



Office of the Chief Information Officer

# Guideline

## Information Management Employment Cycle

### Governance

Authority: Office of the Chief Information Officer

Audience: 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 (hereinafter referred to as "individual").

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**Notice:**

The Office of the Chief Information Officer (OCIO) is mindful of creating and delivering accessible materials, in line with the Government of Newfoundland and Labrador's Accessible Communications Policy. New materials created by OCIO align with policy requirements and modifications to existing materials will occur as part of the standard review cycle.

This document is available in alternate format. Please contact [OCIO@gov.nl.ca](mailto:OCIO@gov.nl.ca).

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## 1.0 Overview

During employment, individuals acquire specialized knowledge about an organization, including access to personal, sensitive client and/or commercial information. Knowledge is essential to any position, and the growing power of technology means that many employees may be privy to a great deal of important information. This coupled with trends toward employees working more remotely, makes requirements for managing information even more significant.

This Guideline provides individuals with advice on how to manage information when there are changes in the employment cycle. Information that is created or received by a department or other public body to support mandated programs and services is the property of that organization. Therefore, information must be managed appropriately when an individual's employment changes to ensure proper retention.

This Guideline applies to all government departments and other public bodies as defined under the Management of Information Act (MOIA) and issued under the authority of the Information Management and Protection Policy (IM&P). The IM&P establishes the foundation for development of all IM&P policies, directives, standards, guidelines and procedures by the OCIO and provides the OCIO with a comprehensive approach in addressing IM&P governance.

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**

This Guideline – Information Management Employment Cycle provides advice for public service employees at all levels to ensure the proper management of their organization's information through the employment cycle. The employment cycle refers to the stages through which an employee transitions through their career/work life with the Government of Newfoundland and Labrador. Specifically, for those who are departing on a permanent basis due to attrition, termination, or for an extended leave of absence.

Implementation of this policy will assist with information management governance and will aid departments and public bodies in meeting accountability requirements under the MOIA, Access to Information and Protection of Privacy Act (ATIPPA), and The Rooms Act.

### 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.

**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 MOIA.

**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)

**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 ([Management of Information Act SNL2005 c.M-1.01](#)) and in some cases may be used interchangeably with the term “departments and other public bodies”.

**Public Body** – Public Body – As defined under the MOIA:

- 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)
- (Source: Management of Information Act SNL2005 c.M-1.01)

**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: [Management of Information Act SNL2005 c.M-1.01](#))

**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, Guideline– Developing One Time Disposal Submissions OCIO Reference: DOC02293/2021 Page 8 of 18 financial management, information and information technology management, and equipment and supplies (material) management. (Source: CRIMS)

**Government Record** – 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 that has been approved by the Government Records Committee (GRC). (Source: [Management of Information Act SNL2005 c.M-1.01](#))

**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 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: [Management of Information Act SNL2005 c.M-1.01](#))

**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)

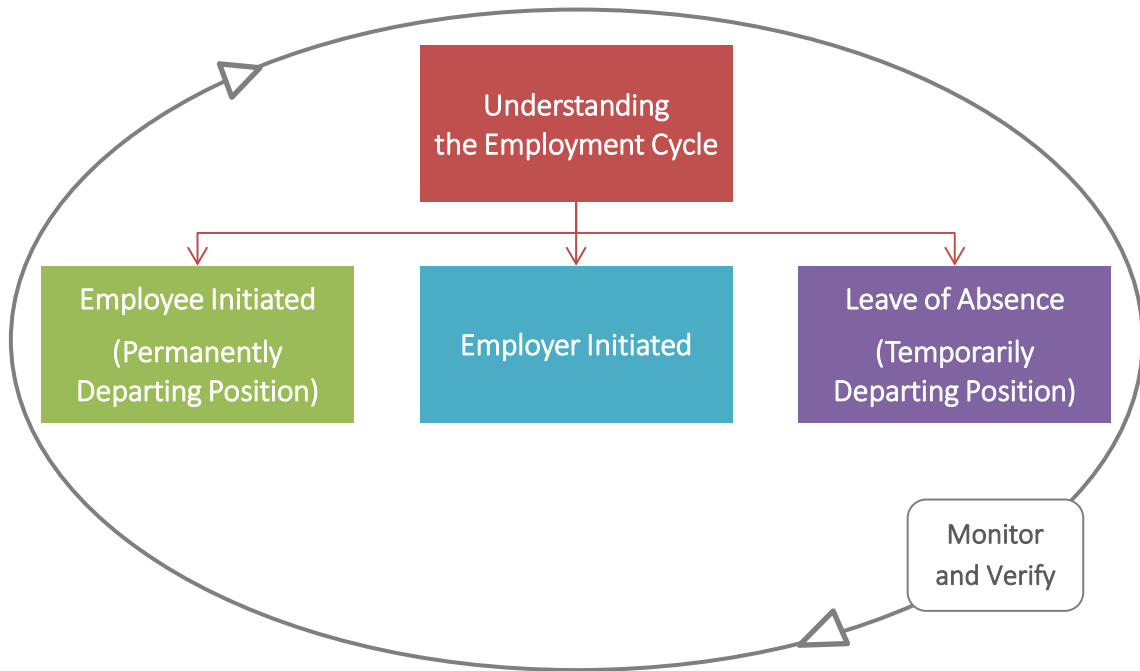
The table below includes common abbreviations used by OCIO as well as acronyms found within this document.

