

# MANAGING THE RECORDS OF EXTERNAL PUBLIC BODIES

**Guideline (Definition):** OCIO Guidelines derive from **Information Management and Protection Policy, TBM 2018-111** (replaces TBM 2009-335) approved by Treasury Board. Guidelines are recommended actions, general approaches and operational behaviors. They recommend actions and are not compulsory, as they take into consideration the varying nature of information management programs. Guidelines are generally a description that clarifies what should be done and how to achieve the objectives set out in policies and directives (source: ISO/IEC 17799:2005).

<b>Issuing Branch</b>	Application and Information Management Services
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## APPROVAL AND SIGN OFF

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January 16, 2018
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**Note:** Questions related to this policy should be forwarded to [OCIO@gov.nl.ca](mailto:OCIO@gov.nl.ca)

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## 1.0 Overview

*The Management of Information Act (MOIA)* requires that each public body must implement an Information Management (IM) program to manage and protect its records. The *MOIA* applies to most public bodies in Newfoundland and Labrador with the exception of Municipalities. The Office of the Chief Information Officer (OCIO) administers the *MOIA* by providing guidance to public bodies to increase overall IM capacity. Many variables, such as size, influence the level of complexity required in an IM program necessary to comply with the *MOIA*.

Public bodies that are large maintain full corporate, administrative and information technology (IT) services. As such, IM program requirements are detailed and resources can be made available to meet them internally. Some examples include: Memorial University of Newfoundland, The College of the North Atlantic, Nalcor, NL Housing, Newfoundland and Labrador Eastern School District and the Regional Health Authorities. For these public bodies the OCIO recommends use of the *Guide to Information Management for Public Bodies* to develop a comprehensive IM program.

Many government public bodies are small and do not have internally supported corporate, administrative and/or IT services. These public bodies take direction on administrative requirements from the departments to which they report. This guideline provides an approach for departments to support these small entities on their IM requirements, which will enable the small entity to fulfill their obligations under *MOIA*.

For the purposes of this guideline, the OCIO uses the public body type indicated below to distinguish between the various references to public bodies that exist with the Government of Newfoundland and Labrador.

Public Body Type	Description
Reporting Entity	Internal public body that is part of core government, i.e.: the Department which an external entity reports.
Large Entity	External public body that <ul style="list-style-type: none"> <li>• is not part of core government</li> <li>• internally supports the corporate, administrative and/or IT services</li> <li>• reports to a government department through its Minister.</li> </ul>
Small Entity	External public body that <ul style="list-style-type: none"> <li>• is not part of core government</li> <li>• does not internally support the corporate, administrative and/or IT services</li> <li>• reports to a government department through its Minister</li> <li>• directed on administrative requirements by the departments to which they report.</li> </ul>

## 2.0 Purpose

This guideline provides departments (reporting entities) with external public bodies and those responsible for administering the small entity with an approach to assess and demonstrate compliance with the *MOIA*.

## 3.0 Scope

This guideline includes elements or issues to consider when assessing IM program needs within a small entity. Features that may determine whether a public body is considered small include but are not limited to:

- May not have the operational need or resources to support independent/internal IM or IT services.
- May not receive centralized Government of Newfoundland and Labrador administrative (e.g. finance, Human Resources) or IT (e.g. government network access, application support) services.
- May be a Category 2 or Category 3 public body under the *Transparency and Accountability Act*.

## 4.0 Background

### 4.1 The Management Of Information Act

*The Management of Information Act* is the primary legislation that prescribes requirements for the management and protection of government records and information. Government records include any media capable of capturing information including paper records, electronic records, email messages, system data, etc. The value of records is dependent on its significance to the event, transaction, activity or process to which it relates and not to its format.

