# RECORDS DISPOSITION AUTHORITY

## 1995-32, Version 10 - ABRIDGED

## ADMINISTRATIVE RECORDS CLASSIFICATION SYSTEM

## ON-GOING SCHEDULE

## A note about the abridged edition of RDA 1995-32 V10

This abridged edition of RDA 1995-32, version 10, was created for reference purposes only. It includes all classifications and retention schedules that are in the approved version. The abridged version does not include discontinued primaries and secondaries. It also does not include the summary of changes table, which can be found in the appendix to the full version. The full version is available on request from Corporate Information Management, Department of Infrastructure.

## Summary of Approvals

The following summarizes the approval of RDA 1995-32 V10. Approval by the Deputy Head or equivalent is required before a government body can use this version of ARCS to classify, schedule, and dispose of its administrative records.

| Position | Name | Date |
|---|---|---|
| Manager, Corporate Records Management (Endorsed for approval) | Cara Van Zanden | 2018-06-14 |
| Territorial Archivist (Approval of final disposition) | Erin Suliak | 2018-06-14 |
| Chief Executive Officer, Hay River Health and Social Services Authority | Erin Griffiths | 2019-04-10 |
| Chief Executive Officer, NWT Business Development and Investment Corporation | Joyce Taylor | 2021-06-10 |
| Chief Executive Officer, NWT Health and Social Services Authority | Sue Cullen | 2018-07-30 |

| Position | Name | Date |
|---|---|---|
| Chief Executive Officer, Tlicho Community Services Agency | No response | |
| Clerk of the Legislative Assembly | Tim Mercer | 2018-08-15 |
| Deputy Minister, Department of Education, Culture and Employment | Sylvia Haener | 2019-07-29 |
| Deputy Minister, Department of Environment and Natural Resources | Erin Kelly | 2020-03-13 |
| Deputy Minister, Department of Executive and Indigenous Affairs | Mike Aumond | 2019-03-05 |
| Deputy Minister, Department of Finance | David Stewart | 2019-03-15 |
| Deputy Minister, Department of Health and Social Services | Bruce Cooper | 2019-08-21 |
| Deputy Minister, Department of Industry, Tourism and Investment | Pam Strand | 2021-09-21 |
| Deputy Minister, Department of Infrastructure | Jayleen Robertson, Assistant Deputy Minister, Regional Operations, acting for Paul Guy | 2018-08-13 |
| Deputy Minister, Department of Justice | Charlene Doolittle | 2020-10-08 |
| Deputy Minister, Department of Lands | Sylvia Haener | 2020-02-24 |
| Deputy Minister, Department of Municipal and Community Affairs | Eleanor Young | 2019-06-05 |
| Directrice generale, Commission scolaire francophone Territoires du Nord-Ouest | Yvonne Careen | 2019-04-11 |
| Interim President, Aurora College | Andy Devan | 2020-08-31 |
| President and CEO, NWT Housing Corporation | Tom R. Williams | 2019-05-27 |
| President and CEO, Workers' Safety and Compensation Commission | Dave Grundy | 2018-07-09 |
| Superintendent of Education, Yellowknife Education District No.1 | Metro Huculak | 2019-04-09 |
| Superintendent of Schools, Beaufort-Delta Education Council | Francis Galway | 2019-04-11 |
| Superintendent, Dehcho Divisional Education Council | Philippe Brulot | 2019-04-09 |
| Superintendent, Sahtu Divisional Education Council | Seamus Quigg | 2019-04-09 |
| Superintendent, South Slave Divisional Education Council | Francis Galway | 2019-04-12 |
| Superintendent, Yellowknife Catholic Schools | Claudia Parker | 2019-04-15 |
| Deputy Minister, Environment and Climate Change | Brett Elkin Assistant Deputy Minister acting for Erin Kelly | 2023-06-28 |

# RECORDS DISPOSITION AUTHORITY

## 1995-32, Version 10 - ABRIDGED
## ADMINISTRATIVE RECORDS CLASSIFICATION SYSTEM
## ON-GOING SCHEDULE

## Effective Date of the Records Disposition Authority

This Records Disposition Authority may be used to classify and schedule records created on or after April 1, 1967.

## Amendments History

The following is a summary of the amendments to the Government of the Northwest Territories' Administrative Records Classification System (ARCS).

Amendments come into operation on the approval date.

Records created while a previously approved version of the ARCS was in operation may continue to be classified, scheduled, and disposed of under the classification numbers and retention periods that were in operation at the time the records were created. This applies to records that were classified and managed using the ARCS at the time that they were created, and to backlog records that are being retroactively classified. Records created following an amendment must use the new classification numbers and retention periods.

See the Summary of Changes table in the appendix to the full version of ARCS for a list of the amendments made in this version of the ARCS.

| Version | Approval Date | Description of Amendment |
|---|---|---|
| 1 | November 21, 1995 | First version of the ARCS approved. |
| 2 | September 16, 1998 | Complete revisions of the 1000-1999, 2000-2999, 3000-3999, 4000-4999, and 6000-6999 sections. Many primaries and secondaries consolidated or discontinued. |
| 3 | January 26, 1999 | Complete revision of the 5000-5999 section. Many primaries and secondaries consolidated or discontinued. |
| 4 | September 27, 2000 | Revisions to primaries 1344, 5145, 5150, 5170, 5200, 5205, 5225, 6003, and 6225. |

| 5 | March 15, 2002 | Revisions to primaries 1015, 1135, 1145, 1155, 1165, 1170, 1185, 1275, 1290, and 1310. |
|---|---|---|
| 6 | June 4, 2002 | Revisions to primary 1305. |
| 7 | December 16, 2002 | Complete revision of the 4000-4999 section. Primary 4170 discontinued. |
| 8 | March 17, 2004 | Revision to primary 4280. |
| 9 | November 30, 2005 | Revisions to primaries 1025, 1255, 1343, 1344 and 4167. Complete revision to 6000-6999 section. Primaries 1135 and 6280 discontinued. |
| 10 | | Complete revisions of the 1000-1999, 2000-2999, 3000-3999, 4000-4999, 5000-5999, and 6000-6999 sections. Many primaries and secondaries consolidated, moved, or discontinued. Removal of the Acknowledgements, Introduction, How To Implement, Disposition of Records and Operational Records Classification System (ORCS) sections. Change to the format of the ARCS to ORCS standard format. Visual Identify Program requirements applied. |

## Purpose of Records Disposition Authority 1995-32, Version 10

This Records Disposition Authority (RDA) is an integrated records classification system and records retention schedule for the Government of the Northwest Territories (GNWT). It is approved under the authority of the *Archives Act*, the *Records Scheduling Policy*, and the *Standard – Administrative Records*. An RDA is a tool for managing and accounting for the government's information assets. All government bodies are accountable to the public for their records and information to the same degree that they are accountable for monetary expenditures.

As a classification system the ARCS is used to identify administrative records, place them into logical groups, and provide a system for the arrangement of physical and electronic records. A records classification system is designed to improve records retrieval and creation. It does this by standardizing the way that records are created, named, and organized by government employees.

As a records retention schedule the ARCS assigns a timetable to the life cycle of all records described in the classification system by setting out the minimum length of time that records must be retained. The retention schedules provide for the systematic and timely transfer of records to lower cost storage. The retention schedule also provides for regular

and systematic disposal of records through transfer to the Northwest Territories Archives, destruction, or another process.

As a universal records disposition authority the ARCS applies to all records produced by the common functions and activities of government bodies. It also schedules records documenting a government body's interactions with the GNWT's central services, where the central agency holds the master record for the government. GNWT central services include finance and accounting services, procurement services, human resources services, information technology and infrastructure services, records and electronic document management services, legal services, building and property construction and maintenance services, and other centralized business functions. Agencies, boards, commissions, and crown corporations that do not utilize the GNWT's central services may need to supplement the ARCS with an Operational Records Classification System (ORCS) that addresses one or more of these areas.

A recorded information management program supports the delivery of the government's programs and helps to protect both the interests of the public and the GNWT. The ARCS supports the recorded information management program by providing a mechanism for identifying, controlling, and tracking administrative records and thereby reducing retrieval times. It helps to reduce duplication by identifying master records and providing a mechanism for disposing of copies in a timely fashion. The ARCS also helps the government body meet its responsibilities under the *Archives Act*, the *Access to Information and Protection of Privacy Act*, the *Financial Administration Act*, the *Public Service Act*, and other legislation.

When government bodies use the ARCS in conjunction with ORCS they are able to classify and schedule all of the records that they create and use.

## Organizational Profile

The Government of the Northwest Territories (GNWT) is a non-partisan consensus-style parliamentary government composed of three branches: the executive (composed of the Premier and Ministers who are responsible for the operations of the government bodies that make up the public service); the legislative (approves laws); and the judicature (applies laws through the court system).

The GNWT was established with the passage of the Northwest Territories Act in 1875, five years after the Northwest Territories (NWT) was acquired by the Dominion of Canada. This Act has been amended many times since then to change the size and composition of the Territorial Council/Legislative Assembly, reflecting changes in the geographical extent of

the NWT as well as a gradual increase in more representative government as electoral districts were created in the NWT.

From 1905, when the provinces of Alberta and Saskatchewan were created, until 1967, the NWT was governed from Ottawa. During this period, although government programs and services in the NWT were carried out under the authority of the Territorial Council, the majority were administered by the federal Department of Northern Affairs and National Resources.

Between 1965 and 1966, the Advisory Commission on the Development of Government in the Northwest Territories, otherwise known as the Carrothers' Commission, was charged with examining the question of the political development of the Northwest Territories. The Commission held hearings in northern communities and presented its findings in a report in 1966: northern residents should have a greater degree of self-government, including a public service located within the NWT, but the Eastern Arctic (later Nunavut, created in 1999) should not be separated into its own territory for at least another ten years.

In 1967, the territorial government moved to Yellowknife, as recommended by the Carrothers' Commission report. This date marks the establishment of the territorial public service, which soon began to take over delivery of programs and services from the federal government. The movement towards more representative government continued in the following decades: in 1975, the Territorial Council was composed entirely of elected (rather than appointed) members; in 1980 the renamed Legislative Assembly elected the first Government Leader; and in 1986 the management of the Executive Council (Cabinet) was transferred from the Commissioner to the Government Leader.

Responsibilities for various functions have gradually devolved from the federal government to the GNWT since 1967, and many through gradual phased changes. These include personnel (1967), industry and development (1967), education (1969-1970), justice (1971), airports (throughout the 1970s), health (1978-1984), social services (1978), elections (1997), and management of land and resources (2014). Some functions and activities have been further devolved to local and indigenous governments.

In addition to operational functions, each managed by a specific government body, some administrative functions have emerged as common across government. These include general administration (governance, policy, planning, legislation, maintenance of relationships with other governments and groups); the management of equipment and supplies; some aspects of financial management and accounting; the management of some aspects of human resources; and the management of information systems and services.

Program delivery by the GNWT is largely centralized in Yellowknife, with some headquarters offices and significant regional presence in Fort Smith, Hay River, Fort Simpson, Norman Wells, and Inuvik. Government services are also provided in smaller communities, often through local Single Window Service Centres.

## Organizational Chart

| Head of Territory | Legislative Assembly | Departments | Agencies, boards, commissions, corporations, offices, and other bodies |
|---|---|---|---|
| Commissioner of the Northwest Territories | Members of the Legislative Assembly<br>• Premier and Cabinet<br>• Regular Members<br><br>Office of the Clerk of the Legislative Assembly | Education, Culture and Employment | Aurora College<br>Beaufort Delta Divisional Education Council<br>Commission scolaire francophone Territoires du Nord-Ouest<br>Dehcho Divisional Education Council<br>Dettah District Education Authority<br>N'dilo District Education Authority<br>Sahtu Divisional Education Council<br>South Slave Divisional Education Council<br>Yellowknife District No. 1 Education Authority<br>Yellowknife Public Denominational District Education Authority |
| | | Environment and Natural Resources | Inuvialuit Water Board |
| | | Executive and Indigenous Affairs | Public Utilities Board |
| | | Finance | Liquor Commission<br>Liquor Licensing Board |
| | | Health and Social Services | Northwest Territories Health and Social Services Authority<br>Hay River Health and Social Services Authority |
| | | Industry, Tourism and Investment | Northwest Territories Business Development and Investment Corporation |
| | | Infrastructure | |
| | | Justice | Northwest Territories Legal Aid Commission<br>Public Trustee<br>Rental Officer |
| | | Lands | Surface Rights Board |
| | | Municipal and Community Affairs | Northwest Territories Lottery Authority |
| | | | Northwest Territories Housing Corporation |
| | | | Northwest Territories Hydro Corporation |
| | | | Northwest Territories Power Corporation |
| | | | Tłįchǫ Community Services Agency |
| | | | Workers' Safety and Compensation Commission |

# Regulatory Environment

The following legislation and associated regulations govern or affect the administrative functions of the GNWT's government bodies and the delivery of administrative programs and services. Each government body operates under additional legislation which governs its individual mandate and the delivery of operational programs and services.

- *Access to Information and Protection of Privacy Act*
- *Archives Act*
- *Canada Labour Code*
- *Civil Emergency Measures Act*
- *Electronic Transactions Act*
- *Financial Administration Act*
- *Health Information Act*

- *Human Rights Act*
- *Legislative Assembly and Executive Council Act*
- *Official Languages Act*
- *Public Service Act*
- *Revolving Funds Act*
- *Safety Act*
- *Workers' Compensation Act*

The following policies govern or affect the administrative functions of the GNWT's government bodies and the delivery of administrative programs and services.

- Affirmative Action Policy (GNWT Policy 14.03)
- Business Incentive Policy (GNWT Policy 63.02
- Communications Policy (GNWT Policy 11.21)
- Disposal of Goods Policy (GNWT Policy 32.06)
- Disposal of Improved Real Property Policy (GNWT Policy 32.05)
- Electronic Security Information Policy (ICT Policy 6003.00.26)
- E-mail Use Policy (ICT Policy 6003.10.11)
- Excluded Employee's Handbook
- Financial Administration Manual
- Fiscal Responsibility Policy (GNWT Policy 15.03)
- Human Resources Manual

- Intergovernmental Relations Policy (GNWT Policy 11.53)
- Leasing of Improved Real Property Policy (GNWT Policy 11.22)
- Management of Electronic Information Policy (ICT Policy 6003.00.20)
- Negotiated Contracts Policy (GNWT Policy 11.26)
- Northwest Territories Archives Policy (GNWT Policy 71.06)
- Occupational Health and Safety Policy
- Official Languages Policy (GNWT Policy 71.10)
- Recorded Information Management Policy (ICT Policy 6003.00.18)
- Records Scheduling Policy (ICT Policy 6003.00.24)

- Revenue Leasing of Improved Real Property Policy (GNWT Policy 11.23)

- Senior Manager's Handbook

The following standards, guidelines, and directives govern or affect the administrative functions of the GNWT's government bodies and the delivery of administrative programs and services.

- Administrative Records Standard (ICT Standard 6003.00.19)
- E-mail Management Directive (OCIO Directive - in development)
- Digitizing Directive (OCIO Directive)
- Digitizing Standard (OCIO Standard – in development)
- eProcurement Procedures

- Procurement Guidelines
- Negotiated Contracts Submission Guidelines
- Electronic Information Security – Threat-Risk Analysis Guideline (ICT Guideline 6003.00.28)
- Electronic Security Information Standard (ICT Standard 6003.00.26)

## Description of Records

The ARCS describes and schedules records relating to business functions and activities that are common to government bodies and records relating to a government body's administrative or "housekeeping" functions. It includes records relating to governance, risk management, asset management, finance, human resources management, information management, information services, and other common administrative activities. The ARCS applies to records in all media, including, but not limited to, paper, electronic, a microfilm copy, an electronic copy, or any other replacement copy of a record after verification.

## External Review and Advice

While developing the ARCS, the Department of Infrastructure, Corporate Records Management identified the requirement to consult with outside experts regarding the retention and disposition of the records. The following experts were asked to review or provide advice regarding the ARCS.

- William Rouse, Legal Counsel, Department of Justice.
- Bob Shahi, Director, Internal Audit Bureau, Department of Finance.
- Jamie Koe, Comptroller General, Department of Finance.

## Office of Primary Responsibility

Government bodies must individually determine which business units within the organization have primary responsibility for the different functions and activities represented in the ARCS.

The ARCS identifies a number of government bodies that have government-wide responsibilities for the delivery of certain corporate functions and services, as well as the management of information relating to these services. These include:

- Department of Executive and Indigenous Affairs (EIA), for records relating to intergovernmental relations, indigenous relations, communications, protocol, and Executive Council (Cabinet).
- Department of Finance (FIN), for records relating to the management of financial and human resources, risk management, information security, and health and safety.
- Department of Infrastructure (INF), for records relating to the management of buildings, properties, leases, contracts, moveable assets, information technology and records.
- Department of Justice (JUS), for records relating to access to information and protection of privacy, legal advice and opinions, disputes and litigation, and the development of legislation and regulations.
- Department of Municipal and Community Affairs (MACA), for records relating to emergency preparedness and response.
- Legislative Assembly (LA), for matters relating to the Legislative Assembly.

If a government body does not utilize these corporate functions and services, it is the office of primary responsibility for these functions.

## Definitions

**Active Records** are records that are required on a regular basis. They may be referred to daily, weekly, or every couple of weeks. Because active records are used frequently, they should be kept in the office where they were created.

**Administrative Records** are records documenting common management processes, activities, and functions including planning and organization, committee participation, drafting of agreements and contracts, legal matters, and communications. Administrative records support "housekeeping" functions such as the management of facilities, property, material, finances, personnel, and information systems. Administrative records are common to all offices and are distinct from operational records.

**Archival Records** are records selected for permanent preservation in the NWT Archives.

**Archival Selection** refers to the process whereby the NWT Archives determines which government records will be retained permanently to document the history and operations of the GNWT.

**Block Numeric** refers to a file classification system whereby specific subjects are grouped into separate blocks of more general primary subjects. Primary numbers are assigned to the main subject blocks and secondary numbers are assigned to the specific subjects within the blocks. Together the primary and secondary numbers designate particular files. When further breakdown of subjects is necessary, tertiary and quaternary numbers are created.

**Calendar Year** is the period of January 1 to December 31.

**Case File** refers to a file containing material relating to a specific action, event, person, project, location, etc., and which is filed by that name, project, location, etc. All case files in a particular series usually contain the same type of record material.

**Chrono File** refers to a file that consists of correspondence and other documents that are arranged according to the date of creation or receipt. Also called a chronological file.

**Classification System** refers to a systematic arrangement of records into functional or subject groups using numbers or letters for identification.

**Classifying** refers to the act of assigning the appropriate filing code to records according to the established records classification system.

**Closed File** refers to a file on which action has been completed and to which documents are unlikely to be added. The file may be closed because the activity or event to which it relates has ended or due to system design procedures (e.g. the specification that all records are to be closed at the end of a fiscal or calendar year).

**Confidential Records** are records containing certain information that requires protection against unauthorized access or disclosure.

**Convenience Copies** refer to duplicate copies (either in digital or analog format) of master records created for ease of access and use. Convenience copies are not substitutes or replacements for master records and cannot be relied upon as a record of actions, transactions, or decisions. See also Transitory Record.

**Copy File** refers to a record that is a copy of and is maintained in addition to the master file. A copy file is kept for reference purposes and is not used or relied up on as the

government body's official record of its actions, business transactions, decisions, policies, and approvals.

**Cross Reference** refers to a notation that directs the user to another location where similar or related records may be found.

**Destruction** see Final Disposition.

**Digital Record** see Electronic Record.

**Digitization** is the process of converting records from analogue (physical) formats to digital formats.

**Electronic Record** is an analogue or digital record that is carried by an electrical conductor and requires the use of electronic equipment to be intelligible by a person.

**File** refers to a group of documents related by use, topic, or case, housed together in an electronic or paper folder or group of folders, and arranged in a logical sequence.

**File Classification System** see Classification System.

**Final Disposition** is the final action taken with regard to a group of records after their inactive phase has ended. It may be either destruction or transfer to the NWT Archives.

**Fiscal Year** refers to a period of 12 consecutive months that the organization uses for accounting purposes and preparing financial statements. In most government bodies the fiscal year starts on April 1 and ends on March 31.

**Format** refers to the material onto which information or data has been recorded and may subsequently be used (i.e. paper, microfilm, electronic).

**Function** refers to anything an organization or institution is accountable for doing in order to fulfill its established role or mandate. Functions represent the major responsibilities that are managed by the organization and typically consist of a group of related business activities that fulfills the major responsibilities for achieving the organization's strategic goals and legislative responsibilities.

**Government Body** means

(a) a department, branch or office of the Government of the Northwest Territories,

(b) an agency, board, commission, corporation, office, or other body designated in the regulations, or

(c) the office of a member of the Executive Council.

(*Archives Act*, R.S.N.W.T 1988, c.A-6, s.1).

**Master File or Master Record** is a record that is considered the official record and is considered a true and valid record by both the creator and for legal purposes. Also referred to as a substantive or authoritative record.

**Official Record** see Master File.

**Office of Primary Responsibility (OPR)** refers to the program unit within a government body which is responsible for the creation and maintenance of a category of records or holds the master copy of any records series. The OPR is responsible for the particular function or activity and maintains the master file in order to satisfy operational, financial, legal, audit, and other requirements. All other copies are considered duplicates and have a shorter retention period.

**Operational Records** refers to records that are related to the operations and services provided by a government body in carrying out the functions for which it is responsible according to statute, mandate, or policy. Operational records are distinct from administrative records and are unique to each government body.