Abbreviation	Description
ATIPPA	Access to Information and Protection of Privacy Act, 2015
GRC	Government Records Committee
HR	Human Resources
IM	Information Management
IM&P	Information Management and Protection
MOIA	Management of Information Act
PRC	Provincial Records Centre
OCIO	Office of the Chief Information Officer



## 4.0 Recommended Approach

The intent of this Guideline is to provide recommended actions that, when implemented, support the management of an organization’s information through changes in the employment cycle. The approach consists of the following activities, tailored by the department or other public body as necessary, to meet its unique mandate and lines of business:



### 4.1 Understanding the Employment Cycle

Departments and other public bodies are strongly encouraged to implement the recommended approach described in this Guideline to minimize the impact of employees leaving before information belonging to the organization is retained properly.

For the purpose of this document, the employment cycle refers to the stages through which an employee transitions through their career/work life with the Government of Newfoundland and Labrador, including all departments and other public bodies as defined under the MOIA.

OCIO recommends the following guidance grouped into three categories to support an effective employment cycle:

- Employee Initiated
- Leave of Absence
- Employer Initiated

When an employee is departing on a permanent basis due to new employment, attrition, or for an extended period for medical leave, or requested leave of absence, there are responsibilities for ensuring that any records created/collected in the course of their work are managed properly. Consideration must be given to both paper and electronic records on file shares, email systems, and office filing cabinets.

#### 4.1.1 Employee Initiated (Permanently Departing Position)

When an employee resigns their position in a department or public body, on a permanent basis (i.e., transfer to another department, attrition), or making significant change in a position within the same department or public body, or finishing a contract, they are responsible for ensuring that any records created/collected in the course of their work are managed properly. Consideration must be given to both paper and electronic records on network drives, email systems, and office filing cabinets.

Departing employees should meet with their immediate supervisor to review their IM responsibilities to ensure the continuation of the program and services supported by them following their departure.

In the period prior to departure, there are responsibilities that both an employee and manager should ensure are carried out:

Steps	Details/Example Action
1. Prior to Departure	<p><b>Manager</b> to meet with the employee prior to departure (the earlier the better) to establish a plan early in the notification period to identify required activities including, but not limited to:</p> <ul style="list-style-type: none"> <li>○ Dispose of information assessed as transitory records.</li> <li>○ Transfer and/or disposal of government records as per approved disposition authorities.</li> <li>○ Transfer of records to the organization’s recordkeeping system.</li> <li>○ Identify staff to whom other information must be transferred prior to departure.</li> </ul>

Steps	Details/Example Action
2. Transfer Records	<b>Employee</b> should in coordination with their manager take steps to manage records in their file shares, email account or in paper format. It is important that all information required to support ongoing operations be transferred, as appropriate, either to another employee or to the organization’s information recordkeeping system.
3. Terminate Access	<b>Manager</b> should submit a request to the OCIO Service Desk to terminate access to government network accounts and applications which the employee no longer requires access upon termination date.