A public body must be able to produce government records to demonstrate how it carried out its mandate. The burden rests with the public body to identify, manage and protect the government records necessary to meet compliance, accountability and transparency requirements. The *MOIA* requires authorization of the Government Records Committee (GRC) to dispose of a government record. This protects public bodies by providing a legal authority to dispose of records. Internal disposal processes are encouraged to ensure there are no known legal issues that require a delay of the disposal (e.g. ongoing litigation, information request made under the *Access to Information and Protection of Privacy Act* (ATIPPA, 2015)). The GRC recommends public bodies have an approved Records Retention and Disposal Schedule (RRDS) to manage its government records. Disposal alternatives include either secure destruction or transfer to the Rooms Provincial Archives for records identified as vital records – permanent retention by the creating public body.

## 4.2 IM Program Requirements

IM Program requirements vary depending on the size and complexity of a public body as well as the nature of its mandated functions. For example, a transaction-based organization that processes payments in return for licenses, permits or other services varies greatly from that of a policy-based organization engaged in extensive consultation, research and analysis. At a minimum, a public body's IM program should ensure:

- Complete, accurate and reliable records are created to demonstrate the activities undertaken by the public body to meet its mandate.
- Sensitive information, including information that is defined as personal or exempt from public access as per the *ATIPPA, 2015*, is used, shared and stored in an appropriate manner.
- Information and records must be disposed when the public body has met all operational and legal requirements for retention via official methodology. Disposal means either secure destruction under an approved RRDS or transfer to the Rooms Provincial Archives as per the requirements set forth in the *Rooms Act*.

## 4.3 The Public Body - IM Mandate

Section 2(d) of the *MOIA* establishes those public bodies to whom it applies. It includes all public bodies regardless of their size, budget or complexity and is defined as:

- a department created under the *Executive Council Act* or a branch of the executive government of the province,
- a corporation, the ownership of which, or a majority of shares of which, is vested in the Crown,
- 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,
- a court established under an Act of the province,
- the House of Assembly and committees of the House of Assembly.

A listing of the public bodies to which the *MOIA* applies is located on the OCIO website through the [Legislation page](#).

Section 6 of the *MOIA* provides the following direction to the permanent head of a public body:

(1) A permanent head of a public body shall develop, implement and maintain a record management system for the creation, classification, retention, storage, maintenance, retrieval, preservation, protection, disposal and transfer of government records.

(2) A system required under subsection (1) shall provide for retention periods and disposition by: destruction, or transfer to the archives, in accordance with the guidelines and schedules established by the Government Records Committee.

(3) A permanent head of a public body shall ensure that the retention, disposal and removal of public records is carried out in accordance with this Act.

#### 4.4 The Role of Public Bodies

Public bodies are directed to meet limited and defined objectives under their overall mandate. Activities may include advisory, adjudicative or regulatory functions as well as provision of services. Public bodies benefit from the ability to engage subject matter experts from the general public. While membership may include public sector employees, public bodies are often composed of individuals that do not have an employment contract with government or access to government resources (e.g. IT). Public bodies provide objective and unbiased services, guidance and decisions.

Public bodies must retain those records required to demonstrate compliance, transparency and accountability. Because public bodies are often accountable to another public body, they must meet common operating and reporting requirements. There are a wide range of public bodies working to support public policy, programs and services across Newfoundland and Labrador. No two share the same mandate, purpose or organization.

However, there are general similarities or characteristics, which include but are not limited to:

- Mandated with a limited or specific set of functions. From an IM perspective this may mean limited types or groups of records (record series) need to be managed.
- Members may be named (e.g. hold a position that is identified by legislation) or appointed through a process prescribed by the *Independent Appointment's Commission Act* and/or the *Public Service Commission Act*.
- May engage a combination of individuals from the general public, industry or trades to participate in activities for which there may or may not be remuneration.
- A member of the public sector may be appointed to a public body as a matter of personal interest outside the scope of their employment role (e.g. a government employee may apply to sit on a regional or special interest committee or council).

- A Minister may be appointed to participate in the activities of a public body as a part of his/her portfolio or as a personal interest. The nature of the role in the public bodies' operations may impact how information is managed.
- May operate at arms-length to government and be able to make objective recommendations, decisions, rulings, etc.
- Typically required to report to a central public body such as a government Department or a Crown Corporation.
- May need to comply with government-wide legislation including *The Management of Information Act*, *The Financial Administration Act*, *The Access to Information and Protection of Privacy Act*, *The Transparency and Accountability Act*, etc.
- May receive funding from outside the provincial government and therefore may have additional administrative compliance requirements.

