



Recorded Information Management (RIM) Assessment

2017-2018

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.¹ 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 records retention and disposition schedules outlining how long the records under their care and custody are to be retained and ultimately disposed of;
- submitting records retention and disposition schedules for approval by the Public Records Committee which receives its authority to do so from the *Archives and Records Act*;
- 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. This includes adopting a RIM strategic/implementation plan, the implementing approved retention schedules, and allocating appropriate resources. A government-wide *RIM Strategy and Three-Year Plan* has been developed to guide departments’ implementation of these components. The *Recorded Information Management (RIM) Assessment 2017-2018* report provides an assessment of progress under the *RIM Strategy and Three-Year Plan*. It examines the activities of the departments, identifies their level of overall compliance, and provides recommendations for improvement.

Methodology

RIM Assessments for the 2017-2018 fiscal year were completed by all departments in June 2018. These assessments were completed by the Departmental RIM Coordinators in consultation with their Senior Records Managers (SRMs) and other key department staff. The assessment template was revised and streamlined from last year’s to increase the ease of completion while still focusing on the components which comprise an effective RIM program. The RIM Assessment is designed to review departments’ progress toward meeting the above mentioned RIM obligations, and to rate overall RIM compliance. Each of the eleven sections in the assessment (with a possible total score of 33) are designed to specifically review compliance with parts of Section 5 in the Treasury Board Policy and Procedures Manual. (See Appendix 2 for a RIM Assessment sample)

The present review is based on 19 RIM assessments.

¹ “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.

Summary of Results

RIM STRATEGY AND THREE-YEAR PLAN – PROGRESS TO DATE

The 2017-2018 fiscal year was the first full year for the implementation of the government-wide *RIM Strategy and Three-Year Plan*. Its goal is to increase the level of RIM compliance in government departments. As a result, most of the efforts in departments were focused on meeting the goals of the Strategy. These efforts are reflected in the RIM Assessments and the many RIM achievements accomplished throughout the year. (See Appendix 3)

Action area #1: Legislation, Policy and Procedures – Existing legislation, policies, and procedures will be reviewed to ensure they are relevant, practical, and enforceable.

During the 2017-2018 fiscal year, the *Archives and Records Act* was reviewed and amendments passed in the Spring 2017 sitting of the Legislature. Changes included: clarification of definitions; with the support of the Public Records Committee, Provincial Archivist may issue directives; annual reporting to the Minister and the Legislature; and the inclusion of an offense provision. A review of the “Records Information Management (RIM)” sections of the *Treasury Board Policy and Procedures Manual* has been undertaken and revisions are in progress. An *Unsolicited Personal Information policy* is under development and is expected to be approved in the fall of 2018. Other topics identified for policy development include Final Disposition and the Use of Email Accounts.

Action area #2: Staff resources – Full time staff positions will be hired to facilitate departmental records management compliance.

In the 2017-2018 fiscal year, government created positions for and hired one Records Analyst and nine Departmental RIM Coordinators. The Records Analyst is responsible for assisting in the development and implementation of retention and disposition schedules. A new RIM structure has been adopted across government whereby the Departmental RIM Coordinators have a reporting matrix with the Senior Records Managers and the Provincial Archivist. The Departmental RIM Coordinators are responsible for coordinating the daily RIM activities of their respective departments.

Action area #3: Education / Training – All government staff will be required to have records management training to ensure compliance.

Fourteen Departmental RIM coordinators and one Records Analyst have completed four of the six modules of the *Fundamentals of RIM* certificate program from the New Brunswick Community College. Thirty-two sessions of the in-class RIM Basics 101 course have been held, attended by 716 employees; the online RIM Basics 101 course was developed and made available in both French and English in late March 2018.

Action area #4: Records Storage – Capacity will be added to provide safe and secure storage for government records, both paper and electronic.

A secondary Provincial Records Centre facility was opened in October 2017 to accommodate the semi-active records of government. Information Technology Shared Services (ITSS) has increased the amount of server space available to accommodate electronic documents, the demand for which increases at a rate of 50% annually. IT staff have been hired, the pilot group for Alfresco has been selected, and the system software and hardware have been updated to assess Alfresco as the possible Electronic Document Management System (EDMS) for government. Training for Alfresco is expected to begin in early fall 2018 for pilot participants. In preparation for the move to an EDMS system, some employees have begun restructuring current shared drives to reflect existing retention schedules. “Electronic Document Naming Conventions” guidelines have been created and distributed to facilitate this transition.

Action area #5: Compliance Assessment – A compliance and monitoring system will be adopted to ensure departments gain and continue compliance with legislation, policy and procedures.

