out of the President's office in Tthebacha (Fort Smith) to a GNWT records centre. However, expansion of records centre services to other branches of Aurora College will only be possible if the College establishes its own Records Management Team or arranges to use the services of the Department of Education, Culture, and Employment's Records Management Team.

- 3.2.3 NWT Power Corporation may not transfer records which are classified and scheduled by RDA 2001-04 into storage in the GNWT records centres because RDA 2001-04 does not conform to the *ORCS Development Guideline* and the retention schedules cannot be implemented in the GNWT records centres.
- 3.3 ERM provides services to the Legislative Assembly of the Northwest Territories.
- 3.3.1 Elections NWT, the NWT Human Rights Commission, and other statutory officers of the Legislative Assembly are permitted to work directly with ERM to transfer records to a GNWT records centre.
- 3.4 ERM provides records services to the NWT Courts. The Courts must make arrangements to access records services through the Department Records Management Team for the Department of Justice.



# 2100

## Advice and Assistance Services

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

ERM provides advice and assistance on recorded information management issues to departments. The advisory services promote consistency across government by providing a government-wide perspective on the management of records which then informs each department's records and information management program.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

### 3. Guidelines

- 3.1 The Department Records Management Team is primarily responsible for managing the department's internal records and information management program. ERM provide support to the Department Records Management Team and to the Team's managers and directors.
- 3.2 Where someone from a department other than a member of the Department Records Management Team contacts ERM for advice and assistance, ERM will either refer the person to the Department Records Management Team or will answer the question and inform the Department Records Management Team that someone else from the department has been seeking advice from ERM.
- 3.3 Advice will be provided on the following:
  - ORCS development
  - Records management program planning
  - ARCS and ORCS implementation planning
  - Departmental records management procedures
  - File classification
  - Creating and managing paper files
  - Creating and managing electronic records
  - Document scanning and imaging
  - Records centre transfer and disposition procedures
  - Records centre retrieval and permanent return procedures
  - Transfer of records between departments or between the GNWT and other governments

- Disaster planning and recovery
- Training
- Records inventories and audits
- Other records and information management topics

## 4. Procedures

- 4.1 Advice may be given on the phone, by e-mail, or through in-person meetings.
- 4.2 Send e-mail inquiries to [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca).

# 2200

## Records Management Training Services

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

ERM provides a records and information management training program for GNWT employees. The purpose of the training program is to improve awareness and understanding of records and information management responsibilities and practices within the GNWT and to support the delivery of records management services in departments.

ERM's training program supports but does not replace department-specific training programs delivered by Department Records Management Teams.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

### 3. Guidelines

- 3.1 Registration for training courses is handled through the Department of Finance's Enterprise Learning Management, part of the SAM/HRIS system.
- 3.2 ERM does not maintain lists of training participants and is unable to provide training statistics to individual departments. Contact the Department of Finance to request departmental training statistics.
- 3.3 ERM develops and/or delivers department-specific training or information sessions on request. Requests for department-specific training will be considered by the Manager, ERM, on a case-by-case basis. Acceptance of the request will depend on several factors, including but not limited to ERM's workload, the state of ORCS development in the department, the amount of post-training support that the Department Records Management Team can provide, and EIM's priorities.

2400

## Common Records Schedule Maintenance

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

ERM looks after the development, maintenance, and coordination of the approval of records disposition authorities for use across government. Common Records Disposition Authorities include, but are not limited to, the GNWT Administrative Records Classification System (ARCS), the Transitory Records Schedule, and the Converted Source Analogue Records Schedule.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

Administrative Records Standard, IMT Policy Manual

### 3. Guidelines

- 3.1 ERM develops and maintains Common RDAs on the behalf of other departments.
- 3.2 A Common RDA or an amendment to a Common RDA is in force and takes effect when it is signed by the Territorial Archivist.
- 3.3 A Common RDA or an amendment to a Common RDA is approved for use and may be implemented within a department when it is signed by the Deputy Head or equivalent.

### 4. Procedures

- 4.1 ERM initiates and manages projects to develop new or amend existing Common RDAs.
- 4.2 ERM determines the scope of the new Common RDA or an amendment based on comments received from Department Records Management Teams, the NWT Archives, and the creators of common records.

- 4.3 ERM researches recordkeeping requirements and drafts the new or amended Common RDA based on the research. ERM may form working groups comprised of representatives from Department Records Management Teams, the NWT Archives, and others, as well as ERM records analysts to assist with researching and writing new or amended Common RDAs.
- 4.4 Common RDAs are reviewed by the NWT Archives to identify requirements for records having historical value.
- 4.5 Common RDAs are reviewed and endorsed by the Recorded Information Management Committee (RIMC).
- 4.6 Common RDAs come into force when they are approved by the Territorial Archivist.
- 4.7 Common RDAs are approved for use within each department when they are approved by the Deputy Head or equivalent.

2500

# Agreement on Records with the Government of Nunavut

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

## 1. Introduction

In 1999, the GNWT signed an agreement with the future Government of Nunavut to provide for the smooth transfer of records from the GNWT to the new territory. The Government of Nunavut (GN) required these records to deliver services which were previously delivered by the GNWT. The separation of Nunavut from the Northwest Territories was known as “Division.”

The agreement has several provisions:

- The GNWT would transfer records pertaining to Nunavut to the GN upon request.
- On April 1, 1999, all records situated within Nunavut would automatically transfer to the GN unless they were specifically excluded from the agreement.
- The GN would take on any contractual or other obligations associated with the records transferred to it.
- The GN would notify the GNWT of any access to information requests made for confidential records transferred to the GN.
- The GNWT could determine if it would transfer original records or copies to the GN.
- Each government must notify the other if it is going to destroy records created before April 1, 1999, and the other government has the option to review or acquire the records.
- In all cases, costs are born by the government receiving the records.

In the GNWT, the agreement applies to records held by all departments and some public agencies. The GNWT is not obliged to transfer the following records:

- Records relating exclusively to the NWT.
- Vital Statistics Records.
- Adoption records.
- Cabinet confidence records.
- Information forming parts of libraries.

A copy of the agreement can be requested from ERM.

## 2. References

Nunavut Act (Canada)

Agreement on records between the Government of the Northwest Territories and the Government of Nunavut

## 3. Guidelines

- 3.1 The agreement applies to GNWT departments, the Apprenticeship, Trade, and Occupation Certification Board (ECE), the Labour Standards Board (ECE, disbanded), the Legal Aid Commission (Legal Services Board, Justice), the Liquor Licensing Board (Finance), the Liquor Commission (Finance), The Status of Women Council of the Northwest Territories, the NWT Power Corporation, Housing NWT, the NWT Business Development and Investment Corporation, and the Public Utilities Board.

The agreement will also apply to the Workers' Safety and Compensation Commission (WSCC), if the WSCC divides into two distinct territorial organizations.

The agreement does not apply to the Legislative Assembly, Aurora College, education councils and authorities, commissions scolaire, the Hay River Health and Social Services Authority, the Inuvialuit Water Board, the NWT Health and Social Services Authority, the NWT Human Rights Commission, the NWT Hydro Corporation, the Rental Officer, the Surface Rights Board, or the Tłıchǫ Community Services Agency.

- 3.2 The transfer of active pre-Division records held in departmental office space is the responsibility of the department which currently holds the records. The Manager, ERM, may assist departments which find pre-Division records which pertain to Nunavut by connecting the department with the records management program in the GN.
- 3.3 ERM coordinates the offer of GNWT records to the GN when pre-Division records are ready for disposal. This is done as part of the regular records disposition process for paper records. ERM notifies the GN's Records Manager of the pending disposal of GNWT records. If the GN indicates it wishes to acquire the records, ERM contacts the Department Records Management Team and asks them to obtain authorization to send the records from the appropriate senior manager(s). If the Department agrees to release the records to the GN, ERM will ship the records to the GN at the GN's expense.

See Sections *4400 Records Disposition* and *4410 Disposition of Physical Records* for more information about the offer of GNWT records to the GN as part of the records disposition process.

- 3.4 Electronic records which date from before Division are transitory copies of the official paper records and may be disposed of without being offered to the GN.

- 3.5 ERM coordinates the offer of GN records to the GNWT when the GN is going to destroy pre-Division records. The GN's Records Manager notifies ERM of the pending disposal of GN records. ERM contacts the Department Records Management Team for the corresponding GNWT department and asks them to review the notice with the appropriate senior manager(s). If the senior manager authorizes the transfer of records to the GNWT, ERM will work with the GN Records Manager to arrange the shipment of the records to the GNWT department at the GNWT department's expense.
- 3.6 Ownership of records transferred from one government to another under the terms of this agreement changes to the receiving government upon receipt. The transferred records are managed by the receiving government through its retention and disposition legislation, policies, and procedures. They are not returned to the originating government.



2600

# Records Transfer Agreement with the Government of Canada

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

## 1. Introduction

In 2014 the Government of the Northwest Territories (GNWT) signed an agreement with the Government of Canada to provide for the smooth transfer of records relating to the devolution of responsibility over land and resources from the Government of Canada to the GNWT. The Government of the Northwest Territories required these records in order to deliver services which were previously delivered by the Government of Canada.

The agreement had several provisions:

- Canada would transfer records relating to the management of land and resources to the GNWT.
- In most cases, Canada would provide copies of records, but for certain types of records, Canada would transfer the original records to the GNWT.
- Records would be transferred in either hard copy or electronic formats.
- Each government may request a copy of any record relating to the devolved responsibilities over land and resources from the other government.

## 2. References

Northwest Territories Devolution Act (Canada)

Northwest Territories Lands and Resources Devolution Agreement

## 3. Guidelines

- 3.1 Requests for records relating to devolved land and resources programs are submitted to ERM. ERM will coordinate the transfer of the records with the Government of Canada.

# ENTERPRISE CONTENT MANAGEMENT

3001

## About Enterprise Content Management

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

ECM looks after government-wide records and information management programs and services which support the division's mandate. These include:

- Operates and maintains DIIMS, the GNWT's document management and electronic records management system. DIIMS stands for Digital Integrated Information Management System.
- Provides project management, document migration, and communications, training, and support services for departments to implement DIIMS.
- Operates a DIIMS Support Desk.
- Provides advice and training services to departments.
- Provides reporting, collaboration, and workflow solutions.
- Supports the management of electronic and hard copy records through their life cycle.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Directive - DIIMS

DIIMS End User Guide

# GNWT RECORDS CENTRES

4001

## About the GNWT Records Centres

<b>Issued:</b>	July 2018
<b>Last Updated:</b>	July 2023

### 1. Introduction

The Department of Infrastructure (INF) provides records storage, retrieval, and disposal services to GNWT departments. Records centre services are provided to some GNWT agencies, boards, commissions, and corporations through long-standing special arrangements.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Guidelines

- 3.1 There are four GNWT records centres, located in Tthebacha (Fort Smith), Xátł'odehchee (Hay River), Inuvik (Inuvik), and Sòmbak'è (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 which are in the semi-active phase of their life cycle; retrieval of files and boxes from storage; and disposal of records that have reached the final disposition stage of their life cycle.
- 3.4 In Łíídlı Kúé (Fort Simpson) and Sòmbak'è (Yellowknife), the INF regional offices coordinate local shipments of record boxes to the records centre in Sòmbak'è (Yellowknife).  
  
In other regions, departments are responsible for coordinating delivery of record boxes to the nearest records centre.
- 3.5 ERM establishes procedures for the records centres and coordinates records transfer (storage) and disposal services.

4002

## Records Centre Contact Information

<b>Issued:</b>	July 2018
<b>Last Updated:</b>	July 2023

### 1. Introduction

Each records centre is administered by an employee in the Department of Infrastructure's regional offices.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Guidelines

3.1 The records centres are contacted via the following e-mail addresses:

- Tthebacha (Fort Smith): FortSmith\_Records@gov.nt.ca
- Xátł'odehchee (Hay River): HayRiver\_Records@gov.nt.ca
- Inuvik (Inuvik): Inuvik\_Records@gov.nt.ca
- Sòmbak'è (Yellowknife): records\_management@gov.nt.ca

3.1.1 In the Dehcho/Nahendeh region, use the following contacts:

- For records retrieval requests with the Sòmbak'è (Yellowknife) records centre, contact records\_management@gov.nt.ca
- To arrange the shipping of a transfer of boxes from Łíídlı Kúé (Fort Simpson) to the Sòmbak'è (Yellowknife) records centre which has already been accepted by Enterprise Records Management (ERM), contact FortSimpson\_Records@gov.nt.ca.

3.2 Use DIIMS to make retrieval request requests for boxes and file folders (volumes) stored in the records centre. Note: DIIMS cannot be used to request individual volumes if the volumes were inventoried on a Box Inventory Form rather than in DIIMS.

3.3 To request file folders (volumes) inventoried on Box Inventory Lists, submit **Request for Records Forms** to the records centre e-mail addresses listed above.

- 3.4 Contact the records centre administrators to schedule a delivery time for transfers to the records centres.
- 3.5 All other correspondence related to the records centres should be directed to ERM at [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca).

4003

## Transporting Files and Boxes

<b>Issued:</b>	July 2018
<b>Last Updated:</b>	July 2023

### 1. Introduction

Government records contain confidential and personal information that must be protected from unauthorized access and disclosure. GNWT departments 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 administrator. The records centres and ERM are not responsible for any damage or unauthorized disclosure that may occur prior to or in transit.

### 2. References

Government of the Northwest Territories, Information Security Awareness Training

Workers' Safety and Compensation Commission, Hazard Alert – Lifting Injuries

### 3. Best Practices

- 3.1 Clearly identify boxes of government records that are awaiting transport to the records centres. The boxes awaiting transport should be isolated from boxes not being transferred to the records centres.
- 3.2 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 in the community, then government employees may be required to deliver or pick up files or boxes of files in person.
  - 3.2.1 In Sòmbak'è (Yellowknife), the Department of Infrastructure's North Slave Regional Office has contracted a moving company to deliver surplus furniture and boxes of records between government offices and the Central Warehouse. ERM records analysts arrange with the Central Warehouse to have transfers to the records centre picked up by the contractor. This service is not available in other communities.
- 3.3 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. Courier services are preferred.



- 3.4 Ideally, when shipping files and boxes containing government records between communities by all weather or winter road, boxes are taped shut with a single strip of tape, placed on pallets, and shrink wrapped. The truck should be locked, and it should be 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.
- 3.5 Ideally, when shipping boxes of government records between a community and a records centre by air, boxes are taped shut with a single strip of tape, placed on pallets, and shrink wrapped. The originating department is responsible for hiring an airline to collect, ship, and deliver the boxes. It is recommended that the records are shipped by courier, or as secure or priority cargo, depending on what service available in the community, so that tracking information is available to maintain the chain of custody.
- 3.6 Ideally, when shipping boxes of government records between Tłegóhtł (Norman Wells) and Inuvik (Inuvik) by water, boxes are taped shut with a single strip of tape, placed on pallets, and shrink wrapped. The originating department is responsible for hiring a transportation provider, such as the Department of Infrastructure's Marine Transportation Service (MTS), to ship the boxes. The originating department is also responsible for arranging transportation between the government office space, the shipping facilities, and the records centre. 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.
- 3.7 EIM recommends that employees review safe lifting practices before handling boxes of files. Use dollies or carts to transport boxes to and from vehicles and within buildings. Avoid carrying more than one box at a time.

# 4100

## Requirements for Accessing Records Centre Services

<b>Issued:</b>	July 2018
<b>Last Updated:</b>	July 2023

### 1. Introduction

To offer the best possible service, the Department of Infrastructure has several 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, IMT Policy Manual

### 3. Guidelines

- 3.1 Government records are packed in standard storage boxes purchased from the Department of Infrastructure's Central Warehouse. See Section *4110 Standard Box Sizes* for more information.
- 3.2 The files and boxes are in good shape. Boxes that are not in good shape will not fit properly on records centre shelves and pose a health and safety hazard to records centre personnel.
  - There are no signs of water, mould, insect, or rodent damage.
  - The boxes are not damaged or deformed.
  - The lids or flaps on the boxes close completely and lie flat. The tops of the boxes do not bulge.
  - Tape the bottoms of the Small Rec/Ship Boxes shut. Taping the bottom or sides of the ARC File Boxes used in the Yellowknife Records Centre is optional. Seal (tape) the top of the box when transporting boxes between communities.
    - Avoid placing tape over the barcodes on the box labels because this makes it difficult to scan the barcodes.

- Use a single strip of tape to seal boxes.
  - Records centre personnel will remove tape and open sealed boxes to retrieve records or if the tape is getting in the way of records centre operations.
  - If map tubes do not have flaps that can be closed, they are to be sealed with a plastic cap or a piece of paper or cardboard taped over the end.
  - The boxes do not weigh more than 15 kg (33 lbs.) and are mostly full.
- 3.3 Each box is 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 are assigned consecutive temporary box numbers (Temp. Box ID); i.e., 01, 02, 03, 04, etc. Each new transfer starts with box number 01. There is no minimum or maximum size for a transfer.
- 3.4 All the boxes in a transfer are in the same stage of their life cycle, as follows:
- All the boxes are eligible for semi-active storage in the records centre; or
  - All the boxes are ready to be transferred to the NWT Archives immediately (final disposition of AS/D); or
  - All the boxes are ready to be destroyed immediately (final disposition of D).
- 3.5 Each transfer of boxes is accompanied by a completed [Records Transfer Slip](#) (DIIMS link).
- 3.6 All boxes have a barcoded box label attached. See *Appendix A – Records Centre Label Placement* for proper placement of labels for each records centre. See the [DIIMS Records Classifier Guide](#) for instructions on how to print the labels from DIIMS.<sup>2</sup>
- The text on the label is clear. Poorly printed barcodes cannot be scanned by the records centre's barcode scanner.
  - The Box ID, Temp ID, and Transfer ID, and barcodes are clearly visible.
  - Department personnel ensure that the correct label is attached to the correct box.
  - Department personnel ensure that the label placed in the correct location on each box. The correct placement is required so that the label is visible when the box is

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<sup>1</sup> ERM 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> ERM will provide GNWT Box Labels to public agencies that do not have access to DIIMS because they are outside the GNWT network.

placed on the shelf. Placing labels in the same location on every box from every department improves retrieval times.

- ARC File Boxes, Small Rec/Ship Boxes, and cheque boxes:

- **Tthebacha, Xát'odehchee, and Sòmbak'è records centres** (Fort Smith, Hay River, and Yellowknife records centres) – place the label in the lower right corner of the smaller side (short side) of the box.
- **Inuvik records centre** (Inuvik records centre) – place the label in the lower right corner of the larger side (long side) of the box.

- 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 open end.
- Drawing labels may be placed along the long side of the tube.

- Avoid placing the labels on top of packing tape because they may fall off.
- If the labels do not appear to be sticking to the boxes, glue the labels to the boxes.

3.7 Avoid placing content descriptions on or taped to the outside of the box as this poses a security risk.

3.8 Avoid attaching sticky notes and other papers to the boxes as they fall off and make a mess in the records centre.

3.9 Place documents in file folders, file pockets, portfolios, envelopes, or similar 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, while binders are difficult to process for disposal.

- File folders are 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 are not bound with elastic bands, binder clips, string, etc.
- File folders are not tightly packed. Records centre personnel must have room in the box to be able to remove a file from the box by hand.

3.10 All the file folders (volumes) in a box have the same final disposition (destroy (D) or archival selection (AS/D)).

3.11 All the file folders (volumes) in a box have the same closed date, retention period, and final disposition date. When reviewing records for transfer to the records centre, ERM will look at the date ranges of the records in the boxes.

- ERM will accept boxes that have a range of closed dates and retention periods into storage in the records centres if all the files in a box are eligible for storage and reach final disposition within five years of each other (e.g., a single box could contain files which have final disposition dates of 2030, 2032, 2033, and 2034. A file having a final disposition date of 2035 would fall outside the five-year range.).
  - ERM will accept boxes that have a range of closed dates and retention periods for final disposition if all the files in the box have reached their final disposition stage.
- 3.12 Each individual file folder (volume) in each box is inventoried. If a file has more than one volume, each volume is inventoried separately. Failure to inventory all volumes results in records being lost.
- ERM **recommends using DIIMS** to inventory 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 contents of the boxes, a [Box Inventory Form](#) is used. See the [Box Inventory Form Procedures – Excel Version](#) for information on how to complete the form.
  - Use a single method for inventorying all the boxes in a transfer. Do not mix boxes that were inventoried using the Box Inventory Forms with boxes that have volumes assigned to them in DIIMS in the same transfer.
- 3.13 A copy of the appropriate **DIIMS Box Inventory Report** or the **Box Inventory Form** is placed inside each box.
- 3.14 Each transfer is submitted to ERM by the Department Records Management Team for review. E-mail transfer requests to Corporate\_Records@gov.nt.ca. ERM prefers to receive one transfer request per e-mail message.
- 3.15 For complete procedures on transfers to storage, see Section *4200 Transfers to Storage*. For complete procedures on dispositions, see Sections *4400 Records Dispositions* and *4410 Disposition of Physical Records*.

# 4110

## Standard Box Sizes

<b>Issued:</b>	July 2018
<b>Last Updated:</b>	July 2023

### 1. Introduction

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

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Inventories – Warehousing, Interpretation Bulletin, Financial Administration Manual 505.01

Recorded Information Management Policy, IMT Policy Manual

### 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 Square Tube Boxes (map tubes) do 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.

Warehouse Stock Item Number	SAM Item Number	Description	Notes
22721	W22721	Small Rec/Ship Box 15½" x 11¼" x 10"	<p>This box is accepted in the Tthebacha, Xátł'odehchee, and Inuvik (Fort Smith, Hay River, and Inuvik) records centres.</p> <p>This box is also accepted in the Sòmbak'è (Yellowknife) records centre if the boxes originated in Łíídlı́ Kúé (Fort Simpson) or</p>

Warehouse Stock Item Number	SAM Item Number	Description	Notes
			another community.
<b>22821</b>	W22821	ARC File Box 15½" x 11½" x 10"	This box is only accepted in the Sòmbak'è (Yellowknife) records centre.
<b>224430</b>	W224430	Square Tube Box 4" x 4" x 30"	Map tubes are accepted in all records centres.
<b>224436</b>	W224436	Square Tube Box 4" x 4" x 36"	
<b>226630</b>	W226630	Square Tube Box 6" x 6" x 30"	
<b>226636</b>	W226636	Square Tube Box 6" x 6" x 36"	
		Cheque boxes 9½" x 24" x 4½"	This box is only accepted in the Sòmbak'è (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 always be stocks of boxes on hand.

**Note:** public agencies which do not use SAM or cannot access the Internal Services site can submit a purchase order (PO) to ykwarehouse@gov.nt.ca.

- 4.2 Look up the boxes in the [GNWT Warehouse Catalogue](#) to ensure that the required boxes are in stock and to verify the current price. The Catalogue is available internally to GNWT departments.
- 4.3 Go to the [Internal Services](#) website. You may be required to set up or update your account information. This site is available internally to GNWT departments.
- 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. 32176.

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 the records centre administrators.

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, IMT Policy Manual

### 3. Guidelines

- 3.1 The records centre administrator will inspect the condition of the boxes to ensure that they meet the records centre requirements.
- 3.2 The records centre administrator will notify ERM of any issues with the boxes.
- 3.3 ERM will work with the Department Records Management Team and the records centre administrator to arrange the return of the boxes to the originating department.

### 4. Procedures

- 4.1 The records centre administrator will inspect the condition of the boxes upon receipt in the records centre loading area.
- 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 Section 4100 *Requirements for Accessing Records Centre Services* for more information.
- 4.3 The records centre administrator will notify ERM of any issues with the boxes.
- 4.3.1 The records centre administrator may open some boxes to determine the extent of any water, insect, or rodent damage.



- 4.3.2 The records centre administrator 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 ERM will notify the Department Records Management Team that there are issues with the boxes and explain that the boxes will be returned to the department.
- 4.5 The records centre administrator 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.

# 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. Records centre services are provided to some GNWT public agencies through long-standing special arrangements.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

Checklist for Submitting a Transfer to Enterprise Records Management (ERM)

### 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 To be accepted for transfer into storage, the boxes must meet the records centre requirements. See Section *4100 Requirements for Accessing Records Centre Services* for more information.

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 (zero years) 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.

3.5 Copies of records centre forms and procedures for completing the forms are available on the [Department of Infrastructure's website](#).

3.6 Records are usually shipped to the nearest records centre for storage.

- In the Dehcho/Nahendeh Region records are shipped to the Sòmbak'è (Yellowknife) records centre.
- In the Sahtu Region records are shipped to either the Sòmbak'è or Inuvik (Yellowknife or Inuvik) records centres.
- Departments are responsible for determining the most cost-effective transportation method and for covering all costs associated with shipping records from one community to another. They are also responsible for notifying Enterprise Records Management (ERM) of their preference.

3.7 The following service standards apply:

- **Sòmbak'è (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 to ensure that ERM has time to review and process the requests.
- **Dehcho Region**
  - INF's Dehcho Regional Office will coordinate shipments of boxes from Łíídlı Kúé (Fort Simpson) to Sòmbak'è (Yellowknife) periodically on a cost recovery basis.
- **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 Section *4100 Requirements for Accessing Records Centre Services* for more information.

4.2 Enter the boxes into DIIMS. ERM recommends adding the boxes to a collection. Instructions on how to enter boxes and create collections are available in the [DIIMS Records Classifier Guide](#).

Assign the volumes to the boxes in DIIMS or complete and save the [Excel Box Inventory Forms](#). Use a single method for inventorying all the boxes in a transfer. Do not mix boxes that were inventoried using the Box Inventory Forms with boxes that have volumes assigned to them in DIIMS in the same transfer. **Note:** “volume” is the term used in DIIMS to describe a physical file folder.

Instructions on how to enter volumes and assign them to boxes are available in the *DIIMS Records Classifier Guide*.

