



Office of the Chief Information Officer

Guideline

Developing Records Retention and Disposal Schedules for Operational Records

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

A records retention and disposal schedule (RRDS) is a disposition authority and prescribes records retention periods and disposal plans, which apply to records in any format and authorizes disposal of records in a legal manner. A RRDS for Operational Records (also referred to as RRDS or 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.

The RRDS must include, at a minimum:

- Identification of the Office of Primary Responsibility (OPR). 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 implementing and maintaining the schedule.
- Descriptions of the records covered by the schedule sufficient to allow users to understand which records are included.
- The retention periods of the records in all stages of their lifecycle: from active, through semi-active, to final disposition.
- Legally approved for disposal in the schedule – under the Management of Information Act (MOIA) and the Rooms Act, legal disposal means one of three things: either records are destroyed, transferred to The Rooms Provincial Archives for permanent preservation or permanently retained by the department or other public body.
- Identification of Vital Records. These are records which are required to resume business of the organization in the event of catastrophe (e.g., Cabinet records, the documents describing the operations of essential IT systems, and the organization's main financial systems).

The MOIA gives authority to the Government Records Committee (GRC) to make recommendations to the Minister for the disposal of government records. The RRDS for Operational Records is a disposition authority for the legal 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 is to describe how to develop an RRDS for Operational Records. 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 RRDS.

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

- (1) Review and revise schedules for the retention, disposal, destruction or transfer of government records;
- (2) Make recommendations to the minister respecting public records to be forwarded to The Rooms, Provincial Archives;
- (3) Authorize disposal and destruction standards and guidelines for the lawful disposal and destruction of public records; and
- (4) Make recommendations to the minister regarding the removal, disposal and destruction of records. (Source: MOIA)

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”.

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)

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)

Superseded/Obsolete Document – For the purposes of OCIO IM policy instruments the definitions for a superseded and an obsolete document are:

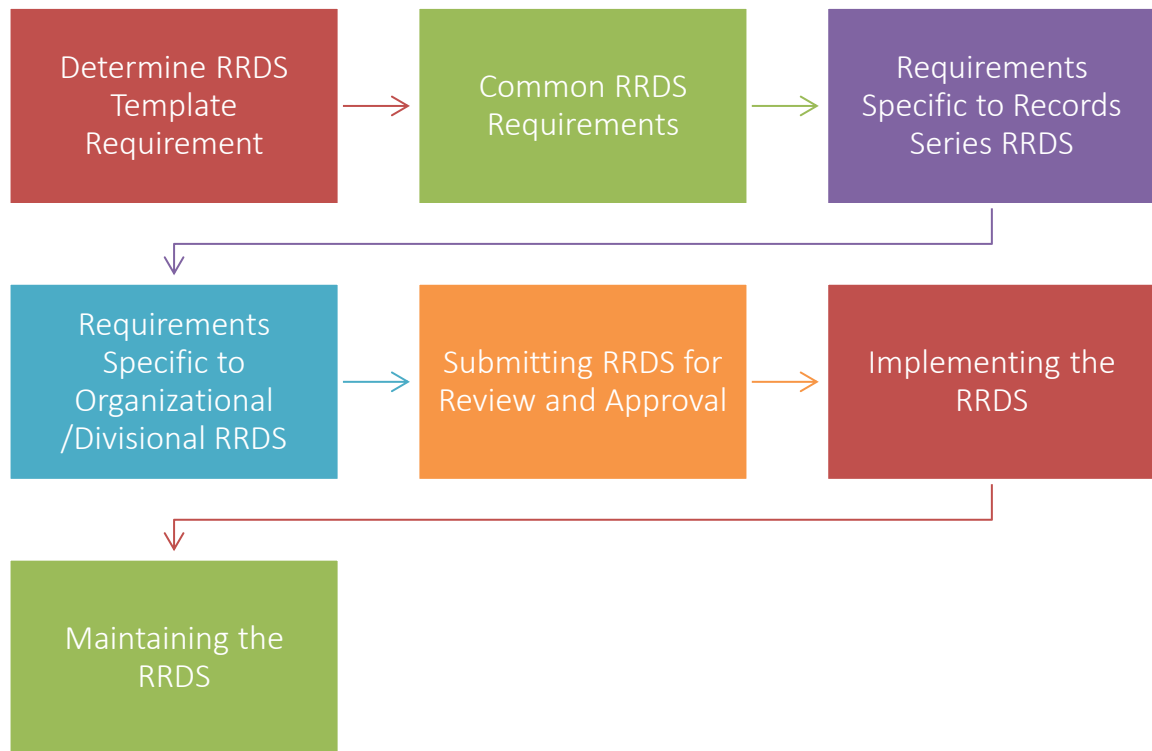
- A superseded document is a document that has been replaced by a newer version of the same document, or by a suitable other document that contains the most current, reliable and/or valuable information. For example, an old version of a directive that is replaced by a new version would be considered superseded.
- An obsolete document is a document that has lost relevance of any future use in that it is no longer appropriate for the purpose it was created for; out of date. For example, an old procedure that is no longer applicable to the current process due to advancements in technology would be considered obsolete.

