



Office of the Chief Information Officer

Guideline

Developing One Time Disposal Submissions

Governance

Authority: Office of the Chief Information Officer

Audience: Information Management professionals and other resources responsible for the implementation and operation of a records and information management system (also referred to as an Information Management Program) within a department or other public body, as defined in the Management of Information Act.

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1.0 Overview

Records disposal in the Government of Newfoundland and Labrador refers to authorized removal of records by means of destruction, transfer to The Rooms Provincial Archives for permanent preservation, or transfer to another entity.

Disposal of records can only be carried out in one of three ways; as part of implementing approved Records Retention and Disposal Schedules (RRDSs) for Operational Records; as a result of a One Time Disposal Submissions authorized by the Government Records Committee (GRC); or as an authorized transfer of records to another entity (e.g., The Rooms Provincial Archives). A GRC approved disposition authority as per the MOIA must authorize the disposal of government records.

Guidelines are recommended actions and general approaches that can guide operational behaviors. They are generally a description that clarifies what should be done and how to achieve the objectives set out in policies, directives and standards. Guidelines are not compulsory, although recommended. Incidental revisions, which may be required from time to time as a result of changes in operational requirements, legislation or other policies, will be made in a timely manner as necessary.

2.0 Purpose

The purpose of this Guideline is to direct the development of an OTD Submission for submission to the GRC for approval. This Guideline is intended to assist individuals working on behalf of a department or other public body (Information Management (IM) professionals and other resources responsible for the implementation and operation of an IM Program within their organization). It is assumed that the audience for this Guideline has an understanding of IM principles adequate to enable them to develop the OTD Submission.

3.0 Definitions and Acronyms

A complete listing of terms are located on the OCIO website - Information Management and Protection (IM&P) Glossary of Terms.

Disposition – Disposition is the range of processes associated with implementing the final stage in the life cycle of a record. Disposition could include destruction, transitory, transfer decisions and permanent retention by departments or other public bodies. (Source: OCIO). Further information can be referenced in ISO 15489-1:2016.

Disposition Authority – A disposition authority is the written authorization for a public body to carry out the range of processes associated with the final stage in the lifecycle of a record, including retention, destruction, transfer, or transitory activities. (Source: OCIO).

Government – For the purposes of OCIO IM policy instruments the definition of “government” refers to public bodies as defined under the Management of Information Act (MOIA) and in some cases may be used interchangeably with the term “departments and other public bodies”.

Government Records Committee – The Government Records Committee (GRC) is the official body that mandated to:

- establish and revise schedules for the retention, disposal, destruction or transfer of records;
- make recommendations to the minister respecting government records to be forwarded to the archives;
- establish disposal and destruction standards and guidelines for the lawful disposal and destruction of government records; and
- make recommendations to the minister regarding the removal, disposal and destruction of records. (Source MOIA)

Individual - For the purposes of OCIO IM policy instruments the definition of individual refers to all staff, contractors, consultants, partners, students, temporary workers, volunteers, vendors, agents, third parties and other persons working on behalf of the Government of Newfoundland and Labrador, including all departments and other public bodies as defined under the Management of Information Act.

Information Management - Information Management (IM) is 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. (Source: ARMA)

Office of Primary Responsibility – The Office of Primary Responsibility (OPR) is the organization and/or position within an organization that is responsible for maintaining the integrity of a record (Source: Corporate Records Information Management Standard (CRIMS)). In the case of a Records Retention and Disposal Schedule (RRDS) for Operational Records the OPR is the department or other public body that created the record in the course of its mandate and that will be responsible for the implementing and maintain the schedule. (Source: OCIO)

One Time Disposal Submission – The OCIO defines a One Time Disposal (OTD) Submission as a disposition authority, which applies to records in any format and authorizes, once approved, disposal of records in a legal manner. The OTD can be for records of a specific branch, division or program within a department or other public body. It can encompass all types of records within an organization, or may be limited to specific record types or record series but does not include active or semi active records.