**Original** see Master File.

**Public Record** means a record that is created by or for or is received by a government body carrying out its activities, but does not include

(a) a record of the Legislative Assembly, the office of the Speaker of the Legislative Assembly, or the office of the Clerk of the Legislative Assembly,

(b) a record of a committee of the Legislative Assembly,

(c) a record of a member of the Legislative Assembly other than a member of the Executive Council,

(d) a record of a member of the Executive Council that relates to his or her activities as a member of the Legislative Assembly,

(e) correspondence sent or received by a member of the Legislative Assembly unless the correspondence relates to his or her responsibilities as a member of the Executive Council,

(f) a record of a member of the Legislative Assembly, including a member of the Executive Council, that relates to his or her constituency office or to his or her representation of constituents, or

(g) a surplus copy of a record or a copy of a record that is created only for convenience of reference.

(*Archives Act*, R.S.N.W.T 1988, c.A-6, s.1)

**Record** is a record of information, regardless of its form and characteristics, the means by which it was created and the media on which it may be stored and, without limiting the generality of the foregoing, includes

(a) a document, book, ledger, photograph, image, audiovisual recording, x-ray, map and drawing, and

(b) a record created or stored in digital or other intangible form by electronic means, but does not include software or a mechanism that produces records.

(*Archives Act*, R.S.N.W.T 1988, c.A-6, s.1)

**Records Disposition Authority (RDA)** a plan respecting the preservation and destruction of public records as described in the *Archives Regulations*, which must

(a) include a comprehensive description of each class of public records;

(b) specify the criteria for determining whether a class of public records should be preserved or destroyed; and

(c) specify the minimum periods during which the government body must retain each class of records that it intends to destroy.

**Records Series** refers to records arranged in and maintained in a unit because they relate to the same subject, function, or activity, or because of some other relationship resulting from their creation, receipt, or use.

**Retention Period** refers to the length of time a record must be retained in order to satisfy administrative, fiscal, legal and research requirements of a government body. Retention periods are usually specified in number of years or by reference to the termination of a project or event.

**Retention Schedule** see Records Disposition Authority. Also referred to as a Records Retention Schedule, a Retention and Disposition Schedule, or a Records Schedule.

**Scope Note** refers to a description of the function, uses and content of the records that are classified within a primary or secondary records classification. A scope note indicates the administrative or operational function of the records, and should give a general statement about the record types and media. A scope note may also contain information about records that are specifically excluded from the classification and filed elsewhere, about records arrangement and organization, records management practice, and records usage.

**Semi-Active Record** means a record that is no longer required for constant referral in the course of daily business but which is still of some use to the government body. The record may be required for occasional consultation and may be retained because of administrative or legal requirements.

**Subject File** refers to a collection of record material on a specific subject placed together, usually in date order, within a single file folder.

**Transitory records** are records that are needed only for a limited time for the completion of a routine action or to prepare a subsequent record. Transitory records do not include records required by government organizations to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities of the government.

# Abbreviations

The following abbreviations have been used throughout ARCS

| | | |
|---|---|---|
| **A** | Active Record | The record is required by the government body or business unit on a regular basis. Active Records are kept in the office where they were created because they are used frequently. |
| **AS/D** | Archival Selection / Destruction | The record will be transferred to the Northwest Territories Archives at the end of its active and semi-active periods. Those records not selected for archival preservation will be destroyed. |
| **D** | Destroy | The record will be destroyed at the end of its active and semi-active periods in a manner that prevents it from being reconstructed. |
| **FD** | Final Disposition | The final action taken with regard to a group of records after their active and semi-active phases end. |
| **NIL** | Zero Years | The record will not be retained for any length of time during this phase of the life cycle and proceeds directly to the next phase in its life cycle. |
| **OPR** | Office of Primary Responsibility | Refers to the program unit within a government body which is responsible for the creation and maintenance of a category of records or holds the master copy of any records series. The OPR is responsible for the particular function or activity and maintains the master file in order to satisfy operational, financial, legal, audit, and other requirements. All other copies are considered duplicates and have a shorter retention period. |
| **RDA** | Records Disposition Authority | A plan respecting the preservation and destruction of public records held by a government body or under its control, which must (a) include a comprehensive description of each class of public records; (b) specify the criteria for determining whether a class of public records should be preserved or destroyed; and (c) specify the minimum period during which the government body must retain each class of public records that it intends to destroy. (*Archives Regulations*, s.1(1)) |
| **S/O** | Superseded or Obsolete | Indicates that a specific event must occur or criterion be met in order to close the file and trigger the retention period. Typically the event either replaces the record or makes it obsolete. |
| **SA** | Semi-Active Record | A record that is no longer required for constant referral in the course of daily business but which is still of some use to the government body. The record may be required for occasional consultation and may be retained because of administrative or legal requirements. |

# How to Use Records Disposition Authority 1995-32, Version 10

## Purpose and Scope

The Administrative Records Classification System (ARCS) is a block numeric classification system and records retention schedule for use by all government bodies. The ARCS describes and schedules administrative records, which are those records that support common administrative or "housekeeping" functions, such as governance, communications, risk management, asset management, finance, human resources, and information management. Administrative records are contrasted with operational records, which are those records that are created or collected in support of a government body's mandated programs and services. Operational records are classified and scheduled in Operational Records Classification Systems (ORCS) that are specific to a single government body. Together ARCS and ORCS provide a comprehensive description, classification system, and retention schedule for all of the records belonging to a government body.

## The ARCS as a Classification System

Classification systems are systems for organizing objects, concepts, or records. The ARCS is used to organize records and follow the principle that information is classified from the general to the specific. As one moves down through the classification hierarchy, each level becomes more specific and definitive. This hierarchical structure creates a quick and easy way to access and retrieve information. It has three levels of records classification: sections, primaries, and secondaries. Government bodies may create lower classification levels, known as tertiaries and quaternaries, but these levels are not identified in the ARCS.

### Sections

The ARCS is divided into six sections. Sections classify and describe a function at its broadest level, and consist of groups of related primaries. Each section is allotted a block or range of primary numbers. The sections in ARCS are:

| Primary Numbers | Section Title |
|---|---|
| 1000-1999 | Administration |
| 2000-2999 | Buildings and Properties |
| 3000-3999 | Equipment and Supplies |
| 4000-4999 | Finance |
| 5000-5999 | Human Resources |
| 6000-6999 | Information Management and Services |

## Primaries

Sections are divided into primaries, which classify specific subjects or functions. Each primary is assigned a unique title that identifies the function or subject matter of the records that are to be classified under the primary. The first primary is the general primary and contains records which cannot be classified into a more specific primary within the section, or which related to more than one subject or function in the section. Each primary is assigned a four-digit primary number that uniquely identifies the primary. Gaps are left between each primary number so that the logical arrangement of the primaries can be maintained when the ARCS is amended and new primaries are added.

Each primary has a scope note that describes the function or subject of the primary. It identifies the types of records that are to be classified in the primary, and may identify records that should not be classified in the primary. The scope note is designed to help users identify the correct primary when they classify records.

Cross references, or "see" references, are included in many primaries to point users to the correct primary in cases where there may be confusion between two primaries.

Additional notes may be used to explain how the primary should be used or implemented.

## Secondaries

Primaries are divided into secondaries. Secondaries are used to classify specific series or types of records, such as policy and procedures, subject files, and case files. Each secondary is assigned a two-digit classification number. The primary and secondary numbers together create a number that uniquely identifies the secondary. Gaps are left between each secondary to allow for expansion. At minimum, records are classified to a primary and a secondary. The secondaries that belong to each primary are listed in a table on each primary page.

Each secondary has a scope note that describes the types of records that are to be classified in the secondary. The scope note is designed to help users identify the correct secondary when they classify records.

There are two types of secondary numbers within ARCS. They are:

**Reserved secondary numbers:**
- o  A reserved secondary number that has been reserved throughout the ARCS.
- o  Secondary number -00 is always reserved for "Policy and Procedures" that relate to the function or subject of the primary.

- Secondary number -01 is always reserved for "General." It appears only within the general primary of each section and is used to classify records that cannot be classified in a specific subject or case file secondary.

**Prescribed Subject or Case File Secondaries:**
- Subject secondaries are used for records about specific subjects. A subject file usually brings together records and information on one topic in order to facilitate information retrieval.
- Case file secondaries are used for files that contain records pertaining to a specific time-limited entity, such as a person, event, project, transaction, product, or organization. The component records within each file in a case file series are generally standardized. Most of the records created by an organization are case files.
- Prescribed secondaries are numbered from – 02 through -99.

## Tertiaries

Secondaries may be subdivided using tertiaries. Government bodies assign tertiary numbers. Tertiaries are used when the subject matter of the secondary is too broad for effective filing and retrieval and to uniquely identify individual files. The tertiary number is added to the primary and secondary numbers to form a complete file number. It is important to note that records classified under tertiary numbers inherit the retention period and disposition of the secondary under which they are classified.

### Coded Series and Tertiaries

Secondaries may be subdivided using codes or tertiaries.

**Coded Case File Series**: A coded case file is a case file that has been assigned a code to distinguish it from other files in the series. Codes that may be used in a case file series include project numbers, employee numbers, case numbers, contract numbers, vendor numbers, etc. Case file series are sometimes arranged by the full name or title of the case (e.g. person, event, project, transaction, product, or organization) but are, for the purpose of abbreviation and identification, more commonly arranged by a numeric or alphabetical codes (abbreviations) which correspond to the entities to which the files relate.

**Coded subject File Series:** A coded subject file is a subject file that has been assigned a code to distinguish it from other files in the series. Although case files are the most common example of coded series, codes may also be used to arrange subject secondaries when coding will facilitate retrieval. Examples of codes for

subject files include standardized codes assigned to government bodies or communities.

**Tertiary Number and Title:** When a secondary requires further subdivision, a tertiary number may be added. The tertiary number is added to the primary and secondary numbers to form a complete file number. It is important to note that records classified under tertiary numbers must meet the retention of the secondary under which they are classified. If they do not, a new secondary is required.

## Records Retention and Disposition Schedule

Retention schedules in the ARCS are assigned to each secondary. Schedule information for each secondary is provided in the columns to the right of the secondary numbers and titles. There are two sets of retention schedule columns: Master File and Copy File. The master file retention schedule is used to schedule the government body's master record, while the copy file retention schedule is used to schedule copies other than the master record. Both the master file and copy file retention schedules are divided into three columns. These columns are headed A (active), SA (semi-active), and FD (final disposition). They correspond with the active, semi-active, and final disposition phases of the record life cycle.

**Active Retention Period Column**: The active (A) column describes the event that closes a record and the length of time a record should be retained in active storage in the office after the records have closed. Active records are records which are referred to regularly and required constantly for current use in the conduct of business and which need to be retained and maintained in the office space and equipment of the user. Closed records may be kept in active storage for a period because they are needed for reference purposes.

**Semi-Active Retention Period Column:** The semi-active (SA) column indicates the length of time a record should be retained in the semi-active phase of its life cycle. Semi-active records are records that are not required constantly for current use and need not be maintained in the expensive office space of the government body responsible for them. Semi-active records retain administrative, operational, fiscal, audit, or legal value. Storage of semi-active paper records in the Records Centre until all values have lapsed results in considerable savings. Electronic records typically remain in active, on-line, storage during the semi-active phase.

**Final Disposition Column:** The final disposition (FD) column identifies the final action that will be taken when the records have completed their active and semi-active phases. The purpose of the final disposition column is to ensure that those

records that have residual historical values are preserved and that those records that have no historical values are destroyed.

The active and semi-active retention periods ensure that records are kept as long as required to meet any operational, administrative, legal, audit, or other primary values, which the records may hold. By retaining records for the retention periods specified in the retention schedule, government bodies will comply with statutory, regulatory, and policy requirements to maintain certain types of information and data.

## How to Read the Records Retention and Disposition Schedule

An example of a retention schedule is presented below. The first two columns, labeled "secondaries" contain the secondary classification numbers and secondary titles and scope notes that belong to the primary. The next three columns contain the master file retention schedules and copy file retention schedules, described above. Retention schedules are read across the table from left to right.

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 01 | **General** | **MASTER FILE** | | |
| | Is used for records which cannot be classified into a more specific secondary. This secondary should only be used after consulting with the records coordinator on possible alternative classifications. | 2 | Nil | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 05 | **Reports and Statistics** | **MASTER FILE** | | |
| | Is used for records reporting on the government body's planning activities and its program delivery, its participation in agreements, work of committees, and its participation in government-wide initiatives. | 3 | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, annual reports, quarterly, monthly and weekly reports, and special one-time reports. | 2 | Nil | D |

**Active Column**

The active (A) column contains an abbreviation, a number, or a combination of an abbreviation and a number. The abbreviation identifies the retention trigger for the records classified into a particular secondary. A retention trigger is an event that closes the records and starts the retention period described in the retention schedule. The two most common triggers are Superseded/Obsolete and End of the Fiscal Year.

> **S/O (Superseded/Obsolete):** is a retention trigger that describes an event that closes a record. S/O retention triggers are assigned for records for which an active retention period cannot be predetermined because the closure of the file is dependent upon the occurrence of some event. For instance, policy and procedures files close when the policy or procedures is replaced (superseded) or is no longer in effect (obsolete). S/O descriptions explain the events that trigger the closing of the record.

> **End of the Fiscal Year:** if the active column only contains a number, then the files typically close at the end of the fiscal year. The files will be retained in active storage after it closes for the number of years shown by the number in the active column. In the example above, a master record classified to secondary -05 closes at the end of the fiscal year, and is retained for an additional three years in the office before moving on to the next phase in its life cycle.

Occasionally the active column will show both a retention trigger and the number of years that the records should be retained in the office after they have closed, e.g. S/O+2. The purpose of placing both a retention trigger and the length of the active period in the active column is to show that the records should not be transferred to off-site storage as soon as they are closed.

**Semi-Active Column**

The semi-active column shows the length of time in years that the records may be kept in off-site storage in a records center. In the example above, records classified into secondary -00 can be kept in off-site storage for ten years. If government bodies do not transfer the records to the Records Center right away, the length of time that they remain on site after the semi-active phase has begun will be subtracted from the semi-active retention period. For instance, if a government body decides to keep closed policy files (-00) in the office for two years after the policy has been superseded; the files will be kept in the records center for just eight years. The records will be kept for a total of ten years after they have closed.

**Nil:** records are retained for zero years during this phase of the life cycle. The records proceed directly from their active phase to final disposition.

## Final Disposition

The final disposition column contains an abbreviation that describes the fate of the records when they have completed the active and semi-active phases of the life cycle. There are two possible final dispositions:

**AS/D:** Archival Selection/Destruction – the records are transferred to the custody of the Northwest Territories Archives, where the records will either be selected for preservation as a historical record or appraised as having no historical value and destroyed.

**D:** Destroy – The records will be destroyed.

**DP:** Disposition Plan – an action other than transfer to NWT Archives or destruction must be taken during the life of the records or at final disposition. An appendix to the RDA explains how the records must be handled.

## Total Retention Period

The total retention period for a record consists of the addition of the active and semi-active periods. For instance, in the example above, records classified into secondary -00 are retained for a total of ten years after they have been superseded or have become obsolete. A policy file that closed in 2017 will be retained until the year 2027, when it will be transferred to the NWT Archives.

For electronic records, retention and disposition is usually based on the total retention period without any differentiation between active and semi-active periods. Electronic records that have an S/O trigger should be identified as superseded or obsolete in order to calculate retention and disposition dates accurately. For electronic records that do not have an S/O trigger the retention and disposition is usually calculated from the date that the record was last modified.

# SECTION 1

# ADMINISTRATION

# 1000 – 1999

The Administration section classifies and schedules records relating to governance, policy, planning, legislation, and other administrative activities which cannot be classified into a more specific section. It includes records relating to the maintenance of relations with other governments, indigenous groups, the public, the media, and professional organizations.

It is used to document a government bodies' participation in the development and implementation of agreements. It is used for records documenting decision making processes and the exercise of authority and control within the government body. This includes the support of the Minister and their participation in the Legislative Assembly and Executive Council, the administration of the government body by the Deputy Minister or equivalent, the coordination between headquarters and regional offices, and participation in government initiatives. It is used for legal matters, the delivery of the Access to Information and Protection of Privacy program, the delivery of programs and services in official languages, the management of intellectual property, and emergency preparedness. It is also used to document participation in meetings, committees, and conferences.

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# 1000-1999

# LIST OF PRIMARIES

# ADMINISTRATION

| | | | |
|---|---|---|---|
| 1000 | Administration – General | 1200 | Information Exchange |
| 1015 | Departmental Meetings | 1255 | Intellectual Property |
| 1025 | Planning and Organization | 1275 | Directorate |
| 1027 | Access to Information | 1285 | Emergency Services and Disaster Planning |
| 1029 | Protection of Privacy | 1290 | Executive Council (Cabinet) |
| 1040 | Acts and Regulations | 1300 | Government Initiatives |
| 1080 | Agreements | 1305 | Legal Matters |
| 1115 | Associations, Clubs, and Societies | 1310 | Legislative Assembly |
| 1145 | Committees | 1329 | Official Languages |
| 1185 | Conferences, Seminars, and Workshops | 1344 | Regional Operations |
| 1195 | Communications | | |

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# ADMINISTRATION – GENERAL 1000

Records relating to activities that impact or affect more than one administrative function or activity. It includes reports and statistics used to inform or report on a government body's planning, program delivery and participation in initiatives. It also includes chronological correspondence copy records written by non-senior management employees. Use when a more appropriate primary in this section cannot be identified. This primary should only be used after consulting with the records coordinator on possible alternative classifications.

CROSS REFERENCES:
*For Ministerial, Deputy Minister and Assistance Deputy Minister Chronos, see primary 1275*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 01 | **General** | **MASTER FILE** | | |
| | Is used for records which cannot be classified into a more specific secondary. This secondary should only be used after consulting with the records coordinator on possible alternative classifications. | 2 | Nil | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 05 | **Reports and Statistics** | **MASTER FILE** | | |
| | Is used for records reporting on the government body's planning activities and its program delivery, its participation in agreements, work of committees, and its participation in government-wide initiatives. | 3 | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, annual reports, quarterly, monthly and weekly reports, and special one-time reports. | 2 | Nil | D |

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 A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 30 | **Chronos** | **MASTER FILE** | | |
| | Is used to keep a copy of outgoing correspondence written by a non-senior management employee. Chrono files (chronological files) are usually filed by the name of the employee, then by date. | 2 | Nil | D |
| | | **COPY FILE** | | |
| | Records include copies of signed letters and emails. | 2 | Nil | D |
| | **NOTE**: the original correspondence is usually filed on the ARCS or ORCS subject or case file to which the correspondence pertains. | | | |
| | **NOTE**: Do not use for Minister's Chronos, Deputy Minister's Chronos, or an Assistant Deputy Minister's Chronos. | | | |

A = Active                SA = Semi Active            FD = Final Disposition        D = Destroy
S/O = Superseded/Obsolete    AS = Archival Selection        Nil = Zero years

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Records related to internal meetings, staff meetings, and working group meetings whose participants are employees of the same government body. It also includes meetings of senior management.

CROSS REFERENCES:
*For committees involving other government bodies, governments, or organizations, see primary 1145*
*For conferences/seminars/workshops, see primary 1185*
*For occupational, health and safety committee, see primary 5180*
*For records related to the organization and/or reorganization of the Department/Division, see primary 1025*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 25 | **Meetings** | **MASTER FILE** | | |
| | Is used for internal (divisional/regional/unit) and intradepartmental meetings. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, notices of meeting, agendas, minutes, information items, reports, terms of reference, and other material generated as a result of the meetings. | 2 | Nil | D |
| 50 | **Departmental Senior Management Meetings** | **MASTER FILE** | | |
| | Is used for internal and intradepartmental senior management committee (SMC) meetings. | 5 | 5 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, notices of meeting, agendas, minutes, information items, terms of reference and any other material generated as a result of the meetings. Also includes SMC Annual Reports. | 2 | Nil | D |

A = Active  SA = Semi Active  FD = Final Disposition  D = Destroy
S/O = Superseded/Obsolete  AS = Archival Selection  Nil = Zero years

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Records related to planning and organization for the government body, and evaluation of the government body's programs. It includes department or division organization and reorganization planning, strategic planning, program implementation and evaluation, and departmental work plans.

CROSS REFERENCES:
*For audits and compliance, see primary 4160*
*For employee work plans, see primary 5530*
*For information related to human resource planning, see primary 5510*
*For meetings that are internal to the organization, see primary 1015*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 15 | **Department or Division Organization and Reorganization** | MASTER FILE | | |
| | Is used to document changes to reporting relationships and reorganization of divisions and business units. | S/O+2 | 5 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, correspondence, organizational and functional charts, surveys, and reports. | S/O | Nil | D |
| | **S/O Description:** close when organization is no longer current, replaced, or revised | | | |

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| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
|---|---|---|---|
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Strategic Planning** | **MASTER FILE** | | |
| | Is used to document the development, monitoring and reviewing of the government body's strategic plans, corporate plans, and other long-term organizational strategies. | S/O+2 | 5 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, correspondence, division and regional strategic planning, mandates, organizational objectives, mission and vision statements, and functions. | | | |
| | **S/O Description:** close when plan is replaced by a new plan or plan expired | | | |
| 40 | **Program Implementation and Evaluation** | **MASTER FILE** | | |
| | Is used to document the implementation of the government body's programs and evaluations of those programs. It is used for the evaluation of the efficiency and effectiveness of programs. It is also used for the development of management studies and surveys as well as performance measurements. | S/O+2 | 5 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, correspondence, statistics, trend analysis studies, surveys, research, and program evaluation reports. | | | |
| | **S/O Description:** close when implementation activities are completed or when evaluation has been replaced by a new evaluation | | | |
| 45 | **Departmental Work Plans** | **MASTER FILE** | | |
| | Is used for the government body's work plan and divisional work plans. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence, plans, and reports. | 2 | Nil | D |
| | **NOTE:** Do not use for employee work plans, budgeting or templates. | | | |

| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
|---|---|---|---|
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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Records related to the administration of the *Access to Information and Protection of Privacy Act (ATIPP)* within public bodies subject to the Act. It includes activities relating to the roles and responsibilities for administering the ATIPP legislation, as well as those relating to the overall administration of the ATIPP function within public bodies.

