

GENERAL ADMINISTRATION MANUAL

VOLUME 2: HIGHWAYS AND PUBLIC WORKS POLICIES

TITLE: RECORDS MANAGEMENT

EFFECTIVE: May 7, 1998

1 SCOPE

1.1. Authority

This policy is issued under authority of Cabinet meeting No. 98-19, dated May 7, 1998 and can be revised only with the approval of Cabinet.

1.2 Application

This policy applies to all departments, as defined in Policy 2.1.

1.3 Purposes and Principles

1.3.1 The purpose of this policy is to provide guidance and assistance to departments in managing their records while they are in the department's care and custody. It assigns operational responsibility for managing records to the department that creates them, and defines a framework to facilitate the necessary collaboration and co-operation on corporate and public policy issues related to records management.

1.3.2 The first goal of records management is to help program managers deliver programs to the public. Records provide an essential support to decision making, and provide a basis for accountability for those decisions. Primary responsibility for records management therefore lies with each department that creates records in the course of delivering programs.

1.3.3 In addition to operational requirements, there are important public policy issues that impact on how a department manages its programs' records:

- protecting the government's overall legal and fiscal interests (some referenced in the *Financial Administration Act [FAA]*);
 - preserving an historical record of government operations (referenced in the *Archives Act*);
 - providing public access to information and protecting the privacy and other rights of individual citizens (referenced in the *Access to Information and Protection of Privacy Act [ATIPP Act]*); and
 - other legislation that impacts on specific programs and records.
- 1.3.3 Responsibility for addressing these public policy needs lies with the individual departments and programs that create and manage records, except to the extent that specific responsibilities are assigned to others in the legislation.
- 1.3.4 When records are no longer required by departments for operational purposes, the destruction and archival care of records is government by the *Archives Act*.
- 1.3.5 Recognizing that there is a need for specialized technical assistance to program managers, and that there is value in having departments take a consistent approach to meeting the public policy needs, this directive assigns mandates to Highways and Public Works, Education, the Information Resource Management Committee [IRMC], and others to provide support services to departments.

1.4 Definitions

- 1.4.1 "*record*" is as defined in the *ATIPP Act* and the *Archives Act*.
- 1.4.2 "*records management*" means the set of tools, practices and procedures by which departments create, organize, accumulate, and finally, dispose of their records.

2 ROLES AND RESPONSIBILITIES

2.1 Information Resource Management Committee (IRMC)

A subcommittee of the Deputy Ministers' Review Committee, called the Information Resource Management Committee (see Directive 2.3) is charged with promoting and coordinating a corporate perspective on information management. Within the context of its interest in information management, the committee will:

- 2.1.1 provide advice to the Deputy Ministers' Review Committee on public policy and other corporate issues relating to managing the government's records;
- 2.1.2 promote opportunities for the government to improve program delivery through improved records management;
- 2.1.3 encourage and organize inter-departmental co-operation on initiatives and services that can be done more economically or more effectively in a co-operative manner;
- 2.1.4 recommend to the Deputy Ministers' Review Committee, arrangements for sponsorship of corporate records management initiatives and investments that cannot or should not be sponsored by individual departments; and
- 2.1.5 promote the development of corporate strategies, standards and infrastructure to support the integration of a corporate perspective into all information management systems by:
 - identifying needs,
 - reviewing and approving written strategies that will form the basis of interdepartmental consultation, and
 - endorsing standards arising from those consultations.

2.2 Program Departments

Program departments will be responsible for:

- classifying, scheduling, and managing their records to meet the operational needs of their programs, including the need to be accountable for program operations;

- managing their records to meet the public policy requirements set out in the *FAA*, the *Archives Act*, the *ATIPP Act*, and other acts and regulations that may affect their specific programs and records;
- accessing the advice and expertise available in other departments with respect to managing records in the context of public policy;
- to the extent that it meets the above needs, developing records management systems according to corporate guidelines being promoted by the IRMC and supported by the advisory, training, support services provided by the service agencies;
- designating a responsible official to be the departmental liaison to sign off records schedules for operational requirements, to advise and obtain the concurrence of the archivist on final disposition identified in records schedules, and to deal with public policy issues that may arise with respect to their records.

2.3. Highways and Public Works

The Department of Highways and Public Works, Information and Communications Technology Division, will be responsible for supporting the activities of the Information Resources Management Committee and helping program departments achieve their goals by:

- in consultation with all departments, developing strategies, plans and standards that will enable government departments to realize opportunities for coordinating and sharing information resources and investments;
- developing and managing infrastructure that is shared by government departments;
- providing a pool of skilled resources to broker project management, deployment, and operational support services to government departments;
- providing insights and guidance on the applications of information management principles to various technology tools that are used to manage information; and

- operating a records centre where departments may store semi-active records according to retention schedules developed by departments to meet their operational requirements.

2.4 Department of Tourism and Culture

The Department of Tourism and Culture, Yukon Archives, has specific responsibilities assigned to it in legislation. Yukon Archives will:

- approve the final disposition of records;
- provide advice, training, and other assistance to departments to help departments meet their goals.

2.5 Others

Other departments, particularly Justice, Finance and Executive Council Office have special skills that may be required from time to time to advise departments on the handling of their records. These departments will designate contact people who can provide advice when required.