- 4.3 Fill out and save a [Records Transfer Slip](#) (DIIMS link).
- 4.4 Forward the DIIMS box and collection information, the **Records Transfer Slip**, and any **Box Inventory Forms** to the Department Records Management Team. Box Inventory Forms are not required if the volumes have been entered into DIIMS and assigned to boxes.
- 4.5 The Department Records Management Team will review the transfer for errors or missing information and may ask for changes.
- 4.6 The Department Records Management Team assigns the boxes to a transfer in DIIMS.

Instructions on how to assign boxes to a transfer are available in the *DIIMS Records Classifier Guide*. This action is only available to Department Records Management Team members who have Records Coordinator access permissions in DIIMS.

- 4.7 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 Section 4100 *Requirements for Accessing Records Centre Services* or Appendix A for the correct placement of the labels.

- 4.8 The Department Records Management Team updates the **Records Transfer Slip** and any **Box Inventory Forms** with the transfer ID number and then e-mails them to ERM (Corporate\_Records@gov.nt.ca). ERM prefers to receive one transfer request per e-mail message.

Box Inventory Forms are not required if the volumes have been entered into DIIMS and assigned to boxes.

- 4.9 ERM will review the transfer for errors or missing information. ERM will accept the transfer if there are no errors or missing information.

- 4.10 In Sòmbak'è (Yellowknife), ERM will arrange 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. ERM can provide the schedule.
- 4.11 In Łíídlı Kúé (Fort Simpson), ERM will notify both INF's Dehcho Regional Office and the Sòmbak'è (Yellowknife) records centre when records are approved for transfer to the records centre. The Dehcho Regional Office will provide ground transport to the Sòmbak'è (Yellowknife) records centre periodically on a cost recovery basis.

Departments are responsible for securely storing the records in their own offices until the next scheduled shipment. INF's Dehcho Regional Office does not have facilities to store records awaiting shipment.

Departments have the option to hire their own moving contractor and for scheduling a delivery time with the Sòmbak'è (Yellowknife) records centre administrator.

- 4.12 In Tthebacha, Xátł'odehchee, and Inuvik (Fort Smith, Hay River, and Inuvik), departments are responsible for hiring a moving contractor and for scheduling a delivery time with the records centre administrator.

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. The records centre administrator must be on hand to receive the boxes.

- 4.13 ERM will cancel a transfer that is not shipped within 90 calendar days of acceptance, unless the records are located in Łíídlı Kúé (Fort Simpson) or the Dehcho/Nahendeh region and are awaiting the biannual shipment from the community.

The longer boxes stay in a department office after they have been accepted by ERM for transfer to a records centre, the greater the chance for the contents of the boxes to have changed. Keeping records centre boxes in the office gives employees the opportunity to remove records and add new ones. As result, the box inventories become inaccurate. This increases the risk of missing or misplaced records. It also impacts the retention and final disposition of the boxes.

- 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.

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

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

- 4.15 The records centre administrator 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 administrator does not identify any concerns with the boxes, the boxes will be shelved and assigned to a locator code in DIIMS.
- 4.17 ERM will notify the Department Records Management Team 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.

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 in the box inventories entered in DIIMS.
- The Box Inventory Forms do not contain enough detail to effectively manage the records.
- A department has decided to enter older file folders (volumes) into DIIMS to improve searching and retrieval capabilities.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Guidelines

- 3.1 Discuss any plans to re-inventory boxes with Enterprise Records Management (ERM) before beginning the project. Provide ERM with a list of the boxes to be re-inventoried in case the re-inventorying project exceeds the regular 90-day retrieval period.
- 3.2 Retrieve the boxes from the records centre as regular 90-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 are returned to the records centre as part of their original transfer.

## 4. Procedures

- 4.1 The Department Records Management Team use DIIMS to submit a retrieval request to the records centre.<sup>1</sup> See the *DIIMS Records Classifier Guide* for information on how to request boxes from the records centres using DIIMS.
- 4.2 The Department Records Management Team, or a designated employee, re-inventories each box and either enters the volumes into DIIMS and adds them to the boxes or updates the Box Inventory Forms. If the volumes are in DIIMS, DIIMS will automatically send a notification to ERM that a change has been made to the box. See the *DIIMS Records Classifier Guide* for procedures for entering volumes in DIIMS and assigning them to boxes.
- 4.3 The Department Records Management Team sends an e-mail to ERM (Corporate\_Records@gov.nt.ca) to confirm 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 Department Records Management Team should provide ERM with the following information so ERM can update the box data in DIIMS:
  - 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 Department Records Management Team must provide ERM with updated **Box Inventory Forms** so ERM can update the box data in DIIMS.
- 4.4 ERM updates the box dates, the RSI, and the RDA fields in DIIMS (if applicable).
- 4.5 ERM updates ERM's PDF copy of the Box Inventory Forms (if applicable).
- 4.6 The Department Records Management Team returns the box to the records centre.

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<sup>1</sup> Agencies which do not have access to DIIMS may request boxes by filling out a **Request for Records** form and e-mailing it to the records centre.



# 4300

## Retrievals from the Records Centres

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### 1. Introduction

Departments can retrieve their records from the records centre 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, known as iRIMS, 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 is 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 use DIIMS to list the paper file folders that they send to the records centres while some do not.

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

Enterprise Information Management (EIM) recommends the use of DIIMS to inventory all paper files at all stages of their life cycle, including files being transferred to the records centres for storage or disposal.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Guidelines

- 3.1 Retrieval requests are submitted to the records centres using the circulation feature in DIIMS (preferred) or by e-mail.

- 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. See Section 4002 *Records Centre Contact Information* for a list of records centre e-mail addresses.
- 3.2 Incomplete requests will not be fulfilled.
- 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 90-day retrievals:** items charged out for 90 days will be returned to the records centre within 90 calendar days of when they were retrieved.
  - **Permanent returns:** items charged out as a permanent return will not be returned to the records centre.
- 3.5 Departments are responsible for picking up their requested items from the records centre. The records centres will not deliver retrieved items. Instead:
  - Send a bonded 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.
- 3.6 The records centres will not ship items to another community. Instead, the person who made the request arranges to have the item picked up and delivered to the other community.
- 3.7 Departments using the GNWT's records centres are responsible for creating internal procedures for a centralized or decentralized records retrieval program which may restrict retrieval requests to specific, authorized employees.

Departments (Department Records Management Teams) are responsible for communicating any retrieval restrictions to employees who have Records Classifier or Records Coordinator access permissions in DIIMS. In DIIMS, the Records Classifier and

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<sup>1</sup> Aurora College and other agencies that are unable to use DIIMS due to network access restrictions use the Request for Records form to request boxes as well as volumes.

Records Coordinator groups are able to use the circulation features and request items from the records centre through the system.

If a record of authorized employees is provided by the Department Records Management Team to a records centre, the records centres will accept and process retrieval requests from only employees identified on the authorization listing. Department Records Management Teams are responsible for keeping these listings up to date.

If the requestor is not on the authorize listing, the records centre personnel will advise them to contact their Department Records Management Team and will not fulfill the request.

EIM and the records centres do not maintain a central list of employees who are authorized by their departments to submit retrieval requests to GNWT records centres.

- 3.8 No one can request records belonging to a department other than the one for which they are employed.
- 3.9 Departments are responsible for keeping track of the items that they retrieve.

## 4. Procedures – DIIMS Retrievals

- 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 or your Department Records Management Team when the item is ready to be picked up.

## 5. Procedures – Request for Records Form Retrievals

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

- 5.1 Review Box Inventory Forms to find the item that you would like to request. Use DIIMS to verify the box's shelf location. Contact ERM for assistance with identifying the box location.
- 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 *Section 4002 Records Centre Contact Information* for the records centre e-mail addresses.

- 5.4 The records centre administrator receives your request, prints the request slip, and retrieves the item. They attach a copy of the request slip to the item. **Do not remove** the retrieval slip from an item requested as a regular retrieval. The slip will be used by the records centre to return the item to the correct location when you send it back to the records centre.
- 5.5 The records centre administrator contacts you or your Department Records Management Team when the item is ready to be picked up.

## 4301

## Retrieval of Records Approved for Disposition

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## 1. Introduction

Occasionally, departments need to retrieve records which have already been accepted for final disposition, but which have not yet been destroyed or transferred to the NWT Archives. This type of retrieval typically happens when the records are required for a legal matter, an audit, or an access to information request.

## 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

## 3. Guidelines

3.1 Retrieval requests are submitted following the procedures described in section 4300 *Retrievals from the Records Centres*.

3.2 Items that have been accepted by Enterprise Records Management (ERM) for final disposition are requested from the records centre as a **permanent return**.

3.2.1 If the department requests the item as a regular 90-day retrieval, and the item is located on a records centre shelf location, the records centre administrator will handle the request as a regular 90-day retrieval.

The records centre administrators do not review the contents of records centre boxes which are ready for disposal to see if any items have been retrieved. There is the potential that items requested as 90-day returns will be identified as disposed of even though they physically located in a government office.

3.2.2 If the department requests the item as a regular 90-day retrieval, and the item has been moved to the pending disposition area of the records centre, the records centre administrator will handle the request as a permanent return.

3.3 The records centres do not have research or “reading room” facilities and are not able to accommodate requests to review records on site.

## 4. Procedures – DIIMS Retrievals

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.
- 4.4 The records centre administrator will contact you when the item is ready to be picked up.
- 4.5 Permanent return request and any requests for items that have been moved to a pallet in preparation for disposal will be forwarded to ERM. ERM will update the disposition record and DIIMS to show that the item was permanently returned to the department.

## 5. Procedures – Request for Records Form Retrievals

The following procedures apply to all requests for paper file folders (volumes) that are not listed in DIIMS. These procedures are also 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. Use DIIMS to verify the location of the box in DIIMS.  
  
Pallet locations appear in DIIMS using the following format: Records Centre Facility Code / Area / Pallet number (e.g. RC-YKHLD / PAL / 01)
- 5.2 Follow the [Request for Records Form Procedures](#) and fill out a [Request for Records](#) Form. Save the completed form.
- 5.3 E-mail the completed **Request for Records** Form to the records centre that has the records. See *Section 4002 Records Centre Contact Information* for the records centre e-mail addresses.
- 5.4 The records centre administrator will receive your request, print a request slip, and retrieve the item.
- 5.5 The records centre administrator will contact you when the item is ready to be picked up.
- 5.6 Permanent return request and any requests for items that have been moved the pending disposal area of the records centre will be forwarded to ERM. An ERM records analyst will update the disposition record to show that the item was permanently returned to the department.

# 4310

## Returning Files and Boxes

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

This section provides guidance on returning retrieved records to a GNWT records centres.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Guidelines

- 3.1 Items that were charged out as regular 90-day retrievals can be returned. Items are 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 are 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 are not bundled together with elastic bands.
- 3.5 Items are delivered to the records centres. Do not deliver items to the Department of Infrastructure's main regional office locations.  
  
For the Tthebacha, Xátł'odehchee, and Inuvik (Fort Smith, Hay River, and Inuvik) records centres, 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.
- 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 For the Sòmbak'è (Yellowknife) Records Centre, send charged-out items to the Records Centre, GNWT Central Warehouse, 415 Byrne Road, P.O Box 1320, Yellowknife, NT, X1A 2L9.
- 4.2 In Tthebacha, Xátł'odehchee, and Inuvik (Fort Smith, Hay River, and Inuvik), contact the records centre administrator to schedule the delivery.
- 4.3 The records centre administrator will update DIIMS (if applicable). They will 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.



# 4320

## Permanent Returns

<b>Issued:</b>	November 2018
<b>Last Updated:</b>	July 2023

### 1. Introduction

A permanent return happens when someone retrieves an item from the records centre and plans to keep it. Permanent returns are also called reactivations.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Guidelines

- 3.1 Items that are permanently returned will not be taken back into the records centre as part of their original transfer. Instead, they are to be sent to the records centre as part of a new transfer. The reason for this is that it is possible the items have changed, and the original retention and disposition dates are no longer correct.
- 3.2 Retrieval requests are submitted using the circulation feature in DIIMS (preferred) or by e-mail.
  - 3.2.1 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.
  - 3.2.2 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.
  - 3.2.3 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.
- 3.3 Incomplete requests will not be fulfilled.

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<sup>1</sup> Aurora College and other agencies that are unable to use DIIMS due to network access restrictions use the Request for Records form to request boxes as well as volumes.

3.4 Departments 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.

3.5 The records centres will not ship items to another community. Instead, the person who made the request arranges to have the item picked up and delivered to the other community.

3.6 Departments using the GNWT's records centres are responsible for creating internal procedures for a centralized or decentralized records retrieval program which may restrict retrieval requests to specific, authorized employees.

Departments (Department Records Management Teams) are responsible for communicating any retrieval restrictions to employees who have Records Classifier or Records Coordinator access permissions in DIIMS. In DIIMS, the Records Classifier and Records Coordinator groups are able to use the circulation features and request items from the records centre through the system.

If a record of authorized employees is provided by the Department Records Management Team to a records centre, the records centres will accept and process retrieval requests from only employees identified on the authorization listing. Department Records Management Teams are responsible for keeping these listings up to date.

If the requestor is not on the authorize listing, the records centre personnel will advise them to contact their Department Records Management Team and will not fulfill the request.

EIM and the records centres do not maintain a central list of employees who are authorized by their departments to submit retrieval requests to GNWT records centres.

3.7 No one can request records belonging to a department other than the one for which they are employed.

3.8 If an item is accidentally requested as a permanent return, when it was supposed to be a regular 90-day retrieval, the department has 90 days from the date of the request to contact Enterprise Records Management (ERM) to reverse the request.

3.9 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, such as boxes and file folders (volumes), follow the procedures for requesting physical items in the [DIIMS Records Classifier Guide](#). Select Permanent Return as the Request Type.
- 4.2 For file folders (volumes) 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 ERM e-mail account.
- 4.6 For items entered in DIIMS, ERM will update the following:
  - Permissions will be changed so that Department Records Management Team can modify and move the item.
  - Location will be updated to Department (DEP).
  - Status will be updated as 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 in DIIMS, ERM will update ERM's PDF copy of the Box Inventory Forms to show that the item was permanently returned.
- 4.7 ERM recommends that Department Records Management Teams update their original Box Inventory Forms to show that the item was permanently returned.
- 4.8 To permanently return an item that was retrieved as regular 90-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 message, 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.
- 4.9 To reverse a permanently return on an item that was supposed to be retrieved as regular 90-day retrieval but was accidentally submitted as a permanent return, send an e-mail to the ERM e-mail address, [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca), and explain that you want to reverse the permanent return. This request will be processed if it is received within 90 days of the date on which the original retrieval request was sent.

- Attach the completed **Request for Records** Form to your e-mail message, 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.

4321

# Permanent Returns Following a Records Centre Program Review

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## 1. Introduction

Enterprise Records Management (ERM) conducts periodic reviews of the regional records centre programs. The program reviews include taking an inventory of the records centre's holdings. Sometimes ERM finds that boxes have been charged out of the records centre for several months. ERM permanently returns these boxes to their department. 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.
- ERM is responsible for managing the space in the records centres. Shelf space must be maximized to allow for transfers of new records into storage.

## 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

## 3. Guidelines

- 3.1 Items that have been retrieved as regular 90-day retrievals are considered overdue if they have not been returned at the end of the 90-day period (90 calendar days).
- 3.2 ERM will permanently return any boxes identified as overdue during a records centre program review.

## 4. Procedures

- 4.1 One month before a scheduled records centre program review, ERM will notify Department Records Management Teams that a program review is going to take place.

- 4.2 Department Records Management Teams should review boxes that are charged out from the records centre. The Department Records Management Teams should respond to ERM's notice and advise ERM on what they are planning to do with each box. This notice should be sent to ERM at least one week before the scheduled program review start date.

Boxes that have been charged out for more than 90 days should be returned to the records centre or the Department Records Management Team can request to have the box marked as a permanent return.

If there are unusual circumstances that require an extension to the borrowing period, the Department Records Management Team should contact ERM and request an extension. ERM will review the request and accept or deny it.

- 4.3 Records centre inventories are conducted by ERM with assistance from records centre administrators.
- 4.4 The contents of each shelf in the records centre are compared against an inventory list printed from DIIMS. The inventory is printed the week before the scheduled program review start date.
- 4.5 If an Out Card is found on a shelf, ERM will check the retrieval date of the box. If the box is overdue and ERM has not accepted a request to extend the charge-out period, ERM will remove the Out Card from the shelf.
- 4.6 ERM will notify the Department Records Management Team that Out Cards for overdue boxes were found in the records centre. The box may be returned to the records centre, or a request made to ERM to have the box permanently returned to the department.
- 4.7 If the Department Records Management Team does not provide direction on how to handle the box, or if a request is made to have the item permanently returned to the department, ERM will update the following information in DIIMS:
- Permissions will be changed so that the Department Records Management Team can modify and move the item.
  - Location will be updated to Department (DEP).
  - Status will be updated as Active (ACT).
  - Status Date will be updated to the date that the item was permanently returned.
  - Boxes will be removed from their shelves.
- 4.8 ERM will notify the Department Records Management Team that the item has been permanently returned.
- 4.9 ERM recommends that Department Records Management Teams update their original Box Inventory Forms to show that the item was permanently returned.

# 4330

## Missing Files and Boxes

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### 1. Introduction

The Department of Infrastructure takes precautions to ensure that records transferred to the records centres are always accounted for. However, sometimes items go missing.

Missing file folders (volumes) are usually identified by the records centre administrators when attempting to complete a retrieval request.

Missing boxes are usually identified either by the records centre administrator while attempting to complete a retrieval request or by a records analyst from Enterprise Records Management (ERM) while conducting an inventory of the records centre.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Guidelines

- 3.1 File folders (volumes) and boxes will only be marked as missing if the Department Records Management Team for the department that owns the item provides written instruction to Enterprise Records Management to change the item's status.
- 3.2 Boxes that have been found may be returned to the records centre if they are in the semi-active stage of their life cycle. Boxes that have reached their final disposition phase cannot be returned to the records centre for storage.
- 3.3 File folders (volumes) that have been found may be returned to the records centre if the box is still in storage in the records centre and has not been approved for final disposition or disposed of.

### 4. Procedures – Missing Items

- 4.1 The records centre administrator or ERM records analyst is unable to locate an item in the records centre.

- 4.2 The records centre administrator or ERM records analyst will send an e-mail to the Department Records Management Team for the department that owns the item and advise that the item appears to be missing from the records centre.
- 4.3 If the Department Records Management Team confirms in writing that the item is missing, Enterprise Records Management will update its information on the item.
- 4.3.1 For boxes and file folders (volumes) which are entered into DIIMS:
- The status will be changed to missing (MIS).
  - The description field will be updated with a note indicating that the item has been declared missing.
  - File folders (volumes) will be removed from their boxes.
  - Boxes will be removed from their shelf location.
  - Permissions will be updated so that the Department Records Management Team has full rights to manage the item if it is located.
- 4.3.2 For file folders that have not been entered into DIIMS, the ERM records analyst will update ERM's copy of the Box Inventory Forms to show that the item is missing.

## 5. Procedures – Found Items

- 5.1 The Department Records Management Team sends an e-mail to the Enterprise Records Management e-mail account indicating that a missing item has been found.
- 5.2 For file folders (volumes), an ERM records analyst will do the following:
- Confirm that the original box is still in storage in the records centre.
  - If the box is still in storage, the ERM records analyst will,
    - Reassign the volume to its original box.
    - Update the permissions for the file folder.
    - Update the status to semi-active (SA) and update the description to indicate that the item has been located.
    - Update Box Inventory Forms, if applicable.
    - Advise the records centre administrator that the item is going to be returned to the records centre.
    - Tell the Department Records Management Team to send the item to the records centre.
  - If the box has been disposed of or is no longer in storage, the ERM records analyst will,
    - Tell the Department Records Management Team that the file folder cannot be returned to the records centre and that it will be permanently returned to the department.



- Update the status of the item to Active (ACT) and update the description to indicate that the item has been located and permanently returned to the department.
- Update Box Inventory Forms to show that the item has been permanently returned to the department, if applicable.

5.3 For boxes, an ERM records analyst will do the following:

- Update the permissions for the box.
- Update the status to semi-active (SA) and update the description to indicate that the item has been located.
- Update Box Inventory Forms, if applicable.
- Advise the records centre administrator that the item is going to be returned to the records centre.
- Tell the Department Records Management Team to send the item to the records centre.

5.4 For file folders (volumes) the Department Records Management Team fills out and prints a [Request for Records Form](#) and attaches it to the volume so that the records centre administrator can easily return the item to its original box.

5.5 For boxes, the Department Records Management Team should confirm that the contents of the box still match the original box inventory forms or DIIMS inventory. Then, the Department Records Management Team will fill out a [Records Transfer Slip](#) (DIIMS link) and send it to the Enterprise Records Management e-mail account. The ERM records analyst will forward the Records Transfer Slip to the records centre administrator.

In Sòmbak'è (Yellowknife), the boxes will be picked up and delivered to the records centre on the next scheduled pick-up day.

In Tthebacha, Xátł'odehchee, and Inuvik (Fort Smith, Hay River, and Inuvik), the Department Records Management Team arrange to have the box delivered to the records centre and schedule the delivery with the records centre administrator.

For Łíídlı Kúę (Fort Simpson), INF's Deh Cho Regional Office will coordinate shipments of boxes from Łíídlı Kúę (Fort Simpson) to Sòmbak'è (Yellowknife) periodically on a cost recovery basis. Alternatively, departments can courier the box to the Sòmbak'è (Yellowknife) records centre at the originating department's expense.

# 4400

## Records Disposition

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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 that created them.

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. Finally, there is a risk that significant historical records will not be preserved.

The length of time that records should be kept by a government department 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 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, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

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

## 3. Guidelines

- 3.1 In compliance with the *Archives Act*, records are not disposed of unless they have reached the final disposition phase of their life cycles, as identified in the retention and disposition set out in an approved RDA, such as the Administrative Records Classification System (ARCS) (RDA 1995-32), an Operational Records Classification System (ORCS), or a One-Time Schedule, or the Transitory Records Schedule (RDA 1997-02). Final disposition usually takes the form of transfer to the Northwest Territories Archives or destruction.

- 3.2 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 (GN) with a written notice of the records to be destroyed. The GN will review the records and may determine that it wishes to retain some of the records. Enterprise Records Management will coordinate the offer of records to the GN. ERM notifies the GN's Records Manager of the pending disposal of GNWT records. If the GN indicates it wishes to acquire the records, ERM contacts the Department Records Management Team and asks them to obtain authorization to send the records from the appropriate senior manager(s). If the Department agrees to release the records to the GN, ERM will ship the records to the GN at the GN's expense.

There is no requirement to notify the GN about the disposal of transitory records.

- 3.3 Departments are responsible for ensuring that records relating to pending or current litigation, legal actions, investigations, audits, or Access to Information requests are not disposed of while that activity is underway or anticipated. They are also responsible for notifying EIM if a legal hold is required for records stored in DIIMS or in GNWT records centres.
- 3.5 The Department of Infrastructure provides records disposal services to departments as an extension of its records centre services for paper records. It also provides disposal services for electronic records stored in DIIMS.
- 3.6 Departments are responsible for maintaining a record of records disposition.

- 3.7 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. There is no requirement to document the disposal of transitory records.

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

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, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

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

### 3. Guidelines

- 3.1 In order to be processed by a GNWT records centre for disposal arrangements, ERM requires that files in each box are closed (i.e., no additional paper will be added to them), have reached the final disposition stage in their life cycle, and are scheduled by the GNWT Administrative Records Classification System (ARCS), an Operational Records Classification System (ORCS), or a One-Time Records Disposition Authority (One-Time Schedule).
- 3.2 To be accepted for disposal, the boxes must meet the records centre requirements. See *Section 4100 Requirements for Accessing Records Centre Services* for more information.
- 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 Records are usually shipped to the nearest records centre for final disposition.

- In the Dehcho/Nahendeh Region records are shipped to the Sòmbak'è (Yellowknife) records centre.
- In the Sahtu Region records are shipped to either the Sòmbak'è or Inuvik (Yellowknife or Inuvik) records centres.
- Departments are responsible for determining the most cost-effective transportation method and for covering all costs associated with shipping records from one community to another. They are also responsible for notifying Enterprise Records Management (ERM) of their preference.

### 3.5 The following service standards apply:

- **Sòmbak'è (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.
  - Requests must be received by the Wednesday before the pick-up date to ensure that Enterprise Records Management (ERM) has time to review and process the requests.
- **Dehcho Region**
  - INF's Deh Cho Regional Office will coordinate shipments of boxes from Łíídlı Kúé (Fort Simpson) to Sòmbak'è (Yellowknife) periodically on a cost recovery basis.
- **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 ERM authorizes the shredding or as soon as possible. Shredding for the Sòmbak'è (Yellowknife) Records Centre is contracted out and shredding frequency varies depending on the number of boxes 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 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](#).
- 4.3 Assign the volumes to the boxes in DIIMS or complete and save [Excel Box Inventory Forms](#).

- Use a single method for inventorying all the boxes in a transfer.
- Do not mix boxes that were inventoried using the Box Inventory Forms with boxes that have volumes assigned to them in DIIMS in the same transfer.

Instructions on how to use DIIMS 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](#) (DIIMS link).
- 4.5 Forward the DIIMS box and collection information, the **Records Transfer Slip** and any **Box Inventory Forms** to the Department Records Management Team.
  - Box inventory forms are not required if the volumes have been entered into DIIMS and assigned to boxes.
- 4.6 The Department Records Management Team will review the boxes for errors or missing information and may ask for changes.
- 4.7 The Department Records Management Team assigns the boxes to a transfer in DIIMS. Only team members who have Records Coordinator access permissions in DIIMS can assign boxes to transfers. See the *DIIMS Records Classifier Guide* for information on how to assign boxes to a transfer.
- 4.8 The Department Records Management Team obtains a **Disposition Authorization Letter** from the senior manager 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. This authorization letter approves the disposal of records that have met their eligible disposition date while in the custody and control of the program that own the records. It is also used by ERM to accept the records for disposal arrangements managed by a GNWT's records centre facility.