Departmental Recorded Information Management (RIM) Assessments were conducted in December 2016. The resulting 2016-2017 *Recorded Information Management (RIM) Assessment Report* was tabled in the Legislature by the Minister of Education, Early Learning and Culture in October 2017. The 2017-2018 RIM Assessments have been completed by all departments and this final report will be tabled in the Legislature in the fall of 2018.

DEPARTMENTAL ASSESSMENTS

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

RIM Strategic/Implementation Plans, Policies, Procedures (Appendix 1a)

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 RIM into the daily operations of the department. While departments are participating in the government-wide *RIM Strategy and Three-Year Plan*, they do not currently have formal plans which are specific to their department. A strategic plan template is being developed for use by all departments and eight of the departments have begun to map out a plan specific to their needs. Senior Records Managers, Departmental RIM Coordinators, and the Provincial Archivist participated in priority planning sessions to determine RIM activities for the upcoming 2018-2019 fiscal year.

Section 5 - "Records Information Management (RIM)" of the *Treasury Board Policy and Procedures Manual* provides a high-level RIM policy for use by all departments. Two of the departments consider this to be their RIM Policy while one other department has created a RIM policy specific to its needs. Five departments are in the process of creating their own policies. As part of a global project, all departments have begun compiling RIM policy and procedures binders for use by all staff. These binders are expected to be completed early in the new fiscal year.

Electronic records management is a concern for all departments. Sixteen departments have made progress in developing plans for the how they might use an EDMS, including email, and are taking steps to prepare records for when an Electronic Document Management System (EDMS) is adopted.

RIM staff and training (Appendices 1b, 1c, and 1d)

Over the past year, government has committed considerable resources to RIM staffing levels and training. During the 2017-2018 fiscal year, one Records Analyst and nine Departmental RIM Coordinator positions were created and filled. These new staff, along with five of the existing RIM Coordinators, completed four of the six modules of the *Fundamentals of RIM* certificate program from the New Brunswick Community College. These staff also participated in various training activities such as RIM Basics 101, Retention Schedule Development Training, Collaborative Strategies for Resolving Conflict for Employees, Introduction to the Archives, Back Care Training, and Freedom of Information and Privacy Protection.

The Public Archives and Records Office (PARO) developed a RIM Basics 101 course, available in class and online, which is mandatory for all government employees. Despite the course only being available for part of the fiscal year, Treasury Board Secretariat reports that 92.3 % of its staff have completed the course. The Public Service Commission is not far behind at 87 %. Rural and Regional Development as well as Health and Wellness have also made great strides at 73% and 63.4 % respectively. Due to the

limited number of staff that can attend an in-class training session at one time, many sessions had considerable waiting lists. This issue will in part be addressed by the availability of the course online in both French and English as well as an increase in the number of in-class sessions which will be offered in the 2018-2019 fiscal year.

File classification plans and retention schedules (Appendix 1e)

The majority of departments across government have adopted and implemented at least part of the Classification Plan and Retention Schedules (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 common administrative records in a legal and timely fashion. Nine of the departments have fully adopted the CPRS while 13 use portions of it for their administrative records.

In addition to administrative records, all government departments create operational records which are specific to the functions of their departments. Ideally each department will create an Operational File Plan which outlines what records the department creates and what operational records retention and disposition schedules are required. 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 have fewer retention schedules.

Currently, only two departments have a completed Operational File Plan. The Departments of Agriculture and Fisheries (AGR) and Rural and Regional Development (RRD) share a unique records management database which allows them to track the creation and maintenance of all their records, thus providing them an accurate view of their operational records. As a result, they have retention schedules for the vast majority of their records and immediately know when a new retention schedule must be created. Other departments would greatly benefit from a similar system. Most departments have operational plans in progress and are actively creating retention schedules to meet their needs.

Inventory of holdings (Appendix 1f)

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. Departments undertake two types of inventories: a locations inventory which is an inventory of the physical location of records housed in all department worksites (ie. central filing rooms, filing cabinets, desk drawers, storage rooms, etc.) and a detailed file inventory which records the name and specific location of every individual file (i.e lists of the names of all files located in a box or filing cabinet). With the hiring of the new Departmental RIM Coordinators during the 2017-2018 fiscal year, all

departments were able to undertake a records location inventory which required the RIM staff to visit all department locations and make record of the physical location of all records. This locations inventory is the first step in attempting to create a comprehensive Operational File Plan. Due to special RIM projects which were a priority and changes in staffing, all but three of the departments completed the locations inventory during the 2017-2018 fiscal year. It is expected that these remaining three will be completed in 2018-2019.

