1. Application

This directive applies to all government bodies as defined in the Archives Act. It identifies the requirements for the implementation of a digitization initiative, and provides direction in the creation of digital business records:

- Whose authenticity and reliability are demonstrable
- That are legally admissible in place of the source records
- That are in compliance with CGSB (Canadian General Standards Board) 72.11-93, *Microfilm and Electronic Images as Documentary Evidence*
- That are available to be produced at all times

This directive applies to master/authoritative records, it does not include: convenience copies, born-digital records and/or archival surrogates.

2. Context

This directive outlines the requirements government bodies must meet in creating and maintaining records in digital format only, where the original paper source or other non-digital source records, has been copied by digitizing. Once digitized, the original source record must be managed. In order to dispose of the source record, the digitizing process must be documented in an approved Records Disposition Authority. Legislation, polices or business requirements may require the original or other non-digital source records to be kept for a longer period of time.

The Government of the Northwest Territories (GNWT) creates records in order to document the actions, transactions, and decisions that were made in the course of delivering programs and services to clients, to the public, and to other government departments and agencies. The records of government are an important asset that documents its business activities. Effective management of government records supports decision-making, legal and accountability requirements and enables the GNWT to preserve the documentary heritage of the NWT.

Digitization activities occur as part of a regular business practice or part of a larger project to digitize a complete series of records and must form a part of a government body’s comprehensive records management program.
GNWT departments, boards and agencies may digitize records as either:

A) Part of the usual and ordinary course of business (See Appendix A)

OR

B) Part of a project to digitize a large series of legacy records (See Appendix B)

3. Definitions

Archival surrogates: Copies of archival records, held by the NWT Archives, produced to facilitate access by the public and to protect original versions from handling and damage.

Authoritative record: A record that can be proven to be what it purports to be, was created, sent by, or received by the indicated person, and created, sent, or received at the time purported. Records are protected against unauthorized addition, deletion, alteration, use, or concealment. (See also: Master record)

Born digital records: Records that originate in a digital form. This is in contrast to digital reformatting, through which analog materials become digital.

Convenience copy: A duplicate copy (either in digital format or otherwise) of an official record created for ease of access and use. A convenience copy is NOT a substitute for the Master copy. When a public body plans to retain an original source record after digitization, but will use the digitized copy as it may be more convenient, that digitized copy is defined as a convenience copy. The original source record is retained as the master copy.

Digitizing: (also known as imaging or scanning) is defined as the process of converting any hard-copy, or non-digital record into digital form. This includes digitizing text, photographs, maps, microfilm, and other works. Meeting the requirements established in this standard will ensure the records integrity, reliability, authenticity, and accessibility over the long-term.

Integrity of record: See Reliable record.

Government Body: "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.
Master Record: The official record of a business activity often referred to as the authoritative record.

Records Disposition Authority
Also known as a “Retention Schedule” or a “Disposition Authority”. A Records Disposition Authority (RDA) indicates and authorizes the length of time a particular series of records should be maintained in its active and semi-active stages and identifies the final disposition actions for the series (destruction or archival selection). A RDA permits the disposition and destruction of government records. Disposition must comply with the applicable departmental legislation, the Archives Act, the Records Scheduling Policy, and with Corporate Records Management’s disposition procedures.

Recorded Information: Information in any form, including electronic records, and includes information that is written, photographed, recorded or stored in any manner, but does not include a computer program or other mechanism that produces records.

Reliable record: A record whose contents can be trusted as being the full and accurate representation of the transaction.

Source record: The analog (original) record prior to digitization.

Trusted Repository: A trusted repository (secure storage location) provides reliable, long-term access to managed resources to its designated community, now and in the future. A trusted repository for digital assets must protect the authenticity and reliability of the digital assets stored and managed within it.

4. Requirements

When a public body plans to destroy an original master record after digitization, and declare the digitized record as the official record of a business activity, it must be digitized as a master record. A master record must be deemed to be authentic and reliable, supporting all business activities and must be capable of withstanding legal scrutiny. A digital master record must therefore be generated under strict guidelines, policies and practices, be fully documented and be maintained within a secure storage location (trusted repository).

Departments are responsible for:

- Determining the feasibility and legalities of digitizing records in order to destroy the original source record;
- Ensuring proposed practice is documented in an approved RDA, identifying the scope of the digitization initiative and confirming GNWT digitization standards and procedures will be followed;

- Ensuring that digital master records are stored in a GNWT approved trusted repository (secure storage location).

The Office of the Chief Information Officer is responsible for:

- Establishing the directives and standards providing direction for digitizing authoritative master records;

- Verifying trusted repositories that manage and store authoritative master records produced by the digitization process.

5. Authority

This directive is established by the authority of the Corporate Chief Information Officer, who has the authority from the Informatics Policy Council to create processes in support of the governance and management of corporate Information and Communications Technology (ICT) resources.

6. Reference

Digitized records are subject to the same provisions as other record formats, as established by the following Acts, policies, international standards and best practices:

- **Archives Act** sets the legal framework for disposition, transfer, custody and access to records;

- **Copyright Act** sets the statutes governing copyright in Canada;

- **Electronic Transactions Act** establishes the legal authority of digital records in regard to transactions;

- **Evidence Act** establishes the power and authority of evidence admissible in court, including digital records;

- **Access to Information and Protection of Privacy Act** provides public access to records and protects against unauthorized use or disclosure of personal information by public bodies;

- GNWT Policies - Guidelines
o Recorded Information Management Policy (6003.00.18) guides public bodies in the management of their recording information (regardless of format) and defines the authority and accountability framework;

o PWS Guidelines for Scanning Projects (under amendment);

o Digitization Standard (under development);

- CAN/CGSB-72.34-2005, Electronic Records as Documentary Evidence;
- CAN/CGSB-72.11-93, Microfilm and Electronic Images as Documentary Evidence;
- ISO/TR 13028:2010, Information and documentation - Implementation guidelines for digitization of records

8. Monitoring

OCIO will monitor to ensure directives and standards are being followed.

