



Recorded Information Management (RIM) Assessment

2016-2017

Prepared by

Public Archives and Records Office

Department of Education, Early Learning and Culture

Background

The *Archives and Records Act* requires the Province of Prince Edward Island to ensure records created and kept by government departments are managed effectively and disposed of responsibly.

("Departments" refers to public bodies as defined by the *Archives and Records Act* and includes departments, boards, commissions, committees, offices, foundations, agencies, tribunals, task forces, councils, and associations. In this document, "departments" also refers to any work unit within a department.) The Act, along with "Section 5: Recorded Information Management" of the *Treasury Board Policy and Procedures Manual* (TBM), provides departments with direction as to how to meet their Recorded Information Management (RIM) obligations. Their obligations include:

- creating and submitting to the Public Records Committee records retention and disposition schedules outlining how long the records under their care and custody are to be retained and ultimately disposed of;
- adhering to each records retention and disposition schedule for which the department is responsible; and,
- ensuring that all records under the care and custody of the department are usable and accessible, and maintained in such formats and media types that will support their retention and final disposition.

In order for departments to meet their RIM obligations and to ensure their compliance with the *Archives and Records Act*, they must implement various components of a basic RIM program including the adoption of a RIM Strategic Plan, the implementation of approved retention schedules, and the allocation of appropriate resources. The RIM Assessment examines the activities of the departments, identifies their level of overall compliance, and provides recommendations for improvement.

Methodology

RIM Assessments were completed by all departments in December 2016. These RIM Assessments are self-assessments for the departments completed by the RMLOs in consultation with their Senior Records Managers (SRMs). The assessment looked at fifteen areas designed to allow the departments to review their progress towards meeting the above-mentioned RIM obligations.

Several departments have more than one RMLO so the assessments have been completed based on their specific divisions rather than the departments as a whole. Results from divisions within a specific department can vary greatly so this analysis has maintained the results based on the reporting of the RMLOs. Therefore, there are results from 20 divisions of government rather than 11 departments, one commission, and one board.

Summary of Results

The RIM Assessments provide departments with the opportunity to review their current RIM practices, determine areas of strength and weakness, and plan their future activities. The following is a summary of the departments' activities in their efforts to implement a RIM Program.

RIM staffing within departments consists of Senior Records Managers (SRMs) and Records Management Liaison Officers (RMLOs) which are appointed by the Deputy Ministers. These appointments are generally to existing positions although several departments do have full-time RIM Coordinators. The appointment of these positions is consistent across government.

A necessary component of a successful RIM Program is not only the number of staff devoted to RIM but also the level of RIM training they receive. Most departments indicate that staff have some RIM training, and the Public Archives and Records Office (PARO) has provided training on the implementation of retention schedules and on the importance of RIM. RIM training has recently been introduced and is currently being offered to all employees across government.

Most departments are taking steps to address the management of their non-electronic records by creating central file rooms, establishing file management processes for those sites, and storing semi-active records in the Provincial Records Centre. This storage includes paper records as well as photographs, videos, audio recordings, architectural plans, and maps.

A number of departments have reported that the development of a RIM Strategic plan is in progress. RIM Strategic Plans, or RIM Implementation Plans, serve as the foundation for all departmental RIM achievements. These plans outline the goals and objectives of the department in its endeavor to incorporate recorded information management into the daily operations of the department.

The majority of departments across government have adopted and implemented the Classification Plan and Retention Schedule (CPRS) to manage their administrative records. The CPRS is created and maintained by the Public Archives and Records Office (PARO) and available to all departments. Adoption of the CPRS provides departments with a consistent manner in which to organize these records and provides an approved retention schedule which allows departments to dispose of their records in a legal and timely fashion.

Most departments have approved records retention and disposition schedules in place and others are being drafted. All government records must be identified and described within a records retention and disposition schedule. The schedule determines the length of time the records should be maintained within the department (the active stage), how long they should be maintained at the Records Centre or other storage area (semi-active stage), and what their final disposition should be (destruction or transfer to the Public Archives). The number of schedules approved for each department varies greatly and does not necessarily indicate that one department has more of its records scheduled than another department. A specific department might generate fewer types of records and therefore, may then have fewer retention schedules.