The senior manager should review the **Box Inventory Forms**, or the **Box Inventory Reports** 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.

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

- 4.9 Print **GNWT Box Labels** from the [DIIMS Records Classifier Reports](#). These labels display 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 Section 4100 *Requirements for Accessing Records Centre Services* and Appendix A for the correct placement of the labels

- 4.10 The Department Records Management Team 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 ERM (Corporate\_Records@gov.nt.ca).

ERM prefers to receive one transfer request per e-mail message.

Box Inventory Forms are not required if the volumes have been entered into DIIMS and assigned to boxes.

- 4.11 ERM will review the transfer for errors or missing information. If there are no errors or missing information ERM will accept the transfer for disposition.
- 4.12 ERM will open a disposition file and assign a disposition file number to the boxes in DIIMS. ERM will send **disposition labels** to the Department Records Management Team.
- 4.13 The Department Records Management Team will have the **disposition labels** printed and placed on the boxes. They will notify ERM 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.
- 4.14 In Sòmbak'è (Yellowknife), ERM will arrange 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. ERM will provide the schedule upon request.
- 4.15 In Łíídlı Kúé (Fort Simpson), ERM will notify both INF's Deh Cho Regional Office and the Sòmbak'è (Yellowknife) records centre when records are approved for transfer to the records centre. The Deh Cho Regional Office will provide ground transport to the Sòmbak'è (Yellowknife) records centre periodically on a cost recovery basis.

Departments are responsible for securely storing the records in their own offices until the next scheduled shipment. INF's Deh Cho Regional Office does not have facilities to store records awaiting shipment.

Departments have the option to hire their own moving contractor and for scheduling a delivery time with the Sòmbak'è (Yellowknife) records centre administrator.



- 4.16 In Tthebacha, Xát'odehchee, and Inuvik (Fort Smith, Hay River, and Inuvik), departments are responsible for hiring a moving contractor and for scheduling a delivery time with the records centre administrator.
- Boxes must be dropped off at the records centre. They will not be accepted if delivered to Department of Infrastructure's main regional office location.
  - Boxes must not be dropped off at the records centre outside of scheduled times. The records centre administrator must be on hand to receive the boxes.
- 4.17 ERM will cancel a transfer that is not shipped within 90 calendar days of acceptance. The longer boxes stay in a department office after they have been accepted by ERM for transfer to a records centre, the greater the chance for the contents of the boxes to have changed. Keeping records centre boxes in the office gives employees the opportunity to remove records and add new ones. As result, the box inventories become inaccurate. This increases the risk of missing or misplaced records. It also impacts the retention and final disposition of the boxes.
- 4.18 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.
- ERM and the records centres are not responsible for any damage that may occur in transit.
  - ERM may request photographs of the boxes before they are accepted into a records centre to ensure that the boxes are in good shape before they leave the originating office.
- 4.19 The records centre administrator will visually inspect the boxes on arrival at the records centre to make sure that the boxes comply with the records centre requirements.
- 4.20 If the records centre administrator does 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 by ERM to the NWT Archives.
    - The NWT Archives personnel will review the records and may select all, some, or none of the records for permanent preservation in the Archives.
    - Records not selected for inclusion in the NWT Archives will be destroyed.
  - Records that are to be destroyed and that were created before April 1, 1999, will be offered by ERM to the Government of Nunavut (GN) prior to being shredded.
    - If the GN requests records, then ERM will notify the Department Records Management Team that a request has been made.

The Department Records Management Team will consult with appropriate senior manager to determine if the records are eligible for release to the GN and will obtain signed authorization to release the records to the GN or not.

See Section *2500 Agreement on Records with Nunavut* for a list of records the GNWT is not obligated to send to the Government of Nunavut.

- The Department Records Management Team will forward the authorization to send records to the GN or the denial of records to ERM.
  - ERM will arrange shipment of the records to the GN or notify the GN if the transfer of records was denied. Records not requested by GN or not authorized for transfer to the GN will be destroyed.
- 4.21 ERM will notify the Department Records Management Team when all 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 in a records centre.

- 5.1 Once per year, Enterprise Information Management (EIM) initiates a Disposition Approval Workflow in DIIMS. This workflow identifies records which are ready for disposition according to the retention and disposition schedules assigned to the records in DIIMS.
- 5.2 Each department's Records Management Team will be asked to assist in the verification of the list of senior managers for each department.
- 5.3 An e-mail is sent from EIM's Enterprise Records Management unit (ERM) to the senior manager for each division.<sup>1</sup> The e-mail will include a link to a workflow status page. Departmental Records Management Teams will be copied on these e-mails.
- 5.4 From the workflow status page, the senior manager will be able to review a report of records centre boxes which are ready for disposition. An electronic record of their review activities will be generated by DIIMS and kept by EIM.<sup>2</sup> The department records management team will receive a notification from DIIMS when the review activity is complete.

The senior manager will also be able to indicate if any of the boxes need to be kept for another year due to a current legal matter, audit, or access to information request.

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<sup>1</sup> In agencies which are not within the GNWT's data network, and which consequently have limited access to DIIMS, this e-mail will be sent to the agency's records management team.

<sup>2</sup> In agencies which are not within the GNWT's data network, and which consequently have limited access to DIIMS, the agency's records management team should review the disposition report with the appropriate members of the senior management team and obtain their written acceptance (by wet signature, digital signature, or by e-mail) for the disposition. The records management team can then approve the disposition in DIIMS on the behalf of their organization. A copy of the written acceptance should be sent by e-mail to Corporate\_Records@gov.nt.ca.

- 5.5 ERM will begin the process of disposing of the records when they receive notification from DIIMS that the review activity is complete.
- 5.6 If the senior manager does not complete the review of the records by the end of the 90-calendar day review period, they will be deemed to have agreed to the disposition, and ERM will begin the process of disposing of the records.
- 5.7 ERM coordinates with each records centre administrator 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 ERM to the Government of Nunavut (GN) prior to being destroyed.
    - If the GN requests records, then ERM will notify the Department Records Management Team that a request has been made.
    - The Department Records Management Team will consult with appropriate senior manager to determine if the records are eligible for release to the GN and will obtain signed authorization to release the records to the GN or not.

See Section *2500 Agreement on Records with Nunavut* for a list of records the GNWT is not obligated to send to the Government of Nunavut.

    - The Department Records Management Team will forward the authorization to send records to the GN or the denial of records to ERM.
    - ERM will arrange shipment of the records to the GN or notify the GN if the transfer of records was denied. Records not requested by GN or not authorized for transfer to the GN will be destroyed.
- 5.8 The Department Records Management Team will be notified when all the records have been disposed of.

4420

# Disposal of Transitory Records in Paper and Other Media

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2023

## 1. Introduction

The [Transitory Records Schedule](#) (Records Disposition Authority 1997-02 version 2) provides authorization to GNWT departments to dispose of transitory records in compliance with the *Archives Act*.

The Transitory Records Schedule identifies six record types that can be disposed of as transitory records:

- Advertising material.
- Blank information media.
- Draft documents and working materials that were used to create a final document, and which are not required to show the various stages in the development of the final document or to record decisions.
- Duplicate documents.
- Non-GNWT Publications.
- Temporary information that is not required to document actions or decisions or to demonstrate that an activity took place or that information was received.

The Transitory Records Schedule applies to records in all formats, including electronic records.

## 2. References

Archives Act, R.S.N.W.T 1988, c.A-6

Financial Administration Act: Disposal of Public Property Regulations, R-047-93

Infrastructure Establishment Policy, Executive Council Policy 31.00

Disposal of Goods Policy, Executive Council Policy 31.03

Recorded Information Management Policy, IMT Policy Manual

## RDA 1997-02 Transitory Records Schedule

### Disposal of Surplus Goods Guidelines

Royal Canadian Mounted Police, *Equipment Selection Guide for Paper Shredders*, GCPSPG-001 (2020)

## 3. Best Practices

- 3.1 Government employees identify and dispose of transitory records themselves.
- 3.2 Transitory records do not have to be inventoried prior to disposal.
- 3.3 Transitory paper records are not sent to a GNWT records centre for disposal.
- 3.4 Employees are responsible for ensuring that transitory records are protected and securely disposed of to maintain security, confidentiality, protect personal privacy, and prevent security breaches.
- 3.5 Dispose of transitory paper records by placing them in a secure document destruction bin. The records will be shredded and recycled by a document destruction company contracted by the government to provide this service.

Where a document destruction contractor is not available, employees shred transitory paper records in government offices using government-owned shredders.

Where a government department decides to purchase a shredder, the shredder conforms to RCMP guidelines for Class 1 office shredders.

Shredded paper is sent to a paper recycling facility if possible or disposed of at the municipal solid waste facility to ensure that the disposal is compliant with public health, environmental, and other regulations. Shredded government records are not repurposed for personal, education, or industrial use, such as bedding for animals, craft or packing material, theatrical props, or fuel for campfires or stoves.

- 3.6 Do not burn transitory paper records. It is difficult to completely burn records. Incomplete burning may lead to the accidental disclosure of confidential or personal information. In addition, burning releases smoke and may release toxins into the air, which may have health and environmental consequences.
- 3.7 Erase or delete the contents of information media, such as hard drives, USB devices (external hard drives, flash drives, thumb drives, etc.), memory cards (SD, miniSD, microSD, CF, MMC, etc.), optical storage disks (DVDs and CDs), 5.25" and 3.5" floppy disks, audio tapes, video tapes, and data tapes. Then sanitize the media using specialized data erasure software, degauss it, or physically destroy it to prevent the unauthorized recovery of information that was previously stored. Physical destruction may be done by shredding in a specialized shredder, disintegrating, pulverizing, or otherwise destroying the information

bearing medium so that it cannot be reconstructed and played. File deletion or reformatting alone is not sufficient to destroy the information stored on the media.

- 3.8 Print publications can be declared surplus and disposed of through the GNWT's surplus goods program.

4430

## Disposition Holds for Records Stored in the Records Centres

<b>Issued:</b>	April 2019
<b>Last Updated:</b>	July 2023

### 1. Introduction

A disposition hold is a hold or halt placed on the scheduled disposal of records due to foreseeable or pending litigation, investigation, audit, access to information request, or other special requirements.

Records that pertain to pending or potential litigation, audits, investigations, and access to information requests should not be destroyed. It is recommended that these records are marked or sequestered in some way to ensure that they are neither disposed of nor tampered with.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Best Practices

3.1 Departments apply disposition holds to records for one or more of the following reasons:

- A legal matter, such as an investigation or lawsuit. Ideally, a request for a legal disposition hold will be supported by a litigation hold notice from the Department of Justice.
- An internal or external audit.
- A request made under the *Access to Information and Protection of Privacy Act* or the *Health Information Act*.
- The Operational Records Classification System (ORCS) is under review or being revised due to changes to policy, procedures, or legislation which may impact the retention and final disposition of the records.
- Ownership of records is being transferred to a new department through a government reorganization.

- 3.2 If a department asks Enterprise Information Management (EIM) to place records in a disposition hold, any records in semi-active storage in a GNWT records centre will continue to be stored until the disposition hold is lifted, providing that the records centre has sufficient excess capacity.

There is a possibility that EIM will have to return records in a disposition hold to the department if a GNWT records centre reaches full capacity.

- 3.3 EIM will take one of two actions if a department asks EIM to place records in a disposition hold and the records which are eligible for disposition. Boxes that were previously in storage in the records centre (disposition from storage) will be put back into storage. Boxes that were previously in a GNWT office (destruction from department) will be returned to the originating department.
- 3.4 EIM will not accept records that have reached their final disposition phase while located in a department's office space into storage in a GNWT records centre if the records are in a disposition hold. Instead, the records must remain in the department's office space until the hold is lifted and the records can be transferred to the records centre for final disposition.
- 3.5 When a disposition hold is lifted, the original retention and disposition will be applied to the records.

## 4. Procedures – Boxes Listed on Records Disposition Report

- 4.1 Once a year, EIM initiates a records disposition workflow process in DIIMS. Senior managers are provided with a list of boxes which have reached the end of their retention schedule and are ready for final disposition. Senior managers are asked to verify that the records are not required to be kept for a legal matter, audit, or access to information request.

See Section 4410 *Disposition of Physical Records* for more information on the disposition from storage process.

- 4.2 If a disposition hold is required due to a legal matter, audit, or access to information request, senior managers may use the DIIMS workflow to identify boxes which should be kept for another year.
- 4.3 Senior managers have the option to request a formal disposition hold. This request is provided in writing to the Department Records Management Team. The Department Records Management Team forwards the request to Enterprise Records Management (ERM). ERM will apply the hold to the boxes. Boxes in a formal disposition hold will not appear in the disposition workflow until the hold is removed.

## 5. Procedures – Boxes Approved for Final Disposition

- 5.1 If a disposition hold is required for boxes that have already been accepted for Final Disposition, the Department Records Management Team sends an e-mail to ERM explaining that a disposition halt has been put in place, identifying the boxes affected by the



disposition halt, and requesting a status update on the boxes to determine if they have already been destroyed or transferred to the NWT Archives.

- 5.2 ERM will review the status of the boxes and provide the Department Records Management Team with a status update. ERM will tell the records centre administrator to stop any disposal activities and await further instructions.
- 5.3 If the boxes have not already been destroyed or transferred to the NWT Archives, the Department Records Management Team obtains a letter from the senior manager advising that records must be halted.
- 5.4 The Department Records Management Team will forward the letter to ERM.
- 5.5 On receipt of the letter, ERM will inform the records centre administrator that the disposition has been suspended.
- 5.5.1 If the boxes were originally in storage in the records centre (disposition from storage), ERM will tell the records centre administrator to return the boxes to the records centre shelves and to remove the disposition labels from the boxes.

The records centre administrator will move the boxes to any free shelf location in the records centre and update the box locations in DIIMS.

ERM will remove the boxes from the disposition and add them to a disposition hold in DIIMS. If all the boxes in the disposition have been halted, ERM will cancel the disposition.

- 5.5.2 If the boxes were originally stored in the department's office space (disposition from department), ERM will ask the Department Records Management Team to arrange to return the boxes to the originating department. The Department of Infrastructure is not responsible for arranging delivery of the boxes.

Once the boxes have been returned to the department, the Department Records Management Team removes the disposition labels from the boxes. Use a marker to black out the labels if they cannot be removed.

It is recommended that departments seal and sequester any returned boxes and place labels on them indicating that they are subject to a disposition hold to discourage tampering.

## 6. Procedures – Boxes in Storage and Not Yet Ready for Final Disposition

- 6.1 Departments have the option to place disposition holds on boxes that are in storage in a records centre and that have not yet reached the final disposition phase of the life cycle.
- 6.2 The Department Records Management Team obtains a letter from the senior manager responsible for the records advising that records must be halted.

- 6.3 The Department Records Management Team forwards the letter to ERM.
- 6.4 ERM will add the boxes to a disposition hold in DIIMS. Boxes in a formal disposition hold will not appear in the disposition workflow until the hold is removed.

## 7. Procedures – Lifting a Disposition Hold

- 7.1 Disposition holds may be in place for many years. However, it is best practice to resume routine records retention and disposition procedures when the disposition hold ends. Failing to release records from a disposition hold promptly may affect the department's compliance with laws and regulations. It also impacts space management within the GNWT records centres and government offices.
- 7.2 Annually, ERM provides Department Records Management Teams with lists of boxes in storage in the records centres that are in a disposition hold. ERM asks the Department Records Management Teams to review the lists and provide written confirmation as to whether the disposition hold still applies or not.
  - 7.2.1 If the disposition hold is still in place, an e-mail message from the Department Records Management Team confirming that the hold is in place provides sufficient documentation for ERM's purposes.
  - 7.2.2 If the disposition hold can be lifted, the Department Records Management Team obtains a letter from the senior manager responsible for the records advising that the disposition hold may be lifted.
  - 7.2.3 The Department Records Management Team forwards the letter and a list of the boxes to which the letter applies to ERM.
  - 7.2.4 ERM will remove the boxes from the disposition hold in DIIMS.
- 7.3 Boxes in storage in a GNWT records centre which have reached their final disposition will be included in the next annual records disposition workflow process.
- 7.4 If records were returned to a department due to a disposition hold, and they are ready for final disposition but were not previously accepted for disposal, then the Department Records Management Team submits a new request for disposition to ERM, with a new disposition authorization letter signed by the senior manager.

Due to the extraordinary circumstances which surround a disposition hold, it is not necessary to assign the records to a new transfer, even if they were permanently returned to the department.

- 7.5 If records were previously accepted for disposition, and then placed in a disposition hold and returned to the department, as described in Section 5 above, then the Department Records Management Team submits a written request from the senior manager responsible for the records to ERM to resume the disposal of the records. The senior manager's written

request to resume disposition includes the original transfer ID numbers and DIIMS box ID numbers. ERM will resume the original disposition process if it has not already been completed or cancelled. If the original disposition process was completed or cancelled, ERM will assign the boxes to a new disposition process (with a new disposition ID number).

Due to the extraordinary circumstances which surround a disposition hold, it is not necessary to assign the records to a new transfer, even if they were permanently returned to the department.

7.5.1 Requests to resume the disposal of records include an accurate listing of each box's contents being submitted for disposal. Examples of an accurate listing of each box's contents include:

- The original DIIMS Box Inventory or Excel Box Inventory Form, if the contents of the box have not changed either during the disposition process or while the box was on hold within the department; or
- Annotated original DIIMS Box Inventory Report or Box Inventory Form, showing what was removed during the disposition process or while the box was on hold within the department; or
- An updated DIIMS Box Inventory or Excel Box Inventory Form, showing the current contents of the box.

7.5.2 If the records were reviewed by the NWT Archives before the disposition hold was applied, the Department Records Management Team contacts the NWT Archives and requests a written acknowledgement that the archival selection process for these records has already been completed and that the records do not have to be resubmitted to the NWT Archives for review.

Requests to resume the disposal of records includes the written response from the NWT Archives.

7.5.3 Requests to resume the disposal of records include a new transfer slip.

# VITAL RECORDS AND EMERGENCY MANAGEMENT

5001

# About Vital or Essential Records

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

## 1. Introduction

Vital records, also called essential records, are records which either:

- Contain information essential for the continuation of key GNWT programs, services, or operations during and immediately after an emergency; or
- Contain information essential for the re-establishment of the primary legal, financial, and functional responsibilities of the GNWT following a disaster.

Only a portion of the GNWT's records are vital or essential to the government's core responsibilities over natural resources, education, health care, social services, policing and the administration of justice, and other matters of a local or private nature in the territory. Vital records include records which are needed to recreate the GNWT's legal and financial position, and protect its obligations to the public, employees, and contractors. Vital records are records the GNWT absolutely cannot do without.

Vital records:

- Are irreplaceable;
- Are required to operate a department's most significant programs and services; or
- Have an intrinsic uniqueness.

The NWT Emergency Plan, departmental emergency plans, and essential services lists are good sources of information for identifying the programs and the related records which are considered critical to fundamental government and departmental operations.

The term "vital records" should not be confused with "Vital Statistics Records" which are records of births, marriages, deaths, and other life events.

## 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

A Guide to Business Continuity Planning, Office of Critical Infrastructure Protection and Emergency Preparedness, Government of Canada.

The Preservation of Essential Records: A guide for governments, organizations, institutions, and businesses, Emergency Preparedness Canada, 1996 (out of print).

Emergency Management for Records and Information Programs, 2<sup>nd</sup> edition, Virginia A. Jones and Darlene Barber, ARMA International, 2011.

Vital Records, TR 29-2017, ARMA International.

### 3. Best Practices

- 3.1 GNWT departments have vital records programs as part of their overall records and information management programs, emergency management programs, or business continuity programs. Vital records programs support the information governance principle of protection.

### 4. Procedures

- 4.1 Obtain senior management approval to develop a vital records plan.
- 4.2 Identify and prioritize the business operations which are critical during and immediately after an emergency or disaster.
- 4.3 Prepare an information map and use it to identify the vital records which support the critical business operations. Assess the following:
  - Locations and formats of the records.
  - Identify existing backups or duplicates, such as network backups, or business process that duplicate information between a regional office and headquarters. Determine if the duplicates and backups are complete.
- 4.4 Identify potential risks to the information, such as fire, water damage, pest damage, theft, cyberattacks, etc., and complete a risk assessment and business impact assessment for each possible hazard.
- 4.5 Identify mitigation steps to reduce the loss risk and determine the mitigation costs. These costs are usually associated with the creation and maintenance of backup copies of vital records in an alternate location.
- 4.6 Write the vital records plan and obtain senior management approval to implement the plan.
- 4.7 Implement risk mitigation steps.
- 4.8 Routinely monitor, test, and update the plan.

# 5100

## Vital Records Storage Facility

<b>Issued:</b>	July 2023
<b>Last Updated:</b>	July 2023

### 1. Introduction

Enterprise Information Management provides off-site storage and retrieval services for backup copies of vital (essential) records. The Vital Records Storage Facility is in Sòmbak'è (Yellowknife).

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy 6003.00.18

### 3. Guidelines

- 3.1 The Vital Records Storage Facility houses microfilm rolls and jackets, microfiche, data tapes, CD, and DVD formats.
  - 3.1.1 Microfiche and microfilm jackets are stored in plastic or cardboard microfiche boxes.
- 3.2 The GNWT's routine records disposition process does not apply to the Vital Records Storage Facility. Departments are responsible for ensuring that vital record backup copies are disposed of along with the original master records.
- 3.3 Backup copies are classified and scheduled using the Administrative and Operational Records Classification Systems (ARCS and ORCS). The Manager, Enterprise Records Management (ERM), has the authority to approve the storage of unscheduled records.

### 4. Procedures – Transfers to Vital Records Storage

- 4.1 Inventory the records using DIIMS or Box Inventory Forms.
  - 4.1.1 If using DIIMS, enter each backup record into DIIMS as a new physical volume. The backup copy cannot use the same DIIMS ID number as the original. Use naming conventions to distinguish the original records from the backup copies. See the *DIIMS Records Classifier and Coordinator Guide* for information on how to add volumes to DIIMS. If not using DIIMS, list the records on a **Box Inventory Form**.

- 4.2 Enter each container into DIIMS as a records centre box. See the *DIIMS Records Classifier and Coordinator Guide* for information on how to add boxes to DIIMS. Use the Description field to indicate the records are backup copies of vital (essential) records.
- 4.3 Contact the Department Records Management Team. Provide links to the boxes and Box Inventory Forms, if used.
- 4.4 The Department Records Management Team reviews the boxes and assigns them to a transfer.
- 4.5 The Department Records Management Team fills out a **Records Transfer Slip** and submits a request for storage to [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca).
- 4.6 ERM will review the request and advise the Department Records Management Team of the next steps.
- 4.7 Departments are responsible for arranging shipment of approved transfers of backup copies of vital records to the Vital Records Storage Facility. Shipments are coordinated with ERM to ensure ERM employees are on site to receive the records.

The Department of Infrastructure's regional offices do not provide pick-up and delivery services for the Vital Records Storage Facility.

## 5. Procedures – Retrievals from Vital Records Storage

- 5.1 Contact ERM at [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca) and request the retrieval of the records.

The Department of Infrastructure's regional offices do not provide retrieval services for the Vital Records Storage Facility. Instead, this service is booked ahead with ERM employees.

- 5.2 ERM will arrange a time for you to pick up the records at the facility.
- 5.3 To return the records, contact ERM to arrange a time when you will deliver the records to the facility.



5110

## Digitization Facility

<b>Issued:</b>	July 2023
<b>Last Updated:</b>	July 2023

### 1. Introduction

Enterprise Information Management has a flatbed scanner and a microfilm scanner available for use by GNWT departments. The equipment is in Sòmbak'è (Yellowknife).

### 2. References

Infrastructure Establishment Policy, Executive Council Policy

Recorded Information Management Policy, IMT Policy

Directive – Digitizing

Standard – Digitizing

Guideline – Digitization

Checklist - Digitizing

### 3. Guidelines

- 3.1 Use of the digitization equipment is subject to approval by the Manager, Enterprise Records Management (ERM).
- 3.2 ERM will provide training on the use of the scanning equipment.
- 3.3 An ERM employee will be on site while the equipment is in use.
- 3.4 ERM will not:
  - Develop digitization project business case or project plans.
  - Provide employees to prepare records, digitize, index, or perform quality assurance.
  - Manage digitization projects or supervise employees.
  - Provide storage media for digital records.
  - Provide records pick-up and delivery services.

## 4. Procedures

- 4.1 Send a request to use the digitization equipment to ERM at [Corporate\\_Records@gov.nt.ca](mailto:Corporate_Records@gov.nt.ca). Include the following information:
- The reason for the request.
  - Proposed dates and times.
  - Staffing information, including, if applicable, the project manager, equipment operators, supervisors, and anyone who may require access to the facility.
- 4.2 The Manager, ERM, will review the request and respond. Requests are subject to the availability of the facility and ERM employees.

# 5501

## About Emergency Management Planning for Records

<b>Issued:</b>	December 2021
<b>Last Updated:</b>	July 2023

### 1. Introduction

Accidents, emergencies, and disasters are part of life. While the focus in any event is the health and safety of employees and the public, consideration should be given to the protection and remediation of records which may be vulnerable to or damaged by natural and human caused events.

Emergency management planning is a component of a well-rounded records and information management program. Records remediation is an unfortunate consequence of accidents, emergencies, and disasters.

Paper records and records in other physical media are vulnerable to damage from many sources, such as fire, water, dust and mold, pests, and more. Electronic records are also vulnerable to damage, particularly if they are stored locally on computer hard drives or on removable media, such as a flash drive, external hard drive, or DVD.

