

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

**GOVERNMENT OF THE NORTHWEST TERRITORIES.**

**RECORDS RETENTION AND DISPOSAL AUTHORITY.**

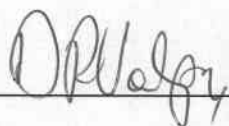
**1997-02  
VERSION 2**

**TRANSITORY RECORDS.  
ON-GOING SCHEDULE.**

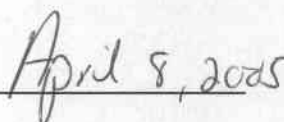
Schedule prepared by Records Management, PW&S in February 1997. Schedule submitted to the February 1997 meeting of the Public Records Committee (PRC), and approved on March 5, 1997.

Schedule revised by Records Management, PW&S in December 2004. Amendment submitted to the March 2005 meeting of the PRC.

1. Amendment is approved by PRC.

  
\_\_\_\_\_

D. Richard Valpy  
Chair, PRC

  
\_\_\_\_\_

Date

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

**RECORDS DISPOSITION AUTHORITY 1997-02**

**Purpose of retention and disposal authority 1997-02**

The purpose of this schedule is to formalize the records retention periods and authorize the disposition of transitory records created or acquired by the Government of the Northwest Territories. The retention and final dispositions specified meet the GNWT's and the creating department's information requirements, ensure fiscal and audit control, protect the government's legal rights and liabilities, and provide for effective management of the GNWT's and the department's records management functions.

**Description of records**

This retention and disposition authority schedules all transitory records created or acquired by the Government of the Northwest Territories (GNWT). It provides for the disposition of transitory records in accordance with the *Archives Act*. The retention and disposition authority includes a description of the records, outlines the purpose of each record, and indicates the retention period and final disposition of each record. **This schedule applies to records in all media, including transitory electronic records.**

Transitory records are documentary materials that are in the custody and control of a government body, but which are not required to meet statutory obligations or to support administrative or operational functions. They 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 government.

Complete detailed descriptions of transitory records are provided in the body of this records retention and disposal authority.

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

**Records Management appraisal of the records**

The transitory records described in this records disposition authority are created and received for short term, temporary use. These records have no ongoing value to the Government of the Northwest Territories.

Type of records covered by schedule:	Administrative and Operational Transitory Records
Effective date of records schedule:	March 5th, 1997
Effective date of amendment:	January 1, 2005
Type of schedule:	On-going
Schedule approved by Public Records Committee on:	March 5th, 1997
Amendment approved by Public Records Committee on:	

**Definitions**

***Electronic Mail (e-mail) Messages***

Communications created, sent, or received on an electronic mail system. Includes any attachments transmitted with the message as well as the associated transmission and receipt data. E-mail messages include those sent or received internally or externally.

***Electronic Records***

Records expressed in an electronic digital format. A record stored in form that only a computer could process.

***Postmaster***

The capability in a program, usually a special program designated as an e-mail server, for handling the distribution, forwarding, and receiving of e-mail in a network.

***Records***

Includes any correspondence, memorandum, book, plan, map, drawing, diagram, pictorial or graphic work, photograph, film, microfilm, sound recording, video tape, machine-readable record, manuscript, inventory, pamphlet, periodical, photographic slide, micrographic, electronic data print-out, and any other documentary material, regardless of its physical form or characteristics, held by or under the control of a government body. [S.N.W.T 1999, c. 21, 5.2(2)]

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

***Transitory Records***

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 government.

**Records Classification/Retention Periods**

The following codes have been used throughout this schedule:

A	Active record	These records are retained in the office of origin.
SA	Semi-active record	These records are retained in a GNWT records centre.
S/O	Superseded/Obsolete	Records are retained until they are been replaced by a new record (superseded) or an event has taken place that has made the record obsolete. Examples: <ul style="list-style-type: none"><li>• Catalogue has been replaced by a new one.</li><li>• Form has been replaced by a new form.</li><li>• Information on audiotape has been transcribed.</li><li>• Final version of document is finished.</li><li>• Convenience copies are no longer needed for reference.</li><li>• Publication is out of date.</li></ul>
FD	Final Disposition	This refers to the final disposition of a record. Disposition may occur through transfer of records to the NWT Archives, physical destruction, transfer to another government department, board or agency, or transfer to a non-GNWT entity.
D	Destroy	Physical destruction.
AS/D	Archival Selection	Record is transferred to the NWT Archives for selection\permanent retention. Records not selected by the archives are then returned to Records Management and destroyed.
Nil		No assigned retention period. Records proceed to the next stage in the life cycle

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

**AMENDMENTS REGISTER**

The following is a summary of amendments made to this schedule.

<b>Version</b>	<b>Date of Approval</b>	<b>Description of Amendment</b>
1	March 5, 1997	<ul style="list-style-type: none"><li>• New schedule.</li></ul>
2		<ul style="list-style-type: none"><li>• Type of record covered by schedule expanded to include administrative transitory records. (Previous version only covered operational transitory records.)</li><li>• Definitions revised.</li><li>• Descriptions of categories of transitory records revised for greater clarity. Descriptions also expanded to include electronic information.</li><li>• Retention and final disposition were not changed.</li></ul>

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

**TRANSITORY RECORDS**

The following provides a detailed description of the types of records that are considered to be transitory records for records retention and disposition purposes.