An inventory of information holdings is the first step in establishing a RIM program. Such an inventory provides the basis for long-term recorded information management planning, efficient organization of records, and scheduling. It also allows for the subsequent identification of defunct and new record series.

Some areas of weakness in the implementation of RIM across government include the need for the completion of Departmental RIM Strategies or RIM Implementation Plans. Although departments do need to complete individual plans specific to their needs, this has been addressed to a certain degree by the adoption of a province-wide *RIM Strategy and Three-Year Plan*. Implementation is already underway.

All departments create electronic records in the course of their daily activities, but very few have begun exploring their electronic records storage and management needs. The need for an electronic records management is addressed in the *RIM Strategy and Three-Year Plan*. Government is exploring the adoption of Alfresco as an electronic records management tool with a pilot project expected for the fall of 2017.

As outlined, most departments have some records retention and disposition schedules and others are being drafted. All records, in all formats, require approved schedules, to be in full compliance of the *Archives and Records Act*.

Recommendations/Conclusions

Through the RIM Assessments, departments indicate that many of the areas of the RIM program are in progress and moving towards compliance. The following recommendations will guide departments through their activities over the next year.

Recommendation #1

All departments that do not have a records inventory should make it a priority to complete one, and those that have not updated their inventories in the past 2 years should do so. Accurate and up-to-date inventories will allow departments to determine the volume of records they possess, those in need of retention schedules, and the priority with which the records need to be dealt. RIM Implementation/Strategic Plans as well as RIM Policies and Procedures Manuals cannot be properly developed without a comprehensive understanding of the types and volume of records a department creates and maintains. A comprehensive inventory will provide for the classification of records as administrative or operational.

Recommendation #2

SRMs and RMLOs are consistently appointed in departments but only a few departments have fulltime RIM staff. Devoting further staffing resources to RIM will allow departments to undertake the needed records inventories and subsequently develop RIM strategies, policies, and procedures. Formal RIM training will enable the RIM staff to undertake these tasks.

Recommendation #3

Records retention and disposition schedules provide departments with timelines that determine how long records are to be kept and where. Legally disposing of records whether by destruction or transfer to the Public Archives permits departments to reduce storage needs which can be costly. The actual number of retention schedules approved by the Public Records Committee varies across the departments. Departments must make greater efforts to increase retention schedule creation and approval to improve compliance.

Recommendation #4

All departments create electronic records in the course of their daily activities, but few departments have had the opportunity to explore their electronic records storage and management needs. In completing the above mentioned recommendations and by gaining greater control over existing paper records, departments will be better placed to assess their electronic records needs and move towards implementing an electronic records management system.

Appendix 1

Table of results

Legend

AGR = Agriculture (Agriculture and Fisheries)

CLE = Communities, Land and Environment

EDT = Economic Development (Economic Development and Tourism)

EDU = Education, Early Learning and Culture

ENE = Energy (Transportation, Infrastructure, and Energy)

EXE = Executive Council and Premier's Office

FHS = Family and Human Services

FIN = Finance

FIN-PEN = Finance - Pensions and Benefits

FIN-TB/IT = Finance - Treasury Board Secretariat - Information Technology Shared Services

FISH = Fisheries, Aquaculture and Rural Development (Agriculture and Fisheries)

H&W = Health and Wellness

HPEI = Health PEI

JPS = Justice and Public Safety

JPS-Court = Justice and Public Safety – Courts

PSC = Public Service Commission

TOU = Tourism (Economic Development and Tourism)