Within this larger group, those defined as small:

- May have a small or limited operating budget to support mandated functions. This number typically falls under \$50,000 annually. Some public bodies rely on a central public body to administer operating funds (e.g. marketing campaigns) or to reimburse individuals for travel or expenses associated with their role in the public body (e.g., hotel, taxi, airfare). Such records are necessary to support compliance with the *Financial Administration Act (FAA)*.
- Have fewer than 15 individuals engaged in work on the public body's behalf.
- Have limited or no access to administrative or IT resources. Large public bodies have an internal administrative complement or are likely provided direct access to the public bodies' support infrastructure.

The limited size and scope of a smaller public body does not reduce the accountability under the *MOIA* to manage and protect information.

#### **4.5 The Role of OCIO - Supporting IM**

The OCIO administers the *MOIA* and provides centralized IM services to government departments and some public bodies. In this role, the OCIO will assist the department in providing IM support to public bodies.

To support this mandate the OCIO manages the following activities, programs and services:

- Develops IM policies, directives, standards and guidelines for government as authorized by TBM2009-335 *Information Management and Protection Policy*.
- Provides direction on IM best practices, resource requirements, organizational structure and IM systems for government.

- Assists departments/agencies to improve their IM capacity.
- Provides IM consultancy services and support to public bodies.
- Supports the IM Community, consisting of IM representatives from government departments and supported public bodies.
- Manages the Provincial Records Centre (PRC).
- Supports the Government Records Committee (GRC).

Note: The OCIO Directive, Use of Non-Government Email for Work Purposes, clearly establishes that the use of non-government email is not permitted for government business. There is an exception process, but this must be managed by the head of the public body (e.g. Deputy Minister, CEO, etc.). It is recommended that public bodies discuss this process with the department responsible for their administration/support to ensure email processes used are in keeping with this directive.

#### **4.6 The Role of OCIO - Supporting IT**

Over 150 entities fall under the *MOIA*, but only half receive IT support from OCIO. For these entities, the OCIO has authority to provide all IT/IM services. Decisions around the level of support required are based on resource availability, collaboration requirements and the sensitivity of the information maintained. Direct IT support may be required for a tribunal, appeals board or commission managing individual cases or claims containing sensitive information. In such instances, the public body's Planning Service and Delivery Committee (PSDC) will engage the OCIO through Client Services Division to determine requirements. IT support must be approved by a permanent head or designate and may include the following, as well as, other services:

- Development/maintenance of a website,
- Development/maintenance of content/collaboration websites,
- Provision of government-issued email accounts to individuals,
- Remote Access tokens,
- Access to the government network or IT assets (e.g. Network File share, Business Application),
- Provision of equipment (e.g. Laptops, Tablets, Encrypted Portable Storage devices, etc.),
- Access to Government email accounts.



## 5.0 Recommended Approach

This guideline provides departments (and small entities which report to those departments), with an approach to assess and implement IM program components necessary to meet and show compliance with the *MOIA*.

Activities recommended may include but are not limited to:

1. Complete an Initial Planning Session
2. Assign/Communicate Accountability
3. Create a Records and Information Inventory
4. Define IM Requirements
5. Modify/Finalize Business Rules Document
6. Provide Education and Awareness

### 5.1 Role of the Public Body – Supporting IM

A reporting entity (e.g. department) may provide a small entity who reports to the same Minister with guidance on compliance requirements. This role may be assigned to a director-level resource in the reporting entity, normally Information Management or Policy and Planning, Corporate Operations.

Decisions made regarding the engagement of the small entity in the reporting entity's IM program will need to be assessed on a case-by-case basis. Different decisions may be made to manage the records of a tribunal that deals with sensitive personal or health information than that of a council or committee that maintains publicly accessible information (e.g. is contained in the annual report, published minutes or would be released under *ATIPPA, 2015*).

