STANDARD – CORPORATE RECORDS INFORMATION MANAGEMENT STANDARD

Standard (Definition): OCIO Standards derive from **Information Management and Protection Policy, TBM 2018-111** (replaces TBM 2009-335) approved by Treasury Board. The OCIO standards are mandatory for users to follow and dictate uniform ways of Standards provide tactical blueprints for implementation of policies and directives. are usually defined to support the policies and directives and are supported by Guidelines, where applicable.

The Corporate Record Information Management Standard (C-RIMS) is being revised to better reflect GNL's current Corporate Organizational Structure for Departments applying retention and disposition to their corporate records. This is being completed through a phased approach with updates posted on our website. Please see the following link to the updated functional areas: https://www.gov.nl.ca/exec/ocio/im/c-rims/ (Updates also indicated below)

Issuing Branch	*Office of the Chief Information Officer – Corporate and Information Management Services (CIMS)*
Date Reviewed	2016
OCIO Reference Number	DOC01106/2008[V2]
Authorizing Directive	Information Management and Protection Policy, TBM 2018-111 (replaces TBM 2009-335)
Authorizing Body	Government Records Committee (GRC)
GRC Approval Meeting	2016-004
GRC Approval Number	GRC Meeting 2016-004 (2016-04-12)

Note: *Questions related to this Standard should be forwarded to **im@gov.nl.ca***

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1.0   Overview

C-RIMS is a standard classification plan designed to replace IMSAR and offer a standard nomenclature and classification rules for common corporate records in all departments. Since the release of IMSAR in 1999, the GNL has seen a dramatic increase in the ways and means of creating, managing, storing and disposing of records in a hybrid environment in which both paper and electronic records are used. C-RIMS can be used to assist in the management of these paper and/or electronic records.

2.0   Purpose

The purpose of this standard is to capture the common functions of the GNL departments and provide a tool for the classification of records, regardless of format, which are created in the performance of those functions.

3.0   Scope

The scope of the application of C-RIMS is all departments within the Government of Newfoundland and Labrador. Other public bodies may adopt this standard if it is deemed by them to suit their needs. The primary audience for this document is Information Management (IM) staff within the GNL.

4.0   Background

In March 1999, the Information Management System for Administrative Records (IMSAR) was released as a joint initiative of the Provincial Archives of Newfoundland and Labrador and the Records and Information Management Committee of the Government of Newfoundland and Labrador. As an integrated records classification system and retention and disposal schedule, it provided the Government of Newfoundland and Labrador (GNL) with a standard to apply to its organization, retention, and disposal of corporate records. In the GNL, the terms records management and information management are used interchangeably.

In February 2009, the initial release of C-RIMS updated terminology and, where appropriate, retention and disposition for common records found throughout the GNL. As well, C-RIMS captures changes in role and mandate of various departments throughout the GNL. Created by the Information Management Branch (IMB) of the Office of the Chief Information Officer (OCIO) in conjunction with the Provincial Archives and the Information Management Standards Board (IMSB), C-RIMS is a key component of any departmental information management program

5.0   C-RIMS Classification Plan

C-RIMS is a hierarchical classification plan that organizes records in a fashion that makes it easier to manage them through their life cycle. Like many classification plans, C-RIMS supplies rules on how to categorize records in a meaningful and consistent manner. The approach taken with C-RIMS is somewhat different than traditional records management classification plans. It focuses more towards capturing common functions found in a department, rather than common

subjects, the labels used to describe each level of the hierarchy will be different. The following table details each level within the classification.

<u>Levels</u>

1 Corporate Function

2 Primary

3 Secondary

4 File
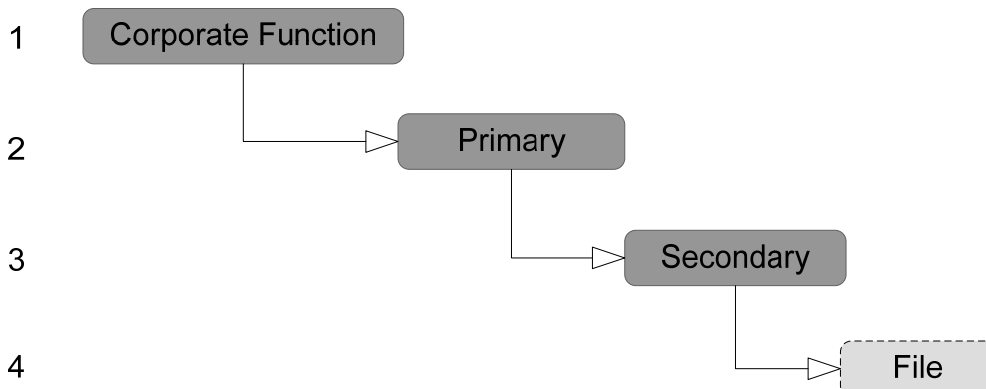
Classification Level	Title	Description
1	Corporate Function	The highest level on the classification plan, the Corporate Function is a cluster of primary levels that are similar in nature. It represents a grouping of activities required to meet a particular mandate.
2	Primary	The primary level represents a grouping of secondary level functions. At this point, the Office of Primary Responsibility is designated.
3	Secondary	The secondary level is a mixture of common record types and activities performed. Secondaries are broken into common and function specific categories. Common secondaries are found in all primaries (e.g. policy); however function specific secondaries are specialized types of records and/ or activities that are unique to that primary (e.g. Building Plans under the Primary called Construction).
4	File	The lowest level of the classification plan, the File is where the document (or information object) exists.

5.1 Common Secondaries

Secondary numbers 00 to 40 are reserved for secondaries which are common across all Primaries in C-RIMS. Gaps have been left in numbering for the addition of another Common Secondaries in the future.

No.	Common Secondaries	ACT	DIS
	COMMON SECONDARIES		
01	**Policy, Orders, Directives, Standards and Guidelines** Used to manage and store all records that provide the user with formal direction. These records may have an official number affixed to it by the originating OPR and this number is to be added to the naming convention, as applicable. Implementation: • Naming Convention = Type of document – Title – Approval # - Year Format • Version and/or Revision Control	SO	D
02	**Legislation** *RECINDED* Rationale: *Legislation is publicly available on the internet; any work being done by non-OPRs would be covered under common secondaries 10 and 11.*	N/A	N/A
03	**Agreements and Contracts** Used to manage and store all records associated with relevant agreements or contracts, including standing offers, MOU's etc. Implementation: • Naming Convention = Document Type – Title – Year format • Version Control and/or Revision Control	SO	D
04	**Associations and Conferences** *RECINDED* Rationale: *Associations and Conferences are highly improbable for Non-OPRS.*	N/A	N/A
05	**Complaints** Used to manage and store all records associated with work involved in the receiving of a complaint against the particular function. Implementation: • Naming Convention = Complaint – Complainant (Last Name, First Name) – Year Format	SO	D
06	**Planning** Used to manage and store all planning type records associated with the function: strategic planning, budgetary planning, etc. Implementation: • Naming Convention = Record Type – Year Format • Version Control and/or Revision Control	SO	D
07	**Orders and Directives** *Covered under common secondary # 01 Policy, Orders, Directives, Standards and Guidelines*	N/A	N/A