TIE = Transportation, Infrastructure, and Energy

WAL = Workforce and Advanced Learning

WCB = Workers Compensation Board

Table 21

Recorded Information Management Program Checklist

December 2016

RED - Not begun

Green In Progress

Blue - Complete

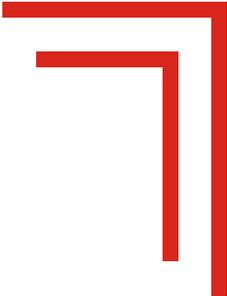
		AGR	CLE	EDT	EDU	ENE	EXE	FHS	FIN	FIN-PEN	FIN-TB/IT	FISH	H&W	HPEI	JPS	JPS-Court	PSC	TOU	TIE	WAL	WCB
1	RIM Strategic Plan	Red	Green	Red	Green	Red	Red	Red	Red	Red	Red	Red	Red	Green	Red	Red	Green	Green	Red	Green	Green
2	RIM Resourcing	Blue	Green	Red	Red	Red	Red	Green	Green	Red	Red	Blue	Red	Green	Red	Red	Red	Green	Red	Green	Green
3	RIM Responsibilities	Blue	Blue	Green	Blue	Green	Green	Green	Blue	Green	Green	Blue	Green	Green	Green	Green	Blue	Green	Blue	Green	Blue
4	RIM Departmental Policy	Red	Blue	Red	Blue	Red	Red	Red	Red	Red	Red	Red	Red	Blue	Red	Red	Red	Green	Red	Green	Red
5	RIM Procedures & Guidelines	Red	Blue	Red	Green	Red	Red	Red	Red	Red	Red	Red	Red	Green	Red	Red	Red	Green	Green	Green	Blue
6	CPRS- Administration	Green	Blue	Green	Blue	Green	Green	Green	Green	Green	Green	Green	Red	Green	Green	Green	Blue	Blue	Blue	Blue	Green
7	CPRS- Operational	Green	Blue	Green	Green	Red	Green	Green	Green	Green	Red	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green
8	Retention Schedule Development & Approval	Blue	Blue	Green	Blue	Green	Green	Green	Green	Green	Green	Blue	Green	Green	Green	Green	Green	Green	Green	Green	Blue
9	Managing Non-Electronic Records	Green	Green	Green	Green	Red	Red	Green	Blue	Green	Red	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green
10	Dormant Storage	Green	Green	Green	Green	Red	Green	Green	Blue	Green	Red	Green	Green	Green	Green	Green	Green	Green	Green	Green	Blue
11	Other Storage Mediums	Green	Green	Green	Green	Red	Green	Green	Green	Red	Red	Green	Green	Green	Green	Green	Green	Green	Green	Green	Blue
12	Electronic Records Management	Red	Red	Red	Green	Red	Red	Red	Green	Red	Green	Red	Red	Red	Red	Red	Red	Red	Red	Red	Red
13	Promotion of RIM	Green	Green	Red	Red	Red	Green	Green	Green	Red	Green	Green	Red	Green	Green	Green	Green	Red	Green	Green	Green
14	RIM Training	Green	Green	Green	Green	Red	Green	Green	Green	Green	Green	Green	Red	Green	Green	Green	Blue	Green	Green	Green	Green
15	Issues and Long Range Goals	Green	Green	Green	Red	Red	Red	Green	Green	Red	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green

Orange - Did not Respond

Appendix 2

RIM Assessment – 2016

Sample assessment



OVERVIEW OF THE RIM PROGRAM ASSESSMENT

FOR

DEPARTMENT OF _____

A quick and easy way to see where Recorded Information Management in your Department stands in relation to Corporate Recorded Information Management.

A high level action plan to improve Recorded Information Management in your department and increase your compliance with government Recorded Information Management Policy.

Department of _____

Recorded Information Management Program Checklist

		<i>Not Begun</i>	<i>In progress</i>	<i>Completed</i>
1	RIM Strategic Plan			
2	RIM Resourcing			
3	RIM Responsibilities			
4	RIM Departmental Policy			
5	RIM Procedures & Guidelines			
6	CPRS- Administration			
7	CPRS- Operational			
8	Retention Schedule Development & Approval			
9	Managing Non-Electronic Records			
10	Dormant Storage			
11	Other Storage Mediums			
12	Electronic Records Management			
13	Promotion of RIM			
14	RIM Training			
15	Issues and Long Range Goals			

1. Recorded Information Management Strategic Plan

A Recorded Information Management Strategic Plan is an essential first step to developing a successful RIM program. The Plan will define objectives, identify and assign tasks, identify resources needed and set out time lines. The Plan must be endorsed by management and reviewed and revised on a regular basis.

Recorded Information Management Strategic Plan		
		Y/N
1	Has a RIM Strategic Plan, mission and objective been developed?	
2	Does the Plan define the goals for RIM within the department?	
3	Does the Plan include a detailed work plan?	
4	Does the Plan include a communication strategy?	
5	Has the communication strategy been rolled out?	
6	Has the Plan been approved/endorsed by Senior Management?	
7	Has the Strategic plan been implemented?	
8	Is the Strategic Plan reviewed periodically for effectiveness?	
	Comments:	

2 . Recorded Information Management Resourcing

Records Management needs to have appropriate resources allocated to enable it to be established and maintained. Limited resources must be used efficiently and effectively to benefit Recorded Information Management.

