

Introduction to Records Management & iManage

What is Records Management?

A **record** is defined as a document made, received and maintained by the NWT Power Corporation in carrying out its legal obligations or the transaction of its business. **Records Management** is the practice of maintaining these records throughout their lifecycle.

All records, including emails, created or maintained by employees or contractors in the course of their duties on behalf of the Corporation are the property of the NWT Power Corporation and are subject to records management.

The lifecycle of a record (Figure 1) begins with the **creation or receipt** of a record. For example a letter you write or an email you receive. The record is then **classified** and **retention** is assigned based on this classification. The NWT Power Corporation has a File Classification System that is approved by the GNWT. This system organizes all of the Corporation's records into primary and secondary classes and retention is assigned to these. **Retention** is the rules governing how long to keep a record and what is done with it when the retention period is up.

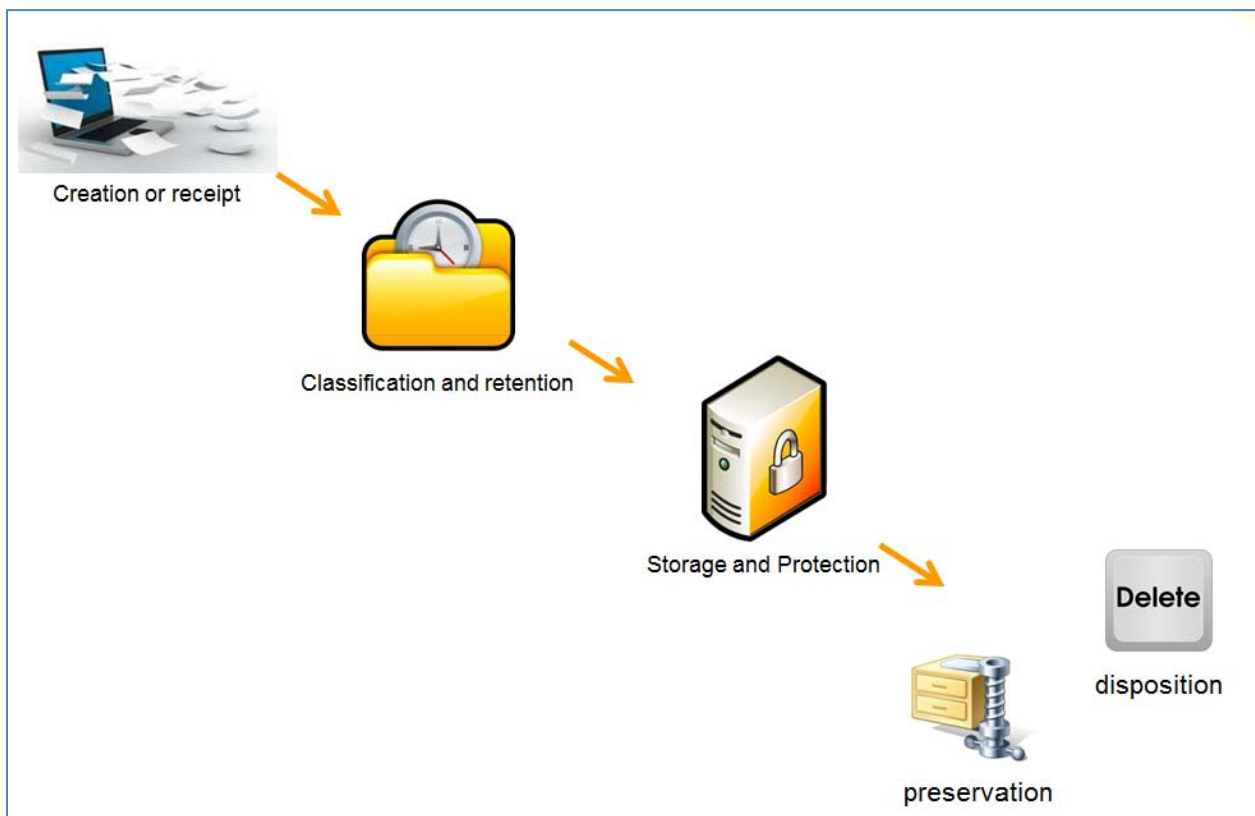


Figure 1. The lifecycle of a record.