COMMON SECONDARIES			
No.	Common Secondaries	ACT	DIS
08	**Reports** Used to manage and store all reports received regarding the particular function. Implementation: • Naming Convention = Name of Report • Version Control and/or Revision Control	SO	D
09	**Forms and Templates** Used to manage and store all forms or templates associated with the function. Implementation: • Naming Convention = Name of Form • Version Control and/or Revision Control	SO	D
10	**Interdepartmental Committees** Used to manage and store all records associated with an Inter-Departmental Committee in which the membership is not in a Chairperson or secretary role. Implementation: • Naming Convention = Type of Committee - Name of Committee	SO	D
11	**Departmental Standing Committee /Steering Committee / Ad-Hoc Departmental Committee or Working Group** Used to manage and store all records associated with an Interdepartmental Committee or Working Group that the membership is not the Chairperson or secretary role. If the primary role is one of these then these records must be treated as operational and assigned an individual RRDS. Implementation: • Naming Convention = Type of Committee – Name of Committee	SO	D
12	**Steering Committee** *Covered under common secondary # 11 Departmental Standing Committee /Steering Committee / Ad-Hoc Departmental Committee or Working Group*	N/A	N/A
13	**Ad-Hoc Departmental Committee** *Covered under common secondary # 11 Departmental Standing Committee /Steering Committee / Ad-Hoc Departmental Committee or Working Group*	N/A	N/A
14	**Working Group** *Covered under common secondary # 11 Departmental Standing Committee /Steering Committee / Ad-Hoc Departmental Committee or Working Group*	N/A	N/A

5.2 Special Notes on the Records of Committees

Governance occurs at multiple levels within the GNL. The highest level of governance occurs within the Cabinet process; however governance also includes the oversight of projects; decision-making within departments; and interaction with internal and external stakeholders who have an influence on decision-making (e.g., industry advisory committees or councils and cross departmental committees). With regards to the retention of Sub-Committee records, these records inherit the retention schedule(s) of the overseeing Committee.

Type of Committee	Office of Primary Responsibility (OPR)	Comments
Cabinet Committee	Cabinet Secretariat	As per Section 5.4 (1) *Management of Information Act* the use and management of Cabinet records is governed by Cabinet Secretariat.
Inter-departmental Committee	The lead Department chairing the committee should take responsibility for retaining the records of the committee.	Copies distributed to members of an inter-departmental committee can and should be securely disposed of in a timely manner when no longer required.
Departmental Standing Committee (e.g., Executive Committee)	Committee chair should be responsible for managing the records of the committee.	Committees of this nature meet regularly to deal with routine departmental matters.
Steering Committee (e.g., Project Steering Committee)	Committee chair should be responsible for managing the records of the committee.	Records of a project Steering Committee are the responsibility of the Project Manager, who should take the necessary measures to ensure they are properly managed.
Ad Hoc Departmental Committee (e.g., Committee established to address a specific topic or issue)	Committee chair should be responsible for managing the records of the committee.	According to the *Excellence in Governance* handbook (2005) by Cabinet Secretariat, an Ad Hoc Committee is created on "occasions when issues of a time-limited and critical-nature necessitate the establishment of ad hoc committees. Once the time limit has been reached and the report submitted members should understand that the role of the committee is completed and it is duly dissolved."
Working Group	The Working Group chair should be responsible for managing the records of the group.	Although Working Groups may seem similar to Ad Hoc Committees, they are more transient in nature and usually have a narrow scope of work to accomplish.

5.3　Special Note on Commissions of Inquiry

Any commission that is created under powers of the *Public Inquires Act(2006)* has to comply with Section 28 of the Act which states "The Lieutenant-Governor in Council shall adopt policies and procedures for the preservation of the records of a commission or inquiry and shall ensure that confidentiality is preserved for information that is confidential or privileged." Note, a Commission that bears in its title "Royal" or any other variant (i.e. Review, Investigation) has no bearing on its powers. Although such terms may emphasis a level of importance, they are all equal under the *Public Inquires Act, 2006*.

5.4　Office of Primary Responsibility (OPR)

A key component to any records and information management classification and retention system is knowing the OPR. The OPR is the organization and/or position within an organization that is responsible for maintaining the integrity of a particular record type. By knowing the OPR, it increases the certainty that all records in a records series are collected and managed as per the OPR requirements to ensure complete records and the consistent, secure disposition of additional records.

C-RIMS has two approaches to OPRs: at the Government-wide level, and at the departmental level.

Note: In most instances the Government OPR and the Department OPR will be the same entity.

5.4.1　Government OPR

The Government OPR is the department that is responsible for keeping a master record on behalf of the government. The Government OPR has a legislative or executive mandate for the record series. It is the Government OPR that creates the policy, directives, or legal requirements for the record series on behalf of Government.

5.4.2　Department OPR

Department OPR is the department that is responsible for keeping the master record of all records received or created in a record series. It is the Department OPR that is mandated with the administration of the function on behalf of Government and is the main point of contact for other Departments in the administration of the particular function.

5.4.3　Non-OPR

In order to facilitate the need to reduce duplication and ensure proper disposal, C-RIMS has designated the retention and disposition schedules for each secondary level for all Non-OPR parties. This will reinforce efforts to maintain the integrity of a record within the OPR as well as offer clear direction for Non-OPR parties.

5.5   Numeric Arrangement and Title Conventions

The following is a list of guidelines that address numeric arrangement and title conventions with C-RIMS:

Communications Management – Advertising – Policy, Standards and Guidelines

02 - 02 - 01

02-02-01

Only use dashes (-) between numbers and/ or the title of each level. Avoid using periods (.), slashes (/) or any other common separators.

Numeric arrangement should be presented in which the highest level (e.g. Level 1) starts on the left and the lowest level finishes on the right.

The first letter of any word should be capitalized.

Where applicable, it is appropriate to use titles and numbers together or variants using both. Whatever the case, the arrangement must adhere to convention noted in No. 2.

These guidelines are applicable to both paper and electronic record applications of C-RIMS.
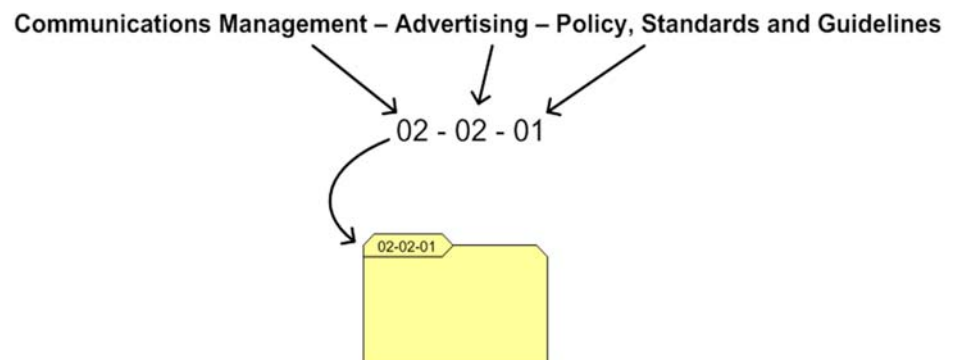
5.6   C-RIMS Corporate Functions and Primaries

Classifications numbers for each level are noted after each level. Levels in bold are corporate Functions (level 1) and levels not in bold are Primaries (level 2)

Executive Functions – 01
Department Briefing Notes – 01
Executive Council Briefing Notes – 02
Briefing Books – 03
Transition Briefing Books – 04
Cabinet Papers – 05

Communication Management -02
Media Relations – 01
Advertising – 02
Internal Communication – 03
Communication Plan - 04

Real Property Management – 07
Design and Construction – 01
Inventory – 02
Use and Management – 03
Disposal - 04

Information Management and Protection – 08
Classification and Retention – 01
Records Inventory – 02
Information Protection – 03
Information Protection Breaches – 04
Record Disposal - 05

Financial Management – 03
Accounts Payable – 01
Accounts Receivable – 02
Banking – 03
Budget Planning and Monitoring – 04
Employee Pay and Compensation – 05
Procurement – 06
General Ledger – 07
Financial Delegation - 08

Human Resources Management – 04
Employee Relations – 01
Integrated Disability Management – 02
Organizational Development – 03
Personal File Management – 04
Position Establishment, Classification and Compensation – 05
Staffing and Recruitment – 06
Strategic Human Resource Planning - 07

Asset Management – 05
Asset Inventory – 01
Asset Maintenance – 02
Asset Disposal – 03

Fleet Management – 06
Vehicular Accidents – 01
Fleet Maintenance – 02
Fleet Disposal - 03

Information Technology - 09
IT Service Support – 01
System Development and Maintenance - 02

Safety and Security Management – 10
Emergency Planning – 01
Disaster Recovery – 02
Physical Security – 03
Personnel Security - 04

Compliance Management – 11
ATIPP Request Management – 01
Red Tape Reduction - 02

6.0   C-RIMS Retention and Diposal Schedule

6.1   EXECUTIVE FUNCTIONS – 01

Use for records of the Executive functions of departments. Specifically, for the records of the Offices of Deputy Ministers and equivalents; Assistant Deputy Ministers and equivalents; Chief Executive Officers and Executive Directors.