The NWT Archives and EIM provide advice to GNWT departments on emergency management planning and recovery of damaged records. EIM also has a reference collection of records-related to emergency planning and response publications which is available for consultation.

Please see *Appendix D* for an example of a flow chart for salvage and recovery of damaged records.

### 2. References

NWT Archives, *Are Your Records Safe? The Emergency Management Continuum*, presentation to the 2020 Records and Information Management Symposium. Available as an online module on the Department of Finance's Enterprise Learning Management System.

Alberta, Public Works, Supply and Services, *Disaster Planning for Government of Alberta Records*, PWSS 149, 1987.

Betty Walsh, *Salvage Operations for Water Damaged Archival Collections; A Second Glance*, Preservation Committee, Canadian Council of Archives, 2003.

Canada, Office of Critical Infrastructure and Emergency Preparedness, *A Guide to Business Continuity Planning*, 2003.

Canadian Conservation Institute, *Emergency and Disaster Preparedness for Cultural Institutions*, no date.

Institute for Inspection Cleaning and Restoration Certification, *Reference Guide for Professional Mold Remediation*, 3<sup>rd</sup> edition, 2015.

Institute for Inspection Cleaning and Restoration Certification, *Standard and Reference Guide for Professional Water Damage Restoration*, 4<sup>th</sup> edition, 2015

Institute for Inspection Cleaning and Restoration, *Standard for Professional Mold Remediation*, 3<sup>rd</sup> edition, 2015.

Johanna Wellheiser, Jude Scott and John Barton, *An ounce of prevention: Integrated disaster planning for archives, libraries, and records centers*, 2<sup>nd</sup> edition, 2002.

Rosalie Stremple and Michael F. Martone, *Disasters Come in All Sizes*, InfoPro, 2000.

State Archives and Records Authority of New South Wales, *Counter disaster reaction and recovery plan*, 2019.

Virginia A. Jones and Darlene Barber, *Emergency Management for Records and Information Programs*, 2<sup>nd</sup> edition, ARMA International, 2011.

# ELECTRONIC RECORDS

6001

## About Electronic Records

<b>Issued:</b>	July 2021
<b>Last Updated:</b>	July 2023

### 1. Introduction

An electronic record is a record stored in an electronic or digital format which can only be processed by a computer or another digital device. Some examples of electronic records include, but are not limited to:

- MS Word documents
- MS Excel spreadsheets
- E-mail messages
- Digital photographs and other digital images
- CAD files
- PDF documents
- Digital sound or video recordings
- Other computer files that store information.

Electronic records can also come from paper documents and analogue audio-visual materials which were digitized. Databases, information systems, and GIS systems are not usually considered by the GNWT to be records, but the reports and other documents they generate may be records which need to be saved external to the system.

Most records created and used by GNWT departments are born digital – meaning that they were created as an electronic record rather than as a paper document. Electronic records document the GNWT’s business activities, and are affected by the same legal, audit, and other requirements as paper records:

- They may be presented as evidence in an investigation or court proceedings.
- They may be requested as part of an access to information request.
- Laws that require records to be kept apply equally to paper and electronic records.

This guidance is not intended to replace existing departmental filing rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM’s recommendations.

## 2. References

Management of Electronic Information Policy, IMT Policy Manual

## 3. Best Practices

- 3.1 Departments are responsible and accountable for the management of their electronic records. Employees are expected to save electronic records which document government actions, transactions, and decisions in DIIMS. In departments which have not implemented DIIMS, employees are expected to save electronic documents on GNWT network file shares.
- 3.2 Saving electronic records on computer hard drives, tablets, smartphones, or external hard drives is not recommended because these storage locations are vulnerable to security and privacy breaches. In addition, computer hard drives and mobile devices are not usually included in GWNT network backups and records saved on them may be lost if the hard drive or device fails or becomes corrupted.
- 3.3 In consultation with the Department Records Management Team, each government program area creates processes and procedures for managing electronic records to ensure records are reliable, secure, and compliant with legal, business, and other requirements, comprehensive, and created, captured, and managed systematically. EIM recommends that procedures address appropriate storage and organization of electronic records, as well as file naming conventions.
- 3.4 In consultation with the Department Records Management Team, each program area decides if its official records will be kept as electronic records, paper records, or in other media. This decision is documented and saved to promote consistency in employee practices and to support the authenticity and reliability of the records.

Review program related legislation to determine if the legislation specifies a format in which records must be kept. Obtain a legal opinion if the legislative requirements are unclear.
- 3.5 In consultation with the Department Records Management Team, supervisors make sure that employees receive training on the creation, capture, storage, use, distribution, and tracking, closing, retention, and disposition of the electronic records which they create, receive, and use while carrying out their work.
- 3.6 In consultation with the Department Records Management Team, managers regularly monitor and enforce compliance with the program area's records and information management procedures.
- 3.7 EIM provides advice upon request to Department Records Management Teams regarding the development of procedures and methods for monitoring and evaluating compliance.

6100

# Managing Electronic Records Using DIIMS

<b>Issued:</b>	July 2021
<b>Last Updated:</b>	July 2023

## 1. Introduction

DIIMS, the Digital Integrated Information Management System, also known as OpenText Content Server, is the preferred electronic content management system (ECMS) for GNWT departments, Housing NWT, and the Legislative Assembly.

The purpose of DIIMS is to do the following:

- Enhance the productivity of the GNWT's employees.
- Facilitate collaboration and sharing of information.
- Reduce storage costs associated with maintaining information in electronic formats.
- Effectively manage the government's electronic records, including e-mail messages, in compliance with the *Archives Act* by providing a mechanism for classifying and scheduling electronic records in accordance with the Administrative and Operational Records Classification Systems (ARCS and ORCS).

During the 2009-2010 IM-IS-IT Capital Planning cycle, the Government Chief Information Officer received approval from the Informatics Policy Council (IPC) to issue a Request for Proposal for an electronic content management system for all GNWT departments, the Legislative Assembly, and the NWT Housing Corporation (now Housing NWT). The contract was awarded to OpenText Content Server and the system was successfully piloted in the Department of Public Works and Services in 2012. Following the pilot, IPC approved the continued implementation of the system across the government.

DIIMS is supported by ECM. ECM works with Department Records Management Teams to support the management of departmental electronic records.

## 2. References

Management of Electronic Information Policy, IMT Policy Manual

Directive - DIIMS

DIIMS End User Guide



### 3. Best Practices

- 3.1 DIIMS is used to store non-transitory e-mail messages and draft and final versions of electronic documents relating to government business.
- 3.2 DIIMS is organized into a hierarchy of digital folders. The folder structure is based on the file classification hierarchy found in the Administrative and Operational Records Classification System (ARCS and ORCS). When electronic documents are saved into a folder in DIIMS, they inherit the ARCS or ORCS classification and retention schedules.

Because the upper-level folders in the DIIMS folder structure are tied to an approved ARCS or ORCS, they cannot be added to, deleted, or modified unless the underlying ARCS or ORCS is amended. DIIMS users may have the ability to add and modify the folder structure at lower levels in the DIIMS folder hierarchy depending on their system permissions. Contact the Departmental Records Management Team for assistance with using the ARCS and ORCS. Online ARCS and ORCS training is available through the Department of Finance's Enterprise Learning Management System.

- 3.3 Security and access restrictions are assigned to the folders in DIIMS. Some folders are available to all employees in a program area, or even to an entire department. Other folders have been restricted to protect personal or confidential information. Contact the Department Records Management Team or the DIIMS Help Desk before saving personal or confidential information to make sure that the information is being saved into a folder which has the appropriate security settings.
- 3.4 Documents and folders are easier to locate if consistent file naming conventions or rules are followed. Consult with the Department Records Management Team to determine if the department already has file naming conventions or to establish naming conventions if none already exist. Ideally, file naming conventions for DIIMS are documented in departmental records and information management procedures manuals.
- 3.5 Managers are responsible for ensuring employees have received training on the use of DIIMS. They are also responsible for monitoring DIIMS usage to ensure it is being used in compliance with GNWT-wide and departmental procedures, and that records are being saved consistently in the correct ARCS or ORCS folders.
- 3.6 DIIMS allows multiple users to collaborate on documents within and between departments. This ensures there is a single, authoritative, version of a record by reducing the duplication of records across the government. Obtain management approval obtained before sharing documents with employees in different program areas. Take privacy and confidentiality into consideration before sharing information.
- 3.7 Many routine business processes are supported by DIIMS workflows. In addition to streamlining and automating tasks, workflows ensure that electronic documents are saved into the most appropriate location in DIIMS, where they can be managed according to ARCS

and ORCS. They also provide opportunities for increasing oversight of processes through reporting and auditing.

6200

# Managing Electronic Records on Network File Shares

<b>Issued:</b>	July 2021
<b>Last Updated:</b>	July 2023

## 1. Introduction

GNWT departments which have not implemented DIIMS usually use network file shares (shared drives) as the primary repository for their electronic records. Electronic records are public records and must be managed in compliance with the *Archives Act* and GNWT policies. Network file shares need to have records and information management controls applied to them to make the information easier to find and use, comply with legal and other requirements for managing records, and reduce storage costs. Effective use of network file shares for managing electronic records requires training, monitoring, and clear procedures.

DIIMS is the preferred GNWT solution for managing the government's electronic records. Network file shares lack some important recordkeeping features which are found in DIIMS. These features include strong search capabilities, audit trails, and the ability to automate retention and disposition rules.

It may not be possible to save manage very large electronic records on the network file shares due to size and bandwidth limitations. In those cases, it may be necessary to manage these records using the same tools which are used to manage paper records.

This guidance is not intended to replace existing departmental filing rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

## 2. References

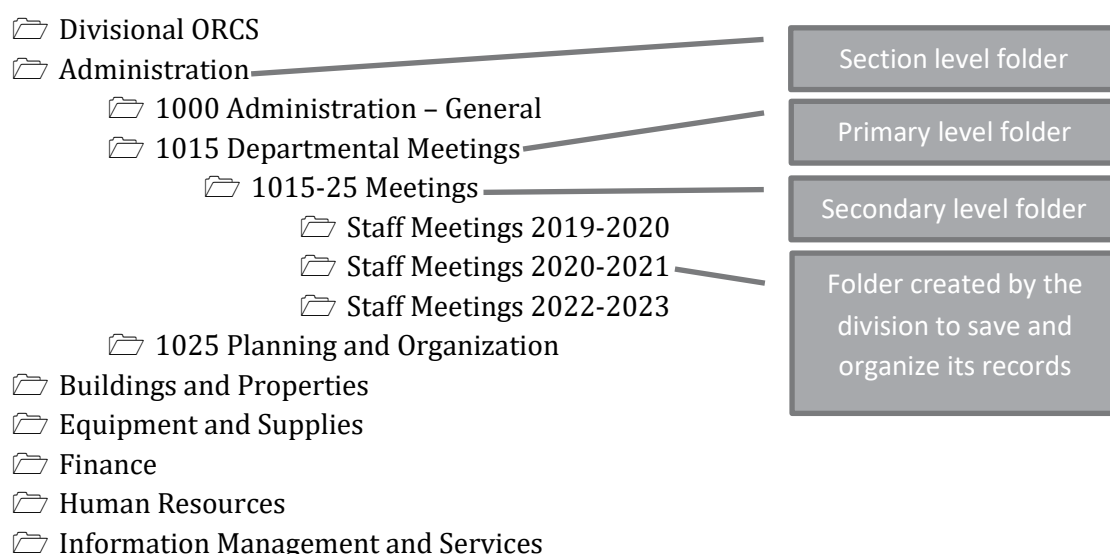
Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Management of Electronic Information Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 Department Records Management Teams have access to all departmental network file shares so they can effectively manage the content of the network file shares through their life cycle.
- 3.2 In departments which have not implemented DIIMS, network file shares are used to store non-transitory e-mail messages and draft and final versions of electronic documents.
- 3.3 Folders in network file shares are organized into a folder hierarchy based on the classification structure of the Administrative and Operational Records Classification Systems (ARCS and ORCS). For example:



The Section, Primary, and Secondary classification levels in ARCS and ORCS cannot be modified. New folders and records are created and saved below the secondary level folders

Using ARCS and ORCS to organize electronic records on network file shares helps match the paper filing system to the electronic one, which encourages better searching and retrieval of information. It also facilitates the response to access to information requests, legal actions and investigations, and audits by encouraging consistency in the management of departmental information across locations and document formats. It also helps prepare the department for eventual implementation of DIIMS.

- 3.4 Using password protections and other user managed tools for preventing access to information is not recommended because it makes the information unusable to the GNWT if the person who set up the restrictions is unavailable, or the password is forgotten. Consult with the Technology Service Centre (TSC) for options to secure records stored on network shared drives.
- 3.5 Documents and folders are easier to locate if consistent file naming conventions or rules are followed. Program areas should consult with the Department Records Management Team to

determine if the department already has file naming conventions or to establish naming conventions if none already exist. File naming conventions for network shared drives should be documented in departmental records and information management procedures manuals.

- 3.6 Managers make sure that employees have received training on the use of network shared drives. They are also responsible for monitoring network file share usage to ensure it is being used in compliance with GNWT-wide and departmental procedures.
- 3.7 Duplication of information is a concern for network shared drives. Consistent use of the ARCS and ORCS folder structure has the following benefits:
  - Supports the creation of a single, authoritative, electronic record.
  - Helps reduce duplication.
  - Reduces network storage chargeback costs.
- 3.8 Deleting records from a shared drive is a form of disposal and is only legal when done in compliance with the *Archives Act* and approved records disposition authorities. EIM does not recommend deleting substantive, or non-transitory, records from network file shares because the GNWT does not have a policy or procedure governing the disposal of substantive electronic records outside of DIIMS. Instead, they should be kept until they can be imported into DIIMS. Employees may delete transitory records.
- 3.9 Employees do not use personal network drives, usually the G:/ drive, as the final repository for GNWT business-related records.

## 4. Procedures

- 4.1 Determine if there is an approved RDA which can be used to classify and organize the records. Contact the Department Records Management Team for assistance with RDAs.

ERM and the NWT Archives provide advice to Department Records Management Teams regarding the use of different versions of an RDA upon request.
- 4.2 Create a project plan and have it approved by the division's senior management. Ideally, the plan includes the following:
  - Deadlines.
  - A schedule for a series of team check-in meetings.
  - Roles and responsibilities for the project manager and team members. If the reorganization project includes multiple divisions, assign someone to keep track of progress and produce status reports. It is recommended that employees move the records which they created. Assign employees to organize records for people who have left the organization.
- 4.3 Find out if the TSC can provide a duplicates report. This can help identify transitory duplicate records which can be deleted.

- 4.4 Create a folder structure on the shared drive which matches the ARCS and ORCS classification hierarchy.

The DIIMS Service Desk has a pre-built folder structure for ARCS v10 which can be deployed on shared drives. Contact the DIIMS Service Desk for more information.

- 4.5 Provide employees with training on the ARCS and ORCS folders.

If possible, create a map which will help employees connect the old locations to the new ones.

- 4.6 Begin moving records. It is not necessary to review every document. Where possible, move entire folders.

It may be necessary to shorten long folder or document names due to a maximum path length restriction in MS Windows.

- 4.7 Provide direction to employees to save new records in the ARCS and ORCS folders.

- 4.8 Provide training on use of the network file share to new employees.

- 4.9 Regularly monitor use of the network file share for compliance with the folder hierarchy.

6400

# Disposal of Electronic Records

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## 1. Introduction

Electronic records are subject to the same records retention and disposition requirements as their paper counterparts. 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 that created them and keeping records longer than necessary is a liability to the government.

The length of time that records should be kept by a government department 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 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

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

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Management of Electronic Information Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

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

### 3. Best Practices

- 3.1 The GNWT does not have a procedure addressing the disposal of electronic records stored on network shared drives. Disposal of electronic records in the absence of a standard procedure is not recommended because it is not part of the government's normal and ordinary course of business and consequently could lead to questions concerning the validity of the disposal actions.

EIM recommends that departments which are not using DIIMS to manage electronic records keep all substantive electronic records on their shared drives until the retention and disposition of the records can be managed through DIIMS.

- 3.2 The GNWT has procedures for the disposal of electronic records stored in DIIMS. The procedures meet the GNWT's requirements for the retention and disposal of records under the *Archives Act*. These requirements are:

- Electronic records are not disposed of except in accordance with the retention and disposition set out in an approved RDA.
- Electronic records are not disposed of unless they have reached the final disposition phase of their life cycles as identified in an approved RDA.
- Substantive and transitory records relating to pending or current litigation, legal actions, investigations, audits, or Access to Information requests are not disposed of while that activity is underway or anticipated.
- All actions relating to disposition of substantive records are documented.

- 3.3 The NWT Archives is not currently acquiring electronic records. Electronic records with a final disposition of Archival Selection (AS/D) are to remain in departmental custody and control until such time as the NWT Archives is able to acquire the records.

- 3.4 Government employees have the authority to delete transitory electronic records, providing that the electronic records meet the requirements of the *Transitory Records Schedule* (RDA 1997-02) and are not required to document their actions, transactions, or decisions.

### 4. Procedures – Disposition from DIIMS

- 4.1 Once per year, EIM initiates a Disposition Approval Workflow in DIIMS. This workflow identifies records which are ready for disposition according to the retention and disposition schedules assigned to the records in DIIMS.

- 4.2 Each Department Records Management Team is asked to assist in the verification of the list of senior managers for each department.

- 4.3 An e-mail is sent from EIM to the senior manager for each division. The e-mail will include a link to a workflow status page. Departmental Records Management Teams will be copied on the e-mail.



- 4.4 From the workflow status page, the senior manager reviews a report of records stored in DIIMS which are ready for disposition. An electronic record of their review activities is generated by DIIMS and kept by EIM. The department records management team receives a notification when the review activity is complete.

The senior manager has the option to indicate if any of the boxes need to be kept for another year due to a current legal matter, audit, access to information request, or department reorganization.

- 4.5 EIM will begin the process of disposing of the records from DIIMS when they receive notification from the system that the review activity is complete.
- 4.6 If the senior manager does not complete the review of the records by the end of the review period, they are deemed to have approved the disposition. EIM begins the process of disposing of the records.
- 4.7 The Department Records Management Team is notified when all the records are disposed of.

6430

# Disposal of Transitory Electronic Records

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<b>Last Updated:</b>	July 2023

## 1. Introduction

The **Transitory Records Schedule** (Records Disposition Authority 1997-02 version 2) provides authorization to GNWT departments to dispose of transitory records in compliance with the *Archives Act*.

The Transitory Records Schedule identifies six record types that can be disposed of as transitory records:

- Advertising material.
- Blank information media.
- Draft documents and working materials that were used to create a final document, and which are not required to show the various stages in the development of the final document or to record decisions.
- Duplicate documents.
- Non-GNWT Publications.
- Temporary information that is not required to document actions or decisions or to demonstrate that an activity took place or that information was received.

The Transitory Records Schedule applies to records in all formats, including electronic records.

Save electronic records which are not transitory into the department's recordkeeping system (DIIMS, a network file share, or a paper file) as an official record.

## 2. References

Archives Act, R.S.N.W.T 1988, c.A-6

Financial Administration Act: Disposal of Public Property Regulations, R-047-93

Infrastructure Establishment Policy, Executive Council Policy 31.00

Disposal of Goods Policy, Executive Council Policy 31.03

Recorded Information Management Policy, IMT Policy Manual

Management of Electronic Information Policy, IMT Policy Manual

Scheduling and Disposition of Electronic Mail Messages Directive

RDA 1997-02 Transitory Records Schedule

Disposal of Surplus Goods Guidelines

### 3. Best Practices

- 3.1 Government employees have the authority to identify and dispose of electronic transitory records themselves.
- 3.2 Transitory electronic records do not have to be inventoried prior to disposal.
- 3.3 Employees make sure that transitory electronic records are protected and securely disposed of to maintain security, confidentiality, protect personal privacy, and prevent information security breaches.
- 3.4 Ideally, transitory electronic records are deleted from hard drives, network file shares, Outlook e-mail accounts, and any other location where they have been stored as soon as it is determined they have no further use.

Examples of when to delete transitory records:

- Delete junk e-mail immediately.
  - Delete a convenience or reference copy of a new procedure after it has been read and understood. The official record of the procedure is available in DIIMS or on the network file share for future reference.
- 3.5 Empty hard drive recycling bins on a regular basis, such as once a month.
  - 3.6 Set Outlook to automatically delete items in the Deleted Items folder on a regular schedule. Do not keep deleted items for more than 12 months.
  - 3.7 Outlook has a Recovered Deleted Items from the Server option. Items emptied out of your Deleted Items folder are moved to a separate location where they are stored temporarily according to Technology Service Centre (TSC) policy.

Do not permanently delete items from the Recovered Deleted Items location unless instructed to do so by the TSC to control a malicious e-mail.

Deleting items from the Recovered Deleted Items location is known as “Triple Delete.” The practice of Triple Delete has exposed other governments to negative publicity and individual employees working for those governments have been fined and faced legal charges due to the destruction of evidence or the destruction of information required in response to an access to information request.

The GNWT is best served by allowing network storage and deletion policies to operate as designed.

- 3.8 E-mail messages which do not contain transitory information are saved into the appropriate folder in DIIMS' Enterprise Workspace.
- 3.9 Information media, such as hard drives, USB devices (external hard drives, flash drives, thumb drives, etc.), memory cards (SD, miniSD, microSD, CF, MMC, etc.), optical storage disks (DVDs and CDs), 5.25" and 3.5" floppy disks, audio tapes, video tapes, and data tapes, are erased or deleted. The media is then sanitized using specialized data erasure software, degaussed, or physically destroyed to prevent the unauthorized recovery of information that was previously stored. Options for physical destruction include shredding in a specialized shredder, disintegrating, pulverizing, or otherwise destroying the information bearing medium so that it cannot be reconstructed and played. File deletion or reformatting alone is not sufficient to destroy the information stored on the media.

## PAPER RECORDS AND OTHER MEDIA

# 7001

## About Paper Records and Other Media

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### 1. Introduction

This guidance is not intended to replace existing departmental records and information management rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

#### 1.1 Paper records

Paper records are public records which are created, received, and kept in a paper format. Typically, they consist of documents printed or written on letter or legal sized paper, are placed in file folders, or occasionally binders, and are kept in office filing cabinets. They might also be bound into a ledger or register. They are “traditional” records and are closely associated with the government’s formal records management policies and procedures.

Modern paper records are usually “born digital”, or created on a computer, and then printed for storage purposes or so they can be signed. Some paper records begin their life as a paper document. These “born analogue” records include handwritten documents, forms that were filled out by hand or using a typewriter, and documents received in the mail.

If a person prints a document because it is easier to read and use on a printed page, but their office has decided the official record is the electronic record stored in DIIMS or on a shared drive, then they have created a “convenience copy.” A convenience copy is not considered to be an official government record. Convenience copies are transitory records and should be placed in an office document disposal bin or shredded using a cross-cut office shredder.

#### 1.2 Other media

Other media refers to records which are not electronic (digital) records, and which are stored on physical media other than letter or legal sized paper documents. Some examples of other media include photographs, photographic film and slides, printed maps and blueprints, images stored on microfilm or microfiche, and audio-visual materials stored on audio tape, video tape, or film.

## 2. References

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

Recorded Information Management Policy, IMT Policy Manual

## 3. Best Practices

- 3.1 Each department is responsible and accountable for the management of its paper records and records in other media. Departments establish processes for managing paper records and records in other media to ensure records are reliable, secure, and compliant with legal, business, and other requirements, comprehensive, and created, captured, and managed systematically.

EIM recommends using DIIMS to automate and support the control and management of the records from the time they are created through to final disposition.

- 3.2 In consultation with the Department Records Management Team, each government program area decides if its official records will be kept as paper records, in other media, or in an electronic format. Ideally, this decision is documented and saved with other documentation about the records and information management program to promote consistency in employee practices and to support the authenticity and reliability of the records.

Determine if program-related legislation specifies a format in which records must be kept. Obtain a legal opinion if the legislative requirements are unclear.

- 3.3 In consultation with the Department Records Management Team, each program area identifies the storage area or location where official paper records and records in other media will be kept.

- 3.4 In consultation with the Department Records Management Team, each program area develops procedures for managing paper records and records in other media. It may be useful to support these procedures with checklists. EIM recommends that the procedures address the following:

- Designation of responsibilities for managing paper records and records in other media. This includes identifying the employee positions which interact with the records and have responsibilities for their creation, capture, distribution and tracking, and life cycle management.
- How new paper files will be created and officially opened, including creation of new volumes of existing files.
  - EIM recommends using DIIMS to open files and volumes because it allows departments to keep track of all records as assets and improves one's ability to

search for and locate files. DIIMS reports can be used to create lists of all files and volumes belonging to a department.

- Some DIIMS workflow applications automatically create files, volumes, and file labels for new paper files.
- If DIIMS is not used to manage paper files and records in other media, they should be listed on a manual file list.
- How records in other media will be created.
- Naming conventions for paper files and records in other media.
- Labeling requirements, including use of DIIMS file labels.
- Tracking procedures, such as procedures to charge files in and out of the filing system, to ensure the chain of custody is maintained.
- Sharing of records between offices and regions, including identifying the location of the official record.
- Volume and file closing procedures.

- 3.4 In consultation with the Department Records Management Team, managers are responsible for ensuring employees receive training on the creation, capture, storage, use, distribution, tracking, closing, retention, and disposition of the paper records and records in other media which they create, receive, and use while carrying out their work.
- 3.5 In consultation with the Department Records Management Team, managers are responsible for regularly monitoring and enforcing compliance with the program area's records and information management procedures.
- 3.6 Department Records Management Teams have the option to consult with ERM on the development of procedures and methods for monitoring and evaluating compliance.



# 7100

## Managing Paper Records

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### 1. Introduction

Regular and consistent filing and management of paper records during the creation phase of the records life cycle ensures the records are readily available to those who need them and prevents the accumulation of unmanaged records.