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

Abbreviation	Description
ATIPP	Access to Information and Protection of Privacy
ATIPPA, 2015	Access to Information and Protection of Privacy Act, 2015
GRC	Government Records Committee
IM	Information Management
IM&P	Information Management and Protection
MOIA	Management of Information Act
OCIO	Office of the Chief Information Officer
OPR	Office of Primary Responsibility
RRDS	Records Retention and Disposal Schedule
PHIA	Personal Health Information Act

4.0 Recommended Approach

The intent of this Guideline is provide recommended actions that when implemented support the completion of an RRDS for Operations Records Submission. The approach consists of the following activities tailored, as necessary, by the department or other public body:



4.1 Determine RRDS Template Requirement

Developed by the OCIO the RRDS templates (approved by the GRC), are available on the OCIO website.

There are two standard templates for the creation of RRDSs for Operational Records:

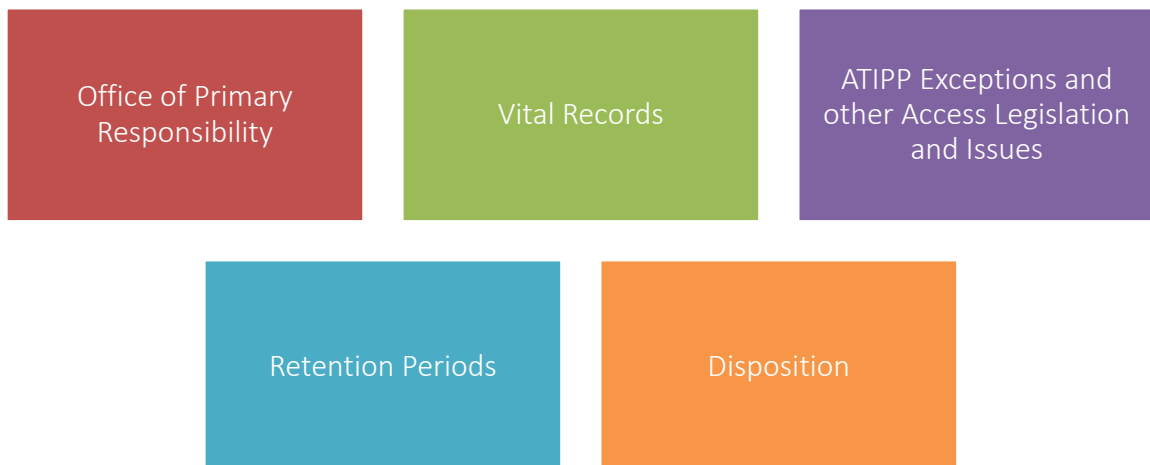
1. **Record Series RRDS** – Used when departments and other public bodies want to schedule a group of records that relate to a particular function or activity such as one records series or one type of case file. Records will result from the same activity or document the same type of transaction and will have a common retention and disposal plan.

2. **Organizational / Divisional RRDS** – Used when a department or other public body wishes to schedule all or most of the records of a program or division of an organization. Some departments or public bodies may organize their records based on a hierarchical classification, which may further define primary and secondary levels.

There are common requirements, regardless of template type, as well as specific requirements depending on the type of RRDS for Operational Records (Record Series or Organizational/Divisional) being developed.

4.2 Common RRDS Requirements

The department or other public body must identify or determine the following criteria regardless of current records management practices or the type of standard template chosen (i.e., Records Series or Organizational/Divisional).



