

Public Works and Services

Procedures for Applying to Use the Multimedia/Vital Records Storage Room

Records Management Section
August 11, 2010

Table of Contents

- Purpose 2
- Guidelines 2
 - Information Covered..... 2
 - Vital records 2
 - Longer life cycle records 3
 - Consideration of Full Retention Records 3
 - Retention Schedules 4
- Responsibilities 4
 - Public Works and Services 4
 - Government Bodies 4
- Facility 5
 - Advantages of using the MVRSF 5
 - Availability of MVRSF 5
 - Imaging Storage 6
 - Equipment..... 6
 - Document Scanner - HP Scanjet N9120..... 6
 - Microfilm/Microfiche Scanner – e-image data ScanPro 1000 7
- Project Approval 7
- Transferring Magnetic or Optical Media for storage in the MVRSF 8
- Appendix A – Examples of Vital Records 9
- Appendix B 12

Purpose

Vital records are records that contain information essential for the continuation of key GNWT services or operations during and immediately after an emergency or disaster; and the re-establishment of the legal, financial and functional responsibilities of the GNWT following a disaster. These important records should be duplicated to facilitate the speedy resumption of normal operations and one copy should be stored off-site.

Public Works and Services provides facilities for duplicating and storing the backup to vital government records to GNWT departments and agencies. The intent of this procedure is to provide guidance on the acceptable use of the Multimedia/Vital Records Storage Facility (MVRSF).

Guidelines

The MVRSF is available for use by government bodies as defined by the *Archives Act* and regulations, and any other clients identified by the Deputy Minister of Public Works and Services. Priority will be given first to government departments, then to boards, agencies, commissions, and other clients. Boards and agencies must submit applications to use the MVRSF through their parent department.

The MVRSF houses equipment that may be used to scan records that are in paper, microfilm, or microfiche format to a digital image. Once scanned, the digital images may be stored on a file server or on a removable medium such as a CD or DVD. The MVRSF does not have equipment for digitizing audio/visual media.

The MVRSF's storage facilities are capable of storing records that are on microfilm, microfiche, data tape, CD, and DVD formats.

Priority for using the MVRSF will be given to vital records imaging projects. Other imaging projects will be considered on a case-by-case basis.

Use of the MVRSF by government bodies is subject to approval by the Manager of Information Services.

Public Works and Services will provide access to the MVRSF during regular business hours and training on the use of the equipment. Government bodies will provide staff to prepare documents for imaging, to image the documents, to index the documents, and to transfer them to the appropriate storage location or medium.

Information Covered

The MVRSF may be used to scan vital or longer life cycle records that are in paper, microfilm, or microfiche format to a digital image. Priority will be given vital records projects because of the time-sensitive nature of the records.

Vital records

To be considered as vital records, the records must meet at least one of the following criteria:

- They are necessary for the continuing operation of essential government services during an emergency; or
- They are essential for the resumption and continuing operation of a government program or service following an emergency. If these records are not available, the program will not be able to function.

Two other factors should be considered when identifying vital records:

- The records are unique and cannot be obtained from another source.
- The cost of duplicating the records in case of an emergency is less than the cost of reconstructing the records after the fact.

A sample listing of vital records is included in Appendix A.

Public Works and Services will provide storage space for back-up copies of vital records that are in a digital or micrographic format.

Longer life cycle records

To be considered longer life records, the records must meet at least one of the following criteria:

- They are scheduled records that have a semi-active period of over 20 years according to an approved Operational Records Classification System (ORCS).
- They need to be converted to another medium to prevent damage or degradation that may result in loss of information.
- These records have a final disposition of destroy or archival selection. This does not include full retention records.

Consideration of Full Retention Records

Full retention records are records that the department has decided to keep permanently because of operational requirements. By identifying records as full retention in an ORCS, the department has committed to preserving the records for as long as the Government of the Northwest Territories exists. The MVRSF may be used for preserving full retention records on approval from the Manager, Information Services. The MVRSF may only be used for scanning full retention records if it is not otherwise being used for a vital records duplication project or for longer life cycle records. Vital records and longer life records take precedence over full retention records because they are more time sensitive.

If a government body is using the MVRSF to scan full retention records and a vital records project is approved in the meantime, the government body may be asked to suspend its project until the vital records project is complete.