6.1.1   Department Briefing Notes - 01

Use for records related to briefing notes prepared for and received by Executive and also for briefing notes prepared by an Executive.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Departments

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

EXECUTIVE FUNCTIONS – Department Briefing Notes (01-01)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Department Briefing Notes** A briefing note is a short paper that informs a decision-maker about an issue for which he/she are responsible. A good briefing note distils often complex topics into a short well-structured document.	SO	D

6.1.2   Executive Council Briefing Notes – 02

Use for records related to briefing notes prepared for and received by Cabinet Secretariat for the Clerk of the Executive Council.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Executive Council – Cabinet Secretariat

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: FY+5 and Destroy

Common Secondaries: Refer to *section 5.1*

EXECUTIVE FUNCTIONS – Executive Council Briefing Notes (01-02)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Executive Council Briefing Notes** A briefing note is a short paper that informs a decision-maker about an issue for which he/she are responsible. A good briefing note distils often complex topics into short, well-structured document.	FY+5	D

6.1.3 Briefing Books – 03

Use for records related to briefing books prepared for and received by Executive and Minister. Such briefing books are created to inform for a particular event, issue and/ or visit (e.g. trip to Labrador for an announcement).

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Departments

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

EXECUTIVE FUNCTIONS - Briefing Books (01-03)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Briefing Book** Use for records relating to briefing books prepared for the Executive and/or a Minister.	SO	D

6.1.4 Transition Briefing Books – 04

Use for records related to creation, use, storage and disposal of transition briefing books prepared for a Minister assuming responsibility for a new department.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Departments
Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

EXECUTIVE FUNCTIONS – Transition Briefing Books (01-04)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Transition Briefing Book** Use for records relating to briefing books prepared for the Executive and /or a Minister.	SO	D

6.1.5 Cabinet Papers – 05

Use for records related to the Cabinet Submission process. Cabinet Secretariat has the overall responsibility for managing the Cabinet Paper process. Due to high sensitivity of these records, Cabinet Secretariat has very specific requirements in the handling and management of Cabinet Papers by a Non-OPR. Be advised, C-RIMS only documents the retention period of such records. Any other inquiries should be directed to Cabinet Secretariat official(s) in charge of Information Management.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Executive Council – Cabinet Secretariat

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: FY+10 and to be determined

Common Secondaries: Refer to Refer to *section 5.1*

EXECUTIVE FUNCTIONS – Cabinet Papers (01-05)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Cabinet Paper** Use for records relating to the creation of Cabinet Papers. Records include: • Correspondence • Presentations • Annexes • Background Material	FY+10	TBD

6.2   COMMUNICATION MANAGEMENT – 02

Use for records relating to the communications function within government. This does not include the management of communication technologies.

6.2.1 Media Relations - 01

Use for records related to news releases and related material and approval of speeches.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Executive Council – Communications Branch

Departmental OPR: Refer to GNL OPR.

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

COMMUNICATIONS – Media Relations (02-01)			
No.	Function Specific Secondaries	ACT	DIS
41	**Mailing and Distribution List** Use for records relating to compiling and maintaining media mailing/distribution lists.	SO	D
42	**News Release** Use for records relating to copies of information released to the media.	SO	D
43	**Newspaper Clippings** Use for records relating to clipping files of media coverage.	SO	D
44	**Media Monitoring Files** Use for records relating to interview transcripts, radio transcripts, copies of blogs, clippings from trade journals.	SO	D
45	**Polls** Use for records relating to creating questions for polling and associated analysis.	SO	D
46	**Speeches** Use for records associated in the creation and distribution of a Speech by an elected official.	SO	D

6.2.2 Advertising - 02

Use for records related to advertising. This includes promotional materials, public awareness materials, advertising, and approvals.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Executive Council – Communications Branch

Departmental OPR: Refer to GNL OPR

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

COMMUNICATIONS – Advertising (02-02)			
No.	Function Specific Secondaries	ACT	DIS
41	**Advertising Case Files** Use for records relating to advertising on television, radio, internet, newspapers, periodicals, etc. Records include: • Promotional Material • Public Awareness Materials • Advertising Material • Approvals	SO	D

6.2.3 Internal Communication - 03

Use for records related to internal communications in a department.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Departments

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

COMMUNICATIONS – Internal Communications (02-03)			
No.	Function Specific Secondaries	ACT	DIS
41	**Internal Communications Products** Internal newsletters, bulletins, circulars. – Use for widely distributed internal communications.	SO	D

6.2.4 Communication Plan – 04

Use for records related to developing and managing a communications plan.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Departments
Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: CY and Destroy

Common Secondaries: Refer to *section 5.1*

COMMUNICATIONS – Communication Plan (02-04)			
No.	Function Specific Secondaries	ACT	DIS
41	**Communication Plan** Use for records relating to the development and management of communication plans. Records include: • Consultations • Correspondence • Background Material	CY	D

6.3   FINANCIAL MANAGEMENT – 03

Use for records related to managing the organization's financial resources. Includes establishing, operating, and maintaining accounting systems and controls and procedures; financial planning; framing budgets and budget submissions; obtaining grants; managing funds in the form of allocations from the Treasury Board; and revenue from charging, trading and investments.

6.3.1 Accounts Payable - 01

Use for records relating to monies owed as the result of a purchase of goods and services. This includes allowances and advances paid (including travel advances), and petty cash, as well as commitments and transaction batches. It also includes accounts payable support documentation (e.g. original invoices, journey authorizations, receiving reports, contracts, etc.); educational allowances, Labrador living allowance, or reimbursement of relocation expenses in accordance with Treasury Board Policy.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Finance

Departmental OPR: Refer to GNL OPR

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – Accounts Payable (03-01)		*Updated link*	
No.	Function Specific Secondaries	ACT	DIS
41	**Accountable Advances** Use for records relating to purchase in cash less than $100 value Records include: • Interest Accounts • Petty Cash • Travel Authorizations • Travel Advances	FY	D
42	**Accounts Payable Records** Use for records relating to supporting documentation that will warrant a payment. Records include: • Original Invoice • Contracts • Journey Authorizations	FY	D
43	**Vouchers** Use for records relating to the request for payment from Department of Finance for goods or services approved by a department.	FY	D

6.3.2 Accounts Receivable - 02

Use for records relating to the management of funds generated or raised by departments. This includes all revenues from the sale of goods, licenses, permits, fees, etc.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Finance

Departmental OPR: Refer to GNL OPR

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – Accounts Receivable (03-02)		*Updated link*	
No.	Function Specific Secondaries	ACT	DIS
41	**Revenue** Use for records relating to funds received by a department for services it provides. Records include: • Revenue Transactions Reports	FY	D
42	**Taxes** Use for records relating to funds received by a department through taxation.	FY	D

FINANCIAL MANAGEMENT – Accounts Receivable (03-02)			
No.	Function Specific Secondaries	ACT	DIS
43	**Write-Offs** Use for records relating to elimination of outstanding accounts and uncollectible debts, under $1000 and no court action.	FY	D

6.3.3 Banking - 03

Use for records relating to all regular dealings and transactions with commercial bank institutions.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Finance

Departmental OPR: Refer to GNL OPR

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – Banking (03-03)		*Updated link*	
No.	Function Specific Secondaries	ACT	DIS
41	**Cheques** Use for records relating to the payment of funds through the use of cheques.	FY	D

6.3.4 Budget Planning and Monitoring - 04

Use for records relating to the development, preparation and departmental submissions to the Department of Finance of expected or anticipated expenses and revenue within a fiscal year. The budget process is a key area of decision-making in which requests of Department and entities are considered.