Public Body – As defined under the MOIA, a public body is:

- i) a department created under the Executive Council Act or a branch of the executive government of the province,
- ii) a corporation, the ownership of which, or a majority of shares of which, is vested in the Crown,
- iii) a corporation, commission, board or other body, the majority of the members of which, or the majority of members of the board of directors of which, are appointed under an Act of the province, the Lieutenant-Governor in Council or a minister of the Crown,
- iv) a court established under an Act of the province, and
- v) the House of Assembly and committees of the House of Assembly. (Source: MOIA)

Record – A record means a correspondence, memorandum, form, paper, parchment, manuscript, map, plan, drawing, painting, print, photograph, magnetic tape, computer disc, microform, electronically produced document and other documentary material regardless of physical form or characteristic. (Source: MOIA)

Corporate Record – A corporate record, often referred to as an administrative record, are those created by all organizations to support administrative functions, including human resources, general administration, facilities management,

financial management, information and information technology management, and equipment and supplies (material) management. (Source: CRIMS)

Government Record - A government record is a record created by or received by a public body in the conduct of its affairs and includes a Cabinet record, transitory record and an abandoned record. Disposal of a government record must be sanctioned by a records retention and disposal schedule (RRDS) that has been approved by the Government Records Committee (GRC). (Source: MOIA)

Operational Record – An operational record is a record that reflects the unique mandate of an organization. Records of programs, projects, and service delivery are examples of operational records. Unlike corporate records, these will be different in each organization. (Source: OCIO)

Transitory Record – A transitory record is a government record of temporary usefulness in any format or medium having no ongoing value beyond an immediate and minor transaction or the preparation of a subsequent record. Transitory records can be securely destroyed when no longer of value without authorization of the Government Records Committee. (Source: MOIA)

Vital Record – A vital record is an electronic or paper record that is essential for preserving, continuing or reconstructing the operations of an organization and protecting the rights of an organization, its employees, its customers and its stakeholders. (Source: ISO 27031:2011)

Record Series – A record series is a group of records (regardless of format) arranged according to a common filing system or grouped together because they relate to a particular subject or function; result from the same activity or document the same type of transaction. Record series should be able to be grouped under a common title and should have a common retention and disposal plan. (Source: OCIO)

Records Retention and Disposal Schedule – A Records Retention and Disposal Schedule (RRDS) is a disposition authority that supports the lifecycle management of a government record. The Management of Information Act (MOIA), OCIO and the Government Records Committee (GRC) approve two types of RRDS submissions (RRDS for Operational Records and One Time Disposal) for use by departments and other public bodies for the legal retention, transfer and disposal of government records. A RRDS:

- defines the content of the record series or types;

- links the records to the organizational unit and business process;
- dictates how long the records need to be retained in active and semi-active storage to meet operational and legislative requirements; and
- authorizes the disposal of information in a legal manner through secure destruction or transfer to The Rooms Provincial Archives. (Source: OCIO)

Records Retention and Disposal Schedule for Operational Records - A Records Retention and Disposal Schedule (RRDS) for Operational Records schedule) applies to all operational records in an organization, for records of a specific branch or division, or may be limited to a record series. (Source: OCIO)

The table below includes common abbreviations used by OCIO as well as acronyms found within this document.

Abbreviation	Description
ATIPPA, 2015	Access to Information and Protection of Privacy, 2015
GRC	Government Records Committee
GRLM	Government Records Lifecycle Management
IM	Information Management
IM&P	Information Management and Protection
IP	Information Protection
MOIA	Management of Information Act
OCIO	Office of the Chief Information Officer
OPR	Office of Primary Responsibility
OTD	One Time Disposal
RRDS	Records Retention and Disposal Schedule

4.0 Recommended Approach



4.1 Understanding the One Time Disposal Submission

An OTD Submission is a mechanism whereby a department or other public body can apply to the GRC for authorization to dispose of records. An OTD Submission is:

- 1) not a replacement for the regular and consistent implementation of an RRDS for Operational Records;
- 2) used when records still exist from an business program that is no longer in progress (e.g., organizational unit, service or function that no longer exists, or business function or project which was created to suit a specific purpose and had a specific lifespan); and
- 3) applies to records in any format.

The OTD Submission includes an inventory of records, volume of records in question and the inclusion of a completed Template - OTD Submission to the GRC.

4.2 Completing the OTD Submission Template

The OTD Submission Template is developed by the OCIO and approved by the GRC and is available on the OCIO website. The following sections provide further clarification on the various components indicated in the diagram below that will assist you in completing the OTD Submission Template.