**4.1.2 Leave of Absence (Temporarily Departing Position)**

An individual may be granted leave from their position for an extended period with the expectation that they will return to that same or similar position in the future.

When an individual’s access to the government network requires suspension due to leave of absence (i.e., medical leave, temporarily assigned to another public body), the OCIO still requires notification. A request should be submitted to the OCIO Service Desk notifying them of the date the employee will begin their leave of absence.

In this instance, the OCIO will disable the account and transfer the data to the individual’s manager or designate. This information can be restored to the individual upon their return to work.

**4.1.3 Employer Initiated**

Termination by an employer occurs for many reasons. When an employee leaves a department or other public body, no matter the reason, it is critical that the employee’s records are retained in accordance with the MOIA.

Termination of employment typically happens immediately, therefore a process should already be established to protect important information. Your department or public body’s Human Resource (HR) representative will be critical in assisting in this process. Particular attention should be given to:

Steps	Details/Example Action
1. Disable Network Account(s)	<b>Manager</b> should request the OCIO Service Desk terminate access to government networks immediately prior to notice of termination.
2. Disable Access to Building	<b>Manager</b> should request that physical access to building is terminated prior to notice of termination.
3. Escort Employee	<b>Manager</b> should ensure terminated employee is not left alone within the organization after notice of termination and should be escorted to an exit.
4. Assess Assets	<b>Manager</b> should determine if employee has any assets at home that may contain government records (i.e., laptop, tablet, cell phone), and take necessary steps to retrieve these assets.

## 4.2 Monitor and Verify

A review and validation of compliance and performance are mechanisms for monitoring and verifying IM. Supports and processes need to be lifecycle managed to ensure they are providing accurate and relevant information to the organization and assessed to validate that they continue to support IM compliance.

## 5.0 Roles and Responsibilities

### Deputy Minister or Permanent Head or Designate

#### (Department or other Public Body)

- Enforce this Guideline across their department or public body.
- Support the department or other public body's compliance with MOIA as well as OCIO-issued policies, directives, standards and guidelines, and ensure that proper protocols are in place to properly manage the organization's information through the employment cycle.

### Executive, Director, Manager and other staff responsible for IM

#### (Department or other Public Body)

- Issue direction to individuals on the organization's protocols for managing the organization's information through the employment cycle.
- Ensure that all individuals receive training in both OCIO-issued and organizational policy instruments regarding the management of information through the employment cycle.

### Management and other supervisory staff

#### (Department or other Public Body)

- Ensure all individuals within the program or service area of responsibility are aware of this Guideline and other related policy instruments.
- Provide direction to individuals working on behalf of the department or other public body on managing the organization's information through the employment cycle.

### Office of the Chief Information Officer

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:

- Develop, implement and maintain this Guideline and supporting materials.
- Provide education and awareness on managing an organization's information through the employment lifecycle.

## 6.0 Supporting Materials and Version History

### Supporting Materials

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

Access to Information and Protection of Privacy Act, 2015  
<http://www.assembly.nl.ca/Legislation/sr/statutes/a01-2.htm>

Email Management (Directive, Guideline and other supports)  
<https://www.gov.nl.ca/exec/ocio/im/policy-instruments/email-management/>

FYI - Information Management Employment Cycle  
<https://www.gov.nl.ca/exec/ocio/files/fyi-employment-cycle.pdf>

Information Management and Protection Policy  
<https://www.gov.nl.ca/exec/ocio/im/policy-instruments/im-ip-policy/>

Directive – Acceptable Use of the Government Network and/or IT Assets  
<https://www.gov.nl.ca/exec/ocio/im/employees/asset-use>

Directive – Transitory Records  
<https://www.gov.nl.ca/exec/ocio/im/policy-instruments/transitory-records/>

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

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
2012 01 11	Version 1
2017 05 23	Version 2
2021 12-15	Version 3
2023 06-02	Version 4

## Appendices

Appendices listed below directly relate to the Guideline – Information Management Employment Cycle and are published independent of this Guideline on the OCIO website, <https://www.gov.nl.ca/exec/ocio/im/policy-instruments/>.

Appendix	Title
A	FYI – Information Management Employment Cycle