An initial planning session is recommended in order to make these determinations.

### 5.2 Assign/Communicate Accountability

Under the *MOIA*, Section 6, the permanent head of a public body (reporting, large and small entities) is mandated to implement a program to manage and protect government records and information. This will typically be a Deputy Minister, Chief Executive Officer, Chief Operating Officer, President or Chief Information Officer. Small entities may feature a variety of roles with this level of accountability. It may, for example, fall to a Chairperson who is appointed by a Minister to hold this position.

The reporting entity should issue a communication to the permanent head to:

- Outline the *MOIA*

- Invite the small entity representative to the IM Community of practice maintained by the OCIO
- Identify IM services available to the small entity by the reporting entity, the OCIO, etc.
- Request/communicate assignment of a lead from the small entity
- Request completion of a records inventory for the small entity
- Communicate plans to define IM requirements

The OCIO IM Advisory Services are available to assist in developing templates for this communication.

### 5.3 Create a Records Inventory

One of the first tasks for the small entity will be to identify and list all of the current information holdings within their storage locations. The OCIO Guideline, *Records and Information Inventory*, provides useful information for how to complete this task. This inventory will provide a critical input to the requirements process. The OCIO also provides training on how to complete an inventory.

### 5.4 Define IM Requirements

Critical to a good IM program is getting the right information, to the right person at the right time. Components or issues for consideration when identifying requirements may include but are not limited to:

#### Background

- **Mandate:** Overview of the small entity's mandate as outlined in annual reports or other documentation provided by the lead.
- **Operating Requirements:** Does the small entity operate on a full-time or part-time basis. Numerous small entities are established to operate on a part-time basis (e.g., council, committee or tribunal).
- **Individual Engagement:** Small entities benefit from the ability to engage the public in participation. This often means that individuals engaged to perform work on behalf of the small entity may or may not have an employment contract with a public body. It would be helpful in determining requirements to have:
  - A general idea of the type of engagement the individuals typically have – employee, volunteer, term-based, etc.

- A public sector employee that participates as a part of their assigned work duties? If so then this individual has access to the government network and/or IT resources. Is it appropriate for this individual to be assigned accountability for retention and storage of records?
- **Funding Sources:** Small entities may be funded outside the provincial government. For example, the federal government may provide funding and may impose record creation and/or reporting requirements.

### **IM Assessment and Advice**

- **Review and Approval Process:** Identify who will be engaged to approve IM program deliverables such as the RRDS, and identify who is responsible for implementing deliverables. Ensure this resource and others supporting IM have the necessary support and training to start the IM program for the small entity.
- **Location of Work:** The small entity may or may not have a dedicated work location. It may rely on the use of public buildings or alternatively it may procure locations from private sector (e.g., conference centre, hotel meeting space) to hold meetings or collaborate on deliverables. From an IM perspective, this may mean that there is no onsite storage location for records. The small entity will need clear guidance on the use of public space to complete work, use of portable storage, safe meetings, how and where to safely store records, and overall treatment of records in storage.
- **Confidentiality Agreements:** When an individual is engaged in the work of the small entity, are they required to sign a confidentiality agreement? If so, does this agreement reference records and information? Does it need to be modified to accommodate the IM program requirements? The IM representative should ensure such documents are properly completed and stored.
- **Record of Authority:** Who will be responsible for retention and storage of records and information? The small entity will need to advise each member what his or her requirements are in relation to IM. The objective of the IM program is to ensure the retention of a complete, accurate and reliable record of authority. Depending on the type of engagement individuals have with the small entity, there may be copies of information held by those individuals externally. Guidance needs to be clear on where the records are and what individuals should do with copies. Copies of sensitive information, for example, may not be permitted and/or individuals may be advised that such records should be returned to the small entity for secure destruction.
- **Record Series:** What records series are generated by the small entity? Follow up with knowledgeable individuals on the content of the inventory to identify the record series maintained by the small entity. Some complex record series may require the identification of records series secondary and tertiary subseries.