Note: To be determined in phase two (2) review of C-RIMS.
GNL OPR: Finance

Departmental OPR: Refer to GNL OPR

Schedule: FY+2 and Destroy

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – Budget Planning and Monitoring (03-04) *Updated Link*			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Budget Planning** Use for records related to the budget planning process. Records include: • Working Papers • Budget Summaries • Internal Analysis Sheets • Expense Summaries • Variance Reports • Compensation Pay Proposals • Budget Request • Budget Submissions	FY+2	D
42	**Budget Change Documentation** Use for records relating to the change management process. Records include: • Budget Change Forms • Oracle Financial Analysis Updates • Working Papers • Budget Adjustments • Case Proposals	FY+2	D
43	**Budget Monitoring and Forecasting** Use for records relating to the monitoring of the disbursements of funds within a fiscal year. Accountabilities include a reporting requirement which is used to ensure funds are disbursed appropriately. Use for records related to the monitoring and forecasting process. Records include: • Account Activity Reports • Encumbrances and Expenditure Reports • Detailed List Reports • Budget Status Reports • Working Papers • Forecasting Reports • High Level Oracle Financial Analyzer (OFA) Reviews • Salary Analysis • Legal Costs • Authorizations (i.e. Minute in Council) • Periodic Funding Report	FY+2	D

FINANCIAL MANAGEMENT – Budget Planning and Monitoring (03-04)			
No.	Function Specific Secondaries	ACT	DIS
44	**Special Authorization Requests** Use for records relating to the submission and any authorizations of funding within a fiscal year. Records include: • Entertainment Exemption Requests • Transfer of Funds Approvals • Special Travel Request • Special Warrant • Authorizations • Treasury Board Minute (TBM) • Minute of Council (MC)	FY+2	D

6.3.5 Employee Pay and Compensation – 05

Use for records related to information generated or received by departments, agencies or other entities relating to initiation or processing of employee pay and other related employee compensation.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat – Payroll Compensation and Benefits

Departmental OPR: Finance – Office of the Comptroller General (OCG)

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – Employee Pay and Compensation(03-05)			
No.	Function Specific Secondaries	ACT	DIS
41	**Deductions Authorizations** Documentation used to start, modify or stop all voluntary or required deductions from payroll, including orders garnishments or other court-ordered attachment.	Original to OCG	D
42	**Direct Deposit Applications / Authorizations** Authorizations directing deposit information.	Original to OCG	D
43	**Earning and Deductions Records** Documentation detailing earnings and deductions for each pay period. • Individual employee earnings record that show earning and deductions for each pay period. • Master Payroll Register	SO	D
44	**Leave Records** Bi-weekly attendance Sheets – Originals to OCG	FY	D

45	**Time Sheets** Work Schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules – Originals to OCG	FY	D

6.3.6 Procurement - 06

Use for records related to acquiring goods and services for GNL. The Government Purchasing Agency (GPA) is the Office of Primary Responsibility (OPR) as it is the central procurement unit for the GNL. GPA functions under the legislative provisions of the *Government Purchasing Agency Act* and the *Public Tender Act.*

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Purchasing Agency (GPA)

Departmental OPR: Finance

Schedule: Refer to table below.

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – Procurement (03-06)		*Updated Link*	
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Requisitions (Valued at $2500 or less)** Use for records relating to document the details of a purchase requirement by government staff valued at $2499 or less.	FY+2	D
42	**Requisitions (Valued at $2500 and above)** Used for records relating to document the details of a purchase requirement by government staff valued at $2500 and above. Such requisitions are handled by GPA. Once departments submit their requisition to GPA, these records are deemed copies of convenience.	FY+2	D
43	**Tenders (Valued at $2500 and above)** Used for records relating to information used to post a tender, or request for quote, to acquire from buyers a response that is based on purchasing requirements created by government staff. Since GPA manages the posting of all tenders over $2500, such records held by departments are deemed copies of convenience.	Retain until end of contract then FY+2	D
44	**Quotes (Valued at $2499 or less)** Used for records relating to information supplied by a buyer to respond to a request for a quote process. The goods and services quotes are valued at $2499 or less.	FY+1	D
45	**Quotes (Valued at $2500 and above)** Use for records relating to information supplied by a buyer to respond to a request for a quote process. The goods and services quoted are valued at $2500 and above.	FY+1	D

FINANCIAL MANAGEMENT – Procurement (03-06)			
No.	Function Specific Secondaries	ACT	DIS
46	**Request for Proposals (RFP)** Use for records relating to information used to creating, managing and issuing a RFP. RFP's is a competitive process to ensure the GNL obtains a reasonable price for goods and/or services.	Retain until end of contract then FY+2	D
47	**Request for Proposals (RFP) Evaluation** Use for records relating to information with conducting an evaluation from a response to an RFP. This includes, but is not limited to: • Working Paper Related to Evaluations of Responses • Committee Meeting Minutes • Scorecards • Final Evaluation Report • Committee Notes and Working Papers	Retain until end of contract then FY+2	D
48	**Request for Information (RFI)** Use for records relating to information used to with conducting a RFI. RFIs are used to garner whether or not there is interest in the marketplace or to simply gather more information to address a particular sourcing issue for the GNL.	FY+1	D
49	**Master Standing Offers (MSO)** Use for records relating to creation and management of MSO. MSOs are contracts with a specific supplier for the provision of specific products or services. The scope of a MSO is all government departments. MSO records includes two sub-types: blanket standing offers where each product is listed line by line; and contract standing offers where the details are in an attached document and do not lend themselves to a standard line by line format (e.g., car rental pricing information is included in an attachment).	Retain until end of contract then FY+2	D
50	**Master Standing Offers (MSO) Evaluation** Use for records relating to information with conducting an evaluation from a response to an MSO. This includes, but is not limited to: • Working Paper Related to Evaluations of Responses • Committee Meeting Minutes • Scorecards • Final Evaluation Report • Committee Notes and Working Papers	Once awarded retain for FY+1	D

FINANCIAL MANAGEMENT – Procurement (03-06)			
No.	Function Specific Secondaries	ACT	DIS
51	**Individual Standing Offers (ISO)** Use for records relating to creation and management of ISO. ISOs are contracts with a specific supplier for the provision of specific products or services. The scope of an ISO is for a specific government department. ISO records includes two sub-types: blanket standing offers where each product is listed line by line; and contract standing offers where the details are in an attached document and do not lend themselves to a standard line by line format (e.g., car rental pricing information is included in an attachment).	Retain until end of contract then FY+2	D
52	**Individual Standing Offers (ISO) Evaluation** Use for records relating to information with conducting an evaluation from a response to an ISO. This includes, but is not limited to: • Working Paper Related to Evaluations of Responses • Committee Meeting Minutes • Scorecards • Final Evaluation Report • Committee Notes and Working Papers	Once awarded retain for FY+1	D
53	**Purchase Orders** Use for records related to the creation and management of purchase orders. A purchase order is a procurement tool used by GNL to purchase goods from a supplier. Records include: • Standard • Blanket Standing Offer Release • Contract Standing Offer • Encumbered Contract Agreement • Work Order • Aircraft Flight Authorizations • Direct Purchase Order • Travel Order	FY+2	D
54	Vendor Information Use for records relating to corporations, and businesses. Records include: • Contact Information • Product Brochures • Catalogues • Unsolicited Offers of Goods and Services	SO	D