4.2.1 Office of Primary Responsibility

The Office of Primary Responsibility (OPR) is the organizational unit (branch or division) that maintains the authoritative government record (sometimes called the “original” or “official” record). Organizations are only required to create schedules for the disposal of records for which they are the OPR. Assessment of any non-OPR records in the custody of an organization is necessary to determine if the records are potentially transitory, relevant under the Corporate Records Information Management Standard (CRIMS) or have need of a transfer decision; adherence to applicable disposition authorities and processes is required.

4.2.2 Vital Records

A vital record is a record that is crucial to business operations or a record identified as essential for the continuation of an organization during or following a disaster. Such records are required to recreate the organization's legal and financial status and to support the rights and obligations of employees, customers, shareholders and citizens. Identifying a group of records as vital may mean additional management and security requirements.

4.2.3 Access to Information and Protection of Privacy Act, 2015 (ATIPPA, 2015)

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;
- Impact conditions under which the records may be transferred to The Rooms Provincial Archives. Records being transferred to The Rooms Provincial Archives may be made available to the public. If records must be closed to the public, it must be identified in the RRDS; and
- Requests to access records transferred to The Rooms Provincial Archives that contain Section 30, 34 and 35 exceptions to access issues or have legislation that supersedes ATIPPA, 2015 will have to be determined by the creating department or other public body.

Identification of potential ATIPPA, 2015 exemptions must be done in consultation with the organization's ATIPP Coordinator. ATIPPA, 2015 exemptions are outlined in the chart that follows.

Section	Exception
27	Cabinet Confidences
28	Local public body confidences
29	Policy advice or recommendations

Section	Exception
30	Legal advice
31	Disclosure harmful to law enforcement
32	Confidential Evaluations
33	Information from a workplace investigation
34	Disclosure harmful to intergovernmental relations negotiations
35	Disclosure harmful to the financial or economic interests of a public body
36	Disclosure harmful to conservation
37	Disclosure harmful to individual or public safety
38	Disclosure harmful to Labour relations interests of public body as employer
39	Disclosure harmful to business interests of a third party
40	Disclosure harmful to personal privacy
41	Disclosure of House of Assembly service and statutory office records
n/a	Not applicable
Other	Other Federal or Provincial Acts or Regulations that prevail over ATIPPA, or other Provincial Legislation that affects access

Other Exemptions:

1. Document other legislation that can affect access to records
2. Provincial Regulations or Acts that prevail over ATIPPA, 2015 and Personal Health Information Act (PHIA) must also be listed, as outlined in Newfoundland and Labrador Regulation 11/07.

If the RRDS contain records from Federal sources, the Privacy Act may apply. The applicable legislation must be identified.

Note: Records transferred to The Rooms Corporation, Provincial Archives Division 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.

4.2.4 Retention Periods

A retention period represents the period of time in which a record must be kept or “retained”.

Acronym	Description
ACT	Active: Identifies how long the records will be stored onsite to support operational requirements. Expressed using the acronyms CY, FY, ED or S/O (as explained below) plus the total number of years.
SA	Semi-Active: Identifies how long records are stored in semi active storage to fulfill operational and legal requirements for retention. Typically expressed as a number of years. CY or FY (as explained below)
CY	Calendar Year: The retention period is applied at the end of the calendar year, December 31st (e.g., CY+2 means that records will be retained for the current calendar year plus an additional 2 years for a total of 3 years).
FY	Fiscal Year: The retention period is applied at the end of the fiscal year, March 31st (e.g., FY+2 means that records will be retained for the current fiscal year plus an additional 2 years for a total of 3 years).
ED	Event Date: The retention period is applied when an event has occurred (e.g. ED+2 means that records will be retained for 2 years after the end of a project). Event date should be identified in RRDS and should clarify if year is CY or FY.

Acronym	Description
S/O	Superseded/Obsolete: The retention period is applied when a document has been superseded (replaced by a newer version of the same document or by another document that contains the most current information), or when a document is obsolete (no longer appropriate for the purpose it was created for).
N/A	Not applicable: This element of the RRDS does not apply.

Retention periods must be identified for records in all stages of their lifecycle: from active, through semi-active, to final disposition.

Active Stage

Active Storage identifies how long records need to be easily accessible to support ongoing operations. This usually means keeping them onsite in the office or within the building of immediate use.