**NOTE:** ATIPP files are not to be used for lawsuits. If an ATIPP file has a related lawsuit, public bodies should be referring to the master file for that function or subject, and not the ATIPP file.

CROSS REFERENCES:
*For agreements related to ATIPP, see primary 1029*
*For communications, see primary 1195*
*For privacy breaches, see primary 6045*
*For protection of privacy, see primary 1029*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
|---|---|---|---|
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 05 | **ATIPP Requests – General Information** | | MASTER FILE | | |
| | Is used for individual ATIPP requests received by the public body that are for general information. | | 5 | 5 | D |
| | | | COPY FILE | | |
| | Records include, but are not limited to, original applications requesting access to information, acknowledgement of the request, the transferring of a request to another public body, correspondence and/or third parties, and/or the Office of the Privacy Commissioner, authorization of representation forms, fee estimates and assessed costs, staff forms documenting the search for records relevant to ATIPP requests, copies of records (original and working and severed copies), requests for extensions, and background information about recommendations and subsequent appeals to the Supreme Court. | | 2 | Nil | D |
| 10 | **ATIPP Requests – Personal Information** | | MASTER FILE | | |
| | Is used for the purposes of the ATIPP Act to create a right of access for individuals to personal information about themselves, subject to limited and specific exceptions set out in the ATIPP Act. | | 5 | 5 | D |
| | | | COPY FILE | | |
| | Records include, but are not limited to, original applications requesting access to information about themselves, authorization of representation forms, correspondence and/or meeting notes between the Access of Privacy Coordinator, Applicants and/or third parties and/or the Office of the Information and Privacy Commissioner, staff forms documenting the search for records relevant to ATIPP request, copies of records (originals and working/severed copies), invoice for cost of photocopies, and background information about recommendations and any subsequent appeals to the Supreme Court. | | 2 | Nil | D |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 15 | **ATIPP Requests – Correction to Personal Information** | | **MASTER FILE** | | |
| | Is used for documenting requests to correct personal information that are to be retained so that individuals may exercise their rights of access and correction. | | 5 | 5 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, a birth or baptismal certificate to prove age, or a notice of assessment from Revenue Canada to prove income, original applications requesting correction of information about themselves, correspondence and/or meeting notes between the Access and Privacy Coordinator, applicants and/or third parties and/or the Office of the Information and Privacy Commissioner, staff forms documenting the search for records or the correction of records relevant to the request, copies of records (original and working/severed copies), recommendations to correct or not correct record specified by applicant, information pertaining to notification requirements of the ATIPP Act pertaining to requested corrections to personal information, background information about recommendations and any subsequent appeals to the Supreme Court. | | 2 | Nil | D |
| 30 | **Access to Information Jurisdictional Consults** | | **MASTER FILE** | | |
| | Is used for consultations requests received from outside the GNWT, including Canada and any other provinces/territories. | | 2 | 5 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, copies of the GNWT information in the custody of federal or provincial public bodies, who are dealing with formal access to information requests under their legislation for access to these records. Jurisdictional consultations require public bodies to respond with their approval or concerns to the disclosure of these documents. | | 2 | Nil | D |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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Records related to the management of the public body's protection of privacy processes as required by the privacy provision of the *Access to Information and Protection of Privacy Act (ATIPP).* It includes any requests for confirmation, clarification, privacy complaints and investigations, and privacy impact assessments and disclosure requests. It also includes the documentation involved in the request for, and preparation of, information sharing agreements between government bodies and/or external agencies. It also includes the research proposals and agreements between public bodies and researchers.

**NOTE:** Public Body is used in reference to the *ATIPP Act* that defines public body specific to this Act.

CROSS REFERENCES:
*For Access to Information (ATIPP) requests, see primary 1027*
*For agreements that are not related to the ATIPP Act, see primary 1080*
*For communications, see primary 1195*
*For privacy breaches, see primary 6045*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 10 | **Section 48 Disclosures** | | **MASTER FILE** | | |
| | Is used for Section 48 of the ATIPP Act, which permits public bodies' discretion to disclose personal information in response to individual requests. This request should be retained by the public body as a record of whether or not the disclosure occurred. The information should note the name of the individual whose information is being requested, the exact nature of the information desired, the authority for the investigation, the purpose for which the requesting agency will use the information, and the name, and title of the person authorized to make the request. | | 5 | 5 | D |
| | | | **COPY FILE** | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, protection of privacy reviews, reports, investigations, tracking tables, working papers, and correspondence. | | | | |
| 15 | **Information and Privacy Commissioner – Privacy Reviews** | | **MASTER FILE** | | |
| | Is used for Section 49 of the ATIPP Act, an individual may request the Information and Privacy Commissioner to review whether or not a public body has improperly collected used or disclosed an individual's personal information in contravention of the Act. | | 2 | 5 | D |
| | | | **COPY FILE** | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, the formal privacy reviews conducted, and recommendations made by the Information and Privacy Commissioner. The records would also involve public bodies' formal responses made to the Information and Privacy Commissioner's recommendations as well as any correspondence or background information in relation to the review made. | | | | |

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A = Active                    SA = Semi Active          FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection    Nil = Zero years

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 30 | **Privacy Complaints and Investigations** | | MASTER FILE | | |
| | Is used for records related to privacy complaints and investigations, under the ATIPP Act, public bodies that collect, use, retain, and disclose personal information are responsible for responding to complaints from individuals in relation to the collection, use or disclosure of their personal information. Following receipt of a privacy complaint from an individual, a public body must conduct an investigation into the complaint. | | 2 | 5 | D |
| | | | COPY FILE | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, any information gathered through the course of the investigation, assessment of the complaint, the public body's overall findings, and copies of recommendations. | | | | |
| 35 | **Privacy Impact Assessments** | | MASTER FILE | | |
| | Is used for Privacy Impact Assessments (PIA) which are tools used to assess the overall level of privacy risk associated with projects involving personal information. | | 5 | 5 | D |
| | | | COPY FILE | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, completed PIA forms from the GNWT Access and Privacy Office or may be PIA contracted by public bodies. | | | | |

*Continued on next page*

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|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 40 | **Personal Information Sharing Agreements** | **MASTER FILE** | | |
| | Is used for Information Sharing Agreements (ISAs) which document the terms and conditions of the exchange of personal information in compliance with the provisions of the Act and any other applicable legislation. ISAs are normally used when there is a regular and systematic exchange of personal information between public bodies or between a public body and an external agency, i.e., when the same data elements are being shared on a regular or ongoing basis. | S/O | 5 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, formal ISAs using the GNWT Access and Privacy Office ISA template but may also include other information sharing agreements such as MOUs, and any correspondence or documentation pertaining to an information sharing agreement. | | | |
| | **S/O Description:** close when all actions related to each request are completed, including decisions on appeals | | | |
| 45 | **Proposals and Research Agreements** | **MASTER FILE** | | |
| | Is used for agreements and proposals for the collection of information for research and statistical purposes. Public bodies may disclose information for research purposes if the researcher intends to use the information to investigate and ascertain facts or verify theories. Public bodies may also disclose information for statistical research based on the collection and analysis of numerical data using information to study trends and draw conclusions. The research proposals and agreements are only accepted under the ATIPP Act if they meet a number of conditions and there is a public interest benefit in the research. | S/O | 5 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, research proposals, agreements, and correspondence. | | | |
| | **S/O Description:** close on expiry of the research agreement | | | |

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|---|---|---|---|
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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Records related to the enactment, amendment and implementation of bills, acts and regulations of the Northwest Territories. It includes records where administrative responsibility for acts or regulations is assigned to one or multiple government bodies.

CROSS REFERENCES:
*For legislative proposals, see primary 1290*
*For statutory appointments, see primary 1310*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 10 | **Implementation** | **MASTER FILE** | | |
| | Is used for the interpretation of the acts and regulations, criteria, approved act, compliance, and enforcement decisions. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence, internal/external implementation plans, guidance to staff, and plain language guides for the public. | S/O | Nil | D |
| | **S/O Description:** close when legislation or regulation is replaced, revised, or repealed | | | |

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S/O = Superseded/Obsolete     AS = Archival Selection        Nil = Zero years

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 20 | **Other Acts and Regulations** | | **MASTER FILE** | | |
| | Is used when a government body provides review and consultation on legislation belonging to another government body or on another government's legislation. | | 2 | 5 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, requests for information about policies, practices, and legislation, consultation packages, copies of draft legislation, and correspondence. | | 2 | Nil | D |
| 25 | **Department Specific Legislation and Regulations** | | **MASTER FILE** | | |
| | Is used for the development and amendment of a government body's own legislation and regulations. | | S/O | 10 | AS/D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, instructions given to the Department of Justice on legislation amendments or on new legislation and advice from the Department of Justice, emails, reviews of each draft, research material, public consultations, and correspondence. | | S/O | Nil | D |
| | **S/O Description:**<br>close when legislation or regulation is replaced, revised, or repealed | | | | |

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Records related to the development, approval, and implementation of non-financial formal and informal agreements. It includes agreements such as letters of intent, preliminary agreements, agreements-in-principle, binding agreements, sub-agreements, non-binding memorandum-of-understanding (MOU), accords, conventions, and standards. It is used for agreements between the GNWT and one or more federal, provincial, and territorial governments, crown corporations, community governments, indigenous governments and organizations, school boards and district education councils, health boards, colleges, agencies, GNWT departments, the private sector, or other organizations.

**NOTE:** The Department of Executive and Indigenous Affairs (EIA) is the government OPR for land claims and self-government negotiations and implementation and classifies this information as an operational record.

CROSS REFERENCES:
*For committees, see primary 1145*
*For contracts and procurement, see primary 4280*
*For financial agreements and arrangements, see primary 4110*
*For information sharing agreements, see primary 1029*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

| | | | |
|---|---|---|---|
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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 05 | **International Agreements** | **MASTER FILE** |
| | Is used for agreements made with non-Canadian Governments and Organizations. | S/O | 10 | D |
| | | **COPY FILE** |
| | Records include, but are not limited to, draft agreements, approved agreements, negotiations, working papers, reporting requirements and all other documentation leading to the development, formation and approval of agreements. | S/O | Nil | D |
| | **S/O Description:** Close when agreement ends, is replaced, or is cancelled | | | |
| 10 | **Individuals, Associations and Organizations Agreements** | **MASTER FILE** |
| | Is used for agreements made with individual persons, contractors, businesses, corporations, non-government organizations (NGOs), volunteer associations, and organizations. | S/O | 10 | D |
| | | **COPY FILE** |
| | Records include, but are not limited to, draft agreements, approved agreements, negotiations, working papers, reporting requirements and all other documentation leading to the development, formation and approval of agreements. | S/O | Nil | D |
| | **S/O Description:** Close when agreement ends, is replaced, or is cancelled | | | |
| 15 | **GNWT Agreements** | **MASTER FILE** |
| | Is used for agreements made with other GNWT departments, public committees, public boards, agencies or councils, and crown corporations. These are created through legislation, intergovernmental agreements or policy, whose appointments are made by Cabinet, Commissioner in Executive Council or responsible Minister(s). | S/O | 10 | AS/D |
| | | **COPY FILE** |
| | Records include, but are not limited to, draft agreements, approved agreements, negotiations, working papers, reporting requirements and all other documentation leading to the development, formation and approval of agreements. | S/O | Nil | D |
| | **S/O Description:** Close when agreement ends, is replaced, or is cancelled | | | |

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S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Federal, Provincial, Territorial Agreements** | **MASTER FILE** | | |
| | Is used for collective or individual agreements made with other governments, such as the Government of Canada and/or Canadian provincial and/or territorial Governments. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, draft agreements, approved agreements, negotiations, working papers, reporting requirements and all other documentation leading to the development, formation and approval of agreements.<br><br>**S/O Description:**<br>Close when agreement ends, is replaced, or is cancelled | S/O | Nil | D |

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S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 30 | **Land Claims and Self Government Agreements** | **MASTER FILE** | | |
| | Is used for documenting the government body's participation in the negotiation and implementation of comprehensive land claims agreements which address Indigenous rights and titles. It is also used to document participation in the negotiation and implementation of self-government agreements, which set out arrangements for Indigenous groups to govern their internal affairs and assume greater responsibility and control over the decision making that affects their communities. | S/O | 10 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, draft agreements, approved agreements, negotiations, working papers, reporting requirements and all other documentation leading to the development, formation and approval of agreements. | | | |
| | **NOTE:** Executive and Indigenous Affairs is the government OPR for land claims with indigenous governments and classifies this information as an operational record. | | | |
| | **NOTE:** Government bodies that have a significant responsibility or commitments in relation to these agreements may also use ORCS to document activities related to the implementation of Land Claims and Self-Government Agreements. Contact the records coordinator for guidance. | | | |
| | **NOTE:** The Executive Council reviews and approves all new, renewed, and amended agreements to be signed by a Minister which will set, confirm, or alter GNWT policies and positions. | | | |
| | **S/O Description:** Close when agreement ends, is replaced, or is cancelled | | | |

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S/O = Superseded/Obsolete   AS = Archival Selection   Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 35 | **Community Governments Agreements** | **MASTER FILE** | | |
| | Is used for agreements made with a hamlet, settlement, town, village, charter community or city. | S/O | 10 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, draft agreements, approved agreements, negotiations, working papers, reporting requirements and all other documentation leading to the development, formation and approval of agreements. | S/O | Nil | D |
| | **S/O Description:**<br>Close when agreement ends, is replaced, or is cancelled | | | |
| 40 | **Indigenous Governments Agreements** | **MASTER FILE** | | |
| | Is used for agreements made with indigenous governments, band councils, First Nations, Inuit and Metis. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, draft agreements, approved agreements, negotiations, working papers, reporting requirements and all other documentation leading to the development, formation and approval of agreements.<br><br>**NOTE:** The Department of Executive and Indigenous Affairs (EIA) is the government OPR for relations with indigenous governments and indigenous organizations and classifies this information as an operational record. | S/O | Nil | D |
| | **S/O Description:**<br>Close when agreement ends, is replaced, or is cancelled | | | |

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# ASSOCIATIONS, CLUBS, AND SOCIETIES 1115

Records related to documenting information and communication between the Government of the Northwest Territories and public, private or government-focused associations, organizations, societies, federations, and foundations, for reasons of mutual professional and individual interests. This includes a voluntary membership or participation in the group.

**NOTE:** Do not use for relating to the formation or implementation of government legislation, policy, and programs.

**NOTE:** Do not use for records documenting government relationships with external organizations, such as other GNWT government bodies or external governments.

**NOTE:** Do not use for records relating to the delivery of government programs or communications.

CROSS REFERENCES:
*For conferences, see primary 1185*
*For exchange of information between the GNWT and any other government body or organization, see primary 1200*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Individual Associations, Clubs, and Societies** | **MASTER FILE** | | |
| | Is used for communications with public, private, and government-focused associations, organizations, societies, federations, and foundations. | 2 | Nil | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence, agendas, and minutes of meetings, membership applications, and reports. | 2 | Nil | D |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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Records related to the coordination and participation in ongoing or adhoc committees, sub-committees, commissions, groups, panels, task forces, secretariats or working groups involving the government body and another GNWT department, board, agency, commission, crown corporation, other government (federal, provincial, territorial), or international government or organization.

CROSS REFERENCES:
*For agreements, see primary 1080*
*For emergency preparedness, see primary 1285*
*For Executive Council (Cabinet) committees, see primary 1290*
*For Legislative Assembly committees, see primary 1310*
*For meetings that are internal to the government body, see primary 1015*
*For occupational, health and safety committee, see primary 5180*
*For official languages, see primary 1329*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 12 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 25 | **Deputy Minister Committees** | **MASTER FILE** | | |
| | Is used for committees on which the Deputy Minister or equivalent is a member. | 4 | 8 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, letters of appointment, agendas, notices, minutes, correspondence, reports, and terms of reference. | 2 | Nil | D |
| | **NOTE:** The government body that chairs a committee is usually responsible for maintaining the master record of that committee. Other members have copy records. | | | |

A = Active                  SA = Semi Active              FD = Final Disposition        D = Destroy
S/O = Superseded/Obsolete   AS = Archival Selection        Nil = Zero years

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 30 | **GNWT Committees** | | **MASTER FILE** | | |
| | Is used for committees whose membership includes representatives from more than one GNWT department, public committee, public board, agency, or council and crown corporation. | | 4 | 8 | AS/D |
| | | | **COPY FILE** | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, letters of appointment, agendas, notices, minutes, correspondence, reports, and terms of reference.<br><br>**NOTE:** The government body that chairs a committee is usually responsible for maintaining the master record of that committee. Other members have copy records. | | | | |
| 35 | **International Committees** | | **MASTER FILE** | | |
| | Is used for committees whose membership includes representatives from non-Canadian governments and organizations. | | 4 | 8 | D |
| | | | **COPY FILE** | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, letters of appointment, agendas, notices, minutes, correspondence, reports, and terms of reference. | | | | |
| 40 | **Federal, Provincial, Territorial Committees** | | **MASTER FILE** | | |
| | Is used for committees whose membership includes representatives from other Canadian governments, such as Government of Canada, Canadian provincial or territorial governments. | | 4 | 8 | D |
| | | | **COPY FILE** | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, letters of appointment, agendas, notices, minutes, correspondence, reports, and terms of reference. | | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 45 | **Community Government Committees** | | MASTER FILE | |
| | Is used for committees whose membership includes representatives from community or municipal governments, including hamlets, settlements, towns, villages, charter communities, and cities. | 4 | 8 | AS/D |
| | | COPY FILE | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, letters of appointment, agendas, notices, minutes, correspondence, reports, and terms of reference. | | | |
| | **NOTE:** Government bodies that have a significant mandated responsibility, programs or commitments in relation to these committees may also use ORCS to document these activities. | | | |
| 50 | **Indigenous Government Committees** | MASTER FILE | | |
| | Is used for committees whose membership includes representatives from indigenous governments, band councils, First Nations, Inuit, and Metis. | 4 | 8 | AS/D |
| | | COPY FILE | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, letters of appointment, agendas, notices, minutes, correspondence, reports, and terms of reference. | | | |
| | **NOTE:** Government bodies that have a significant mandated responsibility, programs or commitments in relation to these committees may also use ORCS to document these activities. | | | |
| 55 | **Individuals, Associations, and Organizations Committees** | MASTER FILE | | |
| | Is used for committees whose membership includes individual persons, contractors, businesses, corporations, non-government organizations (NGOs), volunteer associations, and organizations. | 4 | 8 | AS/D |
| | | COPY FILE | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, letters of appointment, agendas, notices, minutes, correspondence, reports, and terms of reference. | | | |
| | **NOTE:** Government bodies that have a significant mandated responsibility, programs or commitments in relation to these committees may also use ORCS to document these activities. | | | |

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S/O = Superseded/Obsolete    AS = Archival Selection    Nil = Zero years

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Records related to the establishment, organization, planning, and participation in conferences, workshops, seminars and symposiums. It includes conferences attended by a government body and conferences organized by a government body.

CROSS REFERENCES:
*For associations, clubs, and societies, see primary 1115*
*For committees and commissions, see primary 1145*
*For departmental meetings, see primary 1015*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 10 | **Conferences Attended by the Government Body** | MASTER FILE | | |
| | Is used to document participation in conferences, etc. as a speaker, presenter, or exhibitor. | 2 | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, presentations, lectures, and conference papers. | 2 | Nil | D |
| | **NOTE:** Conference materials obtained through a conference that a staff member attends on behalf of their government body as either a participant or a vendor is considered transitory material. | | | |

| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Conferences Organized by the Government Body** | MASTER FILE | | |
| | Is used for records about conferences, seminars, workshops, etc., that are organized by the government body. Used for all records created in order to establish, plan, and put on an event. | 5 | 5 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, agendas, speaker's lists, schedules, participation lists, presentations, minutes, handouts, conference papers and proceedings, and reports. | 2 | Nil | D |

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S/O = Superseded/Obsolete         AS = Archival Selection       Nil = Zero years

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Records related to the distribution of information between the government body and the public in order to inform the public and other stakeholders about the organization, its programs and services, its leadership, and its decisions. It includes information about the government body's implementation of the visual identity program (VIP) and information about the government body's planning for or participation in ceremonies, events and tours. It is used for the development of communications plans and strategies, communications and public relations projects and programs, and promotions.  It is also used for media relations and dealings with the public that is not specific to a public relations project.

