



Policy – Records Scheduling

6003.00.24

Issued By: The Informatics Policy Council

1. Effective Date

This policy took effect on March 12, 2007. The revisions to this policy take effect on the date approved below.

2. Application

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

3. Context

The Government of the Northwest Territories recognizes the importance of managing its recorded information in a manner that supports the delivery of programs and services and complies with existing legislation, regulation, and policy.

4. Statement

This policy establishes government-wide direction for records scheduling. It assigns responsibility for the development, implementation, and maintenance of records disposition authorities to the government body that creates or receives public records as defined in the *Archives Act*. It also assigns responsibility for reviewing and approving records disposition authorities.

5. Principles

The Government of the Northwest Territories will follow these principles when implementing this policy.

5.1. Transfer of custody to NWT Archives

Government bodies must transfer records to the custody and control of the NWT Archives in accordance with the retention and disposition set out in an approved records disposition authority.

5.2. Destruction of records

Government bodies must not destroy records except in accordance with the retention and disposition set out in an approved records disposition authority.

5.3. Approval of a government body's records disposition authorities

A government body's records disposition authority is approved and takes effect when the Deputy Head of the government body or equivalent, the Territorial Archivist, and the Manager, Corporate Records Management, Department of Infrastructure have signed it. A government body's records disposition authority is approved for use by a single government body.

5.4. Approval of common records disposition authorities

A common records disposition authority is approved when it has been reviewed and endorsed by the Recorded Information Management Committee and signed by the Territorial Archivist and the Manager, Corporate Records Management, Department of Infrastructure. It takes effect within a government body when the government body's Deputy Head or equivalent approves its use.

5.5. Standard formats

A records disposition authority must take one of the standard formats approved by the Informatics Policy Council.

5.6. Use of the GNWT records centres

Only records covered by an approved records disposition authority can be transferred to a GNWT records centre for semi-active storage and final disposition.

5.7. Review of records disposition authorities

The timely review and approval of records disposition authorities is recognized as an important activity by Deputy Heads, the NWT Archives, and the Corporate Information Management Division of the Department of Infrastructure.

6. Procedures

6.1. Development and Approval

6.1.1. The government body identifies the need for a records disposition authority and designates an individual responsible for development.

6.1.2. As soon as possible after the need for developing a records disposition authority has been identified, the designate consults with Corporate Information Management and the NWT Archives.

- The Corporate Information Management division of the Department of Infrastructure will provide advice and guidance on the development of the records disposition authority, ensure that it follows one of the approved standardized formats, and review and identify any concerns with the retention periods.
- The NWT Archives will provide advice and guidance on the development of the records disposition authority and identify the records that meet the selection criteria for transfer to the NWT Archives.

6.1.3. The designate studies the records and conducts interviews with the creators and users of the information in order to determine the recordkeeping requirements.

6.1.4. Where the government body has concerns regarding legal or financial risks associated with the records identified in the records disposition authority, the government body may:

- Request a legal opinion from Legal Division, Department of Justice or the government body's own legal counsel.
- Request advice from the Internal Audit Bureau, Department of Finance, or the government body's own internal auditor.
- Request advice from any other government body or external organization that will prove beneficial to the development of the records disposition authority.

6.1.5. Based on input from the government body's employees, Corporate Information Management, the NWT Archives, and any other parties that were consulted, the designate compiles the records disposition authority.

6.1.6. The designate sends the final version of the records disposition authority to Corporate Information Management and the NWT Archives for approval.

- Corporate Information Management will review the records disposition authority to ensure it complies with approved standard formats and has assigned appropriate retention periods.
- NWT Archives will review the records disposition authority to identify records that meet their selection criteria.

6.1.7. The records disposition authority is approved when the Manager, Corporate Records Management endorses it, the Territorial Archivist approves its use for managing the retention and disposal of the records described within, and the Deputy Head or equivalent approves its use within the government body.

6.2. Implementation and Maintenance

6.2.1. Government bodies shall review their records disposition authorities at least once every five years to ensure that the descriptions of the records and the retention periods are still valid.

6.2.2. Government bodies may amend or rescind their records disposition authorities. Amended and rescinded records disposition authorities must be endorsed by the government body's Deputy Head or designate, the Territorial Archivist, and the Manager, Corporate Records Management.

6.2.3. Records will not be accepted for storage in a GNWT records centre unless they have reached the semi-active stage of their lifecycles as identified in an approved records disposition authority.

6.2.4. Records will not be disposed of unless they have reached the final disposition phase of their lifecycles as identified in an approved records disposition authority.

7. Responsibilities

Government bodies are responsible for the development, maintenance, and use of records disposition authorities. They are also responsible for ensuring that the disposition of records is consistent with this policy.

Deputy Heads or equivalents are responsible for approving the use of a records disposition authority within a government body.

Corporate Information Management, Department of Infrastructure, is responsible for providing advice in the development of records disposition authorities, ensuring that the records disposition authorities are consistent with approved standard formats, and ensuring that government bodies have assigned appropriate retention periods. The Manager, Corporate Records Management recommends approval of records disposition authorities that meet its requirements.

Corporate Information Management, Department of Infrastructure, is also responsible for ensuring appropriate use of the GNWT records centres.

The NWT Archives is responsible for ensuring that records that meet its selection criteria are identified in records disposition authorities. The Territorial Archivist approves the dispositions identified in records disposition authorities.

8. References

Records scheduling is subject to a number of provisions, as established by the Acts, policies, international standards and best practices outlined in Appendix B.

9. Monitoring and Reporting

Corporate Information Management will report on records scheduling activity to the Informatics Policy Council.

10. Enquiries

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

11. Approval

This policy is effective from the date approved below.

Chair, Informatics Policy Council	Signature	Date
Chair		2018-09-12

Appendix A

Definitions

Active record are records that are required on a regular basis. They may be referred to daily, weekly, or every couple of weeks. Because active records are used frequently, they should be kept in the office where they were created.

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.

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.

Lifecycle means the span or time from the creation or receipt of a record through its useful life to its final disposition.

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

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

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

Retention period refers to the length of time a record must be retained in order to satisfy administrative, fiscal, legal and research requirements of a government body. Retention periods are usually specified in number of years or by reference to the termination of a project or event.

Semi-active record means a record that is no longer required for constant referral in the course of daily business but which is still of some use to the government body. The record may be required for occasional consultation and may be retained because of administrative or legal requirements.

Appendix B

References

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

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

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

Standard – Operational Records (6003.00.32) establishes the standard format for records disposition authorities for operational records;

Standard – Administrative Records (6003.00.19) establishes a common records disposition authority for administrative records;

Guidelines – ORCS Development (6003.00.25) provides guidance on the development and formatting of an Operational Records Classification System.

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

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