When determining how long records need to be retained in active storage, the best source is the employees who actually use the records.

There are two options for assigning the time period for the active stage in the records lifecycle:

1) Time-based retention

- a. Easy to implement because records are simply boxed up and transferred at the end of the calendar or fiscal year
- b. Expressed as either Calendar Year (CY) + # of Years or Fiscal Year (FY) + # of Years

2) Event-based

- a. Used when the disposal of records is dependent on something happening such as the resolution of a claim, completion of a project, etc.

- b. More effort to implement because it requires tracking the retention events in order to implement the schedule when they occur
- c. Expressed as either Event Date (ED) + # of Years or Superseded/Obsolete (S/O)+ # of Years either CY or FY.
- d. Identify what the Event Date symbolizes (i.e ED = File Closed). This will ensure individuals in the future will understand what the event date is and can apply the appropriate retention.

Semi-Active Stage

Semi-active storage identifies how long records need to be retained by the department or public body (usually off-site) to meet both operational and legal retention requirements. When completing this section, the best source for this information is:

- Employees who use the records
- Subject matter experts
- RRDS used by other jurisdictions may be helpful in identifying industry standards and any applicable federal government requirements
- Legislation
- Legal Agreement
- Legal Counsel

Final Disposition Stage

Final disposition refers to what happens to the records when the department or public body has fulfilled all of its operational needs and legal obligations to retain its records.

4.2.5 Appraisal

The Rooms Act gives authority to the Government Records Archivist (GRA) to appraise government records for archival value and to assist with determining the appropriate disposition. This appraisal will identify which records have enduring value for permanent preservation and what records are non-archival and can be securely destroyed upon

completion of the retention period. The GRA must be notified at the beginning of the RRDS development process, after the initial draft is created.

Once notified that a RRDS is being developed the GRA will work with the department or other public body as well as IM Advisory Services (OCIO), if necessary, to assist in the below activities:

- Estimate how long the archival appraisal will take based on the scope of the RRDS
- Ensure that resource considerations, such as staff availability, are communicated as a critical component in order to review RRDS based on the proposed timeline
- Identify whether other staff from The Rooms Provincial Archives will need to be involved in appraisal. This will be based on information formats and the scope of the RRDS
- Undertake necessary research related to the RRDS including:
 - Organizational history
 - Similar retention schedules from other jurisdictions
 - Contacting staff of the department or other public body to gather additional information.

The below table outlines the outcomes of the appraisal assessment to be included in the disposition authority (i.e., RRDS for Operational Records or OTD).

Acronym	Description
D	Destruction: Records will be securely destroyed when retention requirements have been met.
AR	Archival Retention: All records in a particular record series will be retained by The Rooms Provincial Archives when the department or public body has fulfilled operational and legal requirements to maintain the records.

Acronym	Description
SR	Selective Retention: A portion of the records will be retained by The Rooms Provincial Archives when the department or public body has fulfilled operational and legal requirements to maintain the records. In the case of Selective Retention (SR), the Government Records Archivist will determine the parameters for these records (e.g., projects with a dollar value above XX or claims that result in a financial settlement). It will be up to the creating department or other public body to apply the appraisal criteria.
PRD	Permanent Retention by Department: Records that are required to be kept indefinitely by a public body because of a statutory/regulatory requirement or the physical format of the records or a specific/enduring business need. In the case of Permanent Retention by Department (PRD), the Government Records Archivist will not accession these records and they will remain under the custody and control of the department or other public body.
N/A	Not applicable: This element of the RRDS does not apply.

4.3 Requirements Specific to Record Series RRDS

The Template - RRDS for Operational Records (Records Series) is available on the OCIO website. In addition to the common requirements described above a department or other public body must identify, describe or determine the following:



4.3.1 Business Unit

Specify the name of the department or other public body and business unit at the time of RRDS submission.

4.3.2 Business Unit Overview

Provide a high-level overview of the business unit capturing the mandate of the unit; typically found in documents such as an organization's Business Plan and Annual Report.