Unmanaged records are a liability to the GNWT. For example:

- Information required for making decisions may not be available or complete.
- Information required in response to a legal matter, an investigation, an audit, or an access to information request may not be discovered.
- It may be necessary to recreate records which already exist, but which cannot be located.
- The storage locations may not be appropriately secure, leading to the possibility of an information security or privacy incident.
- The storage locations may not be appropriately protected from potential disasters including damage from water, fire, pests, and other hazards.
- The records may be taking up costly office space, storage space, or warehouse space which could be put to better use or which the government might not need to rent if the records were managed.

Departments benefit when they apply records management controls to all records, regardless of age or storage location.

This guidance is not intended to replace existing departmental filing rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

## 2. References

Archives Act, R.S.N.W.T. 1988, c.A-6

Recorded Information Management Policy, IMT Policy Manual

RDA 1997-02, Transitory Records Schedule

## 3. Best Practices – New Records

3.1 Classify the records using the most recent version of an RDA.

3.2 DIIMS is the GNWT's preferred tool for registering, listing, and keeping track of paper records from creation through final disposition. Using DIIMS to manage paper records from the moment they are created enhances the government's ability to manage them through their life cycle.

Departments have the discretion to use a file list to list their active paper records instead of using DIIMS.

DIIMS and file lists are important tools for managing paper records. They help the GNWT ensure that records are created and captured to support legal and business requirements to keep evidence of the government's business activities. They help departments manage records as valuable government assets. They also help support actions which keep records secure from unauthorized, searchable, and available to authorized personnel. DIIMS is the tool used by departments to maintain records in compliance with the *Archives Act* and ensure their secure disposed of at the end of the life cycle.

DIIMS and file lists capture metadata about the records which describes their context, content, and structure. Metadata is an important component of records as it supports retrieval and understanding and verifies the authenticity and integrity of the records over time.

File lists of paper records should, at minimum, do the following:

- Assign unique identifiers to the record, such as the classification number, volume number, and record name or title.
- Identify the date the volume was created/opened and the date it was closed.
- Identify the location where the volume is stored.

DIIMS captures all the necessary metadata to support the management of the paper records.

3.3 Departments use charge-out systems to keep track of the location of volumes (physical file folders) and maintain a chain of custody. Every volume has a home location where it is usually stored. A volume's home may be a central filing area, central registry, or individual offices, depending on the filing procedures for each department.

A charge-out system involves documenting every time a volume is removed from its home location. A charge-out record is used to keep track of which volume was taken, who took it, and the date on which it was removed. The charge-out record is updated every time the volume moves from one person to another and when it is returned. This way the chain of custody is maintained, and the volume can be located.

Different types of charge-out systems include the following:

- Charge-out guides are available from office supply stores. Cardboard guides usually have a space on them to write the classification number, volume title, and the name of the person who took the volume. Plastic guides usually have a clear pocket to place a paper charge-out slip. After filling out the guide or the slip, place the guide in the filing cabinet in place of the volume which was removed. The guide is removed from the filing cabinet when the volume is returned.
- Sign-out sheets may be handwritten or stored in a Word document or spreadsheet. They are filled out every time a volume is removed from the filing cabinet and updated when the volume is returned.

## 4. Best Practices – Projects for Managing Older Records

### 4.1 EIM recommends that employees classify records using the most recent version of an RDA.

When classifying older records, there may be situations where the current RDA is not appropriate. In these cases, it may be possible to use a previous version of the RDA to classify and schedule the records, providing that the open and/or closed dates of the records fall into the same time frame that the earlier version of the RDA was in effect.

Consult with the Department Records Management Team for guidance on the use of earlier versions of RDAs before using a previous version.

ERM and the NWT Archives will provide guidance to Department Records Management Teams regarding the use of older versions of an RDA upon request.

- 4.2 Create a project plan. Ideally, the project team includes the Department Records Management Team, employees who are knowledgeable about the records and who can provide insight into how the records were created and used, and employees to work on processing the records. A member of the Department Records Management Team usually acts as the project manager, while the senior manager responsible for the program area is the project owner/sponsor.
- 4.3 The Department Records Management Team trains the project team on how to classify and inventory the records and pack them into records centre boxes.

- 4.4 Inventory the records. It may be necessary to inventory the records using the Excel Box Inventory Form rather than DIIMS.

Contact ERM to discuss the use of the Excel Box Inventory Form versus DIIMS with older records. Guidance will be provided on a case-by-case basis.

Record any old file numbers or classification number in the volume name or comments fields for tracking purposes.

- 4.5 Print new volume labels from DIIMS or type new labels if not using DIIMS to inventory the records. Apply the labels to both records which are going to be integrated into the active filing system in the office and records which will be transferred to a GNWT records centre for storage or disposal.
- 4.6 Interfile current or active records in the department's active filing system.
- 4.7 Organize semi-active records and records which have reached final disposition into transfers and submit the transfers to ERM following the procedures outlined in sections 4100 and 4200 of this Handbook.

## 5. Procedures

- 5.1 Contact the Department Records Management Team to discuss any questions about the Administrative Records Classification System (ARCS), the department's Operational Records Classification System (ORCS), the classification numbers used by the program area, or departmental filing procedures.
- 5.2 Sort records to identify the official or substantive records (original) which must be kept as documentation of the government program's policies, procedures, actions, transactions, interactions with others, and decisions.

Separate out and securely dispose of transitory records, such as duplicate copies, handwritten notes which were transcribed into a final record, etc. Refer to the [Transitory Records Schedule](#) for assistance in identifying records which are considered transitory.

- 5.3 To file individual paper records:

- Look over each record and identify its purpose.
- Look through DIIMS or the file list to find out if a volume (physical file folder) already exists for each record. If a volume exists, write the classification number on the upper right-hand corner of the first page of each record. Place the records in the volume in reverse chronological order, so that the most recent record is on top and will be the first item seen when the volume is opened.
  - If the existing volume is full, close it and create a new volume as a continuation of the previous volume. Update DIIMS or the file list with the closed date for the volume. Then, create a new volume with the same classification number and

name/title, a new volume number and the new date range. Create a new label for the new volume.

- It is important that each volume is inventoried separately in DIIMS or on file lists. Otherwise, volumes may go missing and important information may be lost.
- If a volume does not already exist, look up the classification number in ARCS or ORCS. Write that number on the upper right-hand corner of the first page of the record. Add the new volume to DIIMS or add the volume to the file list. Place the records in the volume in reverse chronological order, so that the most recent record is on top and will be the first item seen when the volume is opened. Create a new label for the volume.

5.4 You may have a record which could be filed into more than one volume. One solution to this problem is to cross-reference the volumes. Write all the possible classification numbers in the upper right-hand corner of the record. Place an “X” in front of the classification numbers that contain related information.

Example:            1145-30-01  
                         X 0549-02-03  
                         X 0549-02-10

The record is filed in the first volume. A cross-reference sheet is put in the other volumes to tell you to look in the first volume for the record. This is the paper equivalent to using shortcuts to link electronic records together in DIIMS or on a network shared drive.

# 7110

## Filing Equipment and Supplies

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### 1. Introduction

The GNWT does not have specific standards for filing equipment and supplies. There are benefits, however, to standardizing filing equipment and supplies within an office or a department, such as cost savings from bulk purchases of supplies and the ability to reuse surplus equipment.

This guidance is not intended to replace existing departmental filing rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

### 2. References

Archives Act, R.S.N.W.T. 1988, c.A-6

Recorded Information Management Policy, IMT Policy Manual

### 3. Best Practices - Filing Supplies

- 3.1 Include departmental standards for filing supplies in departmental records and information management procedure manuals.
- 3.2 Choose the size of file folder to be used in the office. The size of file folder may be dictated by the office furniture and filing cabinets available in the workplace. Most offices in the GNWT use legal size file folders (9½" x 14⅝" or 241mm x 371mm exclusive of tabs). Legal sized files are slightly more expensive than letter sized files and take up a little more floor space, but documents are less likely to fall out and it is not necessary to fold legal sized documents.
- 3.3 Consider the weight of the file folders. File folders are made from different weights of paper. Choose heavier weight file folders for files that are used frequently or will hold a large volume of material. Lighter weight file folders can be used for files which are not used as frequently.

- 3.4 Consider using archival quality acid-free file folders for files which have a long retention period (over 20 years). Using acid-free folders will help prolong the life of the records.
- 3.5 Consider using pocket or accordion style folders when you have large volumes of material which cannot be split up easily into volumes of regular file folders. Pocket folders are also useful when you want to file small pieces of paper which might fall out of a regular file folder.
- 3.6 Consider using multi-part or classification folders for case files which contain many different types of documents which need to be referenced quickly. Multi-part folders have dividers in them to separate them into different sections. Each section can be used for each type of document.
- 3.7 Use suspension or hanging folders in drawer style filing cabinets. Suspension files have little hooks on them to hang in the filing cabinets and hold regular file folders. They can be re-used when the files are removed. Suspension files should not be used in place of a regular file folder because the hooks get caught on things and do not fit well in records centre boxes. The plastic or metal tabs must be removed before the folders can be shredded and recycled.
- 3.8 Consider whether your filing equipment is designed for top tab or end tab file folders. Tabs are the part of the folder that extends beyond the edge of the folder to provide a place for a label. Top tab file folders have a tab along one long edge of the folder. End tab file folders have a tab along one short side of the folder. Tabs come in different sizes. Choose a tab size wide enough to display your file label properly. Choose top tab folders for drawer-style filing cabinets and end tab folders for open style filing equipment.
- 3.9 Choose manila, buff, natural, or white file folders. File folders in other colours are more expensive, harder to recycle, and the colour may bleed and damage the papers inside the folders if they get wet or are stored in humid conditions. If using colourful file folders, use each colour to identify a specific group or category of files or to separate files into different fiscal years.
- 3.10 Be aware that Mylar reinforced file folders may be difficult to recycle because of the polyester coating.
- 3.11 Single or two prong fasteners can be used to hold documents in place and prevent documents from spilling out of file folders.
- 3.12 DIIMS prints folder labels on 3¼" x 4" or 82.5mm x 101.6mm laser printer labels (e.g. Avery 5164 or equivalent).

## 4. Best Practices - Filing Equipment

- 4.1 Include departmental standards for filing equipment in departmental records and information management procedure manuals.

4.2 There are four commonly used types of filing cabinets. Each type of system has good and bad points. If you choose your filing cabinets carefully you will increase the efficiency and cost effectiveness of your department's records management program.

- **Vertical Filing Cabinets:** files are placed or hung in a drawer and are arranged from front to back with the top tabs facing the front of the drawer.
- **Lateral Filing Cabinets:** files are placed sideways in the drawer and are usually read from left to right. The top tabs face the left side of the drawer.
- **Open Shelf:** files are stored on shelves, similar to a bookcase, or in boxes which are attached to a rack or frame. They come in open and locking models. For security, open models should only be used in filing areas which are secured behind locked doors with no public access. Open shelf systems use end tab file folders and are read from left to right, with the tab usually facing the left end of the shelf or row.
- **Mobile Filing Systems:** mobile filing systems are designed to maximize storage space and minimize retrieval times. Usually, they feature open shelf filing mounted on a track, which allows more shelves to be placed in a given area. The systems have significant weight and may require reinforcements to the floor. Consult with the Department of Infrastructure before installing mobile systems.

4.3 There are a number of things to consider when buying filing cabinets and other records storage equipment such as map cabinets, microfilm cabinets, and fireproof vaults.

- **Space Restrictions:** office space is expensive so choose filing cabinets which make the best use of the office space. When measuring for filing cabinets, remember to include the width and depth of the cabinet, the space that you need to pull out a drawer (for vertical and lateral cabinets), and the space you need to stand in front of the cabinet. Consult with the Department of Infrastructure regarding the height of the cabinets as they must not be too close to ceiling sprinkler heads.
- **Safety:** look for filing equipment which incorporates safety features. Filing equipment should be arranged to avoid reaching, extending, and bending. Step stools and ladders should be provided if required to help with access to the equipment. Take appropriate precautions, such as providing gloves, to prevent papercuts. Dust masks and gloves may be needed for handling older, dusty records. Carts may be required to help with transporting and carrying large numbers of files or heavy boxes full of files. Employees should be trained to have only one drawer in a vertical or lateral filing cabinet open at one time, to reduce the risk of tipping the cabinet forward.
- **Storage Requirements:** to figure out how much storage space you need, first inventory your active records and determine how many linear metres you have for



each category of file. Then figure out your future needs by looking at how fast the volume of files grows each year and how long you need to keep the files on site in the office before sending them to a GNWT records centre for storage. For example, if you expect that the number of active files will grow by 10 percent per year and you need to keep them on site for five years, you will need 50 percent more storage space than you have now. It is a good idea to include an extra 15 percent more storage space for contingencies.

- **Security Requirements:** all government records should be stored in areas which are secured from public access. Records requiring a higher degree of security should be stored in locking cabinets. You may want to store vital or essential records in equipment that has a high fire rating. Secure and fire safe cabinets are more expensive so they should only be purchased to meet a specific need.
- **Floor Load:** filing equipment has significant weight, especially when full, and may exceed floor load capacity. Consult with the facilities and properties division about the floor load before installing filing equipment. Mobile filing equipment and fireproof vaults are particularly heavy.
- **Equipment Cost:** determine what your requirements are for storage, space, and security before looking at how much the equipment will cost. Different types of cabinets have different storage capacities. When you compare prices, adjust the figures so that you are comparing costs for equal amounts of file storage space. Check with the GNWT's central warehouse services to determine if there are suitable surplus filing cabinets available before purchasing new.
- **Operational Cost:** the main ongoing cost is for filing supplies. Legal and letter sized file folders do not cost the same amount. Likewise, top tab and end tab file folders have different prices.
- **Physical Aspects of the Records:** the physical format of the records may make your purchasing decisions for you. Special media, such as maps, drawing and blueprints, film, magnetic audio and video tapes, and CDs and DVDs, may require special storage equipment.
- **Retrieval Efficiency:** consider how many people are using the filing equipment at the same time and how they will retrieve records from it. Open shelf filing systems let a larger number of people access the files at the same time. Vertical and lateral filing cabinets and mobile filing equipment work best if only one or two people are accessing the files at the same time. Consider physical abilities as well. Short people and people with limited mobility may not be able to reach files which are in the top drawer of a tall cabinet. Someone who uses a mobility aid may have difficulty working in tight spaces.

# 7111

## File Labels

<b>Issued:</b>	July 2021
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### 1. Introduction

The GNWT does not have specific standards for how files are labeled. Departments using DIIMS have a variety of label formats available to manage paper records. Departments which manage their paper records using manual processes should set their own standards for labeling paper files. There are benefits to standardizing how file labels, particularly colour coded labels, are used. These include improving retrieval times because it is easier to find file numbers and titles if they are always located in the same position and the possibility of reducing costs through bulk label purchases. Labels printed from DIIMS have the added benefit of using barcode technology which reduces data entry time when boxing and preparing files for transfer to a records centre.

This guidance is not intended to replace existing departmental filing rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

### 2. References

Recorded Information Management Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 Use one of DIIMS' barcoded label formats. DIIMS uses 3¼" x 4" or 82.5mm x 101.6mm laser printer labels (e.g., Avery 5164 or equivalent) for file folder/volume labels.
- 3.2 Departments that do not use DIIMS to manage paper records create standard formats for file labels. These standards are documented in departmental records and information management procedures. For improved clarity, file labels are typed rather than handwritten. At minimum, file labels contain the following information:
  - The ARCS or ORCS classification number (i.e. the file number).
  - The volume number.

- The file name or title.
- The open and closed dates of the file and the S/O date for files that have a superseded/obsolete (S/O) retention trigger.

It can be helpful if the retention schedule is also listed on the label.

- 3.3 Colour coded labels are useful for retrieving files quickly and reducing misfiles. The human eye can read colours and colour sequences faster than it reads numbers. Colour coding files takes more time initially, but departments benefit from better retrieval times. They are purchased from office supply stores or ordered from companies which specialize in filing supplies. It is best to consistently use the same brand to make sure that the colour sequence remains the same over time.

Colour coded labels should be used in addition to a standard file label described in the preceding paragraphs.

Colour coding works best in large numeric filing systems with large numbers of case files and high levels of retrieval.

It is not necessary to colour code the full primary-secondary-tertiary file number from ARCS or ORCS. Instead, a guide can be used to indicate where each primary and secondary starts in the filing cabinet and only the unique tertiary level numbers need to be colour coded. For example, in a set of client files, use a guide to indicate where the client files begin in the filing cabinet, and then use colour coded labels for the unique client ID number.

Colour coded labels are available for both end tab and top tab file folders. Alphabetic, numeric, and date labels can be purchased:

- **Alphabetic or Numeric Labels:** coloured labels represent the numbers 0 through 9 or the letters of the alphabet. A strip of labels is added to each file, creating a colour representation of the file number. When the files are placed in the filing cabinet, bands of colour form across the file folders. This makes it easy to spot misfiles.
- **Date Labels:** coloured labels which represent dates. The most commonly used date labels are the yearly labels, which typically show the last two digits of each year (e.g. “21” for the year 2021). Monthly colour coded labels are also available. Colour coded date labels are used as a visual aid for identifying files that have date-based file opening and closing criteria or where knowing the date the file or volume opened is important for retrieving the file. They are less useful for multi-year files. When using date labels for files that open and close on a fiscal year basis (April through March), use colour coded date labels to indicate the *beginning* of the fiscal year. For example, if a file was opened during the 2020-2021 fiscal year, a colour coded 2020 label would be used.

# 7200

## Closing Paper Files

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### 1. Introduction

Closing a physical file refers to the process of deciding that paper records will no longer be added to a file folder and discontinuing the use of the file folder. File folders are usually closed off under one of the following circumstances:

- When they become more than 2.5cm (1 inch) thick. In these cases, the usual process is to close off the first volume of the file and then open a second volume with the same file number and title.
- On a certain date, such as the end of the fiscal year.
- When a certain event happens. These events are usually indicated by the code “S/O” in the retention schedules in the Administrative and Operational Records Classification Systems (ARCS and ORCS). S/O is an abbreviation for Superseded/Obsolete, which indicates that something must happen which either replaces the record or makes it obsolete. ARCS and ORCS include descriptions of the S/O event triggers.

This guidance is not intended to replace existing departmental filing rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM’s recommendations.

### 2. References

Recorded Information Management Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 The opened date of a file is usually, but not always, the date of the first or earliest record in the file. Financial records are sometimes backdated to the beginning of the fiscal year.
- 3.2 The closed date of a file is usually, but not always, the date of the last or most recent record in the file.

- 3.2.1 In some cases, the closed date will not be the same as the date of the last record in the file. Files with S/O event triggers may have a closed date which differs from the date of the last record on the file.

For example, a new policy was approved in April 2005 and remained in effect until January 2020 when it was replaced by a new policy. The date of the last record on the file is April 2005. However, the policy was in effect for 15 years without having any new records added to the file. In most cases, policy files close when the policy is replaced or cancelled. So, the closed date for our example file is January 2020, the date the policy was replaced instead of the date of the last record on the file. In this example, using the date of the last record as the closed date would result in the disposal of the records many years too soon.

- 3.2.2 Financial records are often closed on the last day of the fiscal year, regardless of the actual dates of the documents contained in the file.
- 3.3 If a single file contains several volumes, each volume has its own open and closed dates. For case files, which are usually files about a specific person, client, employee, or project, the overall closed date for the entire file is usually the closed date of the last volume. In DIIMS and on the Box Inventory Forms, the overall closed date for the entire file is usually recorded in the S/O date field for each volume.

Example:

ARCS/ORCS File Number	Vol #	File Title or Description of Record (Volume Name)	File Date (yyyy-mm-dd)			File Retention (RSI)		
			From	To	S/O Date	A	SA	FD
4280-20	1	0000123456789 ABCDEFG Inc.	2018-05-25	2019-05-23	2020-11-23	S/O	10	D
4280-20	2	0000123456789 ABCDEFG Inc.	2019-05-23	2020-11-23	2020-11-23	S/O	10	D
4280-20	1	0000234567891 HIJKLMNOP Ltd.	2017-04-18	2018-05-03	2020-02-03	S/O	10	D
4280-20	2	0000234567891 HIJKLMNOP Ltd.	2018-05-04	2019-11-15	2020-02-03	S/O	10	D
4280-20	3	0000234567891 HIJKLMNOP Ltd.	2019-11-16	2020-02-03	2020-02-03	S/O	10	D

Both volumes of the contract file have the same "S/O date", which matches the "To" or closed date for the last volume.

- 3.4 EIM recommends that departments review active files at least once a year to close off the ones which are completed.
- 3.4.1 Most financial records are closed at the end of the fiscal year.
- 3.4.2 Contracts, agreements, grants and contributions, signing authorities, and some other categories of financial records, are open for multiple years and have S/O (Superseded or Obsolete) closure criteria. They need to be reviewed to determine if the appropriate event has occurred to close the file.
- 3.4.3 Files for programs that run on a fiscal year basis are usually closed at the end of the year.
- 3.4.4 Case files and other files which do not clearly close at the end of the fiscal year are reviewed by employees who are knowledgeable about the records. The employees are asked to

identify the files whose activity has ceased and confirm the files have met the S/O closure criteria.

## 4. Procedures

- 4.1 Create a file listing report from DIIMS, if paper files have been entered into DIIMS. See the [\*DIIMS Records Classifier Guide\*](#) for more information on how to create reports.
- 4.2 Review the DIIMS file listing report with co-workers and identify files which can be closed. If DIIMS is not being used to manage active paper records, review any existing file lists, or check each file in the filing equipment.
- 4.3 Write or stamp the closed date on the file label.
- 4.4 Write or stamp the word “Closed” on the outside of the file folder where it can be clearly seen.
- 4.5 Put a “Closed Volume” or “Closed File” sheet on top of the last record in the file. This will alert people to stop adding new material to the file.
- 4.6 Update the closed date for each volume entered in DIIMS or on other file lists.<sup>1</sup> Update the S/O date for files which have an S/O event trigger for their retention schedules.

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<sup>1</sup> The ability to print reports and update the metadata for volumes entered into DIIMS is restricted to employees who have been assigned Records Classifier or Records Coordinator access permissions.

# RECORDS AND INFORMATION MANAGEMENT RELATED TOPICS

# 8100

## Government Reorganization

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### 1. Introduction

The organization of the GNWT's departments changes from time to time. These organizational changes have implications for the GNWT's records and information assets as well as its human resources, financial assets, physical assets, and more.

Reorganization of government programs can impact the ownership of government records. Government records are usually owned by the department which has the records in its custody or under its control. Government reorganization changes the custody and control of public records and needs to be addressed through the records management program.

Reorganization impacts not only the departments involved, but also other government organizations, such as the Technology Services Centre (TSC), EIM, and the NWT Archives. Consideration needs to be given to contractual obligations, legal requirements to retain information such as those outlined in the *Archives Act* as well as other legislation, current or pending litigation, current or pending audits, current access to information requests, and information privacy and confidentiality requirements.

Preparing records for a reorganization, transferring records to another department, and integrating transferred records into the new department takes planning, time, and adequate resources, particularly human resources, to ensure needed information is available to program areas and clients during and immediately after the reorganization takes effect.

### 2. References

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual



# 8110

## Division or Program Renamed

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### 1. Introduction

Changing a division's name is more than just rebranding. It reflects a change in the mandate and goals of the organization, and for records and information management purposes represents a change in custody and control of the information.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, ICT Policy Manual

Records Scheduling Policy, ICT Policy Manual

### 3. Best Practices

- 3.1 Changes in the ownership of records are reflected in an update to all applicable ORCS. Ideally, ORCS is updated within a year after the division's name is changed. At the very least, ownership is updated when the ORCS is reviewed as per the *Records Scheduling Policy* requirement to review ORCS every five years.
- 3.2 Changes in the ownership of records is reflected in DIIMS folder structures, as soon as possible after the change has been made.

### 4. Procedures

- 4.1 To update the name of a division or prefix in DIIMS, the Department Records Management Team should e-mail a change of name request to the DIIMS Service Desk.
- 4.2 To update an ORCS to reflect current ownership, the Department Records Management Team should contact ERM and the NWT Archives for direction.

8120

## Division or Program Moving to a New Department

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### 1. Introduction

Moving a division or program to a new department requires planning. Moving programs to a new department reflects a change in the mandate and goals of the organization, and for records and information management purposes represents a change in custody and control of the information. There are several issues around ownership and storage of records to be resolved when a program moves.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 Changes in the ownership of records is reflected in an update to all applicable ORCS. Ideally, ORCS is updated within a year after the reorganization. At the very least, ownership is updated when the ORCS is reviewed as per the *Records Scheduling Policy* requirement to review ORCS every five years.
- 3.2 Changes in the ownership of records is reflected in DIIMS folder structures, as soon as possible after the change has been made.

### 4. Procedures – Originating Department

- 4.1 Meet with the program area as soon as possible after the reorganization is known and establish a team to work on the transfer of records. Make sure the team includes representatives of the Departmental Records Management Teams from both the originating and the receiving departments. Other parties, such as the TSC, ISSS, the DIIMS Service Desk, and ERM, should be brought in as necessary to ensure a smooth transfer of records stored in shared drives, e-mail accounts, DIIMS, and the Records Centres.

#### 4.2 Make lists to identify:

- The functions and programs which are being transferred to the new department.
- The employees who are moving to the new department.
- The categories of records which will be transferred, such as project files, case files, financial records.
  - It is helpful to identify the current location(s) and custodian of the records, as well as the future location and custodian of the records. The custodian is the person responsible for looking after the records and making sure they are organized properly.
  - Include records in all media and locations, i.e. electronic records on network shared drives, electronic records stored in DIIMS, electronic records stored in collaborating sites, electronic records stored on external hard drives or on local computer hard drives, e-mail records, documents on GNWT websites, analogue and digital audio and video recordings, maps, plans, digital photographs, traditional photographs, photographic negatives, photograph slides, microfilm and microfiche, paper records stored in individual workstations, in shared filing cabinets, in storerooms, and in the GNWT records centres.
  - Identify related active and semi-active records which are held by other divisions, and which could create custody and control issues later, such as records held in the directorate, policy, and communications divisions.
- Any information systems and related data.

