



## Internal Audit Report Highlights

### Recorded Information Management (RIM) Process

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#### Why We Did This Audit

The Government of the Northwest Territories (GNWT) is responsible for managing large amounts of information to support the delivery of core programs and services to residents of the NWT. The GNWT has a responsibility to ensure that the lifecycle of recorded information is compliant with relevant legislative requirements, including the *Archives Act*, *Access to Information and Protection of Privacy Act*, and *Financial Administration Act*.

#### Why Our Findings Matter

Information is the driving force behind decision-making at all levels. For the GNWT to meet its mandate, information must be managed effectively and be supported by a robust governance framework. With multiple information repositories and a wide range of stakeholders creating and using information, a clear framework and governance structure are crucial for ensuring that all information is safeguarded and secure, while remaining accessible on a timely basis.

#### What We Looked At

The Internal Audit Bureau sought to determine whether the GNWT's centralized Information Management and Technology (IMT) function supported the effective management of recorded information.

#### What We Found

The IMT control environment had suitable criteria in place for departments to implement records management programs and effectively manage recorded information in their custody. However,

GNWT departments were unable to report on RIM compliance due to the absence of a central IMT management framework.

#### Recommendations

The Internal Audit Bureau made seven recommendations to improve monitoring and reporting of RIM compliance, including adopting an established IMT framework, developing processes to evaluate compliance, and updating the *Archives Act*. The GNWT agreed with all recommendations and provided a management action plan to implement improvements by the end of the 2027-28 fiscal year.

#### Conclusion

The GNWT had key elements in place to manage recorded information. Opportunities exist to improve the governance structure, clarify accountability, and enhance compliance reporting.