4.3.3 Record Series

Identify the record series for scheduling. 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 have a common retention and disposal plan. Examples include personnel records, procurement records, and complaint files. Completing the description may require interviews with subject matter experts and program specialists within the organization to verify that all descriptive information has been identified and is accurate. A sample list of interview questions is available on the OCIO website. At a minimum, the following information must be captured when describing the record series:

- What information the record series contains
- The functions of the record
- The creator and users of the records and how they are used
- The record format (e.g., electronic, paper, film, etc.)
- The legislation that affects the records

4.4 Requirements Specific to Organizational / Divisional RRDS

A department or other public body who manages their records according to their business function or activity would schedule their records using the Template - RRDS for Operational Records (Organizational/ Divisional) on the OCIO website. Some departments or and other public bodies may organize their records based on a hierarchical classification that may further define primary and secondary levels. Secondary levels are not mandatory , but may offer value, such as is providing further context/clarity to the types of records managed and maintained under a particular record series; identification is required if part of your classification scheme.

In addition to the common RRDS requirements, the following information must also be defined:



4.4.1 Overview

Provide a high-level overview of the business unit capturing the mandate of the unit; typically found in documents such as the organization’s Business Plan and Annual Report.

4.4.2 Administrative History

Provide a high-level overview of when the department or other public body was established and any relevant organizational changes of importance.

4.4.3 Organizational Structure

Provide the current organizational structure identifying roles/positions only. Exclude individual names from the diagram.

4.4.4 Classification Plan

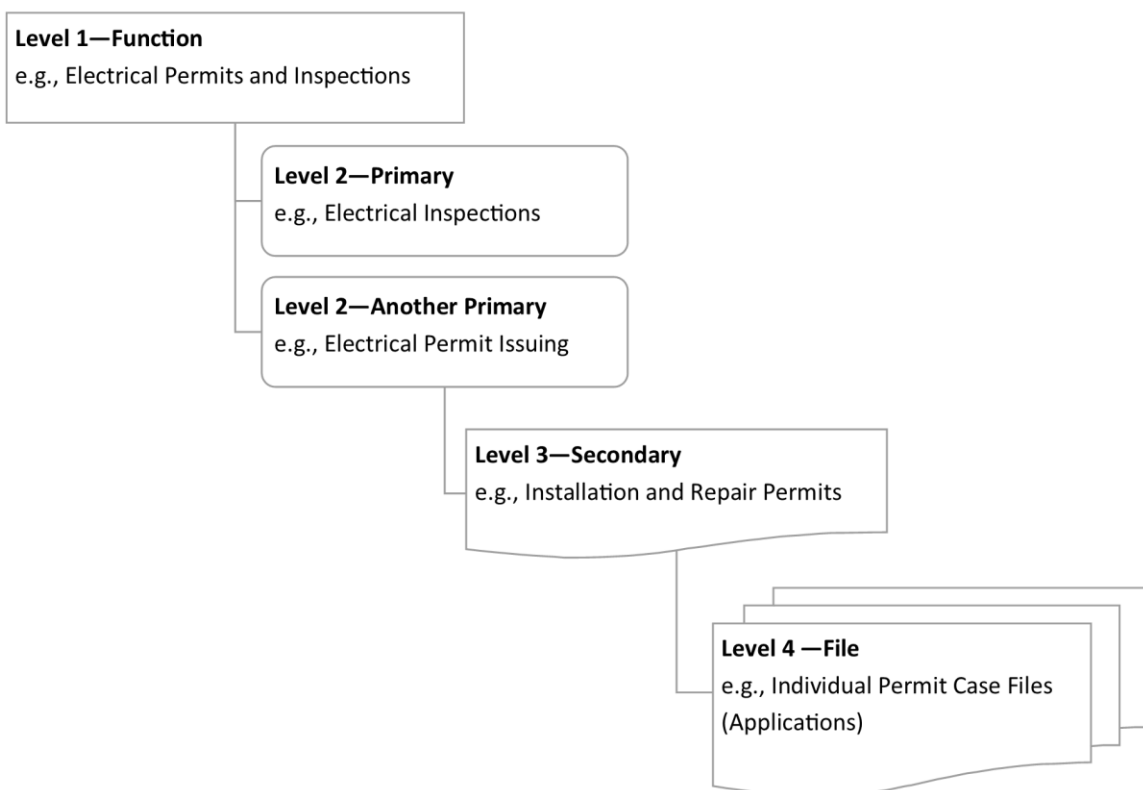
A hierarchical classification plan organizes records in a fashion that makes it easier to manage them through their lifecycle. Classification plans for operational records capture business functions relevant to a department or other public body, rather than subjects, the labels used to describe each level of the hierarchy will be different.