Recorded Information Management Resourcing		
		Y/N
1	Has a presentation on RIM Resource needs been delivered to Senior Management?	
2	Was a business case/justification for additional resources included?	
3	Were gaps in RIM core competencies included?	
4	Were RIM staffing needs addressed?	
5	Were the need for proper equipment, supplies and technology included?	
6	Were the resourcing needs for long term goals identified?	
	Comments:	

3. Recorded Information Management Responsibilities

RIM responsibilities should be imbedded in the position descriptions and performance plans of employees. Identifying, assigning and documenting Recorded Information Management responsibilities will enhance the accountability for the management of information. Responsibilities and accountabilities will be clearly understood by staff.

Recorded Information Management Responsibilities		
		Y/N
1	Does your department have a Senior Records Manager?	
	Describe Role:	
2	Does the Senior Record Manager endorse the implementation of the RIM Policy and Plan?	
3	Does your department have Records Management Liaison Officer (RMLO) or RIM Coordinator?	
	Describe role:	
4	What percentage of time is RMLO or RIM Coordinator dedicated to RIM?	
5	Is there a reporting relationship between Senior Records Manager and RMLO and/or RIM Coordinator?	
6	Have the roles and responsibilities of the RMLO and/or RIM Coordinator been documented and communicated to staff?	
7	Does your department have a Records Clerk(s)?	
8	What percentage of time is dedicated to RIM by the Records Clerk(s)?	
9	Briefly describe role of Records Clerk(s).	
	Comments:	

4. Departmental RIM Policy

A departmental RIM policy is important because it lays the foundation for Records Management within the department. It should define the elements that are specific to the department.

Departmental RIM Policy		
		Y/N
1	Does your department have a RIM Policy that is compliant with the government-wide RIM policy and other Records management best practices?	
2	Was the Policy approved by Senior Management	
3	Was a communication strategy developed for the RIM Policy?	
4	Was the Policy disseminated to staff?	
5	Is the Policy reviewed and assessed regularly?	
6	Is the Policy revised as needed?	
	Comments:	

5. Rim Procedures & Guidelines

RIM procedures and guidelines provide the infrastructure for Recorded Information Management. They provide consistent records management practices throughout the entire department.

RIM Procedures & Guidelines		
		Y/N
1	Have the RIM processes been identified that require procedures & guidelines?	
2	Have strategies, procedures and/or guidelines been developed for all components of a RIM Program including:	
	-The utilization of file management tools?	
	-For the implementation of RIM throughout the department?	
	-For keeping records in the electronic environment?	
	-Regarding Metadata?	
	-For information management?	
	-For electronic records management?	
3	Have the procedures and guidelines been approved?	
4	Have the procedures and guidelines been disseminated to staff?	
5	Are new employees introduced to the RIM procedures & guidelines?	
6	Are the procedures and guidelines reviewed and updated regularly?	
7	Is there a plan for assessing compliance with the procedures and guidelines?	
	Comments:	

6. Classification Plan and Retention Schedule (CPRS) - for Administrative Records.

The CPRS is the classification system for the department's administrative records. This plan provides comprehensive descriptions of the records found in the department. It will also include retention and disposition schedules that indicate when to move records from office to off-site storage, and when to either transfer them to the archives for preservation or have them destroyed.

CPRS - for Administrative Records		
		Y/N
1	Are your departmental administrative records classified using the government CPRS?	
2	What percentage of the department currently uses the CPRS?	
3	Who converted the records to this format? In house? Outsourced?	
4	If outsourced, were key staff trained during the conversion process?	
5	Are your records reviewed regularly?	
	Comments:	

7. Classification Plan and Retention Schedules - for Operational Records.

Each department's operational records are unique to the functions they carry out. Therefore, departments must develop an operational file classification plan to meet their unique functional requirements. This plan provides comprehensive descriptions of the operational records found in the department. It will also include retention and disposition schedules that indicate when to move records from office to off-site storage, and when to either transfer them to the archives for preservation or have them destroyed.