4.3 Identify any Records Disposition Authorities, file lists and filing procedures associated with the records and provide them to the receiving department. The receiving department will need these to effectively use, maintain, access, and dispose of the records.

4.4 Identify the scope of the records to be transferred. In most cases, all records in all locations and all stages of their life cycle will be transferred to the new department. In rare cases, the receiving department may want to receive only the current, open, records. The originating department will have to determine which division will take custody and control of any records which are not transferred to the new organization, and ensure they are classified and disposed of in compliance with the appropriate records disposition authority.

4.5 Identify any ongoing or pending litigation, audits, investigations, or access to information requests and make decisions regarding which department will be responsible for these matters going forward.

4.6 Contact the GNWT Central Warehouse to acquire records storage boxes for any records which are physically moving from one office location to another. The Central Warehouse's inventory fluctuates, so it is best to order the boxes early to make sure there are enough boxes available for the move.

- 4.7 Develop a work plan to identify the work that needs to be done, who is responsible to carry it out, when the tasks need to be completed, and who is responsible for any associated costs. For example:

	Task	Assigned To	Deadline
1	Organizing network shared drives so that the information can be easily transferred.	Originating Department	
2	Moving electronic records from one department's shared drives to another.	TSC	
3	Moving e-mail accounts and changing network permissions for individual employees.	TSC	
4	Moving electronic records in DIIMS from one department's folders to another.	DIIMS Service Desk	
5	Copying/moving electronic records stored in other locations.	Originating Department	
5	Reassigning ownership of records stored in records centres.	ERM	
6	Copying records from SharePoint and Web Sites for transfer to new department.	Originating Department	
7	Receiving paper files and setting them up in new office space.	Receiving Department	
8	Prepare high level inventories of the records to be transferred and provide the inventories to the receiving department.	Originating Department	
9	Send letter acknowledging transfer of custody and control of the records.	Originating Department Deputy Head	
10	Send letter accepting receipt of custody and control of the records.	Receiving Department Deputy Head	

- 4.8 Save all documentation relating to the project in ARCS v10, 6215-55 Records Management Projects. File lists should be updated and saved in 6215-05 File Lists. Information relating to records stored in the GNWT records centres should be filed in 6215-70 Transfers and Dispositions. Information about Records Disposition Authorities should be filed in 6215-65 Records Disposition Authorities.

## 5. Procedures – Receiving Department

- 5.1 Meet with records management team, and program area from the originating department to gain an understanding of what functions and records are being transferred.
- 5.2 Determine which records are required for use immediately to ensure continuity of business programs. Work with the originating department to ensure these records are handled with care and will be available to the program area. Prioritize the other records to be received based on their importance to the program area.

- 5.3 Plan where the records will be housed when they are received. Consider requirements for:
- Physical records stored in workstations and central filing areas.
  - Physical records stored in the GNWT records centres.
  - Electronic records stored on network shared drives.
  - Electronic records stored in DIIMS.
  - Electronic records stored in SharePoint or other collaboration sites.
  - Electronic records available on GNWT web sites.
- 5.4 Notify the TSC and DIIMS Service Desk of requirements for storing electronic records.
- 5.5 Notify ERM of requirements for storing paper records in GNWT records centres.
- 5.6 When the records are transferred, verify that all the records were received.
- 5.7 Follow up with the program area to identify any records which were missed in the original transfer. Work with the originating department to acquire any records which were missed.
- 5.8 Update any files lists and procedures.
- 5.9 In consultation with ERM and the NWT Archives, update any existing ORCS with the correct custody and control information or develop new ORCS if necessary.
- 5.10 If records are reorganized, reclassified, renamed, or consolidated, create and maintain an index documenting the original order and showing where the information went. Maintaining a record of the chain of custody is essential for routine retrieval purposes, to allow a full response to an access to information request, audit, or legal matter, and eventually may be valuable to the NWT Archives to document the evolution of a government program.
- It is advisable to consult with the NWT Archives regarding the handling of records having a final disposition of Archival Selection (AS/D).
- 5.11 Save all documentation relating to the project in ARCS v10, 6215-55 Records Management Projects. File lists should be updated and saved in 6215-05 File Lists. Information relating to records stored in the GNWT records centres should be filed in 6215-70 Transfers and Dispositions. Information about Records Disposition Authorities should be filed in 6215-65 Records Disposition Authorities.

## 6. Procedure – Transferring Programs to Nunavut or an Indigenous Government

- 6.1 Transfers of active and semi-active records to the Government of Nunavut are governed by and should be done in accordance with the *Nunavut Act (Canada)* and Sections 3 and 4 of the agreement on records between the governments of Nunavut and the Northwest Territories.

- 6.2 Transfers of active and semi-active records to indigenous governments are governed by and should be done in accordance with the relevant legislation and agreements.

## 7. Procedure – Transferring Programs to the Government of Canada, a Provincial Government, the Government of the Yukon, or a non-government body.

- 7.1 Transfer of custody and control of records to organizations other than Government of Nunavut or an Indigenous Government requires the authorization of the Territorial Archivist, under section 9 of the *Archives Act*, unless the transfer is occurring in compliance with an act of the Parliament of Canada, in which case the federal legislation has priority over the *Archives Act*.

8130

## Departments Amalgamating or Merging

<b>Issued:</b>	January 2020
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### 1. Introduction

Careful planning is required when two or more departments merge and form a new government department to ensure that the records and information required by the new department's programs are available and that there is minimal interruption to public services.

Departmental mergers change the custody and control of records. There are several issues around ownership, storage, and disposal of records to be resolved when departments merge.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 Records management is considered early in the planning stages of any departmental mergers. Records management project teams with representation from the target departments are established early to address the transfer of records and information. Other parties, such as the TSC, ISSS, and EIM, are brought in as necessary to ensure a smooth transfer of records stored in shared drives, e-mail accounts, DIIMS, and the Records Centres. EIM has experience with departmental moves and mergers and can provide examples of project planning documentation.
- 3.2 Changes in the ownership of records are in an update to all applicable ORCS. Ideally, ORCS are updated within a year after the reorganization. At the very least, ownership is updated when the ORCS is reviewed as per the *Records Scheduling Policy* requirement to review ORCS every five years.
- 3.3 ARCS is signed by the Deputy Head for the new department. Ideally, ARCS is signed within a year after the reorganization.

- 3.4 Changes in the ownership of records is reflected in DIIMS folder structures, as soon as possible after the change has been made.

## 4. Procedures

- 4.1 Establish a team to work on the transfer of records. Make sure the team includes representatives from the Department Records Management Teams from both departments. Other parties, such as the TSC, ISS, and EIM, should be brought in to ensure a smooth transfer of records stored in shared drives, e-mail accounts, information systems, DIIMS, and the Records Centres.
- 4.2 If possible, obtain a summary of the Record of Decision or other documents that authorize the creation of the new department and save this with the project documentation as evidence of the change of ownership of the records.
- 4.3 Develop a project plan and implement using project management methodology.
- 4.4 Develop a detailed task list, assigning responsibilities for the following areas:
- Project planning and oversight.
  - Project employee records management training.
  - Project communications and reporting.
  - Review current state of records management programs in each department, including:
    - Current, draft, and obsolete Records Disposition Authorities.
    - Procedures and guidelines.
    - Filing practices and methodologies.
    - DIIMS usage.
    - Network file server usage.
    - Extent of ARCS and ORCS implementation with electronic and paper files.
    - Use of GNWT records centres and other records storage locations, such as storerooms and warehouses.
    - IS systems.
  - Space changes and office moves.
  - Inventory or data map of all records in all media.
    - This is a key document which will identify where information is currently located and who is responsible for it. It will be used to determine where the information will reside and who will be responsible for it in the new department.
    - Include records in all media and locations, i.e. electronic records on network shared drives, electronic records stored in DIIMS, electronic records stored in



collaborating sites like SharePoint, electronic records stored on external hard drives or on local computer hard drives, e-mail records, documents on GNWT websites, analogue and digital audio and video recordings, maps, plans, digital photographs, traditional photographs, photographic negatives, photograph slides, microfilm and microfiche, paper records stored in individual workstations, in shared filing cabinets, in storerooms, and in the GNWT records centres.

- Identification of program essential records which must be available both immediately before and immediately after the merger.
- Design of the new folder structure and permissions in DIIMS.
- Design of new folder structures for network shared drives.
- Pre-merger shared drive clean-up.
- Pre-merger transfer of semi-active records to the records centres.
- Pre-merger disposal of physical records and electronic records stored in DIIMS.
- Data migration.
- Identify and carry-out business process re-alignments, including changes to filing systems and procedures, locations for storing forms and templates, changes to existing DIIMS workflows.
- Signing of ARCS by new Deputy Head.
- ORCS development or revision for new department.
- ARCS/ORCS implementation for new department.
- Records management and DIIMS training for all employees.
- Ongoing or pending litigation, audits, investigations, or access to information requests.

- 4.5 If records are reorganized, reclassified, renamed, or consolidated create and maintain an index documenting the original order and showing where the information went. Maintaining a record of the chain of custody is essential for routine retrieval purposes, to allow a full response to an access to information request, audit, or legal matter, and eventually may be valuable to the NWT Archives to document the evolution of a government program.

It is advisable to consult with the NWT Archives regarding the handling of records having a final disposition of Archival Selection (AS/D).

- 4.6 Save all documentation relating to the project in ARCS v10, 6215-55 Records Management Projects. File lists should be updated and saved in 6215-05 File Lists. Information relating to records stored in the GNWT records centres should be filed in 6215-70 Transfers and Dispositions. Information about Records Disposition Authorities should be filed in 6215-65 Records Disposition Authorities.

# 8140

## Departments Disbanded

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

Careful planning is required when a single government department is disbanded to form two or more new government departments. Planning is required to ensure that the records and information required by each program is available and that there is minimal interruption to public services.

Breaking up a department changes the custody and control of the records previously owned by the department. There are several issues around ownership, storage, and disposal of records to be resolved when departments disband.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 Records management is considered early in the planning stages of any departmental reorganization. Records management project teams with representation from the new departments should be established early to address the transfer of records and information. Other parties, such as the TSC, ISSS, and EIM, should be brought to ensure a smooth transfer of records stored in shared drives, e-mail accounts, DIIMS, and the Records Centres.
- 3.2 Special consideration is given to records from the directorate, policy, communications, finance and administration divisions, and regional offices. These divisions often have records which combine information relating to each of the new departments. Ideally, the records relating to each of the new departments is split up and provided to the new departments, but this is not always possible. Careful planning is required regarding the future ownership of these records so as not to create long term problems with access to and classification, retention, and disposition of these records. It is best to try to avoid situations where multiple departments must approve access to or disposal of records.

- 3.3 Changes in the ownership of records are reflected in an update to all applicable ORCS. Ideally, ORCS are updated within a year after the reorganization. At the very least, ownership is updated when each ORCS is reviewed as per the *Records Scheduling Policy* requirement to review ORCS every five years.
- 3.4 ARCS is signed by the Deputy Heads of any new or renamed departments, within a year after the reorganization. If the deputy head does not sign ARCS, the retention and disposal of records may be affected.
- 3.5 Changes in the ownership of records is reflected in DIIMS folder structures, as soon as possible after the change has been made. It may be possible to move records to the custody of the new departments in advance.

## 4. Procedures

- 4.1 Establish a team to work on the transfer of records. Make sure the team includes representatives from the Department Records Management Team and representatives from each of the new departments. Other parties, such as the TSC, ISSS, and EIM, should be brought to ensure a smooth transfer of records stored in shared drives, e-mail accounts, information systems, DIIMS, and the Records Centres.
- 4.2 If possible, obtain a summary of the Record of Decision or other documentation that authorizes the creation of the new departments and save this with the project documentation as evidence of the change of ownership of the records.
- 4.3 Develop a project plan and implement using project management methodology.
- 4.4 Develop a detailed task list, assigning responsibilities for the following areas:
  - Project planning and oversight.
  - Project employee records management training.
  - Project communications and reporting.
  - Review current state of the records management program, including:
    - Current, draft, and obsolete Records Disposition Authorities.
    - Procedures and guidelines.
    - Filing practices and methodologies.
    - DIIMS usage.
    - Network file server usage.
    - Extent of ARCS and ORCS implementation with electronic and paper files.
    - Use of GNWT records centres and other records storage locations, such as storerooms and warehouses.
    - IS systems.

- Space changes and office moves.
- Inventory or data map of all records in all media.
  - This is a key document which will identify where information is currently located and who is responsible for it. It will be used to determine where the information will reside and who will be responsible for it in the new departments.
  - Include records in all media and locations, i.e. electronic records on network shared drives, electronic records stored in DIIMS, electronic records stored in collaborating sites like SharePoint, electronic records stored on external hard drives or on local computer hard drives, e-mail records, documents on GNWT websites, analogue and digital audio and video recordings, maps, plans, digital photographs, traditional photographs, photographic negatives, photograph slides, microfilm and microfiche, paper records stored in individual workstations, in shared filing cabinets, in storerooms, and in the GNWT records centres.
- Identification of program essential records which must be available both immediately before and immediately after the new departments come into existence.
- Design of the new folder structure and permissions in DIIMS.
- Design of new folder structures for network shared drives.
- Shared drive clean-up.
- Transfer of semi-active records to the records centres.
- Disposal of physical records and electronic records stored in DIIMS.
- Data migration.
- Identify and carry-out business process re-alignments, including changes to filing systems and procedures, locations for storing forms and templates, changes to existing DIIMS workflows.
- ORCS development or revision for new departments.
- Signing of ARCS by Deputy Heads.
- ARCS/ORCS implementation for new departments.
- Records management and DIIMS training for all employees.

- Ongoing or pending litigation, audits, investigations, or access to information requests.

- 4.5 If records are reorganized, reclassified, renamed, or consolidated, create and maintain an index documenting the original order and showing where the information went. Maintaining a record of the chain of custody is essential for routine retrieval purposes, to allow a full response to an access to information request, audit, or legal matter, and eventually may be valuable to the NWT Archives to document the evolution of a government program.

It is advisable to consult with the NWT Archives regarding the handling of records having a final disposition of Archival Selection (AS/D).

- 4.6 Save all documentation relating to the project in ARCS v10, 6215-55 Records Management Projects. File lists should be updated and saved in 6215-05 File Lists. Information relating to records stored in the GNWT records centres should be filed in 6215-70 Transfers and Dispositions. Information about Records Disposition Authorities should be filed in 6215-65 Records Disposition Authorities.

# 8150

## Department Reorganization

<b>Issued:</b>	July 2023
<b>Last Updated:</b>	July 2023

### 1. Introduction

Internal department reorganizations impact how records are organized and managed. Internal reorganizations impact the custody and control of the department's records and information. There are several issues around ownership, storage, and disposal of records to be resolved when a department reorganizes.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

Records Scheduling Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 Internal reorganizations are reflected in updates to all applicable ORCS as soon as possible. Ideally, ORCS are updated within a year after the reorganization. At the very least, organization charts and record ownership are updated when the ORCS is reviewed as per the *Records Scheduling Policy* requirement to review ORCS every five years.
- 3.2 Changes in the ownership of records are reflected in DIIMS folder structures, as soon as possible after the reorganization has taken effect.
- 3.3 Establish a team to work on the reorganization of the department's records. Make sure the team includes the Departmental Records Management Teams and representatives from throughout the department. Other parties, such as the TSC, ISSS, and EIM are brought in as necessary to ensure a smooth reorganization of records stored in shared drives, e-mail accounts, DIIMS, and the Records Centres.
- 3.4 Make lists to identify:
  - The functions and programs which are being reorganized.
  - The employees who are affected by the reorganization.

- The records which will be affected.
  - It is helpful to identify the current location(s) and custodian of the records, as well as the future location and custodian of the records. The custodian is the person responsible for looking after the records and making sure they are organized properly.
  - Include records in all media and locations, i.e. electronic records on network shared drives, electronic records stored in DIIMS, electronic records stored in collaborating sites, electronic records stored on external hard drives or on local computer hard drives, e-mail records, documents on GNWT websites, analogue and digital audio and video recordings, maps, plans, digital photographs, traditional photographs, photographic negatives, photograph slides, microfilm and microfiche, paper records stored in individual workstations, in shared filing cabinets, in storerooms, and in the GNWT records centres.
  - Identify related active and semi-active records which are held by other divisions, and which could create custody and control issues later.
- Any information systems and related data.

3.5 Identify any Records Disposition Authorities, file lists and filing procedures associated with the records.

3.6 Make decisions regarding custody of records held by each division.

- For each division, identify which records it owns. Then determine which division will own the records after the reorganization.
- Consider requirements for:
  - Physical records stored in workstations and central filing areas.
  - Physical records stored in the GNWT records centres.
  - Electronic records stored on network shared drives.
  - Electronic records stored in DIIMS.
  - Electronic records stored in SharePoint or other collaboration sites.
  - Electronic records available on GNWT web sites.
- If a division (DIIMS prefix) is discontinued:
  - Determine which new division owns the records which were managed within the discontinued prefix.
  - Move electronic records and active paper records (i.e., records still located in department office space) to the new division (DIIMS Prefix).
  - Departments have the option to allow semi-active paper records in storage in a GNWT records centre to live out their life under their original prefix. However, responsibility for the records must be assigned to a new division to manage retention and disposal of the records. If responsibility is split between divisions,



assign one division with the responsibility for reviewing and approving records disposition on behalf of the department.

- 3.7 Identify any ongoing or pending litigation, audits, investigations, or access to information requests and make decisions regarding which division will be responsible for these matters going forward.
- 3.8 Contact the GNWT Central Warehouse to acquire records storage boxes for any records which are physically moving from one office location to another. The Central Warehouse's inventory fluctuates, so it is best to order the boxes early to make sure there are enough boxes available for the move.
- 3.9 Develop a work plan to identify the work that needs to be done, who is responsible to carry it out, when the tasks need to be completed, and who is responsible for any associated costs.
- 3.10 In consultation with Enterprise Records Management and the NWT Archives, update any existing ORCS with the correct custody and control information or develop new ORCS if necessary.
- 3.11 If records are reorganized, keep an index documenting the original order and showing where the information went. Maintaining a record of the chain of custody is essential for routine retrieval purposes, to allow a full response to an access to information request, audit, or legal matter, and eventually may be valuable to the NWT Archives to document the evolution of a government program.

It is advisable to consult with the NWT Archives regarding the handling of records having a final disposition of Archival Selection (AS/D).

- 3.12 Save all documentation relating to the project in ARCS v10, 6215-55 Records Management Projects. File lists are updated and saved in 6215-05 File Lists. Information relating to records stored in the GNWT records centres are filed in 6215-70 Transfers and Dispositions. Information about Records Disposition Authorities are filed in 6215-65 Records Disposition Authorities.

# 8200

## Ministers Records

<b>Issued:</b>	January 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

The Office of the Cabinet Secretariat issues guidelines for the handling of records by ministers' offices. These guidelines address the ownership of records held by a minister's office and the handling of the records when a minister leaves office.

Contact the Office of the Cabinet Secretariat for more information.

### 2. References

Ministers' Offices Records Guidelines

8300

# Managing Government Records When Working Remotely

<b>Issued:</b>	April 2020
<b>Last Updated:</b>	July 2023

## 1. Introduction

The purpose of this guidance is to support decision making by management and employees to ensure the safeguarding of personal information and/or confidential government records regardless of the medium used to produce the records (electronic and paper-based), while employees are working remotely.

This guidance is not intended to replace department specific instructions for remote working. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

## 2. References

Archives Act, R.S.N.W.T 1988, c.A-6.

Access to Information and Protection of Privacy Act, S.N.W.T 1994, c.20

Health Information Act, S.N.W.T 2014, c.2

GNWT Code of Conduct

GNWT Protection of Privacy Policy

Remote Work Policy

Remote Work Guidelines

Email Use Policy, IMT Policy

Recorded Information Management Policy, IMT Policy Manual

Electronic Information Security Policy, IMT Policy Manual

Electronic Information Security Standard, IMT Policy Manual

## Threat-Risk Analysis Guideline, IMT Policy Manual

### RDA 1997-02, Transitory Records Schedule

## 3. Best Practices

Employees are required to take precautions to ensure that government information remains secure and confidential while working remotely. Even while working remotely, GNWT employees are bound by the government's Code of Conduct and Oath of Office and Secrecy, information security policies, the *Archives Act*, the *Access to Information and Protection of Privacy Act (ATIPP)*, and the *Health Information Act (HIA)*.

- 3.1 Employees understand the sensitivity of the government records and information they create and use.
- 3.2 Only approved electronic devices are used for conducting government business, as per the Electronic Information Security Standard.
- 3.3 In most cases, paper records that contain personal and confidential information are not to be removed from government offices (i.e., client files, paper documents, etc.). Removing records from government offices without authorization may be a violation of the *Archives Act*.
- 3.4 If it is deemed essential for operations, employees discuss the removal of paper records with their manager and receive authorization (sign-off) to use the records at a remote location. The employee must ensure they are the only person who will be able to access or view the confidential or personal information.
- 3.5 Departments are responsible for establishing protocols for transporting confidential and/or personal paper records from government offices to ensure:
  - The least amount of information is removed as possible.
  - Their removal is documented (e.g., create an email or worksheet describing and listing specific files, date range of material, etc.).
  - They are secured in a container, such as a records centre box or a briefcase, for transport and are marked confidential.
  - Transfer is point-to-point with no stops in between.
  - Steps are taken to prevent the unauthorized access, use, disclosure, loss, destruction, or theft of the information.

- Records are returned to the government offices secure storage location as soon as no longer required for work purposes and any copies are securely destroyed (i.e., shredded).
- 3.6 Employees are responsible for ensuring that all government records are appropriately safeguarded when in use and not in use (i.e., records should not be left unattended on worktables and in public places where others can view. Records should be kept in a locked drawer of filing cabinet or desk drawer to which the employee has sole access, computers password protected, etc.).
- 3.7 Electronic records are saved in a secure government repository (i.e., DIIMS) or a network file share designated as the government office's recordkeeping system, so the records are available to authorized co-workers and backed up (i.e., do not save records in locations that are only available to one person, such as the desktop or e-mail account).
- 3.8 Personal e-mail accounts are not used to conduct government business and to transfer records containing personal information for work purposes.
- 3.9 Employees avoid saving documents onto portable electronic devices, such as a laptop or tablet hard drive, smartphone, or a portable hard drive.
- As soon as possible after an employee has finished creating or using a document on a portable device, they connect to DIIMS or the GNWT network file share and upload the document to the appropriate location in DIIMS or on the network. This may require a VPN connection to be successful.
  - Verify that the upload was a success and then permanently remove (delete) the local copy (transitory copy) ensuring it has been deleted from the device's recycle/trash bin.
- 3.10 Transitory records are routinely deleted as per the [\*Transitory Records Schedule\*](#).
- Transitory records relating to pending or current litigation, legal actions, investigations, audits, or ATIPP requests should not be disposed of while that activity is underway or anticipated.
  - Transitory records must be protected and securely disposed of to maintain security, confidentiality, protect personal privacy, and prevent information security breaches. See Section 4420 *Disposal of Transitory Records in Paper and Other Media* for more information.
  - Transitory paper records are kept secure and returned to the government office as soon as they are no longer required to conduct business and placed in the approved secure document destruction bin or shredded using the office's cross-cut shredder.

3.11 Records which were created, received, or used to carry out government business are public records and belong to the GNWT, regardless of where it is created or what format it is in.

- Employees are responsible for capturing and saving information about government decision-making as records. Employees should ask themselves:
  - Could someone else who is not familiar with the situation understand what happened?
  - Are the records I create and maintain available to others who may have a need to use them, especially if I am unavailable?
  - Am I creating and maintaining records which are complete, accurate, reliable, and trustworthy?
- If employees are using chat, instant messaging systems, or text messages to communicate with colleagues, supervisors, or clients and contacts, they are required to transcribe and save any information concerning government business and decision making in DIIMS or a GNWT network file share.
- Consider making e-mail the method of choice for communicating government business between colleagues, supervisors, and clients and contacts. E-mail messages can be uploaded to DIIMS or exported from Outlook and saved as a record on GNWT network shared drives.

3.12 Employees have a responsibility to be aware of the GNWT's protocols for reporting information and privacy breeches.

## Records and Information Management Working Remotely Checklist

	Yes	No	N/A
<b>General</b>			
Have you been authorized to work remotely or from home?			
Do you have an authorized GNWT computer/laptop or other devices to work with when working remotely			
Are you able to secure your GNWT computer/laptop or other devices when they are not in use?			
Do you have external access to DIIMS or VPN access to the GNWT's network?			
Can you protect your work from unauthorized access, use, disclosure, loss, destruction, or theft of the information, including by members of your household?			
Do you understand your responsibilities under the <i>Archives Act</i> , the <i>Access to Information and Protection of Privacy Act</i> , and, if applicable, the <i>Health Information Act</i> ?			
Do you understand how to report an information or privacy breach?			
<b>Electronic Records</b>			
Do you understand that personal email accounts should not be used to conduct government business?			
Do you understand that government records should be saved in DIIMS or the GNWT network shared drives, to ensure the records are available to your colleagues and that they are backed up? The hard drives of computers, laptops, and other devices should not be used to store government records.			