For example, Figure 2 shows an excerpt from the File Classification System document. This shows the primary class 9900 for Projects – Capital and O&M and the 3 subclasses: 1 for General, 2 for Capital Projects and 3 for O&M Projects. If you were working on a capital project and generated or received a record such as a project brief you would classify it under 9900-2. The retention on this record is archival selection. It would be kept for 7 years after the closure of the plant and then could not be destroyed without permission of the GNWT Archivist.

Northwest Territories Power Corporation		10/08/2007
File Classification		
File Series		Retention A/I/T/FD/VR
9900 Projects - Capital and O&M		
This section covers all records relating to Capital and Operations and Maintenance projects carried out by NTPC. Records include job authorizations, project planning, project briefs, job correspondence, progress reports, etc.		
9900-1	General Records of general nature that do not fit elsewhere in the 9900 section. <i>*Retain onsite until all actions are completed.</i> <i>**Inactive records are retained for 7 years following plant closure.</i>	SO*7**/CLS+7**/D/VR
9900-2	Capital Projects (briefs, forms, status, etc.) Records related to NTPC capital projects including project briefs, status, etc. <i>*Retain onsite until all actions are completed.</i> <i>**Inactive records are retained for 7 years following plant closure.</i> <i>***These records have been flagged for GNWT Archival Selection and cannot be destroyed without permission from the GNWT Archivist.</i>	SO*7**/CLS+7**/AS-D***/VR
9900-3	O&M Projects (briefs, forms, status, etc.) Records related to NTPC operations and maintenance projects including project briefs, status, etc. <i>*Retain onsite until all actions are completed.</i> <i>**Inactive records are retained for 7 years following plant closure.</i>	SO*7**/CLS+7**/D/VR

Figure 2. Excerpt from the NWT Power Corporation File Classification System

The records are **stored, secured** and **protected** on file servers and accessed and used by employees.

The retention schedule then determines what is done with the records at the end of their lifecycle: **archived** or **destroyed**.

Why do we Records Manage?

The Corporation manages its records for three reasons:

1. Business

- Effective Records Management can reduce the time and effort necessary to locate documents needed during the course of regular business as well as to meet the information requests from external sources.

2. Legal

- To meet the record retention requirements in the File Classification System as governed by the GNWT.
- To meet obligations under ATIPP (Access to Information and Protection of Privacy Act).
- To aid in meeting tax and audit requirements.

3. Disaster Recovery

- Keeping all the Corporation's records centrally stored and protected ensures the availability of essential information for the resumption of operations following a disaster.

How do we achieve Records Management?

The Corporation uses an electronic Document Management System called Autonomy iManage WorkSite – known simply as **iManage**.

WorkSite Server is comprised of several components:

1. **File Server** – where all the records are stored.
2. **Database** – stores all the information about each record. For example, the author of the record, who viewed it last or who should have access to it.
3. **Indexer** – generates index collections that allow for fast, full-text searching of all documents.
4. **Records Manager** – helps manage the records based on the approved file classification system and retention policy.

There are 2 client tools used to connect to the WorkSite server from the desktop:

1. Filesite

- FileSite is a desktop application for using WorkSite that is fully integrated with Microsoft Office and Microsoft Outlook. The term integrated means that you use FileSite directly from inside Microsoft Office applications, including managing your email using the familiar Microsoft Outlook interface. Figure 3 shows FileSite integrated in Outlook 2010.