CROSS REFERENCES:
*For Access to Information and Protection of Privacy (ATIPP), see primaries 1027 and 1029*
*For business plans, see primary 4200*
*For contracts, see primary 4280*
*For copyright, trademarks, and patents, see primary 1255*
*For tele and data communications, see primary 6315*
*For travel authorizations, see primary 4060*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **Communications Plans** | **MASTER FILE** | | |
| | Is used for communications plans that document how the government body plans to communicate information on a project, event, publication, etc. | 2 | 5 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, draft plans, approved plans, communications tables, schedules and calendars. | 2 | Nil | D |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 10 | **Promotion and Projects** | **MASTER FILE** | | |
| | Is used for records relating to a public relations project, such as development and production of promotional materials, advertising, and speeches. | S/O | 5 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, speeches, lectures, addresses, exhibits, displays, posters, press releases, photographs, and publications that are part of a public relations project.<br><br>**S/O Description:**<br>close when project is completed | S/O | Nil | D |
| 15 | **Public Information Requests** | **MASTER FILE** | | |
| | Is used for inquiries received from the public. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence (emails and letters).<br><br>**NOTE:** Public information requests do not include ATIPP and routine disclosure requests. | 2 | Nil | D |
| 20 | **Media Relations** | **MASTER FILE** | | |
| | Is used for requests for information from the media. | 2 | 5 | D |
| | Records include, but are not limited to, media interviews, news conferences, media/contact lists, press releases, and media lines. | **COPY FILE** | | |
| | | 2 | Nil | D |
| | **NOTE:** Media relations requests do not include ATIPP and routine disclosure requests. | | | |
| 25 | **Media Monitoring** | **MASTER FILE** | | |
| | Is used for monitoring of the media's reporting and coverage of the government body. | 4 | Nil | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, newspaper clippings, radio transcripts and recordings, television transcripts and recordings, and website monitoring. | 2 | Nil | D |

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A = Active          SA = Semi Active          FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete          AS = Archival Selection          Nil = Zero years

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 30 | **Visual Identity Program** | | **MASTER FILE** | | |
| | Is used for the implementation and application of the visual identity program. | | S/O | 5 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, reports, correspondence, letter head, email signatures, pins, flags, and emblems. | | S/O | Nil | D |
| | **NOTE:** The Department of Executive and Indigenous Affairs (EIA) is the government OPR for the GNWT's Visual Identity Program (VIP) and classifies this information as an operational record. The GNWT's VIP program applies to departments and offices that are part of a departmental management structure reporting through a deputy minister to a minister and which are included in departmental main estimates. Government bodies that are not required to use the GNWT VIP may have their own VIP programs.<br><br>**S/O Description:**<br>close when VIP program changes or VIP project is completed | | | | |
| 35 | **Website Content** | | **MASTER FILE** | | |
| | Is used for material posted to GNWT websites. | | S/O | 2 | AS/D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, posted screen shots, material to be posted, correspondence, and approval of posted items. | | S/O | Nil | D |
| | **S/O Description:**<br>close when website content is replaced or revised or taken down | | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 40 | **Ceremonies, Events, and Tours** | **MASTER FILE** | | |
| | Is used for the arrangement, preparation and conducting of visits, and official tours. This includes special ceremonies such as inaugurations, lay of cornerstones and centennial celebrations. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, itineraries and travel summaries. | | | |
| | **NOTE:** Does not include travel authorizations. | | | |
| | **NOTE:** The Department of Executive and Indigenous Affairs (EIA) is the government OPR for state visits, premier's tours, and other official visitors to the Government of the Northwest Territories as well as events and ceremonies that involve the participation of the Premier of the Northwest Territories. It is also the government OPR for special events, significant anniversaries, and commemorative years. EIA classifies this information as an operational record. | | | |
| 45 | **Internal Communications** | **MASTER FILE** | | |
| | Is used for communications and messages prepared for use and distribution within the government body or within the GNWT for the purpose of informing or consulting with employees and promoting events, projects, and initiatives. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, newsletters, information items, submissions to internal to GNWT news platforms and Messenger submissions. | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 50 | **Publications** | MASTER FILE | | |
| | Is used for the development and production of print and online publications and publications in other formats that are prepared for use and distribution to the public. | S/O | 5 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, books, newsletters, bulletins, brochures, magazines, articles, audio and video recordings, and multi-media packages. | S/O | Nil | D |
| | **NOTE:** Use this secondary when responsibility for producing publications is centralized in the government body's communications unit. Publications that are not issued by the government body's communications unit should be classified in the ARCS or ORCS primary that pertains to the subject matter of the publication. | | | |
| | **S/O Description:** close when publication is out of print and will not be re-issued | | | |

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Records related to information distributed to and the receipt of information from other governments, organizations, and individuals. It includes the exchanging of information between the government body and international government and organizations, the federal government, provincial and territorial governments, other GNWT departments, boards, agencies and councils, hamlets, settlements, municipalities, non-GNWT organizations and indigenous governments and organizations. It is used to respond to requests for advice and consultations from other governments that are not captured elsewhere in ARCS or ORCS.

**NOTE:** This primary does not include agreements or official signed documents.

CROSS REFERENCES:
*For agreements, see primaries 1080 and 4110*
*For associations, clubs and societies, see primary 1115*
*For service contracts with consultants, see primary 4280*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **Federal, Provincial, Territorial Information Exchange** | **MASTER FILE** | | |
| | Is used for collective or individual information exchange with other governments, such as the Government of Canada or Canadian provincial or territorial governments. | 2 | 4 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, correspondence and any supporting documents. | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 10 | **GNWT Information Exchange**<br>Is used for information exchange with other GNWT departments, public committees, public boards, agencies or councils and crown corporations.<br><br>Records include, but are not limited to, correspondence and any supporting documents. | **MASTER FILE** | | |
| | | 2 | 4 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 15 | **Community Governments Information Exchange**<br>Is used for information exchange with a municipality, hamlet, settlement, town, village, charter community or city.<br><br>Records include, but are not limited to, correspondence and any supporting documents. | **MASTER FILE** | | |
| | | 2 | 4 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 20 | **International Information Exchange**<br>Is used for information exchange with non-Canadian governments and organizations.<br><br>Records include, but are not limited to, correspondence and any supporting documents. | **MASTER FILE** | | |
| | | 2 | 4 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 25 | **Indigenous Information Exchange**<br>Is used for information exchange with indigenous governments, band councils, First Nation, Inuit, and Metis.<br><br>Records include, but are not limited to, correspondence and any supporting documents. | **MASTER FILE** | | |
| | | 2 | 4 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 30 | **Individuals, Associations and Organizations Information Exchange**<br>Is used for information exchange with Individual persons, contractors, businesses, corporations, non-government organizations (NGOs), volunteer associations, and organizations.<br><br>Records include but are not limited to, correspondence and any supporting documents. | **MASTER FILE** | | |
| | | 2 | 4 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |

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Records related to obtaining and managing copyright, trademarks, and patents. It includes the use of trademarks, copyrighted materials, and patents.

CROSS REFERENCES:
*For visual identity program, see primary 1195*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 50 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 40 | **Copyright** | **MASTER FILE** | | |
| | Is used for establishing and managing the GNWT's right to produce, reproduce, publish or perform an original creative work, such as a literary work or an artistic, dramatic, or musical creation. It is also used for inquiries regarding Crown copyright and permissions. It is also used for records about administering copyright on photographs, including photographs taken by GNWT employees and photographs purchased or obtained from external photographers. | 5 | 45 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, photo consent forms, certificates of copyright, applications for copyright, correspondence with the Copyright Office, records documenting permissions to use copyrighted material. | | | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 50 **Patents** | MASTER FILE | | |
| Is used for establishing and managing the right granted to the GNWT to manufacture, use, or sell an invention. Used to manage patents on products, compositions, machines, processes, and improvements. | 10 | 10 | D |
| | COPY FILE | | |
| Records include, but are not limited to, patent searches, patent applications, documentation supporting the patent, petition, description of invention, an abstract, claim or claim(s), drawings, requests for examination, correspondence with examiner, certificate of patent, maintenance fees, correspondence with patent agents and the Patents Office. | 2 | Nil | D |
| 55 **Trademarks** | MASTER FILE | | |
| Is used for establishing and managing the GNWT's right to a word or word(s), design, or a combination of these that identifies a product or service from others, such as an ordinary mark, certification mark and distinguishing guide. | S/O | 15 | D |
| | COPY FILE | | |
| Records include, but are not limited to, application, search of Canadian trademarks database for existing trademarks, application fee, design/drawing, published in trademarks journal, contest of application, and foreign trademark information, trademark renewal information.<br><br>**S/O Description:**<br>close when trademark protection lapses and is not renewed | S/O | Nil | D |

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Records related to the administration of government bodies by the Minister, Deputy Minister, Assistant Deputy Minister, President, or equivalent. It is used for the chronological record of correspondence, briefings, issue files, and speeches and statements.

**NOTE:** Action requests and "bring forwards" initiated by the Minister or Deputy Head should be filed under the appropriate primary in ARCS or ORCS.

CROSS REFERENCES:
*For Legislative Assembly, see primary 1310*
*For non-senior management employee chrono files, see primary 1000*
*For records related to the Executive Council (Cabinet), see primary 1290*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. Used for departmental policies, Ministerial Directives and Ministerial Mandates. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy, procedure, or directive is replaced, revised or discontinued | | | |

| | | | |
|---|---|---|---|
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| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Ministerial Chronos** | **MASTER FILE** | | |
| | Is used for the Premier's (if applicable) and the Minister's chrono files. Used to keep a chronological record of outgoing correspondence written by or for the Minister. Chrono files are usually filed by the name of the Minister, then by date. | 2 | 8 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, all official correspondence (of all record types and formats). | 2 | Nil | D |
| | **NOTE:** Master files of Ministerial Chronos may be held in both the Minister's Office and with the government body's Directorate or Deputy Minister or equivalent's office. | | | |
| | **NOTE:** Master files of Premier's Chronos are filed with the Department of Executive and Indigenous Affairs (EIA). | | | |
| 25 | **Briefings** | **MASTER FILE** | | |
| | Is used for briefing notes and briefing books prepared for a Minister, Deputy Minister or designate. | 4 | 4 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, draft and final briefing notes and briefing books, and speeches. | 2 | Nil | D |
| 30 | **Deputy Head Chronos** | **MASTER FILE** | | |
| | Is used for Deputy Minister, Assistant Deputy Minister, President, Chief Operating Officer or Chief Executive Officer Chrono files. Used to keep a chronological record of outgoing correspondence written by or for the deputy head. Chrono files are usually filed by the name of the deputy head, then by date. | 2 | 8 | AS/D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, all official correspondence (of all record types and formats). | | | |
| 37 | **Issues Files** | **MASTER FILE** | | |
| | Is used for files on issues of importance to the government body which are being monitored by the Minister or Deputy Head. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence, reports, and emails. | 2 | Nil | D |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 40 | **Speeches and Statements** | **MASTER FILE** | | |
| | Is used for speeches and presentations given by the Minister or Deputy Head. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, speaking notes, speeches, presentations and statements. | 2 | Nil | D |

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Records related to the planning by the government body for the continuation and resumption of operations in the event of an emergency or disaster. It includes disaster planning, vital records planning and identification of essential services. It is used to document the government bodies' role in the NWT Emergency Plan.

**NOTE:** The Department of Municipal and Community Affairs is the government OPR for the NWT Emergency Plan and for coordinating the GNWT's response to emergencies and disasters. MACA classifies this information as an operational record.

CROSS REFERENCES:
*For building evacuation procedures, see primary 5180*
*For committees, including Territorial, Emergency Response Committee (TERC), see primary 1145*
*For information systems and support, see primary 6010*
*For facility security, see primary 2030*
*For records management, see primary 6215*
*For records related to personal health and safety, see primary 5180*
*For risk management and insurance, see primary 4376*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:**<br>close when policy or procedure is replaced, revised or discontinued | | | |

| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Disaster Plans and Response** | **MASTER FILE** | | |
| | Is used for the development and maintenance of disaster plans and emergency response plans which can help a government body plan for the continuity of their operations in the event of a large scale disaster. It includes business continuity plans for information systems and vital or essential records plans.  It also includes information relating to disaster mitigation, and emergency management exercises. It is used to document the government bodies' responses to emergencies and disasters. | S/O | 6 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, working files, disaster plan reports, post-disaster reviews, documentation related to activities during an emergency situation, participation in development of GNWT emergency plan, correspondence, and research. | | | |
| | **S/O Description:** close when plan is amended or terminated, exercise is completed, or emergency response activity has concluded | | | |
| 30 | **Essential Services** | **MASTER FILE** | | |
| | Is used for the identification and listing of essential services and personnel in the event of an emergency or natural disaster. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, emergency contact lists, lists of essential staff, and correspondence. | 2 | Nil | D |

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Records related to information documenting the government body's participation with Executive Council (Cabinet) processes. It includes the preparation of cabinet submissions, the cabinet committee participation packages, copies of records of decision, and the development of decision and option papers.

**NOTE:** Cabinet Records are highly confidential and must be stored securely.

CROSS REFERENCES:
*For acts and regulations, see primary 1040*
*For deputy minister committees, see primary 1145*
*For Financial Management Board submissions, see primary 4325*
*For ministerial records, see primary 1275*
*For recruiting, see primary 5520*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 20 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Cabinet Submission** | **MASTER FILE** | | |
| | Is used for preparing the cabinet package that is sent to the minister's office and then to Cabinet Secretariat. | 4 | 16 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, a discussion item, legislative proposal, decision paper, options paper, ministerial initiative or information item, assessments (also referred to as pinks), and direct appointments. | 2 | Nil | D |
| | **NOTE:** Cabinet Submission process is outlined in the Executive Council Submissions Handbook. | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 25 | **Records of Decision** | **MASTER FILE** | | |
| | Is used for copies of the Record of Decision that are received after a meeting of Cabinet. | S/O | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, memoranda of understanding (MOU), legislative proposal, bill, policy, Record of Decision (ROD), accompanying documentation, transmittal letters, Cabinet results and emails. | S/O | Nil | D |
| | **NOTE:** Records of Decision are highly confidential and must be stored securely. They may not be duplicated in any form. | | | |
| | **S/O Description:** close when record of decision is replaced, revised, or is no longer applicable | | | |
| 30 | **Cabinet Committees** | **MASTER FILE** | | |
| | Is used for information prepared for ministers who participate in Cabinet Committees. | 4 | 16 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, agendas, minutes, committee preparation material, and meeting packages. | 2 | Nil | D |
| | **NOTE:** Terms of Reference for the Committee-of-Cabinet can be found in the Executive Council Submission Handbook. | | | |
| | **NOTE:** Committees-of-Cabinet (CoC) packages, materials prepared for presentation to CoCs, and records of CoC deliberations are all deemed to be Cabinet confidences. The unauthorized disclosure of these records is prohibited under the *Access to Information and Protection of Privacy Act*. | | | |
| 35 | **Decision Papers and Options Papers** | **MASTER FILE** | | |
| | Is used for records relating to the development of decision papers and option papers to be given to ministers before going into the Legislative Assembly. | 4 | 16 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, research material, correspondence, discussion papers, decision papers and options papers in draft and final format. | 2 | Nil | D |
| | **NOTE:** Decision papers and options papers are external to the Cabinet package, session material, and legislative processes. | | | |

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# GOVERNMENT INITIATIVES                                                  1300

Records related to the government body's participation in the development and implementation of GNWT-wide initiatives, which are plans, frameworks, strategies, actions, and proposals made to resolve a difficulty or improve a situation or implement a new approach.

**NOTE:** The government body that is assigned lead responsibility for developing and administering the initiative is usually responsible for maintaining the master record of that initiative. Other government bodies may have master records relating to their responsibilities in implementing the initiatives within their organizations and/or they may have copy files relating to the development of the initiative.

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 35 | **Initiatives** | **MASTER FILE** | | |
| | Is used to document the government body's participation in a GNWT-wide initiative. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, plans, correspondence, and reports. | S/O | Nil | D |
| | **S/O Description:** close when initiative ends | | | |

A = Active                     SA = Semi Active              FD = Final Disposition        D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection       Nil = Zero years

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Records related to managing legal matters, including the receiving of legal opinions and guidance and the handling of legal actions. Includes records relating to aboriginal consultations not related to or accommodated by a specific project, initiative, regulatory process, or case, such as consultations on indirect government actions.

**NOTE:** The Department of Justice is the government OPR for legal actions and legal opinions and classifies this information as an operational record. Agencies, boards, commissions and crown corporations may have their own internal legal counsel and may require an ORCS to classify and schedule this information.

**NOTE:** The Department of Finance is the government OPR for labour arbitration and classifies labour arbitration information as an operational record.

**NOTE:** Aboriginal consultation records that relate to a specific project, initiative, regulatory process, or case file should be filed in the appropriate primary in ARCS or ORCS.

CROSS REFERENCES:
*For audits and compliance, see primary 4160*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 25 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 30 | **Legal Actions** | **MASTER FILE** | | |
| | Is used for disputes between the government body and another party. It may be used for court actions, litigation, prosecutions, disputes handled through alternative dispute resolution mechanisms or alternative measures, and arbitration other than Labour arbitration. It may also be used for information about constitutional challenges and interventions handled by the Department of Justice. | S/O | 25 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, statements of claim, originating notices, and statements of defense, demands for interrogations, affidavits, and examinations for discovery, notices of motion, correspondence between the parties, transcripts, court orders or judgments, terms of settlements, and notices of discontinuance. | S/O | Nil | D |
| | **S/O Description:** close when settled, discontinued, or court order received, and all appeal periods expired | | | |
| 35 | **Legal Opinions** | **MASTER FILE** | | |
| | Is used for legal opinions received from the Department of Justice or from the government bodies' own legal counsel. | S/O | 10 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, copies of legal opinions, related correspondence and supporting material. | S/O | Nil | D |
| | **S/O Description:** close when opinion is no longer relevant to current legislation | | | |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 45 | **Aboriginal Consultation** | **MASTER FILE** | | |
| | Is used for consultations with aboriginal peoples in order to provide constitutional protection to the aboriginal and treaty rights associated with the terms of Section 35 of the *Constitution Act, 1982*, which cannot be filed with a specific project, initiative, process, or case, such as indirect government actions. Aboriginal consultation records document how the GNWT has fulfilled its duty to consult obligations. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, planning records and work plans, pre-consultation assessments, consultation strategies, legal opinions, consultation capacity funding budget estimates, contribution agreements, confidentiality agreements, partnership agreements, consultation workbooks, notes, correspondence with indigenous governments and organizations, meeting records, audio/visual recordings, implementation plans, records of accommodations, evaluations, monitoring and follow-up, and consultation assessment reports and final reports. | | | |
| | **NOTE:** Aboriginal consultations carried out in relation to a specific project, initiative, or case should be filed in the appropriate ARCS or ORCS primary. | | | |
| | **NOTE:** In cases of multi-departmental government actions, the lead GNWT department should classify and schedule accommodation records as master files. Other departments should classify and schedule the records as copy files. | | | |
| | **S/O Description:** close when consultation activity is complete and the information is no longer required to support government actions and decision making | | | |

A = Active     SA = Semi Active     FD = Final Disposition     D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection     Nil = Zero years

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Records related to documenting the government body's relationship with the Legislative Assembly. It includes statutory appointments, development of standing committee presentation materials, responses to member questions from the Legislative Assembly and session preparation.

CROSS REFERENCES:
*For briefing notes, see primary 1275*
*For committees, see primary 1145*
*For Executive Council (Cabinet) records, see primary 1290*
*For minister's speeches, see primary 1275*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 8 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **Statutory Appointments** | **MASTER FILE** | | |
| | Is used to document the appointment of officers made under legislation. | S/O | 8 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, submissions, appointments, revocations, and copies of notices in the NWT Gazette. | S/O | Nil | D |
| | **NOTE:** The Department of Justice is the government OPR for the Statutory Appointments Register and classifies this information as an operational record. | | | |
| | **S/O Description:** close when appointment is revoked, expired, or appointee terminated | | | |

A = Active                    SA = Semi Active              FD = Final Disposition        D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection       Nil = Zero years

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 35 | **Standing Committees** | | MASTER FILE | | |
| | Is used for the development of materials provided to the Deputy Minister or Minister for presentation to standing committee. | | 4 | 4 | AS/D |
| | | | COPY FILE | | |
| | Records include, but are not limited to, agendas, briefing notes, committee reports, budgets, budget reports, transcripts, correspondence, technical briefing, and presentations. | | 2 | Nil | D |
| 70 | **Oral and Written Questions** | | MASTER FILE | | |
| | Is used for responses to oral and written questions. Oral questions are questions made by a member of the Legislative Assembly to a minister which may be made without notice. Written questions are lengthy questions which are submitted in advance and scheduled on the Orders of the Day. | | 4 | 4 | D |
| | | | COPY FILE | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, oral questions, written questions, returns to oral questions, and returns to written questions. | | | | |
| 75 | **Session Preparation** | | MASTER FILE | | |
| | Is used for the preparation of session material for the Minister. | | 4 | 4 | D |
| | | | COPY FILE | | |
| | Records include, but are not limited to, briefing notes or binders (or session binders), and correspondence. | | 2 | Nil | D |

A = Active            SA = Semi Active         FD = Final Disposition       D = Destroy
S/O = Superseded/Obsolete    AS = Archival Selection    Nil = Zero years

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Records related to the provision of official languages services and the coordination of translation services into any language. It is used for the coordination and implementation of the French active offer, the monitoring of a government body's compliance with the GNWT's Strategic Plan on French Language Communications and Services, and the dealings of government bodies with the NWT Languages Commissioner. It is also used for the provision of services in Chipewyan (Dëne Sųłıné Yatıé), Gwich'in (Dinjii Zhu' Ginjik), North Slavey (Sahtúǫt'ı̨ne Yatı̨́), South Slavey (Dene Zhatıé), Tłı̨chǫ Yatıì, Inuvialuktun, Inuinnaqtun, Inuktitut and Cree (Nēhiyawēwin).