Retention Schedules

All records should be covered by an approved Operations Records Classification Schedule (ORCS) or by the Administrative Records Classification System (ARCS). The records classifications should be clearly indicated when submitting a project for approval. Unscheduled records will not be considered.

Retention schedules should be reviewed to ensure that they reflect the current organizational structure and account for legal and regulatory issues surrounding the imaging of the records. Retention schedules must permit the conversion of master records into another medium. If the original source records are going to be disposed of and the images kept as the master record in their place, then the retention schedules in ARCS and ORCS must permit the conversion of the records and the disposal of the originals. This is less of a concern if the images are going to serve as a backup copy to the original source records and the original records are going to be maintained as the master record. It may be necessary to amend the ORCS before starting a scanning project.

Responsibilities

Public Works and Services

Public Works and services will provide the following services:

- Advice on the identification of vital records.
- Advice on the appropriate use of the MVRSF.
- Advice on preparing a project application for approval.
- Advice on when the MVRSF is available for use.
- Scheduling the use of the facility and prioritizing requests to use the facility.
- Access to the MVRSF between 8:30 am and 5:00 pm. Please note that the building is locked between 12:00 pm and 1:00 pm.
- Training on the use of the imaging equipment and records management.
- Advice on batching, indexing and quality assurance.
- Maintaining the scanning equipment.
- Retrieval of information media stored in the MVRSF.

Government Bodies

Government bodies will be responsible for:

- Developing a project plan for imaging the records in consultation with a records analyst from Public Works and Services.

- Determining the legal and regulatory issues involved in imaging.
- Reviewing ORCS for retention issues.
- Providing staff for preparing documents, imaging, indexing, and performing quality assurance on the images before they are transferred to the appropriate storage location or medium. Public Works and Services will not supervise or monitor the attendance of any employee who is working in the MVRSF.
- Preparing documents for scanning. Document preparation must be done before the records to be imaged are delivered to the MVRSF. The Government Warehouse does not have facilities for document preparation.
- Transportation of the records for imaging to and from the Government Warehouse. The MVRSF is not designed to store boxes of paper records. No more than five boxes of records may be kept in the room at one time.
- Providing regular updates to Public Works and Services on the project time lines so that other projects may be accommodated.

Facility

Advantages of using the MVRSF

The MVRSF provides several benefits to government bodies, including the following:

- Dedicated project space for imaging.
- Imaging equipment.
- Safe, secure, environmentally controlled storage for digital media.
- Training on the use of the equipment.

In most cases, using the MVRSF will provide a cost savings over outsourcing scanning and imaging projects. It will also provide for more direct control by departments over the scanning and quality control aspects of the project.

Availability of MVRSF

Use of the facility is subject to approval of Public Works and Services, Information Services section. Availability of the facility is dependent on demand and the priority of the project.

A maximum of two people may work in the facility at one time, one using the document scanner and one using the microfilm/microfiche scanner. It is possible that employees from two different government bodies may be working in the facility at one time. It is also possible that a department may only have part time access to the facility.

Imaging Storage

Public Works and Services will provide storage space for back-up copies of vital records that are in a digital or micrographic format. The MVRSF has equipment to store microfiche, aperture cards, microfilm reels, DVDs, CDs, and computer data tapes. The MVRSF is a secure, environmentally controlled facility.

Equipment

The facility is equipped with two workstations, a document scanner, a microfilm/microfiche scanner, and a colour printer. All other office supplies are the responsibility of the department to provide.

Document Scanner - HP Scanjet N9120

For complete specifications, see the manufacturer's website.

Specifications	
Scanner Type	Flatbed, automatic document feeder
Digital sending features	Scan to folder, scan to e-mail (not enabled), scan to copy (not enabled, scan to application (not enabled)
Scan resolution	Up to 600 DPI
Automatic document feeder capacity	200 standard sheets of paper
Automatic document feeder speed	Up to 50 pages per minute (ppm) or 100 images per minute (ipm) (letter size, colour, black and white, or greyscale, 200 dots per inch (dpi)), up to 40 ppm or 80 ipm (black and white, greyscale, 300 dpi), or up to 40 ppm or 78 ipm (colour, 300 dpi, duplex)
Maximum scan size – flatbed	11.7 x 17 inches
Maximum scan size, automatic document feeder	11.7 x 34 inches
Minimum scan size – automatic document feeder	2.75 x 5.8 inches
Scan type	Colour, black and white, greyscale
Media types	Paper (plain, inkjet, and photo), envelopes, cards (index, greeting), 3-D objects