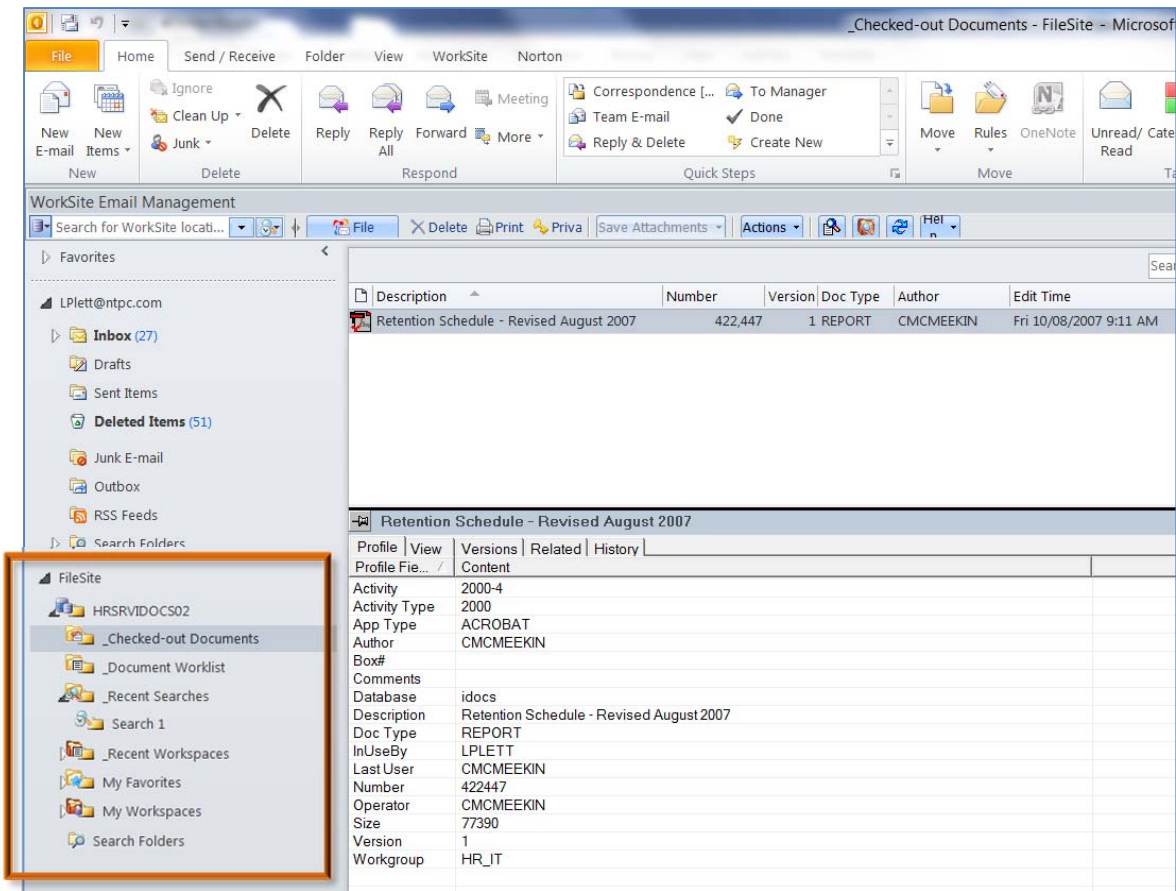


Figure 3. FileSite integrated in Outlook 2010

2. WorkSite Web

- This tool provides access to all of iManage and your iManaged records from anywhere you have access to the internet (Figure 4).

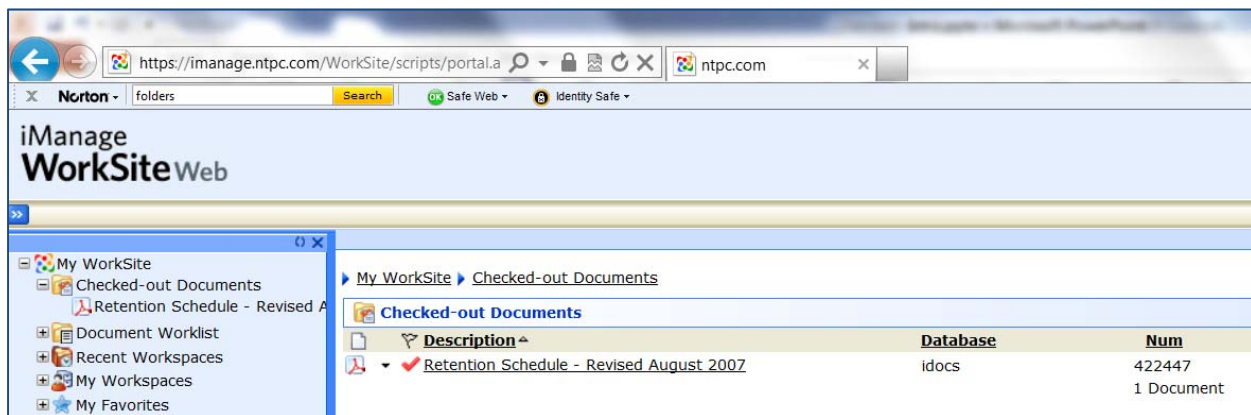


Figure 4. WorkSite Web

To iManage a document using one of these tools is as simple as saving a document to a folder in WorkSite.