- **Records Creation:** Based on the record series and subseries, it is important to identify what records are created to support the processes of the small entity. An assessment template is included in Appendix A to assist. Use the results to identify which records need to be retained to support compliance, accountability and transparency requirements. Where appropriate, create forms and templates to be used by the small entity. IM Advisories are available on the OCIO Website provide links to guide individuals on appropriate records creation for:
  - Executive Records
  - Program Administration
  - Case Files
  - Meeting Records
  - Note To File
- **Record Labelling and Organization:** Based on the record series provide instruction on how the records should be labelled and organized.
- **Publication Process:** Under the *Rooms Act*, the Legislative Library is the official repository for all published materials. Public bodies, reporting, large and small entities, are advised to transfer up to three copies of published materials to the legislative librarian for permanent retention. Based on the assessment of the record series and creation requirements it is possible that all records that need to be retained are published and therefore transferred to the legislative library. This would mean that the small entity may need only ensure appropriate secure destruction of transitory records
- **RRDS and/or One Time Disposal (OTD):** When ready, the small entity should schedule their records for retention/disposal. Based on the record series, complete the RRDS Template for Operational Records available on the OCIO website. OCIO's IM Advisory Services can be engaged to support the process and it is recommended that consultation occur early on in the process. The inventory may have revealed a backlog of records that require immediate disposal. Follow the one time disposal process outlined on the OCIO website.
- **OTD:** One time disposal inventory may have revealed a backlog of other records that require immediate disposal that will not be part of a RRDS. Follow the one time disposal process outlined on the OCIO website.
- **Collaboration:** Based on the process analysis, how do the members of the small entity collaborate and communicate? It is likely that individuals rely heavily on email to transfer content and then may save information locally for review/editing. Based on the level of sensitivity (e.g., personal information, health records, etc.) the small entity may decide it needs to develop secure transfer/collaboration processes.

- **Email Usage:** Government-issued email accounts should be the standard method used for conducting public body business. However, depending on the engagement of the individual, government-issued email may not be used. Individuals may feel they can rely on the use of personal email accounts to complete small entity work - exposing government records to potential lack of access or loss/destruction while in private sector storage. As noted earlier, the OCIO has a clear directive not allowing the use of non-government emails for government work unless there is a well-documented exception process as approved by the head of the public body. The department to which the public body reports, the reporting entity, will need to assess the appropriateness of using personal information on a case-by-case basis and establish an exception for the small entity if required. Please review the [Non-Government Email Directive](#).
- **Storage:** Storage of electronic and physical records is assessed on a case-by-case basis. Clear guidance should be provided to ensure the safety and security of government records. The OCIO has a number of documents to assist in [Information Management and Protection](#).
  - Storage considerations may include:
    - Use of public facilities for storage of physical records
    - Third party storage for physical records
    - Individual storage of physical record
    - Storage of government records on the public body's network (e.g., PSNL for public bodies that receive IT services from OCIO)
    - Storage of records on private individual home or business network – clear documented, provisions to transition this information to government records needs to be established
    - Where appropriately established based on the types of records, and clear direction is provided to the small entity, use of [cloud-based storage](#)
    - Use of encrypted portable storage devices
- **Secure Destruction:** The *MOIA* requires secure destruction of records including those in electronic media. Secure destruction can be completed onsite or through a vendor as outlined in the OCIO Guideline [Disposal of Records](#).
- **Termination:** Small entities may have individuals engaged for a set time period after which the responsibilities may be transferred to others (e.g., a new council is appointed). Individuals need clear direction on what happens to any records, tools, equipment, etc. in their possession at the end of the

term. Access to any government resources, assets or applications must also be terminated at this time; the reporting department should ensure appropriate procedures are in place in the department, reporting entity, and the small entities for these transitions.

- **Services Provided by the Public Body:** The reporting entity will need to determine on a case-by-case basis what IM-related services will be provided to a small entity. Many variables may impact the decision making including the requirements defined for compliance, existing engagement of internal employees, provision of other administrative service (e.g., finance, HR), resource allocation and level of sensitivity of information maintained. The services to be provided should be articulated in the business rules or reference document and be approved by any applicable central agency (e.g. HRS, Finance) if required.