One Time Disposal Submission Template

Number of Boxes:	
Box Numbers (Range):	
Electronic Records Extent:	
Record Series Title:	
Description:	
Records Created By:	[Include Department or other Public Body Name] [Include Branch and Division Names]
File Date Range:	yyyy - mm to yyyy-mm
Records Custodian:	[Name, Title]
	[Email Address]
	[Phone Number]

Identification of ATIPP and other Exceptions to Access as Applicable:	
<input type="checkbox"/> Not Applicable (Rationale must be provided if not applicable is selected) <input type="checkbox"/> Section 27 - Cabinet confidences <input type="checkbox"/> Section 28 - Local public body confidences <input type="checkbox"/> Section 29 - Policy advice or recommendations <input type="checkbox"/> Section 30 - Legal advice <input type="checkbox"/> Section 31 - Disclosure harmful to law enforcement <input type="checkbox"/> Section 32 - Confidential evaluations <input type="checkbox"/> Section 33 - Information from a workplace investigation <input type="checkbox"/> Section 34 - Disclosure harmful to intergovernmental relations negotiations <input type="checkbox"/> Section 35 - Disclosure harmful to the financial or economic interests of a public body <input type="checkbox"/> Section 36 - Disclosure harmful to conservation <input type="checkbox"/> Section 37 - Disclosure harmful to individual or public safety <input type="checkbox"/> Section 38 - Disclosure harmful to labour relations interests of public body as employer <input type="checkbox"/> Section 39 - Disclosure harmful to business interests of a third party <input type="checkbox"/> Section 40 - Disclosure harmful to personal privacy <input type="checkbox"/> Section 41 - Disclosure of House of Assembly service and statutory office records	
Other: Identify Federal or Provincial Acts or Regulations that prevail over ATIPP, or other Provincial Legislation that affects access.	
Records being transferred to The Rooms Provincial Archives may be made available to the public Is there any issue with this information being made available to the public? (if Yes, briefly explain)	

Graphic: One Time Disposal (OTD) Submission Form

4.2.1 Number of Boxes/ Box Numbers

For paper records, identify the number of boxes in the submission and for electronic records state the extent (e.g., 10,000 digital photographs, 200 data files, etc.). A box number is a number assigned by the department or public body. All boxes submitted for disposal should have their own unique number. This number should also be listed on the OTD Template. For boxes with consecutive numbers, the boxes can be listed as a range of numbers. The GRLM staff and the GRC require this information. File or record listings may be added in a separate document, which must accompany the OTD Submission. Review the Appendices for specific resources.

4.2.2 Record Series Title

The record series title is the name given by the department or public body to the group of records being submitted for disposal.

Record series are a group of records (regardless of format) arranged according to a common filing system or grouped together because they relate to a particular subject or function, result from the same activity, or document the same type of transaction. Record series are grouped under a common title and should have a common retention and disposal plan. Examples include personnel records, procurement records, and complaint files.

Special media such as photographs, video tapes and maps, etc., must be identified and inventoried separately. For example, a portable hard drive containing 250 images, although all similar in purpose, would still require an inventory listing (1 through 250) describing each record individually. Computer disks and microforms must have file listings or indexes provided as well as relevant metadata.

4.2.3 Records Created by Department/Public Body/Branch/Division

Specify the name of the department or other public body (past and present if necessary) as well as branch and/or division at the time of OTD Submission.

4.2.4 File Date Range

For each OTD Submission identify the start and end dates of the record series.

4.2.5 Custodian/ Contact Person

The custodian/contact person is the individual with responsibility for IM within the department or public body and used by the GRLM staff and The Rooms Provincial Archives staff as the contact for the department or other public body.

4.2.6 Access and Privacy Coordinator (Department or other Public Body)

Provide the name and contact information for the individual responsible for access and privacy within the department or other public body.

4.2.7 ATIPPA, 2015 Exemptions

It is important to identify whether the records contain information that may be excluded from access under the ATIPPA, 2015, through either mandatory or discretionary exceptions. This effort may:

- Facilitate processing of ATIPP requests; and
- Impact conditions under which the records may be transferred to The Rooms Provincial Archives.

Identification of potential ATIPP exemptions should be done in consultation with the organization's ATIPP Coordinator.

Note: Records transferred to The Rooms Provincial Archives may be made available to the public. If there are any issues with records being made available to the public, it must be identified in the RRDS as it can affect the archival value. All records (regardless of format) subject to legal hold and discovery requirements, or any other investigation under legislation, shall be protected, preserved and produced under those legislative requirements until the legal hold is released.

4.2.8 Other Legal and Regulatory Considerations

Other exemptions such as Provincial Regulations or Acts that prevail over ATIPPA, 2015 should also be listed, as outlined in Newfoundland and Labrador Regulation 11/07.

If the OTD Submission contains records from Federal sources, Personal Information Protection and Electronic Document Act (PIPEDA) and/or other Federal privacy legislation may apply. The applicable legislation must be identified.

Note: Records transferred to The Rooms Provincial Archives may be made available to the public. If there are any issues with records being made available to the public, it must be identified in the RRDS as it can affect the archival value.