The hierarchical structure of the classification plan is three-tiered, going from the general to the specific, followed by individual containers or folders at the “file level” as the fourth level shown on the following page. The number of levels used will vary from organization to organization and are generally referred to as the following, which are explained below in more detail:

Level	Description - Hierarchal Structure
Function	<p>The function is at the highest level on the classification plan and clusters together the next level of sub-functions and activities relating to that function. It represents a grouping of primary activities required to meet a particular mandate.</p> <ul style="list-style-type: none"> — For example, Electrical Inspection and Electrical Permit Issuing are sub-functions of Electrical Permits and Inspection and therefore are identified as separate primaries grouped under this function.
Primary	<p>The primary is the next level and represents a grouping of secondary functions and activities that support the function it is attached to at the higher level.</p> <ul style="list-style-type: none"> — For example, the activities of receiving permit applications, review and approval by the Chief Electrical Inspector and the issuing of permits for electrical work in installation and repairs and electrical maintenance that support the primary Electrical Permit Issuing would form secondaries under this primary.
Secondary (optional)	<p>The secondary is the next level and represents groupings of activities performed and some record series that support the higher level. We recommend using two types of secondaries: common and function specific secondaries.</p> <ul style="list-style-type: none"> — Common secondaries are those activities and record series commonly listed under each primary (e.g., Working Groups). See CRIMS for common secondaries. — Function specific secondaries are specialized types of activities and records series that are unique to that primary (e.g., Installation and Repair Permits under the Primary called Electrical Permit Issuing).

The below graphic is a visual representation of a hierarchal structure for a classification plan based on function, primary, secondary and file level.

Hierarchical Structure - Classification Plan



Graphic: Hierarchical Structure - Classification Plan

4.4.5 Scope Notes

Scope notes provide users with enough information to assist them in making the correct decision for identifying and capturing their records. This information is also important when developing an RRDS. For effective communication, the descriptions must be consistent. Each upper classification level refers to the next lower classification level by describing the groupings at the next lower level. See the below Scope Notes Example Table.

The description must contain a statement that includes the following types of information:

- 1) a definition of the function, primary or secondary;
- 2) a summary of the primaries or secondaries or records series beneath that level in the hierarchy; and
- 3) the types of information and records found in that specific classification. As you descend the level, additional information may be included (e.g., specific filing arrangements or a cross-reference to another classification).

The below table provides examples for the type of information required to include at the various levels.

Level	Example - Scope Notes
Level 1 – Function Scope Notes	Electrical Permits and Inspection The Electrical Permits and Inspection function provides a means to ensure public safety through regulation of electrical work carried out by certified electricians and registered contractors. The Chief Electrical Inspector reviews applications, approves and issues electrical permits allowing electrical work to be carried out and conducts inspections of contractors' electrical work as defined in the Public Safety Act, snl1996 c.p-41.01 and Electrical Regulations nlr120/96.
Level 2 - Primary Scope Notes	Electrical Permit Issuing Chief Electrical Inspector review and approval of permit applications that must be issued before installation or repair of any electrical equipment commences. The primary includes the issuance of two different permits: one for electrical installation and repair and the other for electrical maintenance.
Level 3 - Secondary Scope Notes	Installation and Repair Permits Case Files Use for application submissions for electrical installation and repair permits for both single and non-single dwellings. Information includes permit applications, specifications of electrical work, building plans, approvals, permits, declines, and appeals. Arranged by applicant name and permit number

4.5 Submitting for Review and Approval

When the Template – RRDS for Operational Records (Organizational/Divisional or Records Series) is completed, undertake a final review to ensure that all requirements are completed. The review should include discussion with the following individuals, highlighted in the below table by review role and review task:

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 RRDS contains any financial implications
Government Records Archivist	— Ensures that archival appraisal is complete

Once the department or other public body has completed the final internal review of the RRDS the head of the public body (Deputy Minister, Chief Executive Officer, Assistant Deputy Minister, Vice-President or equivalent) must approve the RRDS for Operational Records Submission and forward to the GRC. A Quick Reference – Submission Process (RRDS for Operational Records and One Time Disposal) and a Template – Memo - RRDS for Operational Records Submission to the GRC is available on the OCIO website.