CPRS - for Operational Records		
		Y/N
1	Was a detailed project plan developed including scope of project and resources needed (both human and financial)?	
2	Was a detailed records inventory/analysis completed? By whom? In house by task team? Outsourced?	
3	Was a draft File plan developed from the Inventory?	
4	Were staff involved in drafting the file plan?	
5	Was the file plan endorsed by Management prior to conversion?	
6	How was the conversion conducted? In house? Outsourced?	
7	How long did the project take? Cost?	
8	Are your regional offices utilizing the operational file plan?	
9	What percentage is complete?	
10	Is there an index to your records? Electronic or cards?	
11	Was a staff person dedicated to the project and trained to carry on afterwards?	
12	If outsourced, were progress reports produced?	
13	Has the system continued to work since the project was completed?	
14	Is the File Plan reviewed regularly to keep current with department shifts in functions and technology?	
	Comments:	

8. Operational Records Retention & Disposition Schedule Development & Approval

Retention schedules are the foundation of a RIM program. Under the Archives & Records Act all records in all format must have a records retention & disposition schedule that has been approved by the Public Records Committee.

Operational Records Retention & Disposition Schedule Development & Approval		
		Y/N
1	Were draft retention schedules developed from the Inventory to cover all records in all formats ?	
2	Were staff involved/consulted in the development of the draft schedules?	
	Are you documenting the legal research?	
3	Were the draft schedules reviewed by an internal Scheduling team?	
4	Was the PARO staff consulted in the development of the retention schedules?	
5	Were the retention schedules approved by the Public Records Committee?	
6	Are the approved retention schedules reviewed annually and amended as needed?	
7	Are the retention schedules built into the Operational CPRS?	
8	Are the schedules communicated to staff for use?	
	Comments:	

9. Managing Non-Electronic Records

Processes for managing non-electronic records must be developed within the Recorded Information Management framework. They will help manage day to day record activities required to do business. These processes must be capable of managing all non-electronic records such as paper, microfilm, audio tapes, etc. Records control is a key element to a good RIM system. It is important that records be located where they can best meet the needs of staff. Reduction in duplication is one of the most cost effective and efficient tools in a RIM program. Regardless of whether records are located in one or more central sites, it is very important that a person is assigned the role of controlling and documenting the location, of all records.

Managing Non-Electronic Records		
		Y/N
1	Have the file management needs of the department been assessed?	
2	Have the requirements for long range space, equipment and supplies needs been identified?	
3	Have the necessary resources been allocated?	
4	Are the file management processes been assessed on a regular basis by conducting a workflow analysis?	
5	Where are the records housed?	
6	Do you have a central file room or various satellite file rooms?	
7	Does the file room accommodate various types of records formats?	
8	Does it house all the departments records?	
9	Who has access to the file room(s)?	
10	What percentage of departmental records are included?	
11	Who manages the file room(s)?	
12	Is there a central file registry? If so, who manages it?	
13	Does the file registry include records from other sites?	
14	If not, how are the records in the other sites managed?	
15	Who creates folders/manages numbering system and logs records into registry?	
16	What charge out procedures are in place?	
17	Are security measures in place for during office hours and after hours?	
18	Are there security measures in place for records not stored in central file room?	

Managing Non-Electronic Records		
		Y/N
19	Are inactive records culled annually for off-site storage?	
20	Are there procedures in place to inform staff /management of records removal?	
21	Who creates the box lists and ships records to storage?	
22	Are records not located in the central file room still registered in the central registry?	
23	If not, how are they located when needed by other staff?	
	Comments:	

10 Dormant Records Storage (other than Provincial Records Centre)

Often departments store records that are not needed in their active filing system in closets, basements, and warehouses. It is important that these records are managed and control mechanism be put in place.