**1. Advertising Material**

Advertising material consists of information that advertises products and services offered by individuals, businesses, or other organizations. This information is considered transitory when it is not required to document a business transaction or purchase. Examples of advertising materials include paper or electronic brochures, company profiles, sales letters, menus, catalogues, price lists, and e-mail messages advertising goods and services.

**2. Blank Information Media**

Blank information media includes paper and electronic forms, stationary, and other pre-printed media that were not used to record information. These media become transitory when they have been superseded by a new form, stationary, etc., or when they have been discontinued.

Blank information media also includes erased storage media, such as video or audio tapes, diskettes, compact disks, digital video disks, magnetic tapes, hard drives, and other analogue or digital storage media. These media become transitory when the information that was stored on them is deleted in accordance with an approved records retention and disposition authority. These storage media must be destroyed to prevent the unauthorized recovery of information that was previously stored.

**3. Draft Documents and Working Materials**

Draft documents and working materials are records which were used to create a document, but which are not needed to show the various stages in the development of the final document or to record decisions. Includes handwritten or printed material as well as electronic versions of documents. These records become transitory when the final version of the document is completed, distributed, classified into the Administrative Records Classification System (ARCS) or an Operational Records Classification System (ORCS), and filed in the official filing system as the master record. Examples of draft documents and working materials include drafts of correspondence, draft reports, calculations, research materials, rough notes, editing and formatting notes, manuscripts

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

that have been typed, data entry sheets and data verification reports, and dictation tapes that have been transcribed.

Draft documents and working materials are **not** considered to be transitory records if they:

- Were never incorporated into a master record.
- Were produced and used in the preparation of legislation (acts, regulations, Orders-in-Executive-Council).
- Were produced and used in the preparation of legal documents (contracts, agreements, etc.).
- Were produced and used in the preparation of audit reports.
- Document significant stages in the preparation of policies, standards, guidelines, best practices, and procedures.
- Document significant stages in the preparation of recommendations, advice, or briefings to senior management and members of the Executive Council.
- Contain information that was used to create a record for signature by an executive, regardless of whether the record was ever finalized or not.
- Include accountants' working papers.
- Are draft versions of government publications, posters, films and other communications material.

#### **4. Duplicate Documents**

Duplicate documents are records that duplicate a master record, and that were created for ease of reference. Duplicate records are considered to be transitory when they are no longer required for reference purposes. Examples of duplicate documents include photocopies of paper documents, extra distribution copies of obsolete government publications, prints from a microfilm image, prints from an optical disk system, duplicate audio or video recordings, duplicates of electronic records, and duplicate electronic mail.

Duplicate documents are **not** considered to be transitory if they are annotated, edited, or altered in any way; are the only copies available in a location and are required for ongoing business activities; or if a master record has not been filed.

One copy of all government publications must be filed as a master record. According to the *Publication Regulations*, four copies of every government publication must be provided to the library of the Legislative Assembly, and one copy must be provided to the Northwest Territories Archives.

**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

**5. Non-GNWT Publications**

Non-GNWT Publications that are in the custody or control of a government body are public records according to the definition in the *Archives Act*. Publications from non-government sources are considered to be transitory when they are no longer required for reference purposes. Examples of publications include books, magazines, periodicals, pamphlets, brochures, journals, newspapers, software documentation, compact discs, video and audiotapes, and other published media acquired from sources outside the department.

**For extra copies of publications issued by the GNWT, see 4. Duplicate Documents, above.**

**6. Temporary Information**

Temporary information are records that were created or received for informational purposes, are only needed for a brief period of time, do not require further action, and are not needed for future reference or to demonstrate that an activity took place. Temporary information becomes transitory when it is no longer required for reference purposes. Examples of temporary information include routing slips, routine notices and Postmaster e-mail messages sent to multiple recipients or distribution lists, telephone messages, fax transmittal sheets, acknowledgements of receipt, appointments, calendars and appointment diaries, opened envelopes.

Temporary information are **not** considered transitory if they contain records of actions or decisions, are required to show that an activity took place, or are required to show that information was received. Examples of temporary information that are not considered transitory are envelopes used to show that a response to a tender was received, that a client was contacted or a meeting was held, or notes that document a decision or course of action.



**GOVERNMENT OF THE NORTHWEST TERRITORIES  
RECORDS RETENTION AND DISPOSAL AUTHORITY 1997-02 v.2  
ON-GOING SCHEDULE**

---

**TRANSITORY RECORDS**

TRANSITORY RECORDS		A	SA	FD
01	Advertising material	S/O	Nil	D
02	Blank information media	S/O	Nil	D
03	Draft documents & working materials	S/O	Nil	D
04	Duplicate documents	S/O	Nil	D
05	Non-GNWT Publications	S/O	Nil	D
06	Temporary information	S/O	Nil	D

S/O Retain until superseded or obsolete.  
D Destroy