Scan file format	PDF, PDF/A, TIFF, JPG, BMP, PNG, DOC, RTF, TXT, WPD, XLS, HTM, OPF, UNICODE, XML, XPS
-------------------------	---

Microfilm/Microfiche Scanner – e-image data ScanPro 1000

For complete specifications, see the manufacturer’s website.

Specifications	
Scanner Type	Digital microfilm scanner for positive and negative film
Digital sending features	Scan to folder, scan to e-mail (not enabled), scan to print, scan to USB or CD (not enabled)
Scan resolution	Up to 600 dpi
Film carrier	Combination aperture card/fiche carrier and motorized 16/35mm roll film carrier
Scanning speed	High resolution scan in one second
Magnifications	7 to 54 times single zoom lens
Scan type	Black and white, greyscale
Media types	Microfiche, jackets, aperture cards, ultrafiche, microbooks, micro opaques, 16mm, 35mm
Scan file format	JPEG, PDF, TIFF

Project Approval

Each imaging project is unique; however, all projects share the same concerns and resources. In order to use the MVRSF, a department must complete a thorough project analysis. It must submit a project application to Public works and Services for approval. The application can be submitted to the department’s Records Analyst. The Records Analyst will review the application and recommend the project for approval to the Manager of Information Services.

The project application must include:

- A description of the record series
- Physical condition of the records
- The classification numbers and retention schedules which apply to the records
- A rationale to convert the records to an electronic format (identify the business needs and benefits of the anticipated conversion project)

- An analysis of the paper records to ensure that only information of value is captured during the conversion process
- The staffing resources available for preparing the documents, imaging, indexing , and performing quality assurance
- The metadata that should be captured
- A review of existing schedules to determine which records will be designated as the master records
- Identify training requirements
- Storage Media and indexes

Transferring Magnetic or Optical Media for storage in the MVRSF

In order to store media in the MVRSF, departments must submit box inventory forms to their records analyst for approval. Document-level inventories are not required; however enough detail should be provided so that it is possible for PWS employees to retrieve the correct media on request.

The MVRSF will not accept media for storage that do not have a retention period assigned to them from ARCS or ORCS.

This facility is not intended to keep originals of Full Retention records but will store a backup copy if operational requirements deem it necessary. Departments must explain this operational requirement when submitting a request to store the records. The Manager of Information Services must approve the storage of backups of full retention records in the MVRSF.

The storage container (tray or jewel case) must be clearly labelled identifying the contents. The information on the box inventory form will be entered into iRIMS and box label should be applied to the storage container.

Retrieval will be done on a container basis only and not at the item level. Interfiling will not be offered on trays of microfiche and other such media.

Appendix A – Examples of Vital Records

The following is a list of records that may be considered as vital records. 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.

Emergency response plans, including:

- Hospital disaster plans
- Rescue resources and plans

Lists of key personnel and delegations of authority, including:

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

Lists, composite drawings, and/or master 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
- 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
- Organization charts
- Procedures 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 the estates of juveniles, the mentally incompetent, and others
- Appointment registers for justices-of-the-peace, notaries, public officers, coroners, Queen's Council
- 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 examination records
- Teachers record of service, showing experience, qualifications, and certifications

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
- Register of Commissioner's lands
- Records about the purchase of and payment for Commissioner's lands by the public
- 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:

- Lists of recipients of welfare and assistance programs
- Lists of handicapped students
- Lists of wards of the government
- Lists of known typhoid and undulant fever carriers, and active tuberculosis cases
- Data on health hazards and prevention measures

Other Records:

- Vital statistics records (births, marriages, deaths, adoptions)
- Computer programs
- Production formulae
- Specifications on specialized projects
- Lists of field offices and facilities available
- Lists of vital records and their storage locations
- Lists of records available at field 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 B

The following non-government bodies have been identified as clients for the purposes of this procedure:

- The Legislative Assembly of the Northwest Territories
- The Northwest Territories Courts