6.3.7 General Ledger - 07

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Finance

Departmental OPR: Refer to GNL OPR

Schedule: FY+7 and Destroy

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – General Ledger (03-07)		*Updated link*	
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Journal Entry Records** Use for records relating to the use and interaction with journal entries which would include correcting previous postings, Interdepartmental journal entries, and public account journal entries.	FY+7	D

6.3.8 Financial Delegation - 08

Use for records related to all matters involving the delegation of authority with financial management

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Finance

Departmental OPR: Refer to GNL OPR

Schedule: Destroy

Common Secondaries: Refer to *section 5.1*

FINANCIAL MANAGEMENT – Financial Delegation (03-08)		*Updated link*	
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Temporary Authority** Use for records relating to managing financial authorities that are valid for a limited amount of time.	Departments shall not retain a copy	D
42	**Signing Authority Delegation Card** Use for records relating to managing a specimen signature of a government employee that has been delegated financial authority.	Departments shall not retain a copy	D
43	**Cancelled Authorities** Use for records relating to cancelling a financial authority.	Departments shall not retain a copy	D

6.4   HUMAN RESOURCES MANAGEMENT – 04

Use for records relating to planning and development of staff. Personnel records are the domain of the Strategic Human Resources Sectors within government, and must be handled outside of this classification plan. Departments should not keep copies of personnel records.

6.4.1   Employee Relations – 01

Use for records related to labour relations and labour standards. Includes collective agreements, strike administration and, grievance procedures (including arbitration and other steps).

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat

Departmental OPR: Refer to GNL OPR

Schedule: Refer to table below.

Common Secondaries: Refer to *section 5.1*

HUMAN RESOURCES MANAGEMENT – Employee Relations (04-01) *Updated link*		ACT	DIS
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Grievances and Arbitration Case** Use for records relating to the grievance process at all stages.	1YR after Settlement	SR
42	**Labour / Management Committees** Use for records relating to Labour/Management Committees.	CY+3	D
43	**Collective Agreement Administration Records** Use for records relating to the collective process. Records include: • Bumping Files • Seniority Listings • Negotiations Planning • Preparation Files • Working Papers	CY+2	SR
44	**Conflict of Interest Case Files** Use for records relating to the identification and resolution of employee conflict of interest records. Examples of conflicts may be policy conflicts, contract conflicts, or formal Government guidelines.	CY+2	SR

HUMAN RESOURCES MANAGEMENT – Employee Relations (04-01)			
No.	Function Specific Secondaries	ACT	DIS
45	**Employee Supervision and Incident Reporting** Use for records relating to the daily managing of employees in the workplace. Records include: • Employee Performance Evaluations • Respectful Workplace • Misconduct and Harassment Investigations • Disciplinary Records	Closure of file Transfer to SHRM	SR to Personal File
46	**Employee Family Assistance Programs (EFAP)** Records of this type are not permitted to be created under any circumstances. These are to be generated and maintained by the OPR exclusively.	-	-
47	**Employee Orientation Information** Use for records relating to new employee orientation. Records include orientation schedules, OPR contact information, guidelines, etc. Records include: • Orientation Schedules • OPR Contact Information • Guidelines	SO	D

6.4.2 **Integrated Disability Management – 02**

Use for records relating to information generated or received by departments, agencies or other entities relating to identification, treatment, rehabilitation and transition back to work of employees from occupational and non-occupational disabilities. These departmental records result from a department's involvement into a specific issue or general information regarding an Integrated Disability Management area and include all working notes, research information, communications etc.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat

Departmental OPR: Refer to GNL OPR

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

~~Updated see hyperlink~~

HUMAN RESOURCES MANAGEMENT – Integrated Disability Management (04-02)			*Updated link*
No.	**Function Specific Secondaries**	**ACT**	**DIS**
43	**Legislative Safety – Related Training** Use for records relating specifically to employee safety training programs legislated. Records include: • First Aid • WHIMIS • OHS	CY+1	D
44	**OHS Workplace Injury Incident Reports** Use for records relating to injury or near injury to government employee.	CY+1	SR
45	**OHS Committee** Use for records relating to OHS Committees. Records include: • Minutes of Meeting • Agenda • Follow-up Notes	CY+3	D
46	**OHS Investigation Case Files** Use for records relating to reports to OHS for investigation and hazard conditions. Records include: • Original Complaint • Notes • Report • Follow-up Notes	SO	SR
47	**Safety and Prevention** Use for records relating specifically to employer safety and prevention measures. Records include: • Ergonomics • Promotional Information • Response Planning Measures	SO	D
48	**Workers Compensation Case File** Use for records relating to for records relating to an employee WCC incident claims.	1 year after closure of claim	D
49	**Non-Occupational Early Intervention – Sick Leave Tracking Records** Use for records relating specifically to the identification of employee absenteeism. Records include: • Employee Attendance • Bi-Weekly Reports • Doctors Notes • Case Notes	n/a	n/a
50	**Return to Work** Use for records relating specifically to employee return to work option. Records include: • Early Intervention Programs	1 year after follow-up	D

HUMAN RESOURCES MANAGEMENT – Integrated Disability Management (04-02)			
No.	Function Specific Secondaries	ACT	DIS
51	**Long-term / Short-term Disability Case Files** Use for records relating specifically to employee's inability to return to work and resulting employer accommodations to employee arrangement.	1 year after follow-up	Person al File

6.4.3 Organizational Development – 03

Use for records relating to information generated or received by the departments relating to their organization's employee development activities, specifically, employee funding, approvals, and departmental strategic learning plans. These departmental records include all working notes, research information, communications, approvals, and funding documents.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat

Departmental OPR: Refer to GNL OPR

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

HUMAN RESOURCES MANAGEMENT – Organizational Development (04-03)				*Updated link
No.	Function Specific Secondaries	ACT	DIS	
41	**Legislative Safety Training** See Integrated Disability Management	-	-	
42	**Professional Development and Educational Tools Inventory** Corporate information specific to available development programs, web, seminars, conferences, video packages, training opportunities, Course evaluations, costs, etc.	SO	D	
43	**Employee Learning Case Files** Use for records relating specifically to the organization's response to employee development needs. Records include: • Requests • Approvals • Notifications • Funding	SO	D	
44	**Professional Development Managerial Files** Reference information regarding organizational schedules, training locations, etc.	SO	D	

HUMAN RESOURCES MANAGEMENT – Organizational Development (04-03)			
No.	Function Specific Secondaries	ACT	DIS
45	**Organizational Development Initiative (ODI) Funding Requests / Expenditures** Use for records relating specifically to funding of professional development strategies. Records include: • Training Costs • Educational Reimbursements • Travel Costs • Accommodations • Vendor Tenders	SO+3	D

6.4.4 Personal File Management – 04

Use for records related to employee attendance tracking records, performance reviews, peer reviews, letters of disciplinary action, and authorizations of change in salary or rate, copies of employment verifications, copies of requests for changes of address or name, and other pertinent correspondence to or from the employee.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat (HRS)

Departmental OPR: Refer to GNL OPR

Schedule: Refer to table.