	Yes	No	N/A
Do you understand which folders you should use to save electronic documents in DIIMS or the GNWT network shared drives?			
Do you understand how to transcribe government business conducted by text messaging or instant messaging and save it into DIIMS or on the GNWT network shared drives?			
If you print copy records at home for ease of use, do you have a plan for returning the paper records to the office for secure destruction as soon as no longer required?			
<b>Paper Records</b>			
Do you have your supervisor's permission to remove paper records from the office?			
Have you identified the smallest number of records you need to deliver your program or service?			
Do you understand the importance of protecting the privacy and confidentiality of paper records?			
Are you able to securely transport the records from the office to your home?			
Are you able to securely store the records at home and prevent unauthorized access, use, disclosure, loss, destruction, or theft of the information, including by members of your household?			
Have you made a list of the records you are removing from the office, and have you shared that list with your supervisor?			
Do you have a plan for the return of the paper records/physical files to the office as soon as no longer required?			



# 8310

## Using Online Chat and Collaboration Tools

<b>Issued:</b>	April 2020
<b>Last Updated:</b>	July 2023

### 1. Introduction

The purpose of this guidance is to support decision making by management and employees when using collaboration, text, chat, meeting and conferencing, and instant messaging tools (e.g., Telemerge, Microsoft Teams, etc.).

This guidance is not intended to replace department specific instructions for employees who are working remotely. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

### 2. References

Archives Act, R.S.N.W.T 1988, c.A-6.

Access to Information and Protection of Privacy Act, S.N.W.T 1994, c.20

Health Information Act, S.N.W.T 2014, c.2

GNWT Code of Conduct

GNWT Protection of Privacy Policy

Remote Work Policy

Remote Work Guidelines

Email Use Policy, IMT Policy Manual

Recorded Information Management Policy, IMT Policy Manual

Electronic Information Security Policy, IMT Policy Manual

Electronic Information Security Standard, IMT Policy Manual

Threat-Risk Analysis Guideline, IMT Policy Manual

RDA 1997-02, Transitory Records Schedule

### 3. Best Practices

- 3.1 Use of collaboration, text, chat, meeting and conferencing, and instant messaging tools is approved by the program's senior manager. The collaboration tool is one of the approved tools which meet the government's security requirements. Contact the IS Service Desk for assistance in selecting an approved collaboration tool.

- 3.2 Before making decisions for using collaboration, text, chat, meeting and conferencing, and instant messaging tools, set expectations for how the tools will be used. Clearly explain when it is appropriate to use the collaboration tool (e.g. staff meetings, coordinating tasks, etc.) and when it is inappropriate to use the collaboration tool (e.g. supervisor-employee discussions, discussions relating to a specific client, sharing of personal information, etc.). Monitor the use of the tool and ensure employees comply with the expectations.

Create written instructions or procedures concerning the appropriate use of collaboration, text, chat, meeting and conferencing, and instant messaging tools by employees. Written instructions or procedures for each government program are recommended to support the use of these tools if questions arise concerning their use.

Assume that the information shared on collaboration tools could become public. Never use these platforms to share sensitive information which would make GNWT information systems and networks vulnerable to attack or which would impact the privacy of others, such as:

- Personally identifiable information, including name, address, date of birth, social security number, health care number, gender, race, grades, and other personal information, as well as financial information such as salary, banking information, and payroll deductions.
  - Login Credentials/Passwords
  - Secure or confidential information. This information is better communicated with a phone call or by GNWT e-mail.
- 3.3 Everything shared on collaboration, text, chat, meeting and conferencing, and instant messaging tools is subject to discovery for access to information requests, audits, investigations, and legal matters. It is best to use courteous, professional, and inclusive language when using these tools.
- 3.4 Government employees have a responsibility to the public and the Legislative Assembly to keep records documenting their activities, actions, transactions, and decisions. Good and thorough recordkeeping by government bodies is a cornerstone of public accountability and Canadian democracy.

Government employees should be documenting the following activities and saving them into their office's record keeping system in DIIMS or on network shared drives:

- Online meetings should be documented in minutes or notes.

- Discussions, advice, and decisions relating to government business should be copied from text, chat, and instant messaging services. It may be possible to export data from the chat or messaging system and save it as a record. If the system does not have that capability, the discussions, advice, and decisions should be transcribed and saved.
- Changes to government programs and services should be documented.
- Information should be kept documenting legal or financial rights or obligations for the government, members of the public, businesses, and other organizations.
- Decisions relating to development or interpretation of legislation, policy, programs, human resources, budget and financial decisions, and procurement must be documented.

Documentation should clearly show who was included in the discussions and who was responsible for making decisions.

Monitor the use of collaboration, text, chat, meeting and conferencing, and instant messaging tools to ensure appropriate documentation is being kept in the office's recordkeeping system.

- 3.5 Most, but not all messages transmitted on text, chat, and instant messaging services will be transitory. Transitory records are records needed for only a short period of time to complete a routine action or prepare a final document. Transitory records may be deleted as per the [Transitory Records Schedule](#).

- Information stored in text, chat, and information management systems is discoverable and there may be a requirement to produce it. 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. Do not abuse the edit function to effectively delete a message by replacing it with new information.
- Where possible, text, chat, and instant messaging tools should be set to auto-delete transitory messages unless the information is responsive to current litigation, legal actions, investigations, audits, or access to information request. Transitory messages should be kept for no longer than 365 days, but may be set to a shorter period of time. Auto-delete settings should be documented in the written instructions or procedures for using the tools.

- 3.6 The use of collaboration, text, chat, meeting and conferencing, and instant messaging tools should be included in employee onboarding and offboarding procedures. New employees should be added to the platform and provided with training on the appropriate use of the collaboration tool. When an employee terminates or moves to another position in the government their access to the collaboration tool should be removed.

8311

## Considerations for Online Meetings

<b>Issued:</b>	July 2021
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### 1. Introduction

Video conferencing allows GNWT employees to meet with each other and with individuals outside the GNWT remotely. Just like face-to-face meetings, records should be kept documenting the discussions of an online meeting.

The purpose of this guidance is to support decision making by management and employees when holding online meetings using MS Teams or other video conferencing tools.

This guidance is not intended to replace department specific instructions for employees who are working remotely. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

### 2. References

Archives Act, R.S.N.W.T 1988, c.A-6.

Access to Information and Protection of Privacy Act, S.N.W.T 1994, c.20

Health Information Act, S.N.W.T 2014, c.2

GNWT Code of Conduct

GNWT Protection of Privacy Policy

Remote Work Policy

Remote Work Guidelines

Recorded Information Management Policy, IMT Policy 6003.00.18

Privacy Impact Assessment – Preliminary Privacy Screening Tool

Privacy Impact Assessment – Module 1 – Preliminary Risk Assessment

Privacy Impact Assessment – Module 2 – Privacy Analysis

## GNWT Administrative Records Classification System, Version 10 (2018)

### 3. Best Practices – Creating and Saving Meeting Records

- 3.1 Employees are responsible for creating and keeping records which document their work. For online meetings, departments are required to keep the same kinds of records that would be created and kept for an in-person meeting.
- 3.2 The onus for keeping records is on the organizer of a meeting. The organizer of a meeting usually keeps or delegates someone to keep the following:
  - Agendas
  - Written minutes, notes, or records of decision, and
  - Copies of presentation slide decks and other documents distributed or shared at the meeting.
- 3.3 Employees are responsible for making sure records of meetings are saved into the department's recordkeeping system. This may mean saving documents into the appropriate folder in DIIMS, on a network file share, or paper filing system.
- 3.4 Video conferencing and online collaboration tools are not recordkeeping systems and must not be used as the sole or final repository for GNWT meeting records.

### 4. Best Practices - Classification and Retention for Meeting Records

- 4.1 In most cases, records relating to meetings can be classified and organized using the GNWT Administrative Records Classification System (ARCS). ARCS version 10 contains two primary-level classifications for meeting records:
  - Primary 1015 is used for meetings in which *all* participants work for the same department, such as staff meetings or senior management team meetings. These records are kept for 7-10 years, and some will be transferred to the NWT Archives for permanent preservation.
  - Primary 1145 is used for meetings in which *some* of the participants work for other GNWT departments, other governments, or other external organizations. These records are kept for 12 years, and some will be transferred to the NWT Archives for permanent preservation.

Contact the Department Records Management Team for assistance in determining the appropriate place to save records of online meetings.

## 5. Best Practices – Recording Online Meetings

Many video conferencing tools allow the recording of online meetings. There are several issues with recording meetings which should be taken into consideration by meeting organizers before deciding to make a recording.

- 5.1 Typically, there is no need to record an online meeting which would not be recorded if it were held face to face or over the phone. Record meetings only if there is a compelling reason to do so.

There are situations where recording an online meeting may be beneficial to the GNWT, such as testimony at a hearing or inquiry, interviews conducted for a legal matter, and training sessions and presentations which can be used later, or which cannot be captured in another way.

- 5.2 Recordings do not replace requirements to keep written records of meetings.
- 5.3 Recordings are public records. The organizer of the meeting is responsible for exporting or downloading the recording and saving it in the department's recordkeeping system.
- 5.4 Recordings can be large. For example, a recording of a one-hour meeting can range from 200 MB to over one GB in size, depending on the video conferencing system being used and the recording settings. Downloading recordings from the video conferencing tool and then uploading them to DIIMS or the GNWT network may cause bandwidth issues for recordings over 250 MB. The size of the recordings will impact network storage capacity. It will also impact personal data usage if this is being done while working remotely.

DIIMS can accommodate records under 2 GB (2000 MB) in size. Contact the TSC for information about maximum size for records stored on network shared drives. Avoid storing records on computer hard drives (C: drive) or external storage devices.

- 5.5 Recordings of online meetings are usually saved in an MP4 format or a format specific to the video conferencing service. These formats may not be appropriate for long term (more than 10 years) or archival preservation. It may be necessary to convert the recordings to a preservation format before saving them into DIIMS or the network file share. Converting the videos to a different format may impact file size.

Contact the NWT Archives for guidance with respect to preservation quality video recording formats.

- 5.6 Recordings of online meetings may capture personal information which would not be captured in other types of meeting records. Recordings may capture the images and voices of the participants, information about their locations, and any information or opinions they share during the meeting. Recordings may also capture personal information of non-participants in the background, such as images of or information about family members. It may not be appropriate for this information to be kept as a government record.

Government departments should consult with their departmental access and privacy coordinator or the Department of Justice's Access and Privacy Office before recording meetings. It may be necessary to conduct a privacy impact assessment to determine if it is appropriate to record meetings.

- 5.7 To comply with territorial, national, and international laws, meeting participants, both internal and external to the GNWT, should be informed in advance of the meeting that it will be recorded. Review the text of the recording disclaimer with the departmental access and privacy coordinator or with the Department of Justice's Access and Privacy Office.

The following is an example of a recording disclaimer. Text in blue brackets should be replaced with the department's information.

*This meeting will be recorded.*

*Your personal information, including (as applicable) your image, voice, name, opinions, and any other personal information disclosed by you during the online meeting, will be collected in accordance with section 40(c) of the Access to Information and Protection of Privacy Act and/or section 29 of the Health Information Act by the [insert name of department] for the purpose of documenting your participation in the meeting. If you have any questions about the collection of your personal information, please contact: [title, business address and business telephone number].*

*The recording of this meeting may be disclosed in the future in response to an access to information request, audit, investigation, or other legal matter.*

*If you do not wish your personal information to be collected, please do not join the meeting.*

Meeting participants have the option to turn off their cameras so that their image will not be captured in the video, which will reduce the intrusion on their privacy.

- 5.8 Departments may be required to release recordings of online meetings in response to an access to information request, legal matter, audit, or investigation.

Before releasing the recordings, it may be necessary to redact them to prevent the disclosure of information which is protected under the *Access to Information and Protection of Privacy Act* or the *Health Information Act*. Recordings can be difficult and time consuming to redact, and this may impact the government's ability to respond to a request in compliance with legislated timeframes. Redacting recordings also typically requires the purchase of specialized software.

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## Naming Conventions and Titling Files

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### 1. Introduction

Naming conventions are rules for how electronic folders, electronic records, and paper records will be named or titled. The GNWT does not have a standard for naming conventions. Instead, departments can establish their own naming conventions.

Naming conventions are important components in the development of electronic and paper recordkeeping systems. They introduce consistency in the naming of titling of records, which makes for better and faster searching and retrieval of information.

This guidance is not intended to replace existing departmental filing rules and procedures. Instead, it may be used to confirm that current practices are consistent with EIM's recommendations.

### 2. References

Infrastructure Establishment Policy, Executive Council Policy 31.00

Recorded Information Management Policy, IMT Policy Manual

### 3. Best Practices

- 3.1 Naming conventions should be set up in consultation with the employees who create and use the records. Different program areas may have different naming requirements. Naming conventions should be documented in the departmental records and information management procedures manual.
- 3.2 Determine the naming elements which need to be included in the name or title of a record. The order in which the elements appear should be identified in the naming conventions. Some common elements include:
  - **Title** – this element should be short but meaningful and clearly describe the content or subject matter of the record.
    - If using personal names, the last name usually comes first followed by the first initial or first name.






- Abbreviations should generally be avoided because the meaning of the abbreviation may be lost over time. If names of organizations or programs are abbreviated, a list of standard abbreviations should be created.
  - **Case, project, or client ID numbers** – this element is usually a unique, system generated identifier which uniquely identifies the case, project, or client.
  - **Version number** – use two-digit version numbers to keep electronic records in numerical order. This element is not necessary for electronic records stored in DIIMS because DIIMS manages versions.
  - **Volume number** - this element applies to paper file folders and helps distinguish different volumes of a file.
  - **Record type** – this element helps distinguish different records which might otherwise have the same title, such as an agenda and minutes for a meeting. Other examples of record type include letter, memo, briefing note, plan, report, etc.
  - **Date** – this is a date which is relevant to the record, such as the date of a meeting, or the fiscal year to which the record relates. It is not necessarily the date on which the record was written or saved.
    - To improve sorting use numbers to represent months rather than the names of months.
    - The GNWT standard date format is yyyy-mm-dd (e.g. 2020-04-24).
    - When referring to a fiscal year, use a standard method to identify the fiscal year, such as 2020-2021 or 2020-21. Using different methods to write out the fiscal year affects searching and sorting of electronic records. Use a hyphen to separate the date elements.
  - **Author or creator** – this information may be useful to identify who worked on a record or a version of a record. Like names, the format is usually the last name followed by the first initial or first name.
- 3.3 Avoid using symbols and punctuation, except for apostrophes, hyphens (dashes), underscores, and commas, as they may be difficult for computers to process. Hyphens and underscores can be used to separate words or elements of the name. Spaces between words in a file name can also cause problems if an electronic record is posted to the internet.
- 3.4 Be aware of the length of the name. Very long folder and file names can create problems when saving and retrieving computer files, particularly on the network shared drives. For paper files, very long file names may not fit on the file labels.

## APPENDICES

## Appendix A

### Records Centre Label Placement

The table below shows where labels should be placed for each records centre. Refer to these pictures before sending records to a records centre in your own community or in another community to make sure the labels are placed correctly. If the labels are placed on the wrong side of a box, they will not be visible when the box is placed on the shelf.

Records centre receiving the transfer/boxes	Example of label placement
<p><b>Sòmbak'è, Tthebacha and Xátl'odehchee Records Centres</b> (Yellowknife, Fort Smith, and Hay River)</p> <p><b>Note:</b> this label placement is used for ARC file boxes, Small Rec/Ship Boxes, and cheque boxes which are going to the records centres listed above.</p>	<div data-bbox="709 646 1087 1015">  </div> <div data-bbox="1339 646 1791 1015">  </div> <div data-bbox="709 1047 1087 1404">  </div>

<p><b>Inuvik Records Centre</b> (Inuvik)</p>	 <p>Disposition Label</p> <p>Storage Label</p>
<p><b>Map Tubes</b> (all records centres)</p>	 <p>Storage Label</p> <p>Document Label</p>

## Appendix B

# Examples of Vital or Essential Records

The following is a list of records that may be considered as vital records.<sup>1</sup> This list is not comprehensive. On reviewing their functions, departments may decide that some of the records listed below are not vital and that some records not listed are.

In most cases, it is the most current, up to date information which is considered vital or essential.

### Emergency response plans

- Hospital disaster plans
- Rescue resources and plans

### Lists of key personnel and delegations of authority

- Lines of succession
- Staff designated to perform during emergencies
- Staff with specialized training
- Signing authorities

### Lists, drawings, maps, and charts

Showing location and essential information on emergency facilities

- Hospitals and health centres
- Oil wells and natural gas reserves, oil and natural gas pipeline cut-off valves
- Gas plants and their capacities
- Shelter accommodations
- Food and clothing stockpiles
- Welfare centres and institutions
- Power supplies including facilities and transmission lines
- Water supplies, treatment plants, main aqueducts, pumping stations, deep wells
- Communications systems, including telephone and radio networks
- Major bridge infrastructures
- Highway profiles, highway crossings of oil and gas pipeline, gravel pits
- Data on public transportation resources

### Lists of key equipment and supplies, including operating instructions

- Medical equipment and supplies
- Fire apparatus
- Communications equipment
- Rescue equipment

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<sup>1</sup> This list was derived in part from [The Preservation of Essential Records: a guide for governments, organizations, institutions, and businesses](#), Emergency Preparedness Canada, 1996.

- Heavy machinery
- Highway maintenance
- Construction equipment
- Emergency welfare manuals on feeding, clothing, and providing shelter to people displaced by an emergency
- Locations and quantities of stocks of materials required to restore basic services to the public
- Supplier listings

## Records vital to public order, safety, and public health

- Police
- Fire
- Medical resources

## Information relating to the establishment of the organization

- Acts and regulations
- Orders-in-council
- Executive Council minutes
- FMB minutes
- Records of Decision
- Organization charts
- Procedure manuals
- NWT Gazette
- Current annual reports and business plans
- Policy decisions
- Forms (one copy of each form)

## Court documents and legal records

- Wills that have not been probated
- Adoption records
- Administration of estates
- Appointment registers for justices-of-the-peace, notaries, and public officers
- Legal change of name records
- Intergovernmental agreements
- MOUs with other organizations and governments
- Licenses and permits
- Legal documents, such as contracts, agreements, land files, leases

## Education

- Debenture agreements for school construction
- Student records (high school)
- College student and graduate records
- Professional and trade examination records
- Teachers record of service

## Financial records

- Estimates

- Records of loans
- Records of special funds
- Sales records and guarantees
- Listings of bonds, debentures, insurance records, securities, investment records
- Bank deposit records and previous month's monthly statement
- Appropriations
- Revenues
- Financial records of boards and agencies
- Public accounts for the last two years
- General ledgers and journals
- Accounts payable and receivable

## Land titles documents

- Maps of municipal boundaries, tax rolls, lease account rolls, legal description of all communities
- Legal survey plans, town site plans
- Mineral claims, water resource rights
- Public land registers
- Records about the purchase of and payment for public land
- Listings and surveys of lands, forests, agriculture, mines

## Personnel and human resources records

- Union agreements
- Personnel files, pay files, pension records, attendance records

## Health and welfare records

- Records concerning recipients of assistance programs
- Records concerning wards of the government
- Data on notifiable diseases
- Data on health hazards and prevention measures

## Other records

- Vital statistics records (births, marriages, deaths, adoptions, change of name)
- Computer programs
- Production formulae
- Specifications on specialized projects
- Lists of regional, area, and community offices and facilities available
- Lists of vital (essential) records and their storage locations
- Lists of records available at regional, area, and community offices
- Capital asset lists and lists of property holdings
- Research and technical data, such as maps, plans, charts, of an important or irreplaceable nature
- Topographic and demographic data
- Climatological data

## Appendix C

# Examples of Substantive and Transitory Records

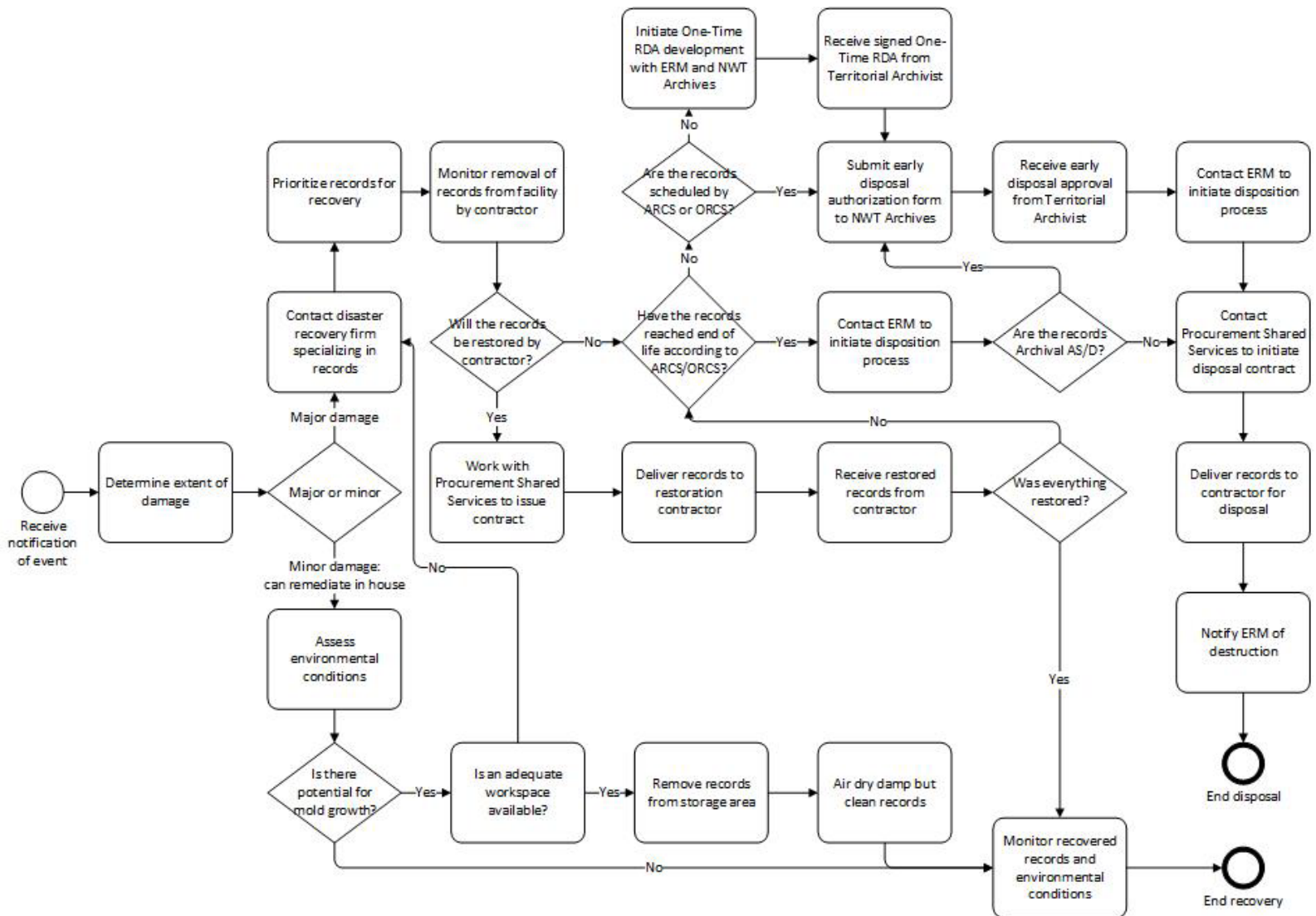
This is not an exhaustive list. Contact the Department Records Management Team for assistance in identifying substantive and transitory records.

<b>Substantive Records</b> Create and keep as official records	<b>Transitory Records</b> Non-records. Destroy when no longer needed unless subject to a disposition hold.
<ul style="list-style-type: none"> <li>• Advice, recommendations, and decisions, as well as background material.</li> <li>• All financial transactions as well as supporting documentation.</li> <li>• All information showing how information systems have been maintained.</li> <li>• All records showing that services have been provided or obligations have been incurred.</li> <li>• Approvals and authorizations.</li> <li>• Asset inventory and control records.</li> <li>• Audits and evaluations, as well as all background material.</li> <li>• Contracts and other legal agreements, as well as background material.</li> <li>• Important telephone, e-mail, and face-to-face discussions.</li> <li>• Planning and budget records, as well as all background material.</li> <li>• Policies and procedures, as well as background and interpretive material.</li> <li>• Proposed legislation and regulations, as well as background material.</li> <li>• Records of contact or correspondence with clients, consultants, vendors, partners, agents, indigenous groups, and the public.</li> <li>• Records relating to the issuance of licenses, permits, and leases.</li> <li>• Records showing the planning, approval, and execution, and results of projects.</li> <li>• Work done by consultants and others.</li> </ul>	<ul style="list-style-type: none"> <li>• Blank information media, such as unused forms, removable hard drives, erased audio and video tapes, CDs, and DVDs. <b>Note:</b> accountable forms must be logged before they are destroyed. Digital and magnetic media must be degaussed, wiped, or physically destroyed to ensure the data is not recoverable.</li> <li>• Duplicate copies of a substantive record which do not have comments written on them.</li> <li>• Junk mail and spam.</li> <li>• Mass distribution notices and e-mail messages which do not affect your duties.</li> <li>• Notes and rough drafts of letters, memos, reports, minutes, etc., which were transcribed into a final record. <b>Note:</b> this information should be kept as a substantive record if it contains major revisions or helps to show how the final document was created. It should also be kept if it helps account for official decisions. Draft legislation, budgets, policies, standards, guidelines, and other legal documents should be kept as substantive records.</li> <li>• Publications from outside your office, such as supply catalogues, equipment manuals, textbooks, brochures, and newsletters.</li> <li>• Temporary information, such as simple messages, routing slips, and post-it notes which do not require follow-up. <b>Note:</b> this information should be kept as a substantive record if it helps to show how a department reached a decision.</li> </ul>



## Appendix D

### Example Disaster Salvage and Recovery Workflow



## Appendix E

### List of Public Agencies

This list of government agencies, boards, commissions, and corporations is not comprehensive. It includes organizations identified as public bodies, government bodies, or public agencies in legislation and agreements which impact the management of the GNWT's records and information.