At present, only the AGR and RRD have complete detailed file inventories due to the efficiencies of their RIM database. Because of the amount of time required to undertake a comprehensive detailed file inventory across an entire department, departments will complete these inventories on a section by section basis as new records retention and disposition schedules are created or when existing schedules are reviewed.

Records location information (Appendices 1g)

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 two Provincial Records Centres. Included in these storage areas are paper records as well as photographs, videos, audio recordings, architectural plans, and maps. As part of the information gathered in the Records Locations Inventory, a few departments identified records which were at risk and, with some assistance from Transportation, Infrastructure, and Energy (TIE) staff, implemented plans to deal with the issues.

While the PARO assists departments in maintaining their hardcopy records, ITSS assists departments to store their electronic records. As previously mentioned, departments are taking steps to maintain their electronic records, and government is moving towards the piloting of an EDMS.

Overall compliance (Appendices 1h and 1i)

Examination of the five above-mentioned RIM program areas demonstrate the over-all compliance of the various departments. AGR and RRD demonstrate the highest levels of compliance each at 81.8%. These departments have devoted substantial resources to RIM, including having full-time RIM staff for approximately 20 years. The remaining departments range from 54.5 % to 75.8 % compliance. Those departments with lower compliance scores did not have full-time dedicated RIM staff until part way through the 2017-2018 fiscal year. In the case of the Public Schools Branch, it was not included as a public body under the *Archives and Records Act* until 2015, 25 years after RIM was introduced to other public bodies. All departments can be expected to make improvements in the 2018-2019 fiscal year now that staffing levels have increased, and government staff are becoming increasingly aware of their RIM responsibilities through proper training.

Progress on Recommendations 2017-2018

Although it is difficult to make comparisons to previous assessments because of changes in department structure and changes to the format of the assessment itself, there is evidence of improvement as indicated by departments' efforts to address the recommendations in the 2016-2017 RIM Assessment.

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.

2017-2018 progress: During the 2017-2018 fiscal year, all departments were able to undertake a Records Location Inventory. 16 departments completed the inventory.

Recommendation #2

Senior Records Managers (SRMs) and Records Management Liaison Officers (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.

2017-2018 progress: To complement the work of the existing seven departmental RIM Coordinators, one Records Analyst and nine Departmental RIM Coordinator positions were created and filled.

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.

2017-2018 progress: Fourteen records retention and disposition schedules were approved by the Public Records Committee in 2017-2018. They include schedules for Health PEI, Economic Development, and Education, Early Learning and Culture.

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.

2017-2018 progress: IT staff have been hired and the system software and hardware have been assessed in preparation for piloting Alfresco as the possible Electronic Document Management System (EDMS) for government. Some employees have begun restructuring current shared drives to reflect existing retention schedules. New protocols adopted in July 2016 ensure compliance with records management policies prior to the removal of email accounts.

Recommendations for 2018-2019

Recommendation #1

All departments develop a RIM Action Plan. As previously mentioned, 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 RIM practices into the daily operations of the department. The Department of Family and Human Services is currently creating a *RIM Action Plan* which can be used as a template for all other departments. Although several departments have plans which are in progress, this template would provide consistency across government and would assist departments in prioritizing their RIM needs.

Recommendation #2

Departments investigate the possibility of adopting the AGR/RRD database or creating a new database for tracking all files. The key to the success of the RIM programs in AGR and RRD is the long-time use of their RIM database to track all files created and maintained within their respective departments. All government departments would benefit from implementing a similar system.

Recommendation #3

Departments aim to have their staff complete RIM Basics 101 training by the end of the 2018-2019 fiscal year. All government employees must complete the RIM Basics 101 course in order to have the basic knowledge needed to meet their personal RIM responsibilities. Some departments have made great strides in ensuring that employees have had the opportunity to complete the course. Because the number of staff who can attend the in-class sessions is limited, staff can now complete the course online at a time that is convenient for them.

Recommendation #4

Departments aim to create or review retention and disposition schedules for at least two records systems every year. Records retention and disposition schedules are key to maintaining an effective RIM program. Departments should continue to create new retention schedules for records which are not already scheduled and schedules that already exist should be reviewed in a timely fashion.

APPENDICES

Appendix 1 – Charts

Legend

AGR = Agriculture (Agriculture and Fisheries)

CLE = Communities, Land and Environment

ED = Economic Development

EELC = Education, Early Learning and Culture

EXE = Executive Council and Premier's Office

FHS = Family and Human Services

FIN = Finance

HPEI = Health PEI

HW = Health and Wellness

JPS = Justice and Public Safety

JPSC = Justice and Public Safety – Courts

PSB = Public Schools Branch

PSC = Public Service Commission

RRD = Rural and Regional Development

TBS = Treasury Board Secretariat - Information Technology Shared Services

