



# Records Management Bulletin

Records management advice prepared for GNWT employees  
by the Records Management Unit of Public Works and Services

No. 34 – November 2004

## Evaluating a Departmental Records Management Program

All GNWT departments have a records management program in place. However, not all programs are equal. This bulletin will help you rate your department's records management program.

### Good Records Management Practices

A good records management program will address these areas:

- Roles and responsibilities.
- Capturing, registering, and classifying records.
- Storage, use, and tracking.
- Retention and disposition.
- Training.
- Evaluation.

### Roles and Responsibilities

The **Recorded Information Management Policy** assigns broad responsibilities for records management to departments. Each department in turn needs procedures that assign roles to managers, employees, and the department's records coordinator.

### Capturing, Registering, and Classifying Records

**Capturing** refers to the process of deciding that a record should be made and kept. **Registering** refers to the process of listing new records on an inventory. **Classifying** refers to the process of assigning a classification number from the Administrative Records Classification System (ARCS) or an Operational Records Classification System (ORCS) to a record.

Departments need procedures that cover such topics as:

- When to create, receive, and save a record.
- How to capture, organize, and store records.
- How to log new records in a registry, such as the iRIMS program used by many departments.
- How to classify records to ARCS and ORCS.

---

### **Storage, Use, and Tracking**

Departments should keep track of where records are being stored and how space and equipment is used. Procedures should look at these topics:

- Access to records.
- Records security.
- Charging out files.
- Sharing files.
- Transferring records to records centres.
- Retrieving records from records centres.

### **Retention and Disposition**

All records are managed using the retention and disposition schedules found in ARCS and ORCS. Departments should have procedures that cover these topics:

- Closing off files and volumes.
- Applying retention and disposition.
- Preserving long-term records.
- Disposing of records.

### **Training**

Every employee who creates or receives records needs records management training. The level of training will vary depending on the employee's needs. Some employees will only need short orientation sessions. Others will need more in-depth training. Public Works and Services offers records management training courses on a regular basis. Records coordinators also provide department-specific training.

### **Evaluation**

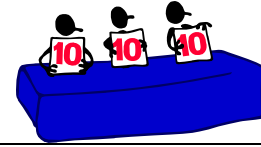
Review and evaluate all aspects of the records management program every year. Use the evaluation to identify the parts of the program that still need work.

---

For more information, contact your department's records coordinator, or contact the Records Management Unit at 920-3009 or 873-7446

## Evaluation Score Sheet

Not Started = 1  
 Partially Completed = 2  
 Completed = 3



<b>Criteria</b>	
<b>Roles and Responsibilities</b>	
Department has assigned responsibilities for managing records to employees and managers	1 2 3
Department has a full time records coordinator	1 2 3
<b>Capturing, Registering, and Classifying</b>	
Department has procedures for identifying records	1 2 3
Department has procedures for opening files	1 2 3
Department has procedures for handling electronic records and e-mail	1 2 3
Department registers new files on iRIMS or in another register	1 2 3
Department has implemented ARCS in every division or regional office	1 2 3
Department has an approved ORCS for every division or regional office	1 2 3
Department has implemented ORCS in every division or regional office	1 2 3
<b>Storage, Use, and Tracking</b>	
Department has identified on-site storage areas	1 2 3
Department has procedures on who can file and retrieve from storage areas	1 2 3
Department has a charge-out system for files	1 2 3
Department has procedures for transferring records to the records centre for storage	1 2 3
Department has procedures for retrieving records from the records centre	1 2 3
Department has a system for tracking files and boxes that have been retrieved from the records centre	1 2 3
<b>Retention and Disposition</b>	
Department has a plan for migrating or converting long-term records.	1 2 3
Department implements retention periods in ARCS and ORCS	1 2 3
Department has procedures for processing dispositions	1 2 3
<b>Training</b>	
Department includes records management training in its training plans	1 2 3
Employees attend PWS records management training courses	1 2 3
Records coordinator provides department-specific training	1 2 3
Records coordinator makes regular visits to regional and area offices	1 2 3
<b>Evaluation</b>	
Department evaluates its records management program on an annual basis	1 2 3
<b>Total Score</b>	

**47-69** Excellent program. Majority of program elements are in place or in development.

**27-46** Good program. Department is working on many aspects of its program.

**0-23** Many program areas are undeveloped. The program needs work.

For more information, contact your department's records coordinator, or contact the Records Management Unit at 920-3009 or 873-7446