9. Approval

Directive is effective from the date approved below.

<table>
<thead>
<tr>
<th>Corporate Chief Information Officer</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dave Heffernan</td>
<td></td>
<td>2016 11 18</td>
</tr>
</tbody>
</table>
APPENDIX A

DIGITIZATION OF CURRENT (ACTIVE) RECORDS

Background/Scope

A department may wish to digitize original paper source or non-digital government records made in the usual and ordinary course of business. The department would create an authoritative digital record to replace the original source record. The department would then destroy the original paper source record, or non-digital document. The digital record will now be considered the authoritative (master) record, to be produced for any and all business purposes for which they may be required. ¹

Required

Where digitization is to be part of a regular business practice, departments must ensure that they conform to the following imperatives.

Records Disposition Authority

Departments are required to declare the practice of scanning to have digitized authoritative records as part of the regular business process in the appropriate Records Disposition Authority (RDA).²

Standards

Departments are required to adhere to standards defined in (Digitization Standard).³ These standards include:

- Technical Standards
- Disposition procedures
- How and where the digitized records will be captured/stored

Quality Control

It is understood that records scanned as part of a regular business process will be reviewed as part of the business process they are supporting. E.g. Invoices scanned for upload into the SAM Finance system will be reviewed during the reconciliation process/other payment activities. Any deficiencies in the digitized record will be identified and corrective actions can be immediately undertaken.

¹ Business requirements include but are not limited to: supporting primary business functions, audit purposes, all legislative requirements.
² See ORCS Development Guidelines 6003.00.25, under revision.
³ As found in Digitization Standard, under development.
After scanning, the digitized record must be opened and inspected for defects.\(^4\) If any defects are identified, the records should be re-digitized.

Records containing sensitive information (e.g. those that support human resource functions) must be double-checked by a second employee to confirm that the digitized image is useable. If the digitized record is being uploaded to a workflow process (such as SAM) or is being sent to another government employee as part of a business transaction or activity, the recipient is required to review the record(s) for errors. If errors are found, the recipient employee must advise the originating employee that the original paper source or non-digital record needs to be digitized again for readability and/or use.

**Recommended**
Departments should consider how the digitization project will integrate into existing workflows. Government bodies should work closely with their Records Coordinators to ensure a full understanding of existing records management practices and processes.

It is recommended that a Risk Assessment\(^5\) be conducted to identify any requirement to retain the original paper source or non-digital records based on any ongoing legal, business and/or other requirements. The Risk Assessment should be conducted as part of the RDA development and review process.\(^6\)

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\(^4\) As listed in Digitization Standard, under development.
\(^5\) See the Digitization Standard, under development
\(^6\) See ORCS Development Guidelines 6003.00.25, under revision.
APPENDIX B

DIGITIZATION OF LEGACY RECORDS SERIES

Background/Scope

A department may identify a large series of legacy records originally retained as paper source or non-digital format that may legally be replaced with an authoritative digital record for the purpose of conducting government business. The records may represent a document type that is currently being scanned as part of a regular business process, and a department may wish to bring older records into the new workflow. Nevertheless, a digitization project of a large series of legacy records is NOT considered as part of a regular business process. Alternatively, the series of legacy records may represent a class of record that is no longer generated but still accessed and required for business purposes.

When a large series of legacy records are digitized, the paper source or non-digital records are destroyed and the digital versions are acknowledged to be the authoritative (master) records, to be produced for any and all business purposes for which they might be required.\(^7\)

Required

When departments plan to conduct a digitization project on a large series of records, departments must ensure that they conform to the following imperatives.

Business Case

Departments are required to prepare a business case prior to embarking on a project to digitize a large series of legacy records. The business case will validate the case for the investment of time and fiscal resources.

The business case must include:

- A description of the records and their relationship to other records
- A description of the benefits of digitization
- An examination of the resource requirements
  - Staff
  - Equipment
  - Time
- A cost vs. benefit analysis

\(^7\) Business requirements include but are not limited to: supporting primary business functions, audit I don’t understand what is purposes, all legislative requirements
• A risk assessment\(^8\)

**Records Disposition Authority**
Departments are required to declare the practice of scanning legacy records series to have digitized authoritative records in the appropriate Records Disposition Authority (RDA).\(^9\)

**Standards**
Departments are required to adhere to standards defined in (Digitization Standard).\(^10\)
These standards include:
- Technical Standards
- Quality Assurance
- Disposition procedures
- How the record will be digitized
- What metadata will be captured
- How and where the digitized records will be captured/stored.

**Recommended**
Departments should consider how the digitization project will integrate into existing workflows. Government bodies should work closely with their Records Coordinators to ensure a full understanding of existing records management practices and processes.

It is recommended that a Risk Assessment\(^11\) be conducted to identify any requirement to retain the original paper source or non-digital records based on any ongoing legal, business and/or other requirements. The Risk Assessment should be conducted as part of the RDA development and review process.\(^12\)

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\(^8\) As found in Digitization Standard, under development.

\(^9\) See ORCS Development Guidelines 6003.00.25, under revision.

\(^10\) Digitization Standard, under development.

\(^11\) See the Digitization Standard, under development

\(^12\) See ORCS Development Guidelines 6003.00.25, under revision.