4.3 OTD Submission (Review and Appraisal)

Step 1:

Once the Template - OTD Submission is complete, undertake a final internal review to ensure completion of all requirements. At minimum, the final internal review should include:

Review Role	Review Task
Program manager responsible for records	— Ensure that all sections are completed correctly
ATIPP coordinator	— Verify that potential ATIPP and other exceptions are properly identified
Legal Services	— Verify that the total retention period meets legislative requirements — Identify potential legal issues
Finance	— Confirm that retention periods are appropriate if the OTD Submission has any financial implications
Government Records Archivist	— Ensures that probable archival appraisal recommendations is complete (potential archival value must be appraised to determine final value but may not be done prior to GRC submission).

Step 2:

Send draft copies to the GRLM staff and the Government Records Archivist (GRA) at The Rooms Provincial Archives for review prior to the OTD Submission’s internal approval, as further clarifying information may be required to ensure there is sufficient description of records series titles and files for archival appraisal. Additional information may be required

to clarify this. The draft submission should include file listings, or for maps, photographs, plans, videos, each item must be listed individually.

Step 3:

When the OTD Submission has been completed, a signature by a person at the Executive level, who is clearly identified, and who has authority to sign on behalf of the department or other public body is required. The GRC is entitled to rely on the person’s signature as evidence of his/her authority.

Step 4:

Send the OTD Submission, including a signed Memo - OTD Submission to the GRC, electronically to GRLM@gov.nl.ca. If the submission contains a digital signature than no further action is necessary. If the submission is a scanned copy of signed document than forward the signed original version to the GRC. The GRC holds monthly meetings (September to June inclusive) and any OTD Submission will have to be received by GRLM staff 7 days prior to the next GRC meeting.

For further information on the GRC submission process, review the Quick Reference – Government Records Committee Submission Process (RRDS for Operation Records and OTD Submission).

5.0 Roles and Responsibilities

Deputy Minister or Permanent Head or Designate

(Department or other Public Body)

- Support their department or other public body's compliance with the MOIA, the IM&P Policy and other policy instruments issued by OCIO, and other relevant organizational IM&P legal and regulatory requirements.

Executive, Director, Manager and other resources responsible for IM

(Reporting Department or other Public Body)

- Issue appropriate direction for the development, management and implementation of OTD Submissions.

Office of the Chief Information Officer (OCIO)

- As part of OCIO's administration of the Management of Information Act, the OCIO:
 - Recommends to Treasury Board policies for adoption.
 - Develops, manages, monitors, and communicates IM&P policy instruments and supporting materials to departments and other public bodies.
 - Provides direction on IM&P best practices, resource requirements, organizational structure, recordkeeping systems and IM Programs to departments and other public bodies.
 - Assists departments and other public bodies to improve their IM&P capacity.
 - Provides IM&P advisory, training and awareness services and support to departments and other public bodies.
 - Supports IM forums, committees, and other professional practice communities, consisting of IM representatives from departments and other public bodies.
 - Manages the Provincial Records Centre (PRC).
 - Provides administrative support to the Government Records Committee (GRC).

In addition, the OCIO will:

- Maintain the Developing RRDSs for Operational Records Guideline and any associated supporting materials.
- Provide education and awareness on creation of RRDSs to support compliance with the MOIA for departments and other public bodies.

6.0 Supporting Materials and Version History

Supporting Materials

Below is a listing of supporting materials hyperlinked to the published location.

Management of Information Act

<http://www.assembly.nl.ca/Legislation/sr/statutes/m01-01.htm>

Information Management and Protection Policy, TBM 2018-111

https://www.ocio.gov.nl.ca/ocio/im/im_ip_policy.htm

Access to Information and Protection of Privacy Act, 2015

<http://www.assembly.nl.ca/Legislation/sr/statutes/a01-2.htm>

Rooms Act

<https://assembly.nl.ca/legislation/sr/statutes/r15-1.htm>

Directive – Disposition

<https://www.gov.nl.ca/exec/ocio/im/policy-instruments/disposition>

OCIO Website

<https://www.ocio.gov.nl.ca>

Version History

The following table highlights the version history of this document including date issued and version number.

Date (yyyy-mm-dd)	Version
2020-07-26	1.0

Appendices

Appendices listed below directly relate to the Guideline – Developing One Time Disposal Submissions and are published independent of this Guideline on the OCIO website.

Appendix	Title
A	Template - One Time Disposal Submission
B	Template - Memo - OTD Submission to the GRC
C	Quick Reference – Records Disposal Process (RRDS for Operation Records and OTD Submission)
D	Template – Sample File Listing