**NOTE:** The Department of Education, Culture, and Employment is the government OPR for official languages and classifies this information as an operational record.

CROSS REFERENCES:
*For bilingual bonus, see primary 5510 or 5530*
*For French language services coordinating committee, see primary 1145*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 10 | **Active Offer Coordination** | **MASTER FILE** | | |
| | Is used for coordinating and implementation of the French active offer. Used for planning and developing French language services within the government body, responding to complaints, maintaining lists of bilingual staff, developing bilingual printed and website material, and maintaining an inventory of points of French language service delivery. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, the government bodies' Active Offer plan, reports, employee lists, and correspondence. | | | |

| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | | | A | SA | FD |
|---|---|---|---|---|---|---|
| 15 | **Active Offer Compliance** | | | MASTER FILE | | |

| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 15 **Active Offer Compliance** | **MASTER FILE** | | |
| Is used to monitor the government bodies' compliance with the GNWT's Strategic Plan on French Language Communications and Services, also known as the French active offer. | 2 | 5 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, audits and reviews of the government body by the Francophone Affairs Secretariat, and reports and recommendations. | 2 | Nil | D |
| 20 **Languages Commissioner** | **MASTER FILE** | | |
| Is used to document the government body's dealings with the NWT Languages Commissioner. | 2 | 5 | D |
| | **COPY FILE** | | |
| Records include, but not limited to, responses to complaints made by a member of the public to the NWT Languages Commissioner, investigations by the NWT Languages Commissioner, copies of recommendations, and responses from the NWT Languages Commissioner. | 2 | Nil | D |
| 25 **Indigenous Languages Services** | **MASTER FILE** | | |
| Is used for coordinating and delivering government programs and services in Chipewyan (Dëne Sųłıné Yatıé), Gwich'in (Dinjii Zhu' Ginjik), North Slavey (Sahtúɂotʼįne Yatı̨́), South Slavey (Dene Zhatıé), Tłı̨chǫ Yatıì, Inuvialuktun, Inuinnaqtun, Inuktitut, Cree (Nēhiyawēwin). Used for planning and developing indigenous language services within the government body. | 2 | 5 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, responses to complaints, maintaining lists of indigenous language speaking staff, developing printed and website material in indigenous languages, and maintaining an inventory of points of indigenous language service delivery. | 2 | Nil | D |
| 30 **Translations** | **MASTER FILE** | | |
| Is used for coordination and quality control of GNWT oral and written communications. It is also used for translations and interpretation into any of the 11 official languages. | 2 | 5 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, signage, publications, and correspondence. | 2 | Nil | D |

A = Active     SA = Semi Active     FD = Final Disposition     D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection     Nil = Zero years

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Records related to administrative issues concerning regional operations. It includes the exchange of general information between the government body's regional or district offices and headquarters, and between the regions.

**NOTE:** Records related to a specific program should be filed on the appropriate operational subject or case file.

**NOTE:** The names and geographic distribution of regions differ between government bodies. Consult with the records coordinator to determine the appropriate classification.

| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 00 | **Policy and Procedures** | | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | | S/O | 7 | AS/D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | | |
| 20 | **North Slave Region** | | **MASTER FILE** | | |
| | Is used for information exchange with the North Slave Region. | | 2 | 5 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence (memoranda, emails). | | 2 | Nil | D |
| 25 | **South Slave Region** | | **MASTER FILE** | | |
| | Is used for information exchange with the South Slave Region. | | 2 | 5 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence (memoranda, emails). | | 2 | Nil | D |

| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 30 | **Inuvik Beaufort Delta Region** | **MASTER FILE** | | |
| | Is used for information exchange with the Inuvik Region or Beaufort Delta Region. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence (memoranda, emails). | 2 | Nil | D |
| 50 | **Deh Cho Region** | **MASTER FILE** | | |
| | Is used for information exchange with the Deh Cho Region or Nahendeh Region. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence (memoranda, emails). | 2 | Nil | D |
| 55 | **Sahtu Region** | **MASTER FILE** | | |
| | Is used for information exchange with the Sahtu Region. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence (memoranda, emails). | 2 | Nil | D |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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# SECTION 2

# BUILDINGS AND PROPERTIES

# 2000 – 2999

The Buildings and Properties section classifies and schedules records relating to facility security and facility planning and construction.

It is used in the instance that the Department of Infrastructure is not the maintainer of a building or facility. This includes where the government body is a lessor, or in instances where the Department of Infrastructure does not provide certain services.

**NOTE:** The Department of Infrastructure has the corporate mandate and is the Office of Primary Responsibility (OPR) for procurement and asset management, including: facility planning, construction and renovation; managing leases and property; and procurement and contracting.

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# 2000-2999

# LIST OF PRIMARIES

# BUILDINGS AND PROPERTIES SECTION

2000   Buildings and Properties – General

2030   Facility Security

2040   Facility Maintenance

2050   Facility Planning and Construction

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Records relating to activities that impact or affect more than one aspect of the planning, construction, and maintenance functions for buildings and properties. It includes facilities reports and statistics. It is used for the development of signage. Use when a more appropriate primary in this section cannot be identified. This primary should only be used after consulting with the records coordinator on possible alternative classifications.

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 01 | **General** | **MASTER FILE** | | |
| | Is used for records which cannot be classified into a more specific secondary. This secondary should only be used after consulting with records staff on possible alternative classifications. | 2 | Nil | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 05 | **Reports and Statistics** | **MASTER FILE** | | |
| | Is used for reports relating to facility use and maintenance. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, inspection reports. | 2 | Nil | D |
| 20 | **Building Directories and Signage** | **MASTER FILE** | | |
| | Is used for the design and acquisition of new signs and replacement signs. | S/O | Nil | D |
| | | **COPY FILE** | | |
| | Records include, but not limited to, building directories, signage designs, and correspondence. | S/O | Nil | D |
| | **S/O Description:** close when directories or signs are replaced or discontinued | | | |

| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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Records related to the security of facilities where government bodies are the tenants and the facilities are not owned by the GNWT or operated by the Department of Infrastructure. It is also used in circumstances where the government body is responsible for managing or responding to building security.

CROSS REFERENCES:
*For contracts and Procurement, see primary 4280*
*For disaster recovery and emergency measures, see primary 1285*
*For evacuation plans, see primary 5180*
*For information systems security, see primary 6045*
*For risk management, see primary 4376*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **Facility Security System** | **MASTER FILE** | | |
| | Is used for the installation, inspection, and maintenance of systems related to the physical security of buildings and structures. It also includes any electronically shielded or TEMPEST rooms. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, key control lists, vault control lists, access panel information, key or fob location list. | 2 | Nil | D |

A = Active                  SA = Semi Active            FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete   AS = Archival Selection     Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 10 | **Security Management** | **MASTER FILE** | | |
| | Is used for the tracking and monitoring of security systems and the day-to-day access to facilities. This includes facility access for employees, vendors, contractors and visitors. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, reports, logs, employee ID passes, access logs, video surveillance clips and audio surveillance. | 2 | Nil | D |
| 15 | **Security Breaches** | **MASTER FILE** | | |
| | Is used for tracking, monitoring and reporting any physical security breaches including break-ins. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, notifications of breaches or threats, and documentation related to the breach or threat. | 2 | Nil | D |

| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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Records related to the maintenance of facilities where government bodies rent space. It includes maintenance services in government owned facilities that are not maintained by the Department of Infrastructure.

**NOTE:** The Department of Infrastructure is usually the government OPR for building leases for the GNWT and classifies this information as an operational record.

**NOTE:** The Department of Infrastructure is the government OPR for maintenance of GNWT owned buildings and classifies this information as an operational record.

CROSS REFERENCES:
*For contracts and procurement, see primary 4280*
*For evacuation plans, see primary 5180*
*For janitorial services, see primary 4280*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 10 | **Maintenance** | **MASTER FILE** | | |
| | Is used for the operations and maintenance of facilities, which can include minor repairs, fire prevention, mechanical systems, and snow removal, landscaping and ground maintenance. It also includes maintenance and repair of roads, sidewalks, signs, streets, fences, and damage to buildings. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, operations and maintenance manuals and correspondence. | | | |

| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 20 **Space Allocations** | MASTER FILE | | |
| Is used for managing the distribution of office space and parking spaces. It is also used for managing office moves and the assignment of cubicles or offices. | 2 | 5 | D |
| | COPY FILE | | |
| Records include but are not limited to, parking space assignments, copies of floor plans, office move plans and cubicle or office assignments. | 2 | Nil | D |

| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
|---|---|---|---|
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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Records related to the planning, construction, and renovation of government owned land, buildings, and other real property and facilities where government bodies rent space.

**NOTE:** The Department of Infrastructure is the government OPR the planning, design, construction, acquisition, and operation of buildings and properties, for the GNWT and classifies this information as an operational record.

**NOTE:** If the government body has an operational mandate established through legislation or policy to construct buildings and facilities, all records relating to construction are operational and should be classified and scheduled by an Operational Records Classification System (ORCS) that is specific to that government body.

CROSS REFERENCES:
*For accounts payable, see primary 4060*
*For Infrastructure Acquisition Plans, see primary 4200*
*For contracts and procurement, see primary 4280*
*For Financial Management Board Submissions, see primary 4325*
*For IT capital projects, see primary 6010*

| **SECONDARIES** | | **A** | **SA** | **FD** |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

*Continued on next page*

A = Active                    SA = Semi Active              FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection       Nil = Zero years

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 20   **Buildings** | MASTER FILE | | |
| Is used for the acquisition, planning, design, construction, and occupancy of facilities and buildings (vertical infrastructure) that are owned by the GNWT and major improvements to leased facilities. It is used for capital projects involving buildings, land, leasehold improvements, fuel distribution systems, and water or sewer works. It includes disposal of surplus real property. | S/O | 10 | D |
| | COPY FILE | | |
| | S/O | Nil | D |
| Records include, but are not limited to, project approvals and pre-approval, capital needs assessments, operational plans, functional program, cost estimates, peer review submissions, project substantiation, technical reviews of the project, planning studies, preliminary designs, project plans, project briefs, design and technical reviews, blueprints and drawings, schematic designs, floor plans, contracts, certificates of substantial completion, warranties, occupancy, post occupancy evaluations and inspections, copies of financial records, correspondence, photographs of facility. | | | |
| **S/O Description:**<br>close when the building is declared surplus and disposed of or the building is demolished, or for leased facilities, when the lease expires and is not renewed. | | | |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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# SECTION 3

# EQUIPMENT AND SUPPLIES

# 3000 – 3999

The Equipment and Supplies section classifies and schedules records related to material and controllable asset management. It includes asset control and inventory. It is used to maintain and track inventories of industrial, institutional, and office furniture, equipment and supplies, vehicles and other mobile assets, firearms, and accountable forms. It is used for maintenance and repair records, warranties, and warranty claims. It is also used for the surplus and disposal of equipment and supplies.

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# 3000-3999

# LIST OF PRIMARIES

# EQUIPMENT AND SUPPLIES

3000   Equipment and Supplies – General

3030   Assets Control and Inventory

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# EQUIPMENT AND SUPPLIES – GENERAL                    3000

Records relating to activities that impact or affect more than one aspect of the management of material and controllable assets. It includes reports and statistics on equipment and supplies. Use when a more appropriate primary in this section cannot be identified. This primary should only be used after consulting with the records coordinator on possible alternative classifications.

CROSS REFERENCES:
*For assets control and inventory, see primary 3030*
*For contracts, see primary 4280*
*For surplus reports, see primary 3030*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 01 | **General** | **MASTER FILE** | | |
| | Is used for records which cannot be classified into a more specific secondary. This secondary should only be used after consulting with records staff on possible alternative classifications. | 2 | Nil | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 05 | **Reports and Statistics** | **MASTER FILE** | | |
| | Is used for reports concerning the control of furniture, equipment, supplies, vehicles and other mobile assets, firearms, and surplus and disposal. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but not limited to, reports on furniture, equipment, supplies, vehicles and other mobile assets, and firearms. | 2 | Nil | D |

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Records related to the acquisition, administration, and tracking of controllable assets and other materials and supplies. It includes accountable forms inventory control logs, firearms, physical assets, and surplus and disposal. It is also used for mobile tangible capital assets such as aircraft, heavy equipment, medical equipment, motor vehicles, and other equipment.

**NOTE:** Does not include financial assets such as cash, audits, accounts receivable and bank accounts, or real property assets such as airstrips and aprons, buildings, fuel distribution systems, land, roads and bridges, water and sewer works, and improvements.

**NOTE:** The contract file contains user specifications, justification for purchase, tenders, bidder's lists, plan holders logs, purchase orders, contracts, receiving slips and invoices. See Primary 4280.

CROSS REFERENCES:
*For accounting – general ledger, see primary 4020*
*For contracts, see primary 4280*
*For insurance and claims on assets, see primary 4376*
*For library disposals (weeding), see primary 6175*
*For reports other than surplus reports, see primary 3000*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 05 | **Accountable Forms Inventory Control Logs** | | MASTER FILE | |
| | Is used for the monitoring and accounting of the order, purchase, receipt, storage, issue, and use of accountable forms. It is also used to verify in numerical sequence the running balance of unused forms on hand and to show who has the forms and where they are kept. | S/O | 7 | D |
| | | | COPY FILE | |
| | | S/O | Nil | D |
| | Records include, but not limited to, central accounting forms, department specific forms, electronically produced forms, inventory control logs, and non-financial accountable forms. | | | |
| | **S/O Description:** close when all forms listed in log are accounted for and log book closed | | | |
| 10 | **Firearms** | | MASTER FILE | |
| | Is used for the acquisition, maintenance, and use of firearms as well as their distribution, storage, handling and disposal. It is also used for maintaining inventories of firearms including inventories prepared for the Registrar of Firearms. | S/O | 7 | D |
| | | | COPY FILE | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, products and service information, copies of permits required to obtain firearms, registration and licensing documentation. | | | |
| | **NOTE:** Do not use for employee training or licensing. | | | |
| | **S/O Description:** close when firearm is declared surplus | | | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 15 **Vehicles and Mobile Equipment** | **MASTER FILE** | | |
| Is used for the acquisition, maintenance and use of vehicles and mobile equipment which includes, but is not limited to, aircraft, bear traps, boats and canoes, bulldozers, backhoes, busses, cars, dump trucks, fire trucks, fork lifts, fuel delivery vehicles, graders and plows, outboard motors, pick-up trucks, snow blowers, snowmobiles, sewage trucks, flat-bed trucks, trailers, tractors, all-terrain vehicles, utility trucks, and vans. It is also used for vehicle attachments and vehicle equipment which are designed to be attached to or used with a vehicle. | S/O | 7 | D |
| | **COPY FILE** | | |
| | S/O | Nil | D |
| Records include, but are not limited to, product and service information, warranties, operating standards, insurance and registration documentation, licenses, parking permits, copies of leases for vehicle rentals, storage regulations, and accident reports. It also includes all items related to the purchase, lease, maintenance, and mileage logs. | | | |
| **NOTE:** Do not use for information related to charters. | | | |
| **S/O Description:** close when vehicle or mobile equipment is declared surplus | | | |
| 20 **Physical Assets** | **MASTER FILE** | | |
| Is used for the acquisition and maintenance of controllable and tangible assets other than vehicles, mobile equipment and firearms. It includes assets such as furniture and furnishings, office equipment, industrial equipment, institutional equipment, audiovisuals, photographic, micrographic, imaging equipment, protective clothing and uniforms, and telephone and cellular phones. It also includes information technology assets such as computer hardware and peripherals. | S/O | 7 | D |
| | **COPY FILE** | | |
| | S/O | Nil | D |
| Records include, but are not limited to, telecommunications service orders, acquisition forms, product and service information, distribution information, summaries of transactions, copies of invoices and receipts, purchase journals, fixed assets inventories, and departmental inventories. | | | |
| **S/O Description:** close when asset is declared surplus | | | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 35 **Surplus and Disposal** | MASTER FILE | | |
| Is used for the surplus and disposal of public property other than land, real property, public records, heritage materials, and seized public property. | 2 | Nil | D |
| | COPY FILE | | |
| | 2 | Nil | D |
| Records include, but are not limited to, copies of completed reports of surplus goods and reports of surplus mobile equipment submitted to the Department of Infrastructure. | | | |
| **NOTE:** The Department of Infrastructure (INF) is the government OPR for surplus and disposal of government physical assets and vehicles. INF classifies this information as an operational record. | | | |
| **NOTE:** For inventory and disposal of GNWT purchased art, please contact the NWT Arts Program at the Department of Industry, Tourism and Investment. | | | |

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# SECTION 4

# FINANCE

# 4000 – 4999

The Finance section classifies and schedules records related to financial management and accounting. It is for records relating to planning, controlling and reporting on the budget and for records documenting expenditures and the collection of revenue by government bodies. It includes accounts payable and receivable, accounts reconciliation and year end, audits, banking, budget preparation and budgetary control, contracts and procurement, agreements, Financial Management Board submissions, funds management, grants and contributions, and leases.

**NOTE:** The System for Accountability and Management (SAM) is the Government of the Northwest Territories (GNWTs) core financial and procurement information system which is part of the broader Enterprise Resource Planning (ERP) solution built on Oracle's PeopleSoft suite of products. Many finance processes are managed by the SAM system. Routine reports produced from SAM which are not used to obtain or document expenditure or spending authority, contract authority, accounting authority, payment authority, or expense authority are considered transitory.

**NOTE:** Financial recordkeeping and reporting requirements are identified in the Financial Administration Manual (FAM), which supports the *Financial Administration Act* (FAA).

**NOTE:** The Department of Finance is the Office of Primary Responsibility for many standardized financial services.

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# 4000-4999

# LIST OF PRIMARIES

# FINANCE SECTION

4000   Finance - General

4020   Accounting - General Ledger

4060   Accounts Payable

4080   Accounts Receivable

4110   Agreements and Arrangements

4160   Audits and Compliance

4165   Cash and Banking

4167   Financial Transactions (Batches)

4200   Budgets

4280   Contracts and Procurement

4295   Delegation of Authority

4325   Financial Management Board Submissions

4360   Grants and Contributions

4369   Leases - Expense

4372   Leases - Revenue

4375   Revolving Funds

4376   Risk Management and Insurance

4380   Taxes

4400   Year-end

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Records relating to activities that impact or affect more than one aspect of financial management. It includes records relating to financial reports and statistics not produced from the GNWT's System for Accountability and Management (SAM). Use when a more appropriate primary in this section cannot be identified. This primary should only be used after consulting with the records coordinator on possible alternative classifications.

CROSS REFERENCES:
*For Financial Management Board (FMB) orders and directives, see primary 4325*
*For general ledger reports, see primary 4020*
*For signing authorities, see primary 4295*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 01 | **General** | MASTER FILE | | |
| | Is used for records which cannot be classified into a more specific secondary. This secondary should be used as a last resort after consulting with the records staff on possible alternative classifications. | 2 | Nil | D |
| | | COPY FILE | | |
| | | 2 | Nil | D |

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A = Active                    SA = Semi Active            FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection     Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 05 | **Reports and Statistics** | **MASTER FILE** |
| | Is used for financial reports that are not produced by SAM and which cannot be classified in a more specific secondary. | 2 | 5 | D |
| | | **COPY FILE** |
| | Records include, but are not limited to, financial reports, including daily, monthly, on-demand and other reports. | 2 | Nil | D |
| | **NOTE:** Reports printed from SAM that are not used to obtain or document spending, expenditure, contract, accounting, payment, or expense authority are considered transitory and may be disposed of as transitory records under the authority of the Transitory Records Schedule, RDA 1997-02. | | | |

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Records related to the government body's general ledger. It is used for general ledger reconciliations, to maintain the chart of accounts and for requests for new accounts.

**NOTE:** Effective January 2018, all financial records for suppliers, customers, expense claims, or general ledger processed and stored by Financial and Employee Shared Services (FESS) will be maintained in an electronic format. Departments are responsible for digitizing source documents that they receive directly from suppliers or vendors in a paper format and any paper supporting documentation, as per FESS' business processes or procedures. Digitized records may be securely disposed of once they have been uploaded to SAM, submitted to FESS, and any post-scanning temporary storage periods outlined in FESS' business processes or procedures have ended. Disposition of the digitized records is in compliance with *RDA 2018-02 Converted Source Analogue Records Schedule.*

CROSS REFERENCES:
*For accountable forms inventory control logs, see, primary 3030*
*For reconciliations related to bank accounts, see primary 4165*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 25 | **General Ledger Reconciliations** | **MASTER FILE** | | |
| | Is used to review balances in the general ledger accounts and make adjustments. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, reconciliation reports, balance sheets, and worksheets. | 2 | Nil | D |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 55 **Chart of Accounts** | MASTER FILE | | |
| Is used to maintain the government body's chart of accounts and accounting codes. | 2 | 5 | D |
| | COPY FILE | | |
| Records include, but are not limited to, requests for new accounts. | 2 | Nil | D |

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Records related to accounts payable that are not included as a source document on a financial transaction in the System for Accountability and Management (SAM) or a government body's own financial management system. It includes capital expenditures, vendor files, and credit cards.

**NOTE:** Effective January 2018, all financial records for suppliers, customers, expense claims, or general ledger processed and stored by Financial and Employee Shared Services (FESS) will be maintained in an electronic format. Departments are responsible for digitizing source documents that they receive directly from suppliers or vendors in a paper format and any paper supporting documentation, as per FESS' business processes or procedures. Digitized records may be securely disposed of once they have been uploaded to SAM, submitted to FESS, and any post-scanning temporary storage periods outlined in FESS' business processes or procedures have ended. Disposition of the digitized records is in compliance with *RDA 2018-02 Converted Source Analogue Records Schedule*.