## 5.5 Create Recordkeeping Guide

Based on the requirements identified in Section 5.4, the small entity should create a Recordkeeping Guide document that includes the IM requirements in a central authoritative reference document. This document should be provided to all individuals engaged in work on behalf of the small entity. This provides a central reference document for all members/employees. A separate guideline **Recordkeeping Guide** is available that can be modified to accommodate the small entities requirements.

## 5.6 Provide Education and Awareness

### 5.6.1 Training

The OCIO has extensive training and support resources available on its Website. This includes:

- **IM@Work: Making Information Management Work for You** - This presentation provides general guidance on the *MOIA*, individual responsibilities and best practices to manage and protect information. It is suitable for all individuals engaged in work on behalf of a public body..
- Quick Reference materials available on multiple topics which include: Safe Business Practices, Password Management Best Practices, Recommended Approach to Encrypting GNL Files, Safe Email Practices, etc.
- OCIO IM Advisories are available on a range of subjects including Meeting Records, Case Files, How to Prepare Records for Transfer.

## **5.6.2 Orientation**

Provide new members/employees with an overview of the recordkeeping guide. A checklist has been included in Appendix B that summarizes the recordkeeping requirements.

## 6.0 Definitions and Acronyms

### 6.1 Definitions

**Archival Records** – are records that are preserved because of their continuing value. The Rooms Provincial Archives is the organization mandated to collect, preserve, present, exhibit and make available for research the archival records that represent and illustrate the significant history, culture and natural heritage of the province of Newfoundland and Labrador (source: *Rooms Act SNL2005 CHAPTER R-15.1*).

**Government Records Committee (GRC)** - The GRC is the official body that is mandated to review and revise schedules for the retention, disposal, destruction or transfer of government records, make recommendations to the minister respecting public records to be forwarded to The Rooms, Provincial Archives, authorize disposal and destruction standards and guidelines for the lawful disposal and destruction of public records and make recommendations to the minister regarding the removal, disposal and destruction of records (source: *Management of Information Act SNL2005 c.M-1.01*).

**Government Record** - means 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.

**Information Management (IM)** - is a program of records and management of information practices instituted to provide an economical and efficient system for the creation, maintenance, retrieval and disposal of government records. Under the Management of Information Act SNL2005 c.M-1.01, the permanent head of a public body shall develop, implement and maintain a record management system for the creation, classification, retention, storage, maintenance, retrieval, preservation, protection, disposal and transfer of government records.

**Information Technology (IT)** – means technology involving the development, maintenance, and use of computers and software for the processing and distribution of information.

**Office of Primary Responsibility (OPR)** - is the organization and/or position and/or division within an organization that is responsible for maintaining the integrity of a record (source: Corporate Records and Information Management Standard (C-RIMS)).

**Public Body** - "public body" means a department created under the Executive Council Act or a branch of the executive government of the province, a corporation, the ownership of which, or a majority of shares of which, is vested in the Crown, 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, a court established under an Act of the province, and the House of Assembly and committees of the House of Assembly;



**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).

**Records Retention and Disposal Schedule (RRDS)** - A records retention and disposal schedule is a legal document that guides the management of a government record. A RRDS will define the content of the record series or types, link the records to the organizational unit and business process, dictate how long the records need to be retained in active and semi-active storage to meet operational and legislative requirements, and authorize the disposal of information in a legal manner including either secure destruction or transfer to the Rooms Provincial Archives. It can also identify vital records that need to be permanently retained by a department or agency.

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

**Vital Record** - A vital record is defined as one that is indispensable to a mission critical business operation or a record identified as essential for the continuation of an organization during or following a disaster. Such records are required to recreate the organizations legal and financial status and to support the rights and obligations of employees, customers, shareholders and citizens (source: Making the Transition from Paper to Electronic, David O. Stephens, ARMA International, 2007).