As an example, you have started working on a project brief for a capital project in Microsoft Word. Because FileSite is fully integrated with all of the Microsoft Office products, all you have to do is click File -> Save As and the WorkSite Integrated Desktop window opens (Figure 5). You select the appropriate workspace, in this case the relevant capital project workspace, and then the appropriate folder within it. Enter a description for the document and click Save. You have now iManaged this document.

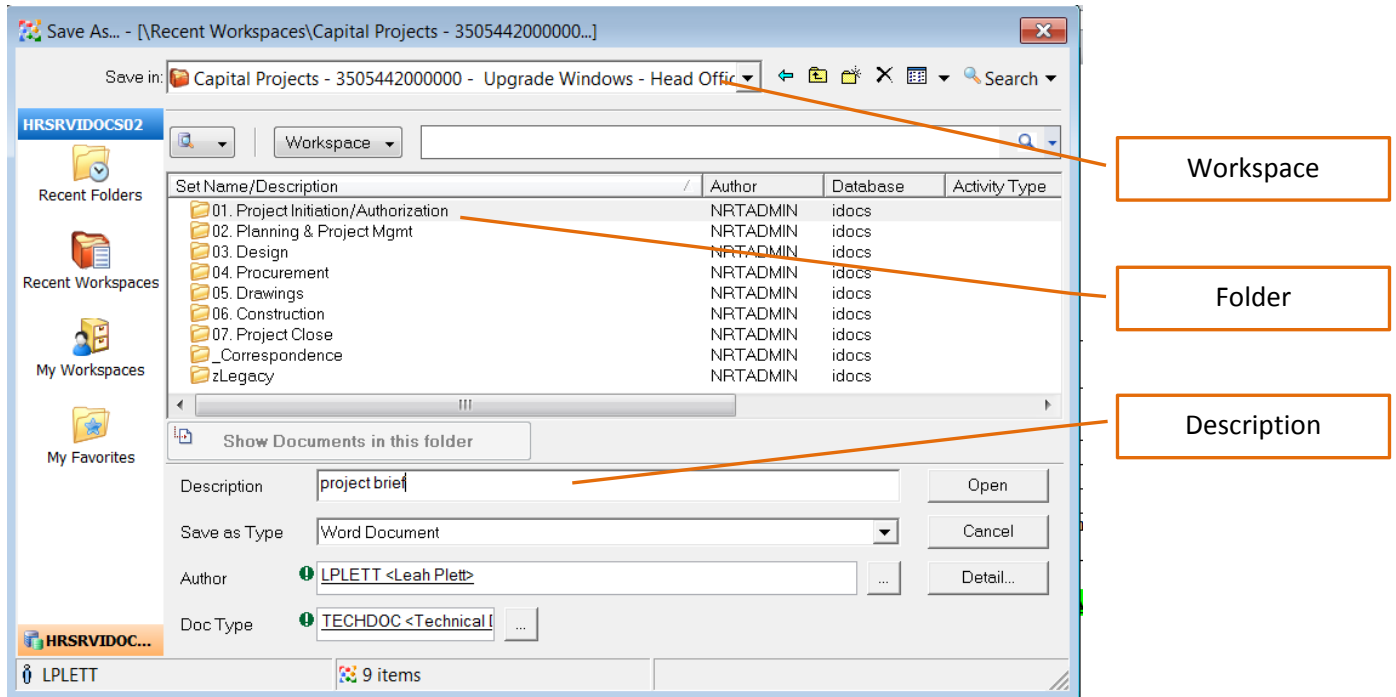


Figure 5. WorkSite Integrated Desktop window.

Fortunately, as a user, this is the only step required by you to records manage your documents. You don't have to look up file classifications to assign primary and secondary class or retention. If you look again at the lifecycle of a record (Figure 6), you can see how the WorkSite server components take care of the remaining steps of records management for you.

Starting with the creation or receipt of a record, you iManage this document, as demonstrated above. Classification and retention are assigned automatically based on the specific workspace and folder you have saved to, security and protection is taken care of by the file server and the database, searching for the records is taken care of by the index service and ensuring records are flagged for destruction or archive is taken care of by the records manager component. Using the file classification and iManaging examples above, by saving the project brief to the capital project workspace and the project initialization/authorization folder, the document will be automatically classified as 9900-2 and will be flagged by the records manager component for archival selection 7 years after the plant closure. As you can see, iManage has made records managing all of the Corporation's documents a simple task.