Common Secondaries: Refer to *section 5.1*

HUMAN RESOURCES MANAGEMENT – Personal File Management (04-04) *Updated link*			
No.	Function Specific Secondaries	ACT	DIS
41	**Personal File**	-	-

6.4.5 Position Establishment, Classification and Compensation – 05

Use for record related to information generated or received by departments, agencies or other entities relating to identification, requesting or consultation regarding the duties, classification or compensation of a position or employee within their entity. These departmental records include all working notes, research information, communications, etc.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat

Departmental OPR: Refer to OPR

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

HUMAN RESOURCES MANAGEMENT – Position Establishment, Classification and Compensation (04-05)			*Updated link*
No.	Function Specific Secondaries	ACT	DIS
41	**Classification Case Files** Use for records relating to the evaluation of scope of duties and compensation of new positions.	SO+3	SR
43	**Position Case Files** Use for records relating specifically to the information gathered in analyzing the need and appropriate salary of a new position.	SO+1	Transfer to CO&M Division
44	**Reclassification Case Files** Use for records relating to the evaluation of an employee's duties to determine salary and position designation.	CY+3	D
45	**Organizational Chart Listings** Updated listings of organizational charts outlining hierarchical relationships in Departments.	SO+1	SR

6.4.6 Staffing and Recruitment – 06

Use for records related to information generated or received by the departments, agencies, boards, etc. or selection members relating to their involvement in staffing activities, specifically, the appointment, promotion, recruitment, screening and selection of candidates within the Public Service. These departmental records include all working notes, research information, communications, evaluations and recommendations etc.

Note: To be determined in phase two (2) review of C-RIMS. Staffing and Recruitment records result from Commission's obligation under S. 15 (1) (a) of the Public Service Commission Act.

GNL OPR: Public Service Commission (PSC)

Departmental OPR: Refer to GNL OPR

Schedule: Refer to table below.

Common Secondaries: Refer to *section 5.1*

HUMAN RESOURCES MANAGEMENT – Staffing and Recruitment (04-06)		*Updated link*	
No.	Function Specific Secondaries	ACT	DIS
41	**Unsolicited Resumes** Use for records relating to resumes sent or delivered to departments not related to specific job competitions.	6 months for date received	D

HUMAN RESOURCES MANAGEMENT – Staffing and Recruitment (04-06)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
42	**Competitions** Use for records relating to competitions in the filling of positions.	SO	Transfer to PSC upon close of dept. input
43	**Applicant Inventories** Use for records relating to all student inventories, summer applications, work-term records, articling students, etc.	CY	D
44	**Appeal / Investigation Case Files** Use for records relating to the appeal and any subsequent investigation into competition process based on individual cases.	SO	Transfer to PSC following end of contributi on

6.4.7 Strategic Human Resource Planning - 07

Use for records related to information generated or received by departments, agencies, boards, etc. relating to their organizations' involvement in Human Resource Planning activities. These departmental records include all working notes, research information, communications, approvals, and funding documents.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat

Departmental OPR: Refer to GNL OPR

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

HUMAN RESOURCES MANAGEMENT – Strategic Human Resource Planning (04-07)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Resource Planning** Use for records relating to current human resource inventories and the analysis of supply versus demand forecasting.	SO	SR
42	**Work Plan File – Departmental** Use for records relating to the strategic planning activities of a Department respecting its current and future professional needs.	SO+5	SR
43	**Work Plan File – Corporate** Records relating to the overall corporate objectives and the complimenting HR activities to achieve these objectives.	SO	SR

HUMAN RESOURCES MANAGEMENT – Strategic Human Resource Planning (04-07)			
No.	Function Specific Secondaries	ACT	DIS
44	**Consultative Services** Records relating to the daily activities of receiving direction respecting HR planning activities.	SO	D

6.5   ASSET MANAGEMENT – 05

Use for records related to the management, maintenance, and disposal of assets, excluding fleet and real property assets. This includes maintenance agreements, improvements, warranties, depreciation tracking, lease management, etc.

Under section 15 of the *Executive Council Act*, a department has the responsibility to inventory, track, maintain and dispose of Fixed Assets.

6.5.1   Asset Inventory - 01

Use for records relating to information about the accountability for receipt, storage, stock inventory, and issue of equipment. Includes stock-taking control, procedures, and transaction records, for example: transfer vouchers and inventory reports.

Fixed assets include all non-consumable moveable items with a useful life of one year or more. Equipment items are used in normal daily operations and are not for resale purposes. Computer equipment is not included in Fixed Asset inventories.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Refer to GNL OPR

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

ASSET MANAGEMENT – Fixed Asset Inventory (05-01)			
No.	Function Specific Secondaries	ACT	DIS
41	**Annual Inventory Records** Records include control sheets, control record logs, tag records etc.	SO	D
42	**Inventory Adjustment Forms** Copies of completed forms outlining any changes in location, etc. to particular fixed assets	SO	D
43	**Inventory Temporary Relocations** Use for records relating to any changes in inventory relocations, include equipment on loan to other locations, or transferred to another location.	SO	D

ASSET MANAGEMENT – Fixed Asset Inventory (05-01)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
44	**Fixed Inventory Audits** Use for records relating to the auditing process of inventory records by the OPR. Records include: • Audit Notifications • Documentation Requests • Responses	SO	D

6.5.2 Asset Maintenance – 02

Use for records relating to information about daily upkeep and repair of equipment and furnishings. Includes: standing offer agreements, work orders, price lists, and suppliers' catalogues. Examples include technical specifications, equipment catalogues, and vendor literature.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

ASSET MANAGEMENT – Asset Maintenance (05-02)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Vendor Information** Use for records relating to vendors. Records include: • Vendor Contact Information • Promotional Material • Company Profile	SO	Review and Purge Annually
42	**Replacement / Evaluation Files** Use for records relating to the evaluation, repair and/or replacement of fixed assets.	SO	D

6.5.3 Asset Disposal - 03

Use for records relating to the removal and disposal of assets. This includes assets deemed to be surplus and are scheduled for transfer and/or disposal actions such as an auction.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Purchasing Agency

Departmental OPR: Transportation and Works

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

ASSET MANAGEMENT – Asset Disposal (05-03)			
No.	Function Specific Secondaries	ACT	DIS
41	**Transfers to Surplus** Listings of equipment no longer needed by a department which is transferred to Surplus inventory for disposal or reuse.	SO	D
42	**Obsolete / Damaged Items Listings** Includes all disposition forms, etc. related to the process of evaluation of fixed assets.	SO	D
43	**Fixes Asset Reconciliation** Reconciliation of previous year-end general fixed assets listing to current year-end general fixed assets listing	SO	D
44	**Disposition Authorization Requests** Requests for authorization to dispose of equipment.	SO	D
45	**Lost and Stolen Reports** Use for records relating to the reporting of asset(s) being lost or stolen.	SO	D

6.6   FLEET MANAGEMENT – 06

Use for records related to maintaining, repairing and disposing of vehicles. Vehicles include any means of conveyance owned or used by the organization to transport people or items.

6.6.1 Vehicular Accidents – 01

Use for records relating to injury or damage caused by vehicles. Includes damages or injury incurred by staff en route to, from, or at work, and includes accident prevention.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Transportation and Works

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

| FLEET MANAGEMENT – Vehicular Accidents (06-01) | | | |
No.	Function Specific Secondaries	ACT	DIS
41	**Vehicular Accident Case Files** Use for records relating to a vehicle accident involving a government employee and/or non-employees. Records include: • Repairs Needed • Repairs	1 Year after settlement of claim	D

6.6.2 Fleet Maintenance – 02

Use for records relating to the activities associated with the upkeep, repair and preservation of a vehicle.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Transportation and Works

Schedule: Destroy

Common Secondaries: Refer to *section 5.1*

| FLEET MANAGEMENT – Fleet Maintenance (06-02) | | | |
No.	Function Specific Secondaries	ACT	DIS
41	**Vehicular Maintenance Case Files** Use for records relating to the maintenance of the vehicle. Records include: • Log of oil changes	Do not retain	D

6.6.3 Fleet Disposal - 03

Use for records relating to the process of disposing of vehicles no longer required by the organization, by sale, transfer, termination of lease, auction, or destruction.