Note: Forward submissions electronically to GRLM@gov.nl.ca. If documents include electronic signatures, the original signed paper copy is not required by the GRC. The GRC holds monthly meetings (September to June inclusive) and any RRDS for Operational Records Submissions will have to be received by GRLM staff 7 days prior to the next GRC meeting.

4.6 Implementing the RRDS

The department or other public body is responsible for the ongoing implementation of approved RRDSs for Operational Records in a consistent and timely manner as a course of regular business. This includes:



4.6.1 Secure Destruction of Records

For records that have an appraisal assessment of destruction there is additional guidance available on the OCIO website related to the secure disposal of records. The department or public body must retain the certificate of destruction to show that destruction of records had legal authority. Must also retain lists of records destroyed.

4.6.2 Transfer of Records to Semi-Active Storage

Semi-active storage includes transfer of records to the Provincial Records Centre (PRC), a commercial storage facility, or a storage facility owned and operated by the organization. Records storage at the PRC is available to those departments and other public bodies IT-supported by the OCIO.

The PRC provides secure storage for the following classes of semi-active government records:

- Vital Records that are identified as either crucial to a mission critical business operation or essential for the continuation of an organization during or following a disaster.
- Records for which the legal or operational needs of the department or other public body dictate that custody and/or control of the information must remain within government.
- Records that, due to their archival value or historical significance, are to be transferred to The Rooms Provincial Archives when no longer required by the department or other public body.
- Records which have longer than usual semi-active retention periods may be considered, to lessen the burden of commercial or owner operated storage costs on departments and other public bodies.

Records must have an approved Records Retention and Disposal Schedule (RRDS). Refer to IM Advisories for Preparing Paper Records for Offsite Storage and Transferring Records to the PRC.

Commercial storage maybe used for secure storage of government records. Departments and other public bodies are responsible for the fees associated with using commercial storage. Contact the Public Procurement Agency for information regarding this service.

4.6.3 Transfer of Records to The Rooms Provincial Archives

The Rooms Provincial Archives will accept records (pre-approved by the GRC) as having the final disposition of Archival or Selective Retention on the RRDS. Consult with the Government Records Archivist on how to transfer records to The Rooms Provincial Archives. Note: Identification of ATIPPA, 2015 restrictions and other access restrictions must occur at the file level.

IM policy instruments and other supports, related to preparing records for offsite storage and are available on the OCIO website.

4.6.4 Listing of Destroyed Records (Record of Destruction)

The department or other public body must permanently retain all records of destructions including, but not limited to, the below information:

- a listing of what was destroyed
 - titles;
 - date range;
 - authority to destroy; and
- the certificate of destruction.

4.7 Maintaining the RRDS

A continual review of the RRDS must occur to identify whether amendments are needed, change of ownership is required, or validity of RRDS has changed. Departments and other public bodies are required to notify the GRC of any changes. Additional supports are available on the OCIO website to assist with completion an amendment to an RRDS.

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 RRDSs for Organizational Records.

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>

Access to Information and Protection of Privacy Act, 2015

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

Information Management and Protection Policy

<https://www.gov.nl.ca/exec/ocio/files/im-im-ip-policy.pdf>

Directive – Disposition

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

Guide to IM for Public Bodies

<https://www.gov.nl.ca/exec/ocio/im/practitioners/chart/>

OCIO Website

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

Version History

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

Date (yyyy-mm-dd)	Version
2021-07-26	1.0

Appendices

Appendices listed below directly relate to the Guideline – Developing RRDSs for Operational Records and are published independent of this Guideline on the OCIO website.

Appendix	Title
A	Template - RRDS for Operational Records (Records Series)
B	Template - RRDS for Operational Records (Organizational/ Divisional)
C	Template - Sample List of Questions for RRDS Interviews
D	Template – Memo - RRDS for Operational Records Submission
E	Quick Reference – Submission Process (RRDS for Operational Records and One Time Disposal)
F	Quick Reference - Maintaining and Amending RRDSs for Operational Records
G	Template - Memo for Amending RRDSs for Operational Records
H	Template – RRDS Amendment Summary – RRDS for Operational Records
I	Quick Reference - Summary of ATIPP Exceptions