Additional boards, councils, tribunals, and committees can be found in the [Public Board Appointments Register](#).

#### Legend

D = DIIMS services available to this organization

R = records centre services available to this organization, but with restrictions

F = full records centre services available to this organization

✓ = legislation or agreement applies to this organization

	EIM services	Public Body ATIP Act <sup>1</sup>	Public Agency FA Act <sup>2</sup>	Schedule A Public Service PS Act <sup>3</sup>	Government Body Archives Act <sup>4</sup>	Public Body Agreement with GN
Aklavik District Education Authority			✓			
Apprenticeship, Trade and Occupation Certification Standards Board						✓
Aurora College	R	✓	✓	✓	✓	
Beaufort-Delta Divisional Education Council		✓	✓	✓	✓	
Behchoko District Education Authority			✓			
Colville Lake District Education Authority			✓			
Commission scolaire francophone, TNO		✓	✓	✓	✓	
Dehcho Divisional Education Council		✓	✓	✓	✓	
Deline District Education Authority			✓			
Dettah District Education Authority		✓	✓		✓	
Fort Liard District Education Authority			✓			
Fort Providence District Education Authority			✓			
Fort Resolution District Education Authority			✓			
Fort Simpson District Education Authority			✓			
Fort Smith District Education Authority			✓			

<sup>1</sup> Access to Information and Protection of Privacy Act, S.N.W.T. 1994, c.20.

<sup>2</sup> Financial Administration Act, S.N.W.T. 2015, c.13.

<sup>3</sup> Public Service Act, R.S.N.W.T. 1988, c.P-16.

<sup>4</sup> Archives Act, R.S.N.W.T. 1988, c.A-6.

	EIM services	Public Body <i>ATIPP Act</i> <sup>1</sup>	Public Agency <i>FA Act</i> <sup>2</sup>	Schedule A Public Service <i>PS Act</i> <sup>3</sup>	Government Body <i>Archives Act</i> <sup>4</sup>	Public Body Agreement with GN
Gameti District Education Authority			✓			
Hay River District Education Authority			✓			
Hay River Health and Social Services Authority		✓	✓		✓	
Housing NWT	DF	✓	✓	✓	✓	✓
Inuvialuit Water Board		✓	✓		✓	
Inuvik District Education Authority			✓			
Jean Marie River District Education Authority			✓			
K'asho Got'ine District Education Authority			✓			
K'atlodeeche First Nations District Education Authority			✓			
Kakisa Lake District Education Authority			✓			
Liquor and Cannabis Commission	DF		✓			✓
Liquor Licensing Board	DF	✓	✓		✓	✓
Lutsel K'e District Education Authority			✓			
N'dilo District Education Authority			✓		✓	
Nahanni Butte District Education Authority			✓			
Norman Wells District Education Authority			✓			
NWT Business Development and Investment Corporation	DF	✓	✓	✓	✓	✓
NWT Health and Social Services Authority	R	✓	✓	✓	✓	
NWT Health and Social Services Leadership Council			✓	✓		
NWT Human Rights Commission	F		✓			
NWT Hydro Corporation			✓			
NWT Legal Aid Commission	DF	✓	✓		✓	✓
NWT Power Corporation		✓	✓	✓	✓	✓
Paulatuk District Education Authority			✓			
Public Utilities Board		✓			✓	✓
Rental Officer	DF	✓			✓	
Sachs Harbour District Education Authority			✓			
Sahtu Divisional Education Council		✓	✓	✓	✓	
Sambaa K'e District Education Authority			✓			
South Slave Divisional Education Council		✓	✓	✓	✓	
Status of Women Council of the NWT			✓			✓
Surface Rights Board		✓	✓		✓	
Tłı̨chǫ Community Services Agency	R	✓	✓	✓		
Tsiigehtchic District Education Authority			✓			
Tuktoyaktuk District Education Authority			✓			
Tulita District Education Authority			✓			
Ulukhaktok District Education Authority			✓			
Wekweeti District Education Authority			✓			

	EIM services	Public Body <i>ATIP Act</i> <sup>1</sup>	Public Agency <i>FA Act</i> <sup>2</sup>	Schedule A Public Service <i>PS Act</i> <sup>3</sup>	Government Body <i>Archives Act</i> <sup>4</sup>	Public Body <i>Agreement with GN</i>
Whati District Education Authority			✓			
Workers' Safety and Compensation Commission	F	✓	✓	✓	✓	✓
Yellowknife District No. 1 Education Authority		✓	✓		✓	
Yellowknife Public Denominational District Education Authority (Yellowknife Catholic Schools) (Yellowknife District No. 2)		✓	✓		✓	

# Appendix F

## Glossary

**Access** refers to the right, opportunity, or means of finding, viewing, using, or retrieving information.

**Access to Information and Protection of Privacy Act (ATIPP Act)** refers to legislation which gives the public the right to request access to information held by Northwest Territories public bodies as well as the right to request a correction to personal information. The legislation also sets out when a public body may collect, use, and disclose personal information. The ATIPP Act further provides for an independent review by the NWT Information and Privacy Commissioner of the decisions made under the Act.

**Access to Information Coordinator** refers to the employee within a public body who has been designated as an access and privacy coordinator as per the *Access to Information and Protection of Privacy Act*.

**Access to information request** refers to a written request for information made under the *Access to Information and Protection of Privacy Act*.

**Accountability** refers to the Generally Accepted Recordkeeping Principle: a senior executive (or a person of comparable authority) shall oversee the information governance program and delegate responsibility for records and information management to appropriate individuals. The organization adopts policies and procedures to guide personnel and ensure that the program can be audited.

**Active** refers to the initial phase of the records life cycle where records are required on a regular basis.

**Active records** are readily accessible records related to current, ongoing, or in-process activities and are referred to on a regular basis to respond to day-to-day business requirements. (ARMA International)

**Administrative records** are records documenting common management processes, activities, and functions including planning and organization, committee participation, drafting of agreements and contracts, legal matters, and communications. Administrative records support “housekeeping” functions such as the management of facilities, property, material, finances, personnel, and information systems. Administrative records are common to all offices and are distinct from operational records.

**Administrative Records Classification System (ARCS)** is the government-wide standard for identifying, describing, organizing, classifying, managing, and disposing of all types of administrative (housekeeping) records. Administrative records support “housekeeping” functions such as the management of facilities, property, material, finances, personnel and information

systems. Administrative records also relate to common management processes including committees, agreements, contracts, information services, legal opinions, and other similar functions.

**Analogue records** refer 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 records** are records selected for permanent preservation and held by the NWT Archives.

**Archival selection** refers to the process whereby the NWT Archives determines which government records will be retained permanently to document the history and operations of the GNWT. Government records which are not selected by the NWT Archives are destroyed.

**Archives** (1) *see NWT Archives.* (2)

**Archives Act** refers to legislation which establishes the position of the Territorial Archivist the institution of the NWT Archives. The *Archives Act* defines GNWT records and stipulates that they must be transferred to the Territorial Archivist within 30 years of their creation unless legally disposed of according to an approved records disposition authority.

**ARCS** *see Administrative Records Classification System.*

**AS/D** *see Archival Selection.*

**Asset** refers to something having value, such as a possession or property, that is owned by a person, business, or organization.

**ATIPP** *see Access to Information and Protection of Privacy Act.*

**Authentic** means that the record is what it purports to be and that it is free from tampering or corruption.

**Authenticity** refers to the sum of the qualities of a record that establishes the origin, reliability, trustworthiness, and correctness of its content.

**Authoritative** refers to something which contains complete and accurate information and is therefore respected.

**Availability** refers to the Generally Accepted Recordkeeping Principle: an organization shall maintain its information assets in a manner that ensures their timely, efficient, and accurate retrieval when needed.

**Backlog** *see Legacy records.*

**Box** (noun) refers to (1) a rectangular container with stiff sides and sometimes a lid; or (2) a box and its contents, or just the contents of a box.

**Box** (verb) refers to the act of putting something in a box.

**Box Inventory Form** refers to a form used to create a records location system to assist departments in retrieving their inactive records from the records centre. A box inventory form lists records, file by file, that are located within each records centre box.

**Box Inventory Report** refers to a DIIMS report used to create a records location system to assist departments in retrieving their inactive records from the records centre. A box inventory report lists records, file by file, that are located within each records centre box.

**Classification** refers to the organization of materials into categories according to a scheme that identifies, distinguishes, and relates the categories. Classification may involve physically arranging the materials or the use of a class code to index and retrieve documents stored in a different order. For electronic documents, classification may involve assigning a class code used to index and retrieve the document.

**Classification system** refers to a systematic arrangement of records into functional or subject groups using numbers or letters for identification.

**Classify** refers to the act of assigning the appropriate filing code to records according to the established records classification system.

**Close** means (1) to cause something to change from being open to not being open; or (2) to cause something to end.

**Closed file** refers to a file on which action has been completed and to which electronic or physical documents are unlikely to be added. The file may be closed because the activity or event to which it relates has ended or due to system design procedures (e.g. the specification that all records are to be closed at the end of a fiscal or calendar year).

**Closed volume** refers to a volume of a file that has been cut-off at a definite time period or due to the file exceeding 2.5 cm (1 inch) in thickness.

**Closure criteria** (plural of closure criterion) refers to the standard by which a judgement or decision may be made to close a file. In the GNWT, file closure criteria are identified in records disposition authorities.

**Colour coding** refers to the use of colour in a paper filing system to identify file folders or records with certain characteristics to improve speed of access and to reduce the chance of misfiles. (ARMA International)

**Compliance** refers to the Generally Accepted Recordkeeping Principle: an information governance program shall be constructed to comply with applicable laws, other binding authorities, and the organization's policies.

**Confidential information** refers to information whose disclosure is prohibited by law, regulation, or court decision, or has the potential to harm the privacy of individuals or the security of the entity.

**Confidential records** are records containing certain information that requires protection against unauthorized access or disclosure.

**Convenience copies** refer to duplicate copies (either in digital or analog format) of official records created for ease of access and use. Convenience copies are not substitutes or replacements for official records and cannot be relied upon as a record of actions, transactions, or decisions. See also Transitory Record.

**Conversion** refers to the process of changing documents and records from one storage medium, application, and/or system to another.

**Copy file** refers to a record that is a copy of and is maintained in addition to the original or official file. A copy file is kept for reference purposes and is not used or relied up on as the department's official record of its actions, business transactions, decisions, policies, and approvals.

**Creation** refers to the act of creating, making, or producing something, such as a document or record.

**Custody** means safekeeping or care.

**Cut-off** refers to the time at which a file should be declared closed. This is usually at the termination of an event or project or at the end of a calendar or fiscal year.

**D** *see Destroy.*

**Data** is the smallest meaningful units of recorded information.

**Database** refers to (1) a set of structured data elements consisting of at least one file, or a group of integrated files, usually stored in one location and made available to multiple users simultaneously; and (2) a database management system, which is a software system used to record, access, and retrieve data stored in a database.

**Department Records Management Team** refers to the business unit designated by a department to be responsible for the development and overall administration of the department's records and information management program. It consists of a senior manager assigned overall responsibility for the department's records and information management program and one or more employees who have responsibilities for the department-wide program assigned to them in their job descriptions. Department Records Management Team also refers to a shared service which is responsible for the delivery of departmental records and information management programs in multiple departments.

**Destroy** means to damage something so badly that it cannot be used or no longer exists.

**Destruction** *See Final disposition.*

**Devolution** refers to the moving of power or responsibility from a main organization to a lower level, or from a central government to a local government. In the GNWT, Devolution usually refers to the devolution of responsibility over land and resources from the Government of Canada to the



GNWT in 2014 as per the *Northwest Territories Devolution Act* and the *Northwest Territories Land and Resources Devolution Agreement* but may refer to earlier transfers of responsibility from the federal government to the territorial government.

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

**Digital Integrated Information Management System (DIIMS)** is a enterprise GNWT-wide solution that enables the GNWT to gain better access and control of its electronic information throughout the organization. It is a content lifecycle management system that provides organizations with the tools to manage and share corporate information through its lifecycle from a single repository.

**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.

**Digitize** means (1) to convert something to a digital form; or (2) to put information into the form of a series of the numbers 0 and 1, usually so that it can be understood and used by a computer.

**DIIMS** *see Digital Integrated Information Management System.*

**DIIMS Records Classifier Reports** refers to an internal web page containing reporting tools for monitoring the use of the DIIMS system and for performing records management tasks.

**Directive** refers to formal instruction that obliges departments to take or avoid specific action.

**Disclosure** refers (1) to the act of making something known or the fact that is made known; or (2) something that was not previously known or the act of giving such information to the public.

**Disposal** refers to the act of getting rid of something.

**Disposition** refers to the final action taken per the retention schedule, concluding with the destruction, transfer, or permanent preservation of a record.

**Disposition halt** *see Disposition hold.*

**Disposition hold** refers to the suspension of the scheduled destruction of records due to foreseeable or pending litigation, investigation, audit, or special organizational requirements.

Division in the GNWT refers to the separation of the Northwest Territories into the Territory of Nunavut and the Western Arctic, which retained the name of Northwest Territories, in 1999, as per the *Nunavut Act* and the *Nunavut Land Claims Agreement*.

**Document** (noun) refers to (1) any written or printed work; or (2) information or data fixed in some media. *See also Record.*

**Document** (verb) means to record the details of an event, a process, etc.

**Electronic information** refers to information that is recorded and stored in an electronic format.

**Electronic record** is an analogue or digital record that is carried by an electrical conductor and requires the use of electronic equipment to be intelligible by a person.

**Enterprise Information Management (EIM)** refers to the division in the Department of Infrastructure with responsibility for the enterprise, GNWT-wide, records and information management program.

**Essential records** *see Vital records*

**File** refers to a group of documents related by use, topic, or case, housed together in an electronic or paper folder or group of folders, and arranged in a logical sequence.

**File closure** Criteria *see Closure criteria*.

**File folder** refers to a paper folder in which papers and documents are collected and organized for retrieval. *See also Folder*.

**File list** refers to a comprehensive list of all of the files associated with a particular storage location or organization. Also called a register, it provides evidence that a record has been created or captured in a recordkeeping system and facilitates retrieval. It records descriptive information about the record and assigns a unique identifier to the record.

**File naming convention** is a convention or generally agreed scheme for naming files. Well-chosen naming conventions aid in navigating and searching for information.

**Final disposition** is the final action taken with regard to a group of records after their inactive phase has ended. It may be either destruction or transfer to the NWT Archives.

**Folder** refers to (1) a directory structure that organizes electronic files into groups (a directory or sub-directory); or (2) a sheet of cardboard or heavy paper stock that is used as a loose cover to keep documents and other flat materials together, especially for purposes of filing.

**Format** refers to the material onto which information or data has been recorded and may subsequently be used (i.e. paper, microfilm, electronic).

**Generally Accepted Recordkeeping Principles** (the Principles) refers to a framework of definitive principles for governing an organization's information as a strategic asset. These information governance principles support organizational goals, facilitate compliance with regulatory, legislative, and information management requirements, and limit risks.

**Geographic information system (GIS)** refers to a combination of hardware, software, and rules that supports complex analysis of geospatial and temporal information and that often uses static or dynamic maps for reports.

**GIS** *see Geographic information system*

**GNWT Data Network** refers to the GNWT communications network that transmits data. (The Free Dictionary)

**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.

**Government records** *see Public records.*

**Guideline** means a document providing guidance, advice or explanation to managers or functional area specialists.

**Halt** *see Disposition hold*

**Health Information Act** (HIA) refers to legislation which protects people's privacy by governing the collection, use, sharing, and storage of their personal health information. The Act recognizes both individuals' rights to access their own information and the needs of health service providers to collect, use, and share patient information in order to provide best care.

**HIA** *see Health Information Act*

**Hold** *see Disposition hold*

**Inactive records** refer to records which are not required for regular use, but which have not yet reached the time for final disposition. *See also Semi-active records.*

**Information** refers to data that has been given value through analysis, interpretation, or compilation into a meaningful form.

**Information systems** store and provide access to information or data.

**Integrity** refers to the record being complete and unaltered in all essential respects.

**Inventory** (noun) refers to (1) a detailed listing that includes the types, locations, dates, volumes, equipment, classification system, and usage data of an organization's records.

**Inventory** (verb) refers to the process of identifying all records of an organization.

**Label** refers to a tag, piece of paper, or other material with identifying information attached to the thing identified.

**Legacy records** refer to set of older records which need to be organized, classified, and scheduled in accordance with a records disposition authority. In the GNWT legacy records are frequently referred to as "backlog records."

**Legislation** refers to a law or set of laws made official by a parliament or legislature.

**Life cycle** or **Lifecycle** means the span or time from the creation or receipt of a record through its useful life to its final disposition.

**Maintenance** refers to the work needed to keep something in good condition.

**Metadata** refers to data describing content, structure, and context of records and their management through time. Metadata can be divided into one of three categories:

- Descriptive metadata describes a resource for purposes such as discovery and identification. Metadata in this area can include such elements as author, title, and description.
- Structural metadata indicates how compound objects are put together. It identifies data format, media format, or the type of data representation and file types, hardware and software needed to render the data, and the compression method and encryption algorithms used, if any.
- Administrative metadata provides information to help manage a resource, such as when and how it was created, and who can access it.

**Migration** refers to the process of moving recorded information from one information system configuration to another or from one storage medium to another without making changes to format.

**Monitor** (verb) means to watch or check a situation carefully for a period of time in order to discover something about it.

**MOV** (Apple Quicktime Movie) is a file format used to store video, audio, time code, and text tracks.

**Naming convention** *see File naming convention.*

**Nil** in a records disposition authority means zero years or no retention period assigned.

**Non-record** *see Transitory record.*

**NWT Archives** refers to all public records and other documentary material under the care, custody, and control of the Territorial Archivist. This term is commonly used to refer to the organization that is managed by the Territorial Archivist and which looks after the NWT Archives. It is also commonly used to refer to the facilities in the Prince of Wales Northern Heritage Centre that house the NWT Archives.

**Official 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.

**One-Time Records Disposition Authority** refers to a records disposition authority used to authorize and process the disposition of a specific group of records, such as the records of a discontinued program or service.

**Operational records** refer to records that are related to the operations and services provided by a department in carrying out the functions for which it is responsible according to statute, mandate,

or policy. Operational records are distinct from administrative records and are unique to each department.

**Operational Records Classification System (ORCS)** is the government-wide standardized system for the classification, filing, retrieval, retention, and disposition of operational records. Each department will have one or more ORCS. Operational records are those records which relate to the operations and services provided by a department in carrying out the functions for which it is responsible according to statute, mandate, or policy. Operational records are distinct from administrative records and are unique to each government organization.

**ORCS** *see Operational Records Classification System.*

**Original** *see Official record.*

**Out card** or **outcard** refers to a device used to replace material that has been removed from a file and indicate what was taken, by whom, and when.

**Ownership** refers to the state or fact of owning something.

**PDF** (Portable Document Format) refers to a file format that captures formatting information from a variety of applications and makes it possible to transmit and display records in an identical way, independent of the platform. PDF is an ISO standard, ISO 32000-1:2008 and ISO 32000-02:2017.

**PDF/A** (Portable Document Format/Archival) refers to a long-term preservation formation for electronic records. Everything needed to render or print a PDF/A file must be contained within the file. This includes all visible content like text, raster images, vector graphics, fonts, colour information, etc. PDF/A is an ISO standard, ISO 19005-1:2005, ISO 19005-2:2011 and ISO 19005-3:2012.

**Permanent return** means a file or box has been retrieved from a GNWT records centre and will not be returned to the records centre, usually because the contents of the file or box are being changed.

**Personal information** refers to any information that can be used in isolation or in combination with other sources to uniquely identify, contact, or locate a specific individual. Also referred to as personally identifiable information or PII.

**Physical item** refers to a paper file folder, records centre box, document, or other item that takes a physical, usually paper, format.

**PNG** (Portable Network Graphics): A raster graphics file that supports lossless data compression.

**Policy** refers to a formal direction that imposes specific responsibilities on departments. Policies explain what deputy heads and their officials are expected to achieve.

**Preservation** refers to the process and operation involved in ensuring the technical and intellectual survival of authentic records over time.

**Procedure** refers to the manner and steps in which some action is taken which may be written or unwritten.

**Protection** refers to a Generally Accepted Recordkeeping Principle: an information governance program shall be constructed so the information assets generated by or managed for the organization have a reasonable and suitable guarantee of authenticity and reliability.

**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 a 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.

**Quality assurance** refers to procedures for monitoring and accessing the records system, aiming to maintain a desired level of quality.

**Quality control** refers to a system of maintaining predetermined standards in a digitized record by testing/reviewing a sample of the output against the specifications within the standard.

**Reactivation** *see Permanent return*

**Recordkeeping** refers to the systematic creation, use, maintenance, and disposition of records to meet administrative, programmatic, legal, and financial needs and responsibilities.

**Recordkeeping system** refers (1) to coordinated policies and procedures that enable records to be collected, organized, and categorized to facilitate their management, including preservation, retrieval, use, and disposition; or (2) to an information system which captures, manages, and provides access to records over time.

**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 and information management (RIM)** refers to the field of management responsible for establishing and implementing policies, systems, and procedures to capture, create, access, distribute, use, store, secure, retrieve, and ensure disposition of an organization's records and information.

**Records centre** or **records center** refers to a storage facility operated by the Department of Infrastructure which is responsible for the transfer, processing, storage, and retrieval of inactive records owned by departments.

**Records coordinator** refers to a member of the Department Records Management Team who is charged with coordinating elements of the department's records and information management program. Records coordinator also refers to a role assigned to some individuals within DIIMS.

**Records Disposition Authority (RDA)** 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 (c) specify the minimum periods during which the government body must retain each class of records that it intends to destroy.

**Records inventory** *see Inventory*

**Records life cycle** *see Life cycle*

**Records management** *see Records and information management*

**Records scheduling** refers to the process of planning the life cycle of a record, including the establishment of retention periods for their active, semi-active, and inactive phases, selection of departmental or records centre storage for semi-active and inactive records, and determination of whether records will be destroyed or transferred to NWT Archives when they are no longer needed by the department.

**Records Transfer Slip** refers to a form used to identify a set of records centre boxes (a transfer) which is ready to be shipped to a GNWT records centre.

**Register** (noun) *see File list.*

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

**Repository** refers to a physical or digital storage area where documents and records are kept.

**Retention** refers to the continued use, existence, or possession of something or someone.

**Retention and disposition schedule** *see Records Disposition Authority.*

**Retention period** refers to the length of time a record must be retained to satisfy administrative, fiscal, legal and research requirements of a department. Retention periods are usually specified in number of years or by reference to the termination of a project or event.

**Retention schedule** *see Records Disposition Authority. Also referred to as a Records Retention Schedule, a Retention and Disposition Schedule, or a Records Schedule.*

**Retrieval** refers to (1) the process of locating and withdrawing a physical record from a filing system or a records centre; or (2) the action of searching and accessing electronic records from stored data on a computer system.

**RIM** *see Records and information management*

**S/O** *see Superseded/Obsolete*

**Semi-active** refers to the intermediary stage in the records life cycle where records are still needed but are not in daily use.

**Semi-active record** means a record that is no longer required for constant referral during daily business, but which is still of some use to the department. The record may be required for occasional consultation and may be retained because of administrative or legal requirements.

**Standard** refers to a set of operational or technical measures, procedures, or practices for government-wide use. Standards provide more detail on how managers and functional specialists are expected to conduct certain aspects of their duties.

**Storage** means the act of putting and keeping of things in a special place for use in the future, or the place where you put things.

**Substantive record** means written evidence that an action did or did not happen, transactional records, decisions, and policies.

**Superseded/Obsolete (S/O)** is used in retention schedules to identify records which must be kept as an open file until the occurrence of an event. When the event occurs the S/O is triggered and the file is closed. Examples of events include expiration of a contract, end of a project, cancellation of a program, disposal of an asset, or the resolution of a claim.

**Technology Service Centre (TSC)** refers to a division in the Department of Infrastructure which is responsible for providing and managing information technology services (IT) for the GNWT, such



as e-mail, IP phone system, application and website hosting, network and internet, mobile devices, purchasing of computers and software, and computer evergreening.

**TIFF** (Tagged Image File) is an open standard image format for storing raster graphic images. TIFF files are lossless, meaning they are in an uncompressed format. TIFF is an ISO standard, ISO 12639:2004.

**Transfer** (noun) refers to a group or set of records centre boxes and the records contained within.

**Transfer** (verb) refers to (1) the movement of records from one storage location to another; or (2) the change of custody, ownership, and/or responsibility for records.

**Transitory** means (1) lasting for only a short time; or (2) not permanent or temporary. (Cambridge Dictionary)

**Transitory records** are records that are needed only for a limited time for the completion of a routine action or to prepare a subsequent record. Transitory records do not include records required by government organizations to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities of the government.

**Transparency** refers to a Generally Accepted Recordkeeping Principle: an organization's business processes and activities, including its information governance program, shall be documented in an open and verifiable manner, and that documentation shall be available to all personnel and appropriate interested parties.

**Trigger** refers to an occurrence, either calendar-or event-based that begins a retention period (ARMA International)

**TSC** *see Technology Service Centre*

**Unscheduled records** mean records which have not been classified and scheduled in accordance with an approved records disposition authority.

**Vital record** refers to a record that is fundamental to the functioning of an organization and necessary to the continuance of operations. Also referred to as an essential record.

**Vital statistics record** refers to a record of the civil registration of a birth, marriage, divorce, change of name, change of sex designation, or death.

**Volume** refers to (1) one of a set of file folders which together form a single file or relate to a single person, place, thing, case, or subject matter; or (2) in DIIMS, a physical file folder.

**WAV** (Waveform Audio File) is an audio file format standard used for storing an audio bitstream. It is usually uncompressed.

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