Note: To be determined in phase two (2) review of C-RIMS.

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

FLEET MANAGEMENT – Fleet Disposal (06-03)			
No.	Function Specific Secondaries	ACT	DIS
41	**Fleet Disposal Case Files** Use for records relating to preparing and managing the disposal of vehicles. This includes records used to create a tender for disposal.	FY	D

6.7 REAL PROPERTY MANAGEMENT – 07

Use for records relating to the management of real property such as buildings, lands and infrastructure (including inventories, property records and leases).

6.7.1 Design and Construction – 01

Use for records relating to major modification or expansion of existing structures through construction.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Transportation and Works

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

REAL PROPERTY MANAGEMENT – Design and Construction (07-01)		*Updated Link	
No.	Function Specific Secondaries	ACT	DIS
41	**Building Plans** Use for records relating to the plans and diagrams for the construction and renovation of buildings. Also includes revisions made after construction has started.	SO	D
42	**Construction Case Files** Use for records relating to individual construction project case files. This includes major renovations.	CY	D
43	**Specifications** Use for records relating to the materials and methods specifications for the construction and renovation of buildings. Also include revisions made after construction has started.	CY	D

6.7.2 Inventory – 02

Use for records relating to space and real property holdings of a department. Includes inventories of land owned or used by a department, property, occupied space and use inventories, and supporting documents.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Transportation and Works

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

REAL PROPERTY MANAGEMENT – Inventory (07-02)		*Updated Link	
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Facilities Inventory Case Files** Use for records relating to facilities utilized by each department. Includes details related to lease expiry dates. Includes files related to renovations required for organizational moves.	SO	D
42	**Land Inventory Case Files** Use for records relating to maintenance of grounds and repair projects.	SO	D
43	**Property Inventory Case Files** Use for records relating to property utilized by each department.	SO	D

6.7.3 Use and Management – 03

Use for records relating to the upkeep, repair, and servicing of government-owned facilities. Includes janitorial and cleaning services; elevator maintenance contracts and elevator inspection reports; operation, maintenance, repairs and inspection reports of utility systems and facilities. Utility systems include air conditioning, ventilation, heating and other environmental control systems; oil, propane, gas systems; lighting and electrical systems; and water and plumbing systems.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Transportation and Works

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

REAL PROPERTY MANAGEMENT – Use and Management (07-03)		*Updated Link	
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Janitorial / Cleaning Services** Use for records relating to cleaning and basic up-keep of government buildings.	FY	D
42	**Basic Maintenance** Use for records relating to basic maintenance and repairs to government buildings.	FY	D
43	**Utilities** Use for records relating to the operation and maintenance of utility systems such as air conditioning, garbage disposal, lighting, plumbing and heating, etc.	FY	D
44	**Recycling** Use for records relating to all recycling activities associated with property management. Includes cardboard, paper, etc.	FY	D
45	**Land Maintenance Case Files** Use for records relating to specific land maintenance projects.	FY	D
46	**Floor Layouts** Records related to managing floor layouts.	SO+2	D

6.7.4 Disposal - 04

Use for records related to the disposal of real property through any means. Examples include Tender of Real Property; working files related to disposal of Real Property.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Government Purchasing Agency

Departmental OPR: Transportation and Works

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

REAL PROPERTY MANAGEMENT – Disposal (07-04)		*Updated Link	
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Disposal Case Files** Use for records related to the disposal of government buildings. This includes tendering for disposal records.	FY	D

6.8   INFORMATION MANAGEMENT AND PROTECTION – 08

Use for records relating to the administration and management functions associated with records and information within departments. This primary may also be known as "records

management" or as" records and information management". It also includes functions related to the protection of information in all forms.

6.8.1 Classification and Retention – 01

Use for records relating to corporate records classification and retention plans.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Office of the Chief Information Officer (OCIO) – Corporate and Information Management Services Branch (CIMS)

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: <Insert Disposition if common across all function specific secondaries. Otherwise refer to table below.>

Common Secondaries: Refer to *section 5.1*

INFORMATION MANAGEMENT AND PROTECTION – Classification and Retention (08-01)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Classification System Development** Use of records related to the development of a file classification system for records.	FY	D
42	**Classification Plan** Use for records related to the management of a file classification plan.	-	TBD

6.8.2 Records Inventory – 02

Use for inventories (including electronic inventories) of active, semi-active or inactive records. Inventories of records in commercial storage.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Office of the Chief Information Officer (OCIO) – Corporate and Information Management Services (CIMS) Branch

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

INFORMATION MANAGEMENT AND PROTECTION – Records Inventory(08-02)			
No.	Function Specific Secondaries	ACT	DIS
41	**Records Inventory Lists (Active)** Use for records relating to file listing or inventories of records in current regular use.	FY	D
42	**Records Inventory Lists (Semi-Active)** Use for records relating to listings of a department's semi-active records holdings.	FY	D

6.8.3 Information Protection – 03

Use for records related to managing information security and protection efforts. This includes Privacy Impact Assessment.

Note: To be determined in phase two (2) review of C-RIMS

GNL OPR: Office of the Chief Information Officer (OCIO) – Corporate and Information Management Services (CIMS) Branch

Departmental OPR: Office of the Chief Information Officer (OCIO) – Corporate and Information Management Services (CIMS) Branch

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

INFORMATION MANAGEMENT AND PROTECTION – Information Protection (08-03)			
No.	Function Specific Secondaries	ACT	DIS
41	**Oaths of Secrecy** Use for records relating to administering and managing information used with Oaths of Secrecy taken by employees and contractors.	FY	D
42	**Privacy Impact Assessment** Use for records relating to administering and managing a Privacy Impact Assessment. This includes Preliminary Privacy Impact Assessments.	FY	D

6.8.4 Information Protection Breaches – 04

Use for records relating to security and privacy breaches. Includes breach reports and investigations records.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Office of the Information and Privacy Commissioner (OIPC)

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

INFORMATION MANAGEMENT AND PROTECTION – Information Protection Breaches (08-04)			
No.	Function Specific Secondaries	ACT	DIS
41	**Information Protection Breach Case Files** Used for records relating to methods and procedures required in handling an information protection breach.	FY	D

6.8.5 Record Disposal - 05

Use for records related to corporate information disposed of by a department. This includes Certificates of Destruction.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Office of the Chief Information Officer (OCIO) – Corporate and Information Management Services (CIMS) Branch

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

INFORMATION MANAGEMENT AND PROTECTION – Records Disposal (08-05)			
No.	Function Specific Secondaries	ACT	DIS
41	**Destroyed Records Inventory** Use for records relating to lists of records which, following authorization have been destroyed.	FY	D
42	**Disposal Authorization** Use for records relating to the approval notification from the Public Records Committee for removal of records from the Department. This includes authorization to destroy records or transfer to the Rooms.	FY	D
43	**Records Retention and Disposal Schedules (RRDS)** Use for records relating to departmental copies of retention and disposal schedules approved for records.	FY	D

6.9   INFORMATION TECHNOLOGY – 09

Use for records relating to the planning, use and ongoing management of Information Technology (IT) assets, systems, policies, procedure and standards.

6.9.1 IT Service Support – 01

Use for records relating to the request for support to address problems with computer applications (e.g., password reset), networks, IT assets, or any other type of request that is handled by the IT Help Desk.