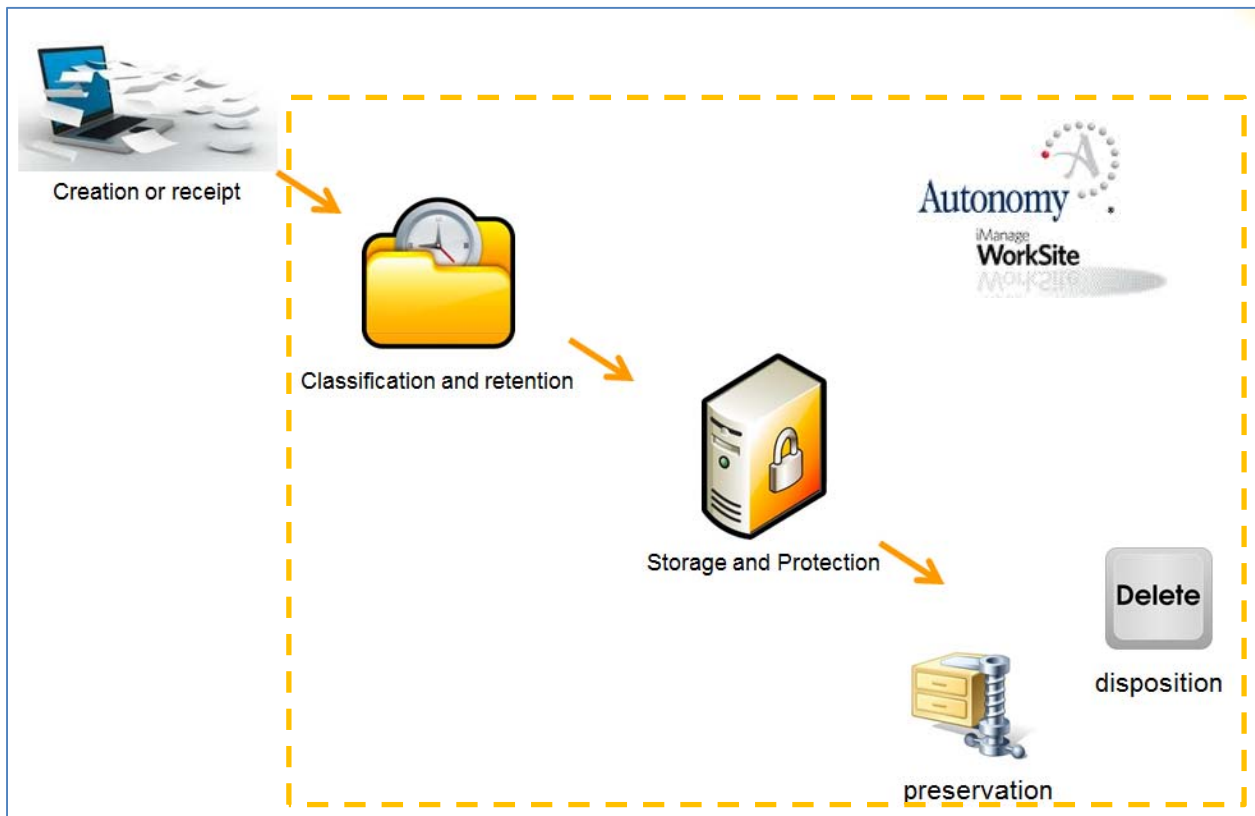


Figure 6. Lifecycle of a record showing how WorkSite Server completes many of the steps of records management for you.

What about the paper?

iManage is an electronic document management system. Ideally, paper documents are scanned and imported into iManage and less paper is printed off leaving us less paper to manage. But, there will always be paper records and there are procedures in place to manage these.

Inactive paper records are boxed up based on primary and secondary class according to the File Classification System. A record is entered into iManage with text-searchable keywords describing the contents of each box. Paper records are subject to the same classification and retention rules as the electronic documents.

For further information on the management of paper records please read the document “Cheat sheets – boxing up inactive records” or forward any questions you might have to your Records Management Coordinator.