### Acronyms

ABC	Agencies, Board and Commissions
ATIPPA	<i>Access to Information and Protection of Privacy Act, 2015</i>
CRIMS	Corporate Records Information Management Standard
GRC	Government Records Committee
IM	Information Management
IT	Information Technology
MOIA	<i>Management of Information Act</i>
RRDS	Records Retention and Disposal Schedule

## **7.0 Monitoring and Review**

The Information Management Services Division of the OCIO is responsible for monitoring and reviewing this Guideline in accordance with processes set forth by the Application and Information Management Services Branch.

## 8.0 References

Include Links to all published information referenced in the document including:

*Management of Information Act*

*Rooms Act*

*Transparency and Accountability Act*

*Access to Information and Protection of Privacy Act, 2015*

*Information Management and Protection Policy, TBM 2009-335*

OCIO Guideline

*Managing Departmental Information Through the Employment Cycle*

OCIO Standard

*One Time Disposal*

OCIO Directive

*Acceptable Use of the Government Network and Information Technology Assets*

OCIO Guideline

*Records Disposal*

OCIO Quick Reference

*Safe Business Practices*

OCIO Quick Reference

*Safe Email Practices*

OCIO Quick Reference

*Password Management Best Practices*

OCIO FYI Encrypting Files

*Encrypting Files with 7-Zip and WinZip*

## 9.0 Appendix A: Records Assessment Template

The *Management of Information Act* requires public bodies to create such records as are reasonably necessary to document business decisions. This records assessment form has been developed to enable an employee to assess business activities their practice area is responsible for the purpose of identifying associated records.

**Step One:** Make a list of all the business processes that your organization is responsible for

**Step Two:** For each of the processes, complete the table below. Additional tables can be added by simply copying and pasting the table below.

Records and Information Assessment	
Identify the business process that resulted in the creation of these records.	
Who initiates the process? Is there a document or piece of information created to initiate the process?	
What are the steps that occur to complete the process? Are more documents or records created as a result of the process? What are they?	
What information is required to complete the process? Complete the transaction? Provide the service?	
Are records scanned into the TRIM Content Management System? Who performs this function? What happens to the original paper?	
Who is involved in this process? Internal staff? Other Government Departments? External Stakeholders?	
Who is responsible/accountable for the execution of this process?	
How often does the activity/process occur? Daily/Weekly/Monthly?	
What is the anticipated volume?	

<b>Records and Information Assessment</b>	
Is the process regularly scheduled?	
Is the process related to a larger program? Identify is applicable.	
What is the outcome of the process? How is this documented?	
Once the process is complete, how often do you need to access the records? Is it more than once every 3 months? 6 months? Maybe Never?	
Are the records physical, electronic or both? Where are copies of records retained?	
How are the records organized? Is the same organization applied to all formats?	
Who is responsible for keeping records organized?	
Is the organization of the records documented anywhere?	
Are there any specialized media (e.g., video, audio, photos, negatives)	
Is there an IT system related to these records? Identify it and provide a contact name.	

## 10.0 Appendix B: Information Management Orientation Checklist

### New Employee/Individual Record Keeping Checklist Template

Using a checklist when providing orientation to a new employee or individual engaged to perform work on behalf of the small entity may be helpful in ensuring all elements are communicated and understood. Checklist items are based on the content of the small entities' Record Keeping Guide. As such, each checklist will reflect the small entities' unique requirements. The following list includes common elements that may be discussed when a new individual is engaged to perform work on behalf of the small entity. Elements may be deleted/added as required.

- IM@Work - Reviewing the document on the OCIO website will provide a general overview of Information Management (IM), The *Management of Information Act (MOIA)*, individual responsibilities, and best practices.
- Identify known records to be created/maintained by the individual
- Identify duration/retention of information
- Identify forms/templates to be used and where they are located
- Review compliance requirements for collection/management of personal information (if relevant)
- Review email usage requirements
- Review how/where records are organized/stored
- Allocate IT resources/equipment:
  - Laptop/personal computer
  - Tablet
  - Portable storage device
- Review disposal requirements and secure methods for destruction

**Please note there may be other additional orientation required (e.g. financial, privacy etc.)**