CROSS REFERENCES:
*For contracts, see primary 4280*
*For financial transactions, see primary 4167*
*For year-end, see primary 4400*

| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 00 | **Policy and Procedures** | | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | | S/O | 7 | AS/D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 05 | **Capital Expenditures** | **MASTER FILE** | | |
| | Is used for an expenditure incurred to purchase, construct, develop or otherwise acquire a tangible capital asset to be owned by the government or a public agency. Is also used for construction projects or equipment purchased that is in excess of $50,000 (fund 2 and 3 projects) and outside of a contract. | S/O | 7 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, correspondence, reports, and contracts. | | | |
| | **NOTE:** Fund 2 refers to capital funds; tangible assets over $50,000, non-moveable (with the exception of some heavy equipment), and life span of over one year. | | | |
| | **NOTE:** Fund 3 refers to projects on behalf of others; not voted on funds. | | | |
| | **NOTE:** The government body maintains the master record for capital expenditures. | | | |
| | **S/O Description:** close when asset is declared surplus and has been disposed of | | | |
| 10 | **Travel Authorization** | **MASTER FILE** | | |
| | Is used for copies of approved travel authorizations and travel expense claims that have been submitted to Financial and Employee Shared Services (FESS). | 2 | Nil | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, copies of signed travel authorization, copies of expense reports, and copies of receipts. | | | |
| 20 | **Vendor Records** | **MASTER FILE** | | |
| | Is used for information on payable financial transactions that are kept by vendor or subject. Includes honorariums and hospitality approvals or rejections. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, and approvals tracking documentation. | | | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 65 **Corporate Credit Cards** | **MASTER FILE** | | |
| Is used for information relating to corporate credit cards issued to government employees in order to purchase goods, services, and pay for duty travel. Includes records relating to telephone and gas cards. | 2 | 5 | D |
| | **COPY FILE** | | |
| | 2 | Nil | D |
| Records include, but are not limited to, copies of invoices, receipts, signed Purchase Detail by Employee Reports, credit card logs, and gas card logs. | | | |
| **NOTE:** The government body's VISA Coordinator maintains the master record relating to corporate credit cards. | | | |

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# ACCOUNTS RECEIVABLE 4080

Records related to accounts receivable billings issued by the government body for services performed, loans, the sale of goods, and recovery of overpayment. It includes write-off accounts and customer records.

**NOTE:** Effective January 2018, all financial records for suppliers, customers, expense claims, or general ledger processed and stored by Financial and Employee Shared Services (FESS) will be maintained in an electronic format. Departments are responsible for digitizing source documents that they receive directly from suppliers or vendors in a paper format and any paper supporting documentation, as per FESS' business processes or procedures. Digitized records may be securely disposed of once they have been uploaded to SAM, submitted to FESS, and any post-scanning temporary storage periods outlined in FESS' business processes or procedures have ended. Disposition of the digitized records is in compliance with *RDA 2018-02 Converted Source Analogue Records Schedule*.

CROSS REFERENCES:
*For financial transactions, see primary 4167*
*For revenue forecasts, see primary 4200*
*For year-end, see primary 4400*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 40 | **Write-Off Accounts** | | **MASTER FILE** | |
| | Is used to record write-offs for all or part of a debt or obligation owed to the government body or public agency. Used for write-offs which eliminate the recorded amount of an asset or liability for reasons other than the occurrence of a transaction but does not cancel the debt or the government's right to collect the receivable. Also used for forgiveness of debt which cancels the debt and the government's right to collect. | S/O | 7 | D |
| | | | **COPY FILE** | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, an account, book, statement, report, financial documents, transactions, and correspondence. | | | |
| | **NOTE:** The Department of Finance is responsible for collecting delinquent accounts on the behalf of government departments. Public agencies may be responsible for collecting on their own delinquent accounts and may have collection records including notices of collection of assessments, collection certificates, garnishes, and court orders. | | | |
| | **S/O Description:** close when all actions related to write-offs, forgiveness and remissions have been completed | | | |
| 50 | **Customer Records** | | **MASTER FILE** | |
| | Is used for individual files on customers and clients with whom the government body may have day-to-day business. | 2 | 5 | D |
| | | | **COPY FILE** | |
| | Records include, but are not limited to, invoices, overdue notices, letters, and receipts. | 2 | Nil | D |

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# AGREEMENTS AND ARRANGEMENTS 4110

Records related to financial agreements and arrangements with federal, provincial and territorial governments, crown corporations, municipal governments, school boards, health boards, colleges, agencies, the private sector, and other organizations. It is used for federally established program funding and federal language agreement funding, including transactions and potential recoverable disbursements. It also used for Memoranda of Understanding (MOUs), inter-departmental agreements such as chargebacks, and agreements and arrangements with the private sector.

CROSS REFERENCES:
*For contracts, see primary 4280*
*For grants and contributions, see primary 4360*
*For non-financial agreements and supporting documents, see primary 1080*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 35 | **Agreements – Other** | **MASTER FILE** | | |
| | Is used for financial agreements and funding arrangements other than cost sharing agreements, federally funded agreements, third-party agreements, contributions, grants, or grants-in-kind. | S/O | 10 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, signed agreements, changes to agreements, and other supporting documents. | S/O | Nil | D |
| | **S/O Description:** close when agreement or arrangement ends and is not renewed or is terminated or canceled | | | |

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S/O = Superseded/Obsolete   AS = Archival Selection     Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 60 | **Cost Sharing Agreements** | MASTER FILE | | |
| | Is used for agreements and funding arrangements where the GNWT agrees to share costs for an undertaking with another party. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, signed agreements, changes to agreements, and other supporting documents. | S/O | Nil | D |
| | **S/O Description:** close when agreement or arrangement ends and is not renewed or is terminated or canceled | | | |
| 65 | **Federally Funded Agreements** | MASTER FILE | | |
| | Is used for agreements and funding arrangements where the Government of Canada agrees to fund a service or program that the GNWT delivers. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, signed agreements, changes to agreements, and other supporting documents. | S/O | Nil | D |
| | **S/O Description:** close when agreement or arrangement ends and is not renewed or is terminated or canceled | | | |
| 75 | **Third-party Agreements** | MASTER FILE | | |
| | Is used for agreements and funding arrangements where the GNWT agrees to fulfill a specific purpose on behalf of another party. The other party agrees to transfer money to the GNWT to cover costs. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, signed agreements, changes to agreements, review of terms by the Department of Justice, approval by Risk Management and Insurance, authorizations of payments or disbursements, receipts, and reports. | S/O | Nil | D |
| | **S/O Description:** close when agreement or arrangement ends and is not renewed or is terminated or canceled | | | |

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Records related to audits of the government body by the Auditor General of Canada, other federal bodies, the Internal Audit Bureau, or the government body's internal auditor. It is used for funding compliance and funding reviews, internal control reviews, performance measurement reviews, and fraud investigations.

**NOTE:** For an audit conducted by the government body on an outside person or organization, see the appropriate operational subject file.

CROSS REFERENCES:
*For legal matters, see primary 1305*
*For program evaluation, see primary 1025*
*For year-end, see primary 4400*

| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 00 **Policy and Procedures** | **MASTER FILE** | | |
| Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | **COPY FILE** | | |
| Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 **Auditor General of Canada** | **MASTER FILE** | | |
| Is used for information relating to financial audits, program audits, and special examinations conducted by the Auditor General of Canada on a government body. | 2 | 5 | AS/D |
| | **COPY FILE** | | |
| Records include, but are not limited to, supporting documentation, and documents received from or provided to the Office of the Auditor General. | 2 | Nil | D |

A = Active     SA = Semi Active     FD = Final Disposition     D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection     Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 25 | **Internal Audits and Reviews** | **MASTER FILE** | | |
| | Is used for internal audits performed by the government body's internal auditor or internal audits performed by the government body on its own divisions and programs. | 2 | 5 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, audit reports, investigation documentation, assessments and responses to audits and correspondence. | 2 | Nil | D |
| 30 | **Territorial Auditor Audits** | **MASTER FILE** | | |
| | Is used for information related to audits conducted by the GNWT's Internal Audit Bureau on a government body. | 2 | 5 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, audit reports, investigation documentation, assessments and responses to audits, and correspondence. | 2 | Nil | D |
| 35 | **Investigations and Fraud** | **MASTER FILE** | | |
| | Is used for records of reporting on fraud that government bodies are required to report to the Internal Audit Bureau. | S/O | 7 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, supporting documents, correspondence, and evidence provided by the government body to the Internal Audit Bureau. | S/O | Nil | D |
| | **S/O Description:** close on termination of all legal proceedings and the settlement of all GNWT accounts | | | |

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S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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Records related to banking and bank accounts. It includes trust and imprest accounts, suspense accounts, revenue accounts, foreign currency transactions, currency rates and acquisition of currency. Used for advances and to manage cash.

**NOTE:** The Department of Finance is the government OPR for banking and is the only department authorized to establish, open, close, and move bank accounts. It classifies this information as an operational record.

CROSS REFERENCES:
*For accountable forms, see primary 4000*
*For general ledger, see primary 4020*
*For signing authorities, see primary 4295*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, including bank reconciliation procedures and cash control system procedures, and how-to guides. Also includes blank template forms.<br><br>**S/O Description:**<br>close when policy or procedure is replaced, revised or discontinued | S/O | Nil | D |
| 20 | **Bank Accounts** | **MASTER FILE** |
| | Is used for all banking transactions. | 2 | 5 | D |
| | | **COPY FILE** |
| | Records include, but are not limited to, deposit slips, cancelled cheques, bank statements, reconciliations, cash receipts and disbursements, and correspondence. | 2 | Nil | D |
| 35 | **Trust and Imprest Accounts** | **MASTER FILE** |
| | Is used for an account in which the Government holds, in trust for another party, funds that are not public money. | 2 | 5 | D |
| | | **COPY FILE** |
| | Records include, but are not limited to, deposit slips, reconciliations, letter to set up account, and authorizations for account. | 2 | Nil | D |

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A = Active
S/O = Superseded/Obsolete

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FD = Final Disposition
Nil = Zero years

D = Destroy

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 40 | **Advances** | **MASTER FILE** | | |
| | Is used for a disbursement of funds that are advanced on the condition that the recipient will expend the funds for approved purposes only, account to the Government for expended funds, and return to the Government by a specified date any portion of the funds that is not expended or accounted for.<br><br>Records include, but are not limited to, aged reports, recoveries, documenting advances, and travel advances. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 45 | **Cash** | **MASTER FILE** | | |
| | Is used for cash control systems.<br><br>Records include, but are not limited to,  initial receipt and recording of incoming daily cash, receipts, cash register tapes, counter receipts, cash coverage's and shortages, incoming cash registers (logs of incoming payments and cheques), cash receipt journals, debit cards, and petty cash. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |

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Records related to the processing of all financial transactions, including payables, receivables, budget vouchers. It includes all source documents, batches, and daily reports. It is used to log, report on, and reconcile entries and batches.

**It is used by government bodies that do not use the GNWT's System for Accountability and Management (SAM).**

CROSS REFERENCES:
*For accounts payable, see primary 4060*
*For accounts receivable, see primary 4080*
*For administration of grants and contributions, see primary 4360*
*For cash control systems, see primary 4165*
*For contracts, see primary 4280*
*For reports, see primary 4000*
*For revolving funds, see primary 4375*
*For year-end, see primary 4400*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Batch Control Administration** | **MASTER FILE** | | |
| | Is used for batch control logs, batch status reports, month-end summaries, and verification reports for financial information and accounting systems other than SAM. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited, to batch control logs, batch status reports, month-end summaries, verification reports, and correspondence. | 2 | Nil | D |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 45 | **Financial Transactions – non-SAM** | **MASTER FILE** | | |
| | Is used to document financial transactions that are not recorded in SAM. Used for entering batches and individual transactions into financial systems other than SAM. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, packing slips, purchase orders, commitments, receipts, journal vouchers, payment vouchers, local contract authorities (LCAs), cheques, cheque requisitions, returned or non-sufficient fund (NSF) cheques, replacement and stale-dated cheques, travel claims, education claims, personal expense claims, accommodation and travel warrants, invoices, billings, vouchers, invoices, remittances, and current expenditure refunds. | 2 | Nil | D |

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Records related to the planning, development, and approval of budgets. It includes budget planning, main estimates, infrastructure acquisition plans, special warrants, supplementary appropriations, budget transfers and adjustments, and variance reports.

**NOTE:** The Department of Finance is the government OPR of the final version of the main estimates and capital estimates (approved budget documents), and associated records. It classifies this information as an operational record.

CROSS REFERENCES:
*For accounts receivable, see primary 4080*
*For communications, see primary 1195*
*For enterprise risk management framework, see primary 4376*
*For facility planning and construction, see primary 2050*
*For financial management board submissions, see primary 4325*
*For signing authorities, see primary 4295*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 16 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, supplementary appropriation process, budget planning checklist, department specific instructions and guidelines, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 05 **Budget Planning** | **MASTER FILE** | | |
| Is used for all information used to develop the budget for submission to the Standing Committee and the Legislative Assembly. | 4 | 12 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, working papers and supporting documentation, call letters and instructions received from Department of Finance, business plans, budget forecasts, budget plans, revenue forecasts, capital acquisitions, tangible capital assets, budget instructions packages, planning reductions, planning initiatives, and planning for forced growth. | 2 | Nil | D |
| 30 **Main Estimates** | **MASTER FILE** | | |
| Is used for appropriations, forecasted revenues, and borrowing authority requirements on a fiscal year basis. It is also referred to as the Operations and Maintenance (O&M) Main Estimates. | 2 | 5 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, submissions, briefing binder preparation, budget load, interim appropriation, target sheets, main estimates, and opening comments. | 2 | Nil | D |
| 35 **Infrastructure Acquisition Plan** | **MASTER FILE** | | |
| Is used for infrastructure acquisition plans or capital acquisition plans, capital investment expenditures or capital estimates. | 2 | 5 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, proposed expenditures for the acquisition, construction or betterment of Tangible Capital Assets (TCAs), and include capital leases. | 2 | Nil | D |
| **NOTE:** Only the acquisitions within the first fiscal year of the Capital Acquisition Plan will be included in the Capital Main Estimates and approved by an Appropriation Act by members of the Legislative Assembly. This plan provides details for each project by department, activity, region, and community. | | | |
| **NOTE:** TCAs will include the construction of schools, hospitals, office buildings, fuel storage facilities, the purchase of heavy duty equipment (road graders, etc.), significant information technology (IT) systems (PeopleSoft, SAM), and the IT hardware maintained in the data center used to operate corporate systems. | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 40 | **Special Warrants** | **MASTER FILE** | | |
| | Is used for requests for an approval of additional funding by the Commissioner when the Legislative Assembly is not in session. | 4 | 12 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, supporting documentation, and working papers submitted to the Financial Management Board. | 2 | Nil | D |
| 50 | **Supplementary Appropriations** | **MASTER FILE** | | |
| | Is used for adjustments to approved appropriations, subsequent to the approval of the Main Estimates. Supplementary appropriations are approved by the Legislative Assembly through the authority of a Supplementary Appropriation Act. | 4 | 12 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, working documents, requests for supplementary appropriation submitted to the Financial Management Board, and copies of the approved published Supplementary Estimates. | | | |
| 60 | **Budget Transfers and Adjustments** | **MASTER FILE** | | |
| | Is used for transfer of funds among activities. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, appropriations, commitment control, and internal budget transfers. | 2 | Nil | D |
| 65 | **Variance Reports** | **MASTER FILE** | | |
| | Is used for revenue and expenditure management reports. These reports are used to compare actual revenues and expenditures against the budgeted amounts. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, revenue, and expenditure management reports. | 2 | Nil | D |

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Records related to the procurement of goods and services through negotiated contracts, sole source awarding of contracts, requests for expressions of interest (REOI), requests for information (RFI), requests for qualifications (RFQ), requests for tenders (RFT), and requests for proposals (RFP) processes. It is also used for standing offer agreements (SOAs) and contracts issued under SOAs. It is used to develop tender and other documents, award contracts, and administer contracts.

**NOTE:** Procurement Shared Services (PSS) is the government body responsible for issuing contracts and procurement within the GNWT and classifies this information as an operational record. Government bodies are required to manage contracts issued and awarded by PSS and should classify their information relating to contracts using the ARCS.

CROSS REFERENCES:
*For accounts payable, see primary 4060*
*For agreements, see primary 1080 or 4110*
*For assets control and inventory, see primary 3030*
*For communications, see primary 1195*
*For expense leases, see primary 4369*
*For facility maintenance, see primary 2040*
*For facility planning and construction, see primary 2050*
*For facility security, see primary 2030*
*For revenue leases, see primary 4372*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, contracting guidelines, Procurement Shared Services procedures, information on how to set up contracts, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 40 | **Departmental Contract Register** | **MASTER FILE** | | |
| | Is used for keeping a running list of all contracts within the department. | S/O | 10 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, spreadsheets. | S/O | Nil | D |
| | **S/O Description:** close when register is replaced, revised, or discontinued | | | |
| 50 | **Non-Competitive Contracts** | **MASTER FILE** | | |
| | Is used for sole-source contracts and negotiated contracts that do not go out for a competitive bid process. | S/O | 10 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence, signed contracts, and contractor safety management. | S/O | Nil | D |
| | **NOTE:** The public officer who has been designated to collect and provide procurement information, data and change orders for the GNWT Contract Registry and Reporting System is the owner of the master record for headquarters. Responsibility for maintaining contracts and procurement records may also be delegated to an individual in each region. | | | |
| | **S/O Description:** close when contract has expired and all conditions are satisfied | | | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 55 **Competitive Contracts** | MASTER FILE | | |
| Is used for purchase orders and service contracts that are tendered out. | S/O | 10 | D |
| | COPY FILE | | |
| Records include, but are not limited to, correspondence, signed contracts, requests for proposals, requests for tender, requests for expressions of interest, requests for information, requests for qualifications, contractor safety management, and supply service arrangements (SSA). | S/O | Nil | D |
| **S/O Description:** close when contract has expired and all conditions are satisfied | | | |
| 65 **Standing Offer Agreements** | MASTER FILE | | |
| Is used for pricing agreements that the GNWT makes with suppliers or contractors covering anticipated needs for goods or services over a period of time. | S/O | 10 | D |
| | COPY FILE | | |
| Records include, but are not limited to, correspondence, and signed contracts. | S/O | Nil | D |
| **NOTE:** Standing offer agreements (SOAs) may be established when a procurement that does not legally bind the government organization has been identified for goods and/or services that is frequently required or as-and-when required for a set period unless a more cost-efficient method is available. | | | |
| **S/O Description:** close when standing offer agreement expires and is not extended or renewed | | | |

A = Active SA = Semi Active FD = Final Disposition D = Destroy
S/O = Superseded/Obsolete AS = Archival Selection Nil = Zero years

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Records related to the delegation of authority to specific persons or to positions for specific purposes. It is used for spending authority, payment authority and specimen signature records. It is also used for commitment authority, budget adjustment authority, and other signing authorities or authorizations.

CROSS REFERENCES:
*For bank accounts, see primary 4165*
*For budget planning, see primary 4200*
*For cash and banking, see primary 4165*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Signing Authorities and Specimens** | **MASTER FILE** | | |
| | Is used to document final approval authority and the right to sign specific documents. Signing authority may be delegated to specific persons or positions for specific purposes to carry out the financial management of their responsibilities (accountabilities). | S/O | 7 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, acting signing authority, instruments of delegation, standing acting appointments, notifications and cancelled authorities, financial approvals authority spreadsheet, and specimen signature records (SSR). | | | |
| | **NOTE:** Delegations of authority for legislated positions, such as the Public Guardian, should be filed on the individual's personnel file. | | | |
| | **S/O Description:** close when signing authority is cancelled, rescinded, replaced, or amended | | | |

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S/O = Superseded/Obsolete  AS = Archival Selection     Nil = Zero years

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Records related to Financial Management Board submissions, approvals, orders and directives. It also includes records of decision from the Financial Management Board.

**NOTE:** The Financial Management Board (FMB) is a committee of the Executive Council that directs the financial administration of government departments and agencies, and evaluates the efficiency, economy, and effectiveness of government programs. Submissions are made to the FMB to make financial and administrative decisions where a Minister or Deputy Minister does not have the authority to act.

CROSS REFERENCES:
*For budget documents, see primary 4200*
*For Executive Council, see primary 1290*
*For facility planning and construction, see primary 2050*
*For special warrants, see primary 4200*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 15 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, FMB Submission guide book, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Financial Management Board Submissions** | **MASTER FILE** | | |
| | Is used for written submission from government bodies to the Financial Management Board. | S/O | 15 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, working file material, correspondence, and approvals. | S/O | Nil | D |
| | **S/O Description:** close when results of submission received and all associated actions are completed | | | |

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| | | | |
|---|---|---|---|
| A = Active | SA = Semi Active | FD = Final Disposition | D = Destroy |
| S/O = Superseded/Obsolete | AS = Archival Selection | Nil = Zero years | |

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# FINANCIAL MANAGEMENT BOARD SUBMISSIONS                 4325

| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 25 | **Financial Management Board Orders and Directives** | | MASTER FILE | | |
| | Is used for final decision papers. | | S/O | 7 | AS/D |
| | Records include, but are not limited to, records of decision. | | COPY FILE | | |
| | **S/O Description:** | | S/O | Nil | D |
| | close when order and/or directive is replaced or cancelled | | | | |

A = Active            SA = Semi Active           FD = Final Disposition        D = Destroy
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# GRANTS AND CONTRIBUTIONS                                   4360

Records related to the financial administration of grants and contributions programs. It is used for grants and contributions to outside organizations, agencies, or individuals to carry out a specific project. It is also used for grants-in-kind, block funding, one-time contributions, and contributions-in-kind.