Dormant Records Storage (other than Prov. Records Centre)		
		Y/N
1	Are inactive records stored in your basements/closets?	
2	Where? Name all sites.	
3	What is the volume of records? Date range.	
4	Describe storage conditions? Water/Mold? Sitting on floor? Crushed boxes?	
5	Do staff, other than RIM staff, have access to these records?	
6	What procedures are in place to ensure records are charged out?	
7	Are the contents of the boxes organized and listed?	
8	If so, who manages the box lists?	
9	If not, how are records found when needed?	
10	Do the boxes remain in one place or are they often moved around by staff?	
11	When looking for files, are they in the same arrangement as the original lists?	
12	Approximately how much time is spent searching for records in dormant storage?	
13	Why are records stored here rather than the Provincial Records Centre? No time? Not scheduled? Staff want to keep them nearby?	
	Comments:	

11. Other Storage Mediums

Other storage mediums		
		Y/N
1	What other storage medium do you use and describe type of record found on each?	
	-Microfilm	
	-Imaging System	
	-Tapes	
	-Blueprints	
	-Maps	
	-DVD/CDs	
	-Audio Tapes	
	- Photographs	
2	How are they stored?	
3	Where are they stored?	
4	Is the storage area temperature and humidity controlled?	
5	Are the records original or are copies made for security/back up purposes?	
6	Who has access to these records?	
7	Are they scheduled?	
8	If so, how is disposal carried out?	
9	How were the records transferred to this medium? Name of company, cost and time frame.	
10	What migration strategy exist to ensure records are useable for their lifespan?	
	Comments:	

12. Electronic Records Management

This RIM component focuses on analysing the department's current ability to manage electronic records and the steps needed to be better prepared for a workplace environment where electronic records are used more and more.

Electronic Records Management		
		Y/N
1	Does Senior Management demonstrate an understanding, commitment and leadership for managing electronic record?	
2	Has a plan for managing electronic records within the department been developed?	
3	Is there an assessment of the department's current capabilities for managing electronic records and gaps been identified?	
4	Lacking an electronic document management system, do all staff print to paper and file in paper system?	
5	How is metadata of the records captured?	
6	If not printed, how are FOIP or litigation queries addressed?	
7	Does your department have shared directories?	
8	Does the structure of your directories reflect the file classification plan for your paper records?	
9	How are records retention schedules applied to your electronic records?	
10	How are emails being managed? Blackberry accounts?	
11	When and how are electronic records taken off line?	
12	What medium is used to store these records? What is the life span of this media? Does the life span of the media and the life span of all the records match?	
13	How are off-line records indexed for retrieval?	
14	What storage condition is this media stored in?	
15	Are staff using Instant Messaging? If so, are records being captured?	
16	How are the records created on your Web Site being captured/ managed?	
17	Does the department have a migration strategy for these records?	
18	If yes, please describe?	
	Comments:	

13 Promotion of Recorded Informational Management

Recorded Information Management is a core government function. It must be visible within the department in order to carry out its role effectively, and achieve the accountability and compliance objectives of the government. Senior management support is critical to the promotion and success of Recorded Information Management. RIM duties should be included in position descriptions and performance plans where appropriate.

Promotion of RIM		
		Y/N
1	Has a communication strategy for RIM been developed and communicated within your department?	
2	Has a change management strategy been developed and implemented to prepare staff for the changes inherent in implementing RIM successfully?	
3	Have RIM functions been organizationally located in the most appropriate way to support its key objectives and perform its department-wide role effectively?	
4	Has a RIM component been built into the Orientation package for new employees?	
5	Are staff educated and made aware of the RIM roles and responsibilities?	
6.	Has a RIM component been added to your Exit Strategy and been communicated to staff?	
	Comments:	

14. RIM Training

RIM Training can take many forms. It can involve professional development opportunities for RIM staff, training provided by the Public Archives & Records Office for staff involved in RIM at any level, or ARMA sessions by local chapters, on-line training, or in-house training in the form of orientation and one-on-one or small group training. Typically, in-house training provides information about policies, procedures and guidelines specific to the department.

RIM Training		
		Y/N
1	Has a RIM training needs assessment been completed?	
2	Have all RIM staff received appropriate training?	
3	Are staff supported for ongoing professional development in RIM?	
4	Are all staff given some type of RIM Training?	
5	Are in-house training sessions held with staff?	
	Comments:	

15. Issues and Long Range Goals

This assessment attempts to identify issues and trends within the department and within government as a whole. By identifying issues and trends, we are better able to respond to the changing needs of the organization and its employees. Identifying long range goals allows the department to plan for any additional resources needed to accomplish its goals and put in place necessary change management strategies.

Issues & Long Range Goals		
		Y/N