Note: To be determined in phase two (2) review of C-RIMS.
Non-OCIO staff that may have dealing with the OCIO in order to resolve a problem with computer applications, networks, or IT assets.

GNL OPR: Office of the Chief Information Officer (OCIO)

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

INFORMATION TECHNOLOGY (IT) – IT Service Support (09-01)			
No.	Function Specific Secondaries	ACT	DIS
41	**IT Service Request** Use for records relating to departmental requests for IT assistance.	FY	D

6.9.2 System Development and Maintenance – 02

Use for records relating to IT system development and maintenance. This includes the computer software applications and networks.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Office of the Chief Information Officer (OCIO)

Departmental OPR: Office of the Chief Information Officer (OCIO)

Schedule: FY+2 and Destroy

Common Secondaries: Refer to *section 5.1*

INFORMATION TECHNOLOGY (IT) – System Development and Maintenance (09-02)			
No.	Function Specific Secondaries	ACT	DIS
41	**IT Project Case Files** Use of records the management of an IT project managed by the OCIO.	FY+2	D

6.10 SAFETY AND SECURITY MANAGEMENT – 10

Use for records relating to the management of personal safety and security for government.

6.10.1 Emergency Planning – 01

Use for emergency plans and procedures internal to departments, planning for response to provincial crises, evacuation plans, business continuity and business resumption plans.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Municipal Affairs – Fire and Emergency Services (FES)

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

SAFETY AND SECURITY MANAGEMENT – Emergency Planning (10-01)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Evacuation Plans** Use for records relating to evacuation plans and procedures resulting from fire or other hazards.	SO	D
42	**Fire Prevention** Use for records relating to fire prevention measures within Government departments and buildings.	SO	D

6.10.2 Disaster Recovery – 02

Use for records relating to disaster recovery internal to departments, planning for response to provincial crises, evacuation plans, business continuity and business resumption plans.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Municipal Affairs - Fire and Emergency Services

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: Refer to table below

Common Secondaries: Refer to *section 5.1*

SAFETY AND SECURITY MANAGEMENT – Disaster Recovery (10-02)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Disaster Recovery (DR) Plans** Records relating to plans for the continuation of operations in the event of a disaster or emergency and procedures to recover.	FY	D
42	**Business Continuity Plans (BCP)** Records relating to plans and procedures to maintain operations in the event of a disaster or emergency and procedures to recover.	FY+1	D

6.10.3 Physical Security – 03

Use for records relating to control and safeguards on physical access to departmental buildings, including threat and risk assessment, guard services, contingency planning, investigations of security breaches and violations, protection, theft, and vandalism.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Transportation and Works

Departmental OPR: Transportation and Works

Disposition: Refer to table below

Common Secondaries: Refer to *section 5.1*

SAFETY AND SECURITY MANAGEMENT – Physical Security (10-03)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Facility Access Files (Visitor Log)** Use for records relating to the documenting of a visitor (government and non-government employee) to a government building.	FY+1	D
42	**Incident Case Files** Use for records relating to specific incidents of security breaches.	FY	D

6.10.4 Personnel Security - 04

Use for records relating to administration of security clearances and reliability checks on government employees and contractors, building passes, employee identification cards, and visitors.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Human Resource Secretariat

Departmental OPR: Human Resource Secretariat

Schedule: FY and Destroy

Common Secondaries: Refer to *section 5.1*

SAFETY AND SECURITY MANAGEMENT – Personnel Security (10-04)			
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**Identification Cards** Use of records in the collection and management of information related to the identification cards by employees and contractors. Such cards are used to gain access to government facilities	FY	D

6.11   COMPLIANCE MANAGEMENT – 11

Use for records relating to the activities associated with complying with mandatory or optional accountability, fiscal, legal regulatory or quality standards or requirements. Includes compliance with legislation, national and international standards, audit, red tape reduction, etc.

6.11.1 ATIPP Request Management – 01

Use for records relating to Access to Information and Protection of Privacy (ATIPP) requests and all of the files compiled to respond to requests in accordance with the Access to Information and Protection of Privacy Act. Requests must be handled according to the requirements of the Office of the ATIPP Coordinator, Department of Justice.

Note: To be determined in phase two (2) review of C-RIMS.

GNL OPR: Office of Public Engagement (OPE) – Access to Information and Protection of Privacy (ATIPP) Office

Departmental OPR: Departmental Executive, including Deputy Minister, Assistant Deputy Minister, and Executive Directors, who have responsibility for a particular departmental branch, function, and or program/service.

Schedule: FY+1 and Destroy

Common Secondaries: Refer to *section 5.1*

COMPLIANCE MANAGEMENT – ATIPP Request Management (11-01)		*Updated link*	
No.	**Function Specific Secondaries**	**ACT**	**DIS**
41	**ATIPP Request Case Files** Use for records relating to methods and procedures required in handling an ATIPP request.	FY+1	D

6.11.2 Red Tape Reduction - 02

Use for records related to managing Red Tape Reduction commitments set out for departments.

Note: To be determined in phase two (2) review of C-RIMS

GNL OPR: Service NL

Departmental OPR: To Be Determined (TBD)

Schedule: SO and Destroy

Common Secondaries: Refer to *section 5.1*

COMPLIANCE MANAGEMENT – Red Tape Reduction (11-02)			
No.	Function Specific Secondaries	ACT	DIS
41	**Red Tape Reduction Reporting** Use for records relating to reporting the RTR Office on efforts by the Department to comply with the RTR initiative.	SO	D

7.0   Roles and Responsibilities

Role of the CIMS, OCIO

The CIMS is mandated to provide advisory services to government departments; develop IM policies and standards; lead strategic IM initiatives for the GNL; and build IM capacity within the GNL.

Role of The Rooms Provincial Archives

The Rooms Provincial Archives role in the management of the records of public bodies is threefold. It is responsible for the archival appraisal of the records of public bodies; the preservation of archival records of public bodies and for making those records available for research use.

Role of the IM Directors Forum

The IM Directors Forum is an advisory body to the OCIO. It is comprised of senior IM professionals and provides input for OCIO policy and standards development and acts in a senior advisory capacity on matters of direction and focus. It is also a key group through which the OCIO disseminates policy, standards and communications for the GNL.

8.0   Definitions and Acronyms

8.1   Definitions

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

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 and Information Management Standard (C-RIMS)).

8.2 Acronyms

CIMS	Corporate and Information Management Services
C-RIMS	Corporate Records Information Management Standard
GNL	Government of Newfoundland and Labrador
GRC	Government Records Committee
IM	Information Management
IMSAR	Information Management Standard for Administrative Systems
OCIO	Office of the Chief Information Officer
RRDS	Records Retention and Disposal Schedule

9.0   Compliance and Enforcement

Mandatory compliance

OCIO Standards are mandatory for users to follow and dictate uniform ways of operating.

Compliance monitoring

Compliance monitoring of this Standard is the responsibility of the Department.

Penalty for failure to comply

Willful non-compliance with this Standard, including contravention through negligence, may result in disciplinary action, up to and including termination of employment, contract or access.

10.0 Monitoring and Review

The (Issuing Branch) is responsible for monitoring and reviewing this Standard in accordance with processes set forth by the Corporate and Information Management Services Branch.

11.0 References

Management of Information Act
Rooms Act
Information Management and Protection Policy, TBM 2009-335

12.0 Revision History

Version	Date Reviewed	Reviewed By
01	2009-10-06	Porter, Kim – Coordinator, GRLM GRC Meeting 2009-08
02	2016-04-12	Porter, Kim – Coordinator, GRLM GRC Meeting 2016-004

13.0 Appendicies

Appendix A:	Template Memorandum for C-RIMS Implementation
Appendix B:	Corporate Records and Information Management (C-RIMS) FAQ's

Appendices are available online on OCIO's **website**.

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