**NOTE:** Excludes final program reports. These should be filed with the appropriate program file in ORCS.

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, disbursement of funds procedures, report filing procedures, eligibility criteria, terms of reference for programs, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 25 | **Contribution Administration** | **MASTER FILE** | | |
| | Is used for a conditional transfer payment made to a recipient for whom the GNWT will not receive any goods or services. Contribution payments are conditional on performance or achievement and are subject to audit. Included are contribution agreements and recoverable amounts. | S/O | 7 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, eligibility, submissions, approvals, records used to set up contribution programs, copies of transfer agreements, contribution policies, payment directives, correspondence, and agreements. | | | |
| | **S/O Description:** close when contribution agreement expires and is not renewed | | | |

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 30 **Grant Administration** | **MASTER FILE** | | |
| Is used for transfer of payment, made to a recipient, for which the GNWT will not receive any goods or services or require financial accountability by the recipient. It includes grants-in-kind, which is a transfer of an asset or use of an asset other than cash, to a recipient for nominal or no consideration. | S/O | 7 | D |
| | **COPY FILE** | | |
| | S/O | Nil | D |
| Records include, but are not limited to, eligibility, submissions, approvals, records used to set up grant programs, copies of transfer agreements, payment directives, correspondence, and agreements. | | | |
| **S/O Description:** close when grant agreement expires and is not renewed | | | |

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S/O = Superseded/Obsolete      AS = Archival Selection      Nil = Zero years

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Records related to the planning and acquiring of leased spaces payable by a government body.

**NOTE**: The Department of Infrastructure (INF) is the government OPR for administering facility leases for its property management clients and classifies this information as an operational record. Government bodies that are not INF property management clients will administer their own leases.

CROSS REFERENCES:
*For contracts and procurement, see primary 4280*
*For government vehicles, see primary 3030*
*For revenue leases, see primary 4372*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 25 | **Expense Leases** | **MASTER FILE** | | |
| | Is used for planning and acquiring leased space. | S/O | 7 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, original signed leases, client charges, building occupancy charges, correspondence with the lessor, and any other supporting documents. | S/O | Nil | D |
| | **S/O Description:** close when lease expires and is not renewed | | | |

A = Active              SA = Semi Active          FD = Final Disposition        D = Destroy
S/O = Superseded/Obsolete    AS = Archival Selection    Nil = Zero years

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Records related to revenue leases, which are leases or rental agreements between a government body and a third party, to use a public asset that is owned or managed by the government body. It includes review of leases by the Comptroller General and the Department of Justice.

**NOTE**: The Department of Infrastructure (INF) is the government OPR for administering facility leases for its property management clients and classifies this information as an operational record. Airport revenue leases are classified in this primary.

**NOTE**: The Department of Lands is the government OPR for administering leases on Commissioner's and Territorial Lands and classifies this information as an operational record.

**NOTE**: The Northwest Territories Housing Corporation is the government OPR for administering public housing and classifies public housing leases as an operational record.

**NOTE:** If a government body other than INF, Lands, and NTHC leases GNWT assets to third parties, the master records relating to the leases may be filed in this primary.

CROSS REFERENCES:
*For contracts and procurement, see primary 4280*
*For expense leases, see primary 4369*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, checklists for lease requirements, and lease renewal procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

A = Active                 SA = Semi Active           FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete  AS = Archival Selection     Nil = Zero years

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 25 **Revenue Leases** | **MASTER FILE** | | |
| Is used for a contractual agreement between a lessor and a lessee that conveys to the lessee the right to use specific property owned by the lessor, for a specific period of time in return for stipulated, and generally periodic, cash payments (rent). | S/O | 7 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, legal files, original signed lease, rental agreements, current insurance certificates, working files that consist of unsigned leases, correspondence, newspaper articles on the tenant, history of negotiations, and supporting documentation and forms. | S/O | Nil | D |
| **S/O Description:** close when lease expires and is not renewed | | | |

A = Active               SA = Semi Active          FD = Final Disposition        D = Destroy
S/O = Superseded/Obsolete    AS = Archival Selection     Nil = Zero years

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# REVOLVING FUNDS 4375

Records related to the management of revolving funds and special accounts established by legislation. Revolving funds are provided with continuous and non-lapsing authority to retain revenues and to make disbursements from the Consolidated Revenue Fund for specific purposes and within specific limits. It is used for loan funds and inventory funds.

CROSS REFERENCES:
*For financial transactions, see primary 4167*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, establishment procedures, disbursements procedures, and procedures for increases to revolving funds limits, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 30 | **Revolving Funds** | **MASTER FILE** | | |
| | Is used for records documenting the management of the fund. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, financial statements such as balance sheets and statements of operations, inventories, daily transactions, sales, and purchases. | 2 | Nil | D |

A = Active                  SA = Semi Active           FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete   AS = Archival Selection     Nil = Zero years

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Records related to establishing risk management strategies, developing effective loss control and reporting systems, obtaining insurance coverage, and handling claims for injury or damage. It is used for insurable assets listings, insurance claims, and the prevention, elimination and reduction of insurance claims.  It is also used for the prevention, elimination and reduction of risk-related losses, legal liability, and inability to provide services.

**NOTE:** The Department of Finance the government OPR for risk management and insurance. It is authorized to sign insurance contracts on behalf of the GNWT. It classifies this information as an operational record. The Minister of Finance may give government bodies the authority to purchase insurance.

**NOTE:** The Department of Finance is responsible for administering the GNWT's insurance program. This includes investigating claims against the government for situations where third parties believe the government is responsible for damage to their property.

CROSS REFERENCES:
*For business plans, see primary 4200*
*For emergency preparedness, see primary 1285*
*For facility security, see primary 2030*
*For inventory and assets control, see primary 3030*
*For risk management committees, see primary 1145*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

A = Active                SA = Semi Active          FD = Final Disposition        D = Destroy
S/O = Superseded/Obsolete    AS = Archival Selection    Nil = Zero years

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Insurable Assets Lists** | MASTER FILE | | |
| | Is used for lists of buildings, vehicles, and other controllable assets (e.g. equipment) that are insured. | 2 | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, asset lists, and correspondence. | 2 | Nil | D |
| 25 | **Claims Files** | MASTER FILE | | |
| | Is used for insurance claims made by government bodies. Claims are handled by the Department of Finance. | 2 | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, investigation, negotiation, and settlement documents. | 2 | Nil | D |
| 30 | **Risk Management** | MASTER FILE | | |
| | Is used for assessments of a government body's level of risk and its need for insurance. | 2 | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, enterprise risk management framework (ERM), and risk registries. | 2 | Nil | D |

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S/O = Superseded/Obsolete AS = Archival Selection    Nil = Zero years

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Records related to taxation imposed by other jurisdictions, including federal customs and excise taxes, tax incentives, equalization taxes, provincial sales taxes, the Goods and Services Tax (GST) and tax exemptions. It includes GST payments to the federal government and collection of GST for grants-in-kind. It is used for interpretation from Canada Revenue Agency and tax reports.

**NOTE:** Excludes corporate income, personal income, fuel, tobacco, municipal, education, payroll and other taxes that are part of the government body's operational mandate.

CROSS REFERENCES:
*For financial transactions, see primary 4167*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Goods and Services Tax** | **MASTER FILE** | | |
| | Is used for information about the collection of the Goods and Services Tax (GST) and GST payments to the federal government. Also used for Harmonized Sales Tax (HST). | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, a book, an account, a statement, a voucher, an invoice, a letter, a telegram, agreement or memorandum. | 2 | Nil | D |
| 25 | **Taxes - Other** | **MASTER FILE** | | |
| | Is used for information about the collection or payment of taxes other than the Goods and Services Tax (GST), such as federal customs and excise taxes, provincial sales taxes, tax incentives, and equalization taxes. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |

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Records related to year-end finances, planning, accounting, and reporting.

CROSS REFERENCES:
*For accounts payable, see primary 4060*
*For accounts receivable, see primary 4080*
*For audits and compliance, see primary 4160*
*For financial transactions, see primary 4167*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, year-end procedures, checklists, and FAM procedures, and how-to guides. Also includes blank template forms. **S/O Description:** close when policy or procedure is replaced, revised or discontinued | S/O | Nil | D |
| 05 | **Fiscal Year-end** | **MASTER FILE** | | |
| | Is used for year-end planning, reporting and reconciliation. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, accruals, commitment rollovers, year-end general ledger account reconciliations, year-end review, reports, grant calculations, representation letters, public accounts preparation records, and correspondence. **NOTE:** Year-end reports may be brought forward to the new year as a reference document. | 2 | Nil | D |

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# SECTION 5

# HUMAN RESOURCES

# 5000 – 5999

The Human Resources section classifies and schedules records relating to occupational health and safety, labour relations, human resources planning and analysis, recruiting, and staff development and retention.

**NOTE:** The Department of Finance is responsible for administering benefits, personnel records, pay, labour relations and Labour relations for GNWT departments and some public agencies. Responsibility and permission to use several primaries has been transferred to the Department of Finance for its sole use in support of its mandate. Agencies, boards, commissions, and crown corporations who are responsible and accountable for administering pay for their employees and who do not access the payroll services of the Department of Finance will schedule pay administration records in an ORCS.

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# 5000-5999

# LIST OF PRIMARIES

# HUMAN RESOURCES SECTION

5000   Human Resources – General

5180   Occupational Health and Safety

5225   Labour Relations

5510   Human Resources Planning and Analysis

5520   Recruiting

5530   Staff Development and Retention

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Records relating to activities that impact or affect more than one aspect of human resources management. It includes records and statistics related to human resources and the management of employees. Use when a more appropriate primary in this section cannot be identified. This primary should only be used after consulting with the records coordinator on possible alternative classifications.

CROSS REFERENCES:
*For payroll reports, see primary 5510*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 01 | **General** | **MASTER FILE** | | |
| | Is used for records which cannot be classified into a more specific secondary. This secondary should only be used after consulting with records staff on possible alternative classifications. | 2 | Nil | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| 05 | **Reports and Statistics** | **MASTER FILE** | | |
| | Is used for reports related to human resources and the management of employees. | 2 | 5 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, vacancy statistics, performance overview statistics, employee satisfaction surveys, employee assistance programs, annual personnel reports/statistics, monthly personnel reports/statistics, health and safety reports, and evaluations. | 2 | Nil | D |
| | **S/O Description:** close when report or statistics are replaced with a new report or are no longer required for planning purposes | | | |

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Records related to the development, management, delivery, and audit of a government body's occupational health and safety (OHS) program as required by the *Safety Act* (NWT) and the *Occupational Health and Safety Regulations*, and, where applicable, Part II of the *Canada Labour Code* and the *Canada Occupational Health and Safety Regulations*. It includes the administration of the OHS program, the legislated responsibilities of joint occupational health and safety committees or work place health and safety committees, employee health and safety training requirements, the development of safe work practices, the development of emergency response plans, and the promotion of safe work environments.

CROSS REFERENCES:
*For business continuity planning and emergency preparedness, see primary 1285*
*For facility security, see primary 2030*
*For federal and territorial legislative or regulatory amendments or compliance, see primary 1040*
*For non-OHS departmental meetings, see primary 1015*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. Used for health and safety policies, work site inspection procedures and schedules, work processes and work process inspection procedures, incident and accident inspection procedures, refusal to work investigation procedures, and descriptions of supervisor and employee roles and responsibilities. | S/O | 30 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, Workers' Safety and Compensation Commission (WSCC) and internal reporting procedures, safe work practices and procedures, standard operating procedures, operational manuals, and guides. Includes blank templates for control plans, including, but not limited to, fall protection, confined space entry/monitor, traffic control, asbestos control, fire safety and hazard management. Also includes blank template forms for maintenance and inspection reports, logbooks, job inventories, and field-level hazard assessments. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

*Continued on next page*

A = Active     SA = Semi Active     FD = Final Disposition     D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection     Nil =Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 05 | **Occupational Health and Safety Program** | MASTER FILE | | |
| | Is used for records created in support of the development, delivery, and review of government body's legislated occupational health and safety program, including OHS program audits, accountabilities, annual safety goals, action plans, and strategies to prevent accidents or occupational illnesses. Also used for the development, review, and revision of OHS program manuals. | 2 | 28 | D |
| | | COPY FILE | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, audit reports, management practices questionnaires (MPQs), program recommendations and evaluations, OHS program manuals, annual statistics and summaries, master copies of incident and injury reports, WSCC claims, and claim cost summaries, correspondence. | | | |
| 10 | **Occupational Health and Safety Committee Management** | MASTER FILE | | |
| | Is used for master or original documentation created by legislated joint occupational health and safety committees (JOHS Committees) or work place health and safety committees, including hazard identification and control programs, scheduled worksite inspections, reports and investigations into near-misses, incidents, accidents, and injuries, committee meeting records, and recommendations. | 2 | 28 | D |
| | | COPY FILE | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, committee organizational charts, terms of reference, agendas, minutes, and meeting distribution items; WSCC inspection reports, directions, orders, and employer records of compliance in response to inspection reports; job inventories at worksites; job hazard assessments; and information about personal protective equipment. | | | |
| | **NOTE:** Both the employee and the employer must report workplace injuries or incidents to WSCC. As well, supervisors, in collaboration with the employee, must complete an internal incident report to the JOHS committee. The original incident or injury report is sent to the government body's OHS coordinator, who maintains the master record. | | | |

A = Active                          SA = Semi Active                    FD = Final Disposition              D = Destroy
S/O = Superseded/Obsolete           AS = Archival Selection             Nil =Zero years

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 15 | **Occupational Health and Safety Training and Education** | | **MASTER FILE** | | |
| | Is used for documentation created to train employees in matters necessary to protect the health and safety of employees. Used to track employee OHS training requirements, course certification and renewal, safety orientations, on-the-job training records, safety orientations for visitors or contractors entering GNWT-occupied worksites. | | 3 | Nil | D |
| | | | **COPY FILE** | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, course tracking documents, planning documents, attendance records, training plans, program evaluation documents, and training resources, such as, presentations, materials, and videos. | | | | |
| | **NOTE:** Do not use for OHS documentation required by principal/prime contractors at new projects or projects at non-GNWT occupied worksites. | | | | |
| 40 | **Fire and Emergency Planning** | | **MASTER FILE** | | |
| | Is used for planning documents created for employees to respond to or vacate GNWT buildings in emergencies such as fire, explosions, major releases of hazardous materials, violent occurrences, or natural hazards and then to assemble at a safe place. | | S/O | 7 | D |
| | | | **COPY FILE** | | |
| | | | S/O | Nil | D |
| | Records include, but are not limited to, first aid, fire and other emergency plans that meet legislative requirements including building evacuation procedures, procedures for evacuating employees with disabilities, emergency contacts, floor plans, maps, records of flammable substances present at worksite, fire drill schedules and post-action reports, and fire extinguisher maintenance and inspection logs. Records also include resources and provisions necessary to designate, train, and carry out emergency plans. | | | | |
| | **S/O Description:** close when planning documents are replaced, revised, or discontinued | | | | |

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S/O = Superseded/Obsolete          AS = Archival Selection          Nil =Zero years

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 45 **Occupational Health and Safety Promotion** | **MASTER FILE** | | |
| Is used for information promoting the occupational health and safety program and a safety culture in the work environment. | 2 | 5 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, presentations, displays, posters, special events, safety publications, employee recognition programs, and other promotional material. | 2 | Nil | D |
| 50 **Contractors' Safety Program Oversight** | **MASTER FILE** | | |
| Is used for oversight of occupational health and safety obligations relating to the delivery of GNWT contracts by contractors in areas such as, but not limited to, public infrastructure, construction, facilities, and maintenance. | S/O | 7 | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, the contractor's OHS program manual, including first aid services, tool and equipment maintenance schedule and documentation, safety meeting minutes, contract site inspection schedule and documentation, contract hazard identification and management plan, job-specific hazard assessments, employee orientation and on-the-job training, and any other record that promotes a safe and healthy worksite. | 2 | Nil | D |
| **S/O Description:** close when contract has expired and all conditions are satisfied | | | |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
S/O = Superseded/Obsolete      AS = Archival Selection      Nil =Zero years

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Records related to the relationship between management and trade unions, and groups or associations that are certified as bargaining agents for employees and are able to negotiate a collective agreement on their behalf, such as the Union of Northern Workers (UNW) and the NWT Teacher's Association (NWTTA). It is used for information relating to the administration of labour disruptions, collective agreement interpretations, and the exclusion of positions from the collective bargaining process, and essential services negotiations.

**NOTE:** The Department of Finance is the government body responsible for labour relations, labour negotiations, labour arbitration, and labour disruptions. It classifies this information as an operational record.

CROSS REFERENCES:
*For disputes, grievances and appeals, see primary 5530*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | \<td colspan=3 align=center\>**MASTER FILE** |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | \<td colspan=3 align=center\>**COPY FILE** |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Labour Disruptions** | \<td colspan=3 align=center\>**MASTER FILE** |
| | Is used for records relating to planning for and responding to labour disruptions or job action, such as work to rule, partial withdrawal of service, rotating strikes, and full withdrawal of service or strike. | S/O | 5 | AS/D |
| | | \<td colspan=3 align=center\>**COPY FILE** |
| | Records include, but are not limited to, job action plans, withdrawal of service notices, strike information, and correspondence. | S/O | Nil | D |
| | **S/O Description:** close when labour disruption plans are replaced or revised | | | |

A = Active          SA = Semi Active          FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection     Nil =Zero years

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 35 **Unions** | **MASTER FILE** | | |
| Is used for advice relating to collective agreement interpretations, human rights requirements, and other employment contract interpretations received by the government body from the Department of Finance. It is also used for information about union meetings, union dues, and appointments of shop stewards, provision for and use of union bulletin boards, collective bargaining, including consultations by the Department of Finance with government bodies. | S/O | 7 | AS/D |
| | **COPY FILE** | | |
| Records include, but are not limited to, correspondence, advice and interpretations, collective bargaining briefings, collective agreement concerns, and issues.<br><br>**S/O Description:**<br>close when the collective agreement is renewed | S/O | Nil | D |
| 40 **Exclusions** | **MASTER FILE** | | |
| Is used for records relating to the exclusion of certain positions from collective bargaining. Excluded positions are identified in the *Public Service Act*. | 2 | 5 | AS/D |
| | **COPY FILE** | | |
| Records include, but are not limited to, excluded employee lists, and correspondence. | 2 | Nil | D |
| 45 **Essential Services** | **MASTER FILE** | | |
| Is used for identification of essential services that must be provided during a strike, identification of how many employees in the bargaining unit are required in order to provide essential services, identify the positions and the employees who are required to work during a strike in order to provide essential services, and identifying additional employees who may be required to work during a strike in order to respond to an emergency situation. | 2 | 5 | AS/D |
| | **COPY FILE** | | |
| Records include, but are not limited to, lists of essential services, positions, and correspondence. | 2 | Nil | D |

A = Active                SA = Semi Active            FD = Final Disposition            D = Destroy
S/O = Superseded/Obsolete  AS = Archival Selection     Nil =Zero years

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Records related to activities regarding planning, analyzing, and measuring human resources capacity. It is used for defining current staffing needs, as well as projecting future requirements, and assessing and reporting on human resources metrics.

CROSS REFERENCES:
*For departmental planning and organization, see primary 1025*
*For documentation specific to an employee, see primary 5530*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **Human Resources Planning** | **MASTER FILE** | | |
| | Is used for developing and reporting on human resources plans for a government body, division, or business unit. Used to analyze external and internal factors that impact the government body's human resources, and workforce and labour markets. Used for identification of human resources issues and plans to address those issues. | S/O +2 | 5 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but not limited to, surveys, labour market data, plans and strategies, and reports. | | | |
| | **S/O Description:** close when plan or report is replaced or revised or becomes obsolete due to government reorganization | | | |

*Continued on next page*

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S/O = Superseded/Obsolete      AS = Archival Selection      Nil =Zero years

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 10 | **Positions** | MASTER FILE | | |
| | Is used for all position types (casual, indeterminate, etc.). | S/O | 7 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, job descriptions, requisitions, forced growth charts, position histories, job evaluations, and copies of organizational charts. | S/O | Nil | D |
| | **NOTE:** The Department of Finance is responsible for creating and maintaining job evaluations and organizational charts. | | | |
| | **S/O Description:** close when position is cancelled | | | |
| 15 | **Human Resources Data Analysis and Measurement** | MASTER FILE | | |
| | Is used for monitoring, assessing and evaluating human resources metrics of the current workforce. | 2 | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, reports, data sets, statistics, survey instruments regarding positions, staff turnover, staff actions, leave, projected growth, establishment reports, and other human resources measures and metrics. Includes human resources reporting to the Department of Finance. | 2 | Nil | D |
| 20 | **Payroll Reports** | MASTER FILE | | |
| | Is used for manager or director verification of payroll and information pertaining to bonuses received by employees. | 2 | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, payroll distribution reports, and other records relating to payroll. | 2 | Nil | D |

A = Active          SA = Semi Active          FD = Final Disposition          D = Destroy
S/O = Superseded/Obsolete     AS = Archival Selection     Nil =Zero years

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Records related to the filling of positions. It includes records used in recruiting and hiring processes.

**NOTE:** The Department of Finance is the government OPR for recruitment and maintains the master recruitment record. It classifies this information as an operational record. Recruitment information kept by a government body other than Finance and classified in this primary must be maintained in a secure location and with access limited to hiring manager or supervisor.

CROSS REFERENCES:
*For direct appointments, see primary 1290*

| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 00 | **Policy and Procedures** | | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | | S/O | 7 | AS/D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | S/O | Nil | D |
| | **S/O Description:**<br>close when policy or procedure is replaced, revised or discontinued | | | | |
| 05 | **Competitions – Casuals** | | **MASTER FILE** | | |
| | Is used for documentation which is created during the hiring process for casual and summer student positions. | | 3 | 4 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, job postings, advertisements, screening and equivalencies criteria, quizzes and tests, interview questions, reference questions, and reference checks. | | 2 | Nil | D |
| 10 | **Competitions** | | **MASTER FILE** | | |
| | Is used for documentation which is created during the hiring process for indeterminate, term, intern, apprenticeship and graduate program positions. | | 3 | 4 | D |
| | | | **COPY FILE** | | |
| | Records include, but are not limited to, job postings, advertisements, screening and equivalencies criteria, quizzes and tests, interview questions, reference questions, staff requisitions, and reference checks. | | 2 | Nil | D |

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Records related to supporting the needs of the workforce, including activities relating to the development, learning and training of employees, documentation regarding the management of personnel matters, as well as acknowledging employee milestones and achievements.

**NOTE:** The Department of Finance is the government OPR for human resources (personnel) matters and maintains the master employee personnel record. It classifies this information as an operational record. Employee information kept by a government body other than the Department of Finance is considered a copy of the master record. It must be maintained in a secure location and with access limited to the employee's manager or supervisor.

CROSS REFERENCES:
*For departmental planning and organization, see primary 1025*
*For labour relations, see primary 5225*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | COPY FILE | | |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | S/O | Nil | D |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **Training and Development** | MASTER FILE | | |
| | Is used for employee development training courses developed and facilitated by the government body for its own employees. | S/O | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, presentations, training materials, training evaluations, and participant attendance records. | S/O | Nil | D |
| | **NOTE:** All program-related training delivered to external clients to be filed with the appropriate operational records schedule (i.e. ORCS). | | | |
| | **S/O Description:** close when training program is replaced, revised, or discontinued | | | |

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S/O = Superseded/Obsolete     AS = Archival Selection     Nil =Zero years

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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 10 | **Employee Training and Certification** | MASTER FILE | | |
| | Is used for copies of records of training completed and certification achieved by individual employees. | S/O | Nil | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, copies of enrollment and registration documents, transcripts, certificates, diplomas, certificates and licenses issued by professional regulatory bodies and associations.<br><br>**NOTE:** The master training and certification records should be forwarded to the Department of Finance for inclusion on the master employee personnel files.<br><br>**S/O Description:**<br>close when staff member leaves position | S/O | Nil | D |
| 15 | **Employee Record** | MASTER FILE | | |
| | Is used by managers and supervisors for convenience copies of routine personnel documentation kept in order to supervise an employee. | S/O | Nil | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, copies of work schedules and work plans, leave and attendance, and notes.<br><br>**NOTE:** Managers and supervisors should maintain copies of records on an individual employee only if that information is required in order to supervise the individual. Original records about individual employees must be forwarded to the Department of Finance for inclusion in the master employee personnel records. Information relating to individual employees is to be kept securely and access restricted.<br><br>**NOTE:** The master employee personnel files are maintained by the Department of Finance and are classified as an operational record.<br><br>**S/O Description:**<br>close when staff member leaves position | S/O | Nil | D |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Employee Disciplinary Actions** | **MASTER FILE** | | |
| | Is used by managers and supervisors to document any disciplinary actions taken. | 1.5 | Nil | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to disciplinary letters, correspondence and notes. | Nil | Nil | D |
| | **NOTE:** If there is a need for duty to accommodate, discipline, grievances or litigation processes, the Department of Finance and the appropriate representative should be notified as soon as possible. The Department of Finance is responsible for maintaining the appropriate recordkeeping for such processes as an operational record. | | | |
| 25 | **Employee Recognition** | **MASTER FILE** | | |
| | Is used for administering award ceremonies and nomination lists including Long Service Awards and nominations for other government-wide recognition awards. Also used for recognition programs which are internal to the government body. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, awards, event plans, and correspondence. | | | |

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# SECTION 6

# INFORMATION MANAGEMENT AND SERVICES

# 6000 – 6999

The Information Management and Services section classifies and schedules records related to information systems and support, information security, library services, records management, telecommunications and data communications.

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# 6000-6999

# LIST OF PRIMARIES

# INFORMATION MANAGEMENT AND SERVICES

6003   Information Management and Services – General

6010   Department Information Systems and Support

6045   Information Security

6175   Library Services

6215   Records Management

6315   Telecommunications and Data Communications

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Records relating to activities that impact or affect more than one aspect of information management, information systems, and information services. It includes reports and statistics relating to the management of information systems, information security, telecommunications, data communications, records and information management, and library services. Use when a more appropriate primary in this section cannot be identified. This primary should only be used after consulting with the records coordinator on possible alternative classifications.

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 01 | **General** | MASTER FILE | | |
| | Is used for records which cannot be classified into a more specific secondary. This secondary should only be used after consulting with records staff on possible alternative classifications. | 2 | Nil | D |
| | | COPY FILE | | |
| | | 2 | Nil | D |
| 05 | **Reports and Statistics** | MASTER FILE | | |
| | Is used for reports relating to the management of information systems, information security, telecommunications and data communications, records and information management, and library systems. | 2 | 5 | D |
| | | COPY FILE | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, reports, statistics. | | | |

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Records related to the planning, development, maintenance, and project management for the government body's information systems. It includes the planning and maintenance requirements for software and databases.  It also includes information relating to the GNWT's information strategies and standards, information maintenance and security, and the GNWT's shared information systems.   It is used for requests for information exchange with the Office of the Chief Information Officer (OCIO) and the Technology Service Centre (TSC). It is also used for business analysis on current and future systems, providing support to internal and/or external clients and for documentation about system backups other than those performed by the Department of Infrastructure.

**NOTE:** This primary is used to classify and schedule records about software, systems and databases. Software, systems and databases may produce records but they are not records in and of themselves.

CROSS REFERENCES:
*For contracts and procurement, see primary 4280*
*For emergency preparedness, see primary 1285*
*For security clearances and access controls, see primary 6045*
*For telecommunications and data communications, see primary 6315*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 10 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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|---|---|---|---|
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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 22 | **Information Systems Planning** | **MASTER FILE** | | |
| | Is used for preliminary assessments and analysis, planning, business analysis, and business cases to support existing and new information systems (IS). | S/O | 10 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, financial submissions, strategic and annual IS plans, application portfolios, capital needs plans, business continuity planning, and research materials. | S/O | Nil | D |
| | **S/O Description:** close when plan is replaced or is no longer applicable | | | |
| 27 | **Information Systems Projects** | **MASTER FILE** | | |
| | Is used for the management of information systems projects from project initiation to project close-out. | S/O | 10 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, project charters, project plans, business requirements documentation, risk registers, change impact assessments, schedules, budgets, human resources plans, communication plans, implementation plans, risk management plans, procurement plans, software development documentation, documentation about software versions, software support documentation, contracts, financial documentation, threat risk assessments, deliverable acceptance forms, implementation reports, and project post-mortem reports. | S/O | Nil | D |
| | **S/O Description:** close when project completed or cancelled | | | |

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|---|---|---|---|
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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 32 | **Information Systems Maintenance** | **MASTER FILE** | | |
| | Is used for operating and maintaining information systems. | S/O | 10 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, operations manuals, system guides, service level agreements with external support contractors, system audits, access controls, decommissioning of a system, system backup, data recovery, data archiving, and data management. | S/O | Nil | D |
| | **S/O Description:** close when system is decommissioned | | | |
| 37 | **Licensing** | **MASTER FILE** | | |
| | Is used for tracking licenses for various software applications. | S/O | Nil | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, documentation about licenses and correspondence with vendors. | S/O | Nil | D |
| | **S/O Description:** close when license expired and is not renewed | | | |
| 39 | **User Support and Training** | **MASTER FILE** | | |
| | Is used for user support documentation, training manuals, training guides, presentations, and workshops. | S/O | Nil | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, training materials, presentations, and handouts. | S/O | Nil | D |
| | **S/O Description:** close when information is replaced or becomes obsolete | | | |
| 55 | **Office of the Chief Information Officer** | **MASTER FILE** | | |
| | Is used to document the government body's interactions with the Office of the Chief Information Officer (OCIO). Used for information about government-wide information management initiatives, and risk management. | 2 | 3 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, correspondence. | 2 | Nil | D |

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| SECONDARIES | | | A | SA | FD |
|---|---|---|---|---|---|
| 60 | **Technology Service Centre** | | **MASTER FILE** | | |
| | Is used to document the government body's interactions with the Technology Service Centre (TSC) in regards to the ever-greening of computers, chargebacks, upgrades, service level agreements, and service requests from the government body to the TSC. | | 2 | 3 | D |
| | | | **COPY FILE** | | |
| | | | 2 | Nil | D |
| | Records include, but are not limited to, lists of ever-greened computers, chargebacks, upgrade notifications, service level agreements, service requests, and correspondence. | | | | |

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Records related to the strategy, policy, and operational aspects of managing the GNWT's information security, including sensitive information and how it should be protected. It is used for the management of information security protocols and best practices, information security audits, security clearance and access management.  It is also used for the handling of information incidents.

**NOTE:** Government bodies appoint incident handlers who are notified of action information incidents in coordination with the Office of the Chief Information Officer (OCIO) and the Technology Service Centre (TSC).

**NOTE:** The OCIO is the government OPR for information security for GNWT departments and classifies this information as an operational record. Agencies, boards, commissions, and crown corporations may have their own internal information security programs.

CROSS REFERENCES:
*For Access to Information and Protection of Privacy (ATIPP), see primaries 1027 and 1029*
*For facility security, see primary 2030*
*For information systems, see primary 6010*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. It is used for security incident recovery plans, incident prevention, and incident handling procedures. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 05 | **Information Security Protocols** | MASTER FILE | | |
| | Is used for the development of best practices and protocols related to securing digital and physical information including roles and responsibilities, security levels and permissions, and minimum handling standards. These are specific to the government body and do not relate to GNWT-wide protocols. | S/O | 7 | D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, security permissions, handling standards, and correspondence. | | | |
| | **S/O Description:** close when protocol or best practice is replaced or discontinued | | | |
| 10 | **Information Security Audits** | MASTER FILE | | |
| | Is used for electronic and physical audits performed within a government body reviewing information management handling practices as they relate to information security. | S/O | 7 | D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, audit criteria, audit results, action plans for addressing issues, and final reports. | | | |
| | **S/O Description:** close when audit is complete and issues are resolved | | | |
| 15 | **Security Clearance Management** | MASTER FILE | | |
| | Is used for records related to access levels granted to staff for digital and physical information including the network, and information systems. | S/O | 2 | D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, tracking of staff security clearance, records of changes to clearances, criminal records checks, and routine verification of security levels. | | | |
| | **S/O Description:** close when issues are resolved | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 20 | **Information Security Incident Management** | MASTER FILE | | |
| | Is used for records related to the government body's handling of information security incidents (breaches). | S/O | 7 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, incidents, incident mitigation, correspondence, documentation related to incident response, and privacy breaches. | S/O | Nil | D |
| | **S/O Description:** close when incident is resolved | | | |

A = Active                         SA = Semi Active               FD = Final Disposition          D = Destroy
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Records related to the services provided by the GNWT's special libraries and resource centres. It is used to manage library collections and serials, circulations, and reference services. It is also used for library promotions and to maintain the library catalogue.

**NOTE:** Do not use for the records that form the catalogue and the materials that form the library collections.

**NOTE:** Data entry documents used to populate the library catalogue system are considered transitory and should be disposed of through the Transitory Records Schedule RDA 1997-02. E.g. MARC coding sheet.

**NOTE:** Where libraries are using a manual system to track circulation of library materials, circulation records (charge out, charge in) may be disposed of as transitory records once the library materials have been returned. See the Transitory Records Schedule, RDA 1997-02.

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | MASTER FILE | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, collection policies, disposition and donation guidelines, cataloguing procedures, processing procedures, mailing procedures, circulation policies, frameworks, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **Circulation** | MASTER FILE | | |
| | Is used for records relating to the circulation of library material, including internal circulation and interlibrary loans. | 2 | 5 | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, overdue notices, lost book inquiries, patron records, user registration record, and interlibrary loan requests. | 2 | Nil | D |

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S/O = Superseded/Obsolete          AS = Archival Selection          Nil = Zero years

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 10 | **Reference** <br> Is used for records relating to the provision of reference services. | **MASTER FILE** | | |
| | | 2 | 5 | D |
| | Records include, but are not limited to, bibliographies, information sheets, written e-mails, telephone inquiries and requests, the provision of on-line computer search services, and in-person reference work. | **COPY FILE** | | |
| | | 2 | Nil | D |
| 15 | **Library Catalogue System and Automated Systems** <br> Is used for records relating to the planning, implementation, and maintenance of library systems. | **MASTER FILE** | | |
| | | S/O | 5 | D |
| | Records include, but are not limited to, user administration, manuals, updates, exported files, and issues. <br><br> **S/O Description:** <br> close when system or catalogue is replaced or decommissioned | **COPY FILE** | | |
| | | S/O | Nil | D |
| 20 | **Library Promotional Materials** <br> Is used for records relating to the promotion of the library. | **MASTER FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, acquisition lists, notices, websites, social media, and posters. | **COPY FILE** | | |
| | | 2 | Nil | D |
| 26 | **Collection Management** <br> Is used for records relating to collection acquisition and development, existing collections, maintenance of collections, and donations to the collection. | **MASTER FILE** | | |
| | | 2 | 5 | D |
| | Records include, but are not limited to, collection development correspondence, donation correspondence, quarterly collection development lists, list of items specific to the collection, past collections, weeding of collections, and reports on inventorying of the collections as a whole. | **COPY FILE** | | |
| | | 2 | Nil | D |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 65 | **Serials Management** | **MASTER FILE** | | |
| | Is used for records relating to the procurement, renewal and maintenance of serials collections, such as paper journals, electronic journals, and journal databases. | S/O | 5 | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, subscriptions and renewals documentation and correspondence. | S/O | Nil | D |
| | **S/O Description:** close when serial subscription expired and is not renewed or is cancelled | | | |
| 70 | **Publications Support** | **MASTER FILE** | | |
| | Is used for records related to the involvement of GNWT libraries and resource centres in the publication of external publications including the application for and tracking of international standards numbers and distribution to GNWT publication registries in the Legislative Library. | S/O | 2 | D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, applications and supporting documentation for international standards numbers, internal tracking and validation of standards numbers, and related correspondence. | | | |
| | **S/O Description:** close when international standard numbers and cataloguing in publication information is received and copies of publication are distributed to Legislative Library | | | |

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Records related to the management of a government body's records (information assets) and knowledge resources in all formats. It includes the management of the creation, capture, storage, use, disposition and protection of records through controls and measures such as records life-cycle management, records classification and information security. It also includes the receipt and delivery of records management advice and assistance.

CROSS REFERENCES:
*For emergency preparedness, see primary 1285*
*For security incidents and clearances, see primary 6045*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 75 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, departmental records management procedures manuals, digitization procedures manuals, file naming conventions, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 05 | **File Lists** | **MASTER FILE** | | |
| | Is used for tracking active records by government bodies that are not using an electronic document and records management system (EDRMS). | 2 | Nil | D |
| | | **COPY FILE** | | |
| | Records include, but are not limited to, file lists, tracking lists, charge-in/out slips, and correspondence. | 2 | Nil | D |

A = Active      SA = Semi Active      FD = Final Disposition      D = Destroy
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| SECONDARIES | A | SA | FD |
|---|---|---|---|
| 10 **Records Management Advice and Guidance** | **MASTER FILE** | | |
| Is used for providing advice, guidance and support on records management matters to employees of the government body. It also includes obtaining records advice, assistance and guidance from records management peers and Corporate Information Management.<br><br>Records include, but are not limited to, email communications and supporting documents. | 2 | 5 | D |
| | **COPY FILE** | | |
| | 2 | Nil | D |
| 30 **Electronic Document and Records Management System Support** | **MASTER FILE** | | |
| Is used for documentation supporting the implementation and use of an electronic document and records management system (EDRMS). This includes providing access authorization, identifying unauthorized access and reporting incidents of its unauthorized use. | 2 | Nil | D |
| | **COPY FILE** | | |
| Records include, but are not limited to, account requests, account removal requests, permission change requests, tracking spreadsheets, and correspondence.<br><br>**NOTE:** Corporate Information Management is responsible for maintaining the Digital Integrated Information Management System (DIIMS) on the behalf of GNWT departments and some agencies, boards, commissions, and crown corporations. | 2 | Nil | D |
| 55 **Records Management Projects** | **MASTER FILE** | | |
| Is used for the management of projects related to records and information management carried out by the government body. Used for correspondence management, essential or | 2 | 5 | D |
| vital records projects, micrographics projects, digitization or imaging projects, preservation and conservation projects, electronic document and records management system implementation projects, and file system conversions.<br><br>Records include, but are not limited to, correspondence, plans, reports, and working copies. | **COPY FILE** | | |
| | 2 | Nil | D |

*Continued on next page*

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 65 | **Records Dispositions Authorities** | MASTER FILE | | |
| | Is used for the development and maintenance of records disposition authorities (RDAs) which are a government body's records retention and disposition schedules that define the approved classification structure, retention period and related disposition plans for records. It is used for a government body's Operational Records Classification Systems (ORCS) and one-time records schedules. | S/O | 75 | D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, working drafts, correspondence, and approved and signed RDAs. | | | |
| | **NOTE:** All versions of an RDA should be kept as an active record until all of the records scheduled by the current or previous versions of the RDA have been disposed of. | | | |
| | **NOTE:** Corporate Information Management maintains the government's master record for common records disposition authorities, including RDA 1995-32, the Administrative Records Classification System (ARCS) and 1997-02, the Transitory Records Schedule. | | | |
| | **S/O Description:** close when all records scheduled by the RDA have been disposed of | | | |

| | | | |
|---|---|---|---|
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| SECONDARIES | | A | SA | FD |
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| 70 | **Transfers and Dispositions** | MASTER FILE | | |
| | Is used for the administration of the approvals for the disposition of government records or the transfer to semi-active storage in records centres. It is also used for Government of Nunavut notices of destruction and transitory records dispositions. | S/O | 70 | D |
| | | COPY FILE | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, box transfer lists, disposition authorization letters, box transfer slips, letters authorizing the transfer of records, and approvals from Corporate Information Management. | | | |
| | **NOTE:** Disposition includes the destruction of records, transfer to NWT Archives, or transfer to other GNWT government bodies, other governments, and non-government organizations. | | | |
| | **S/O Description:** close when all records have been disposed of | | | |
| 75 | **Records Retrievals and Returns to Storage** | MASTER FILE | | |
| | Is used for requests for retrievals, returns to storage, and permanent returns. | 2 | Nil | D |
| | | COPY FILE | | |
| | Records include, but are not limited to, records request forms, emails, and correspondence. | 2 | Nil | D |

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Records related to data communication networks and telecommunications. It includes information about telephone and cellular phone systems, radio and mobile systems, network systems, and audio and video conferencing systems.

CROSS REFERENCES:
*For business and information systems, see primary 6010*
*For telecommunications equipment and supplies, see primary 3030*
*For communications, see primary 1195*

| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 00 | **Policy and Procedures** | **MASTER FILE** | | |
| | Is used for policies and statements of guiding principles on how the organization conducts its services, actions or business. Procedures describe the steps taken to conduct business. | S/O | 7 | AS/D |
| | | **COPY FILE** | | |
| | | S/O | Nil | D |
| | Records include, but are not limited to, policies, guidelines, framework, procedures, and how-to guides. Also includes blank template forms. | | | |
| | **S/O Description:** close when policy or procedure is replaced, revised or discontinued | | | |
| 20 | **Telephone and Cellular Phone Systems** | **MASTER FILE** | | |
| | Is used for information about telecommunications systems including PBX and IP-PBX (Voice over IP) systems, voice mail systems, and cell phone contracts. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, service requests and correspondence. | | | |
| | **NOTE:** Text messages that contain information about business activities, transactions, or decisions should be transcribed and filed in the relevant administrative or operational subject or case file. | | | |

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| SECONDARIES | | A | SA | FD |
|---|---|---|---|---|
| 25 | **Radio and Mobile Systems** | **MASTER FILE** | | |
| | Is used for information about two-way radios, wireless callboxes, trunked radio systems, walkie-talkies, VHF radios, satellite phones, and other mobile communications equipment other than cellular phones. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, correspondence. | | | |
| 45 | **Network Systems** | **MASTER FILE** | | |
| | Is used for information about the government's digital communications networks (DCNs), local, metro and wide area networks (LAN, MAN, and WAN). Also used for information about the government's internet, intranets, and email systems. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, requests for service, and correspondence. | | | |
| | **NOTE:** Email messages that contain information about business activities, transactions, or decisions should be filed in the relevant administrative or operational subject or case file. | | | |
| 60 | **Audio and Video Conferencing Systems** | **MASTER FILE** | | |
| | Is used for information about the government's audio and video conferencing systems. | 2 | 5 | D |
| | | **COPY FILE** | | |
| | | 2 | Nil | D |
| | Records include, but are not limited to, requests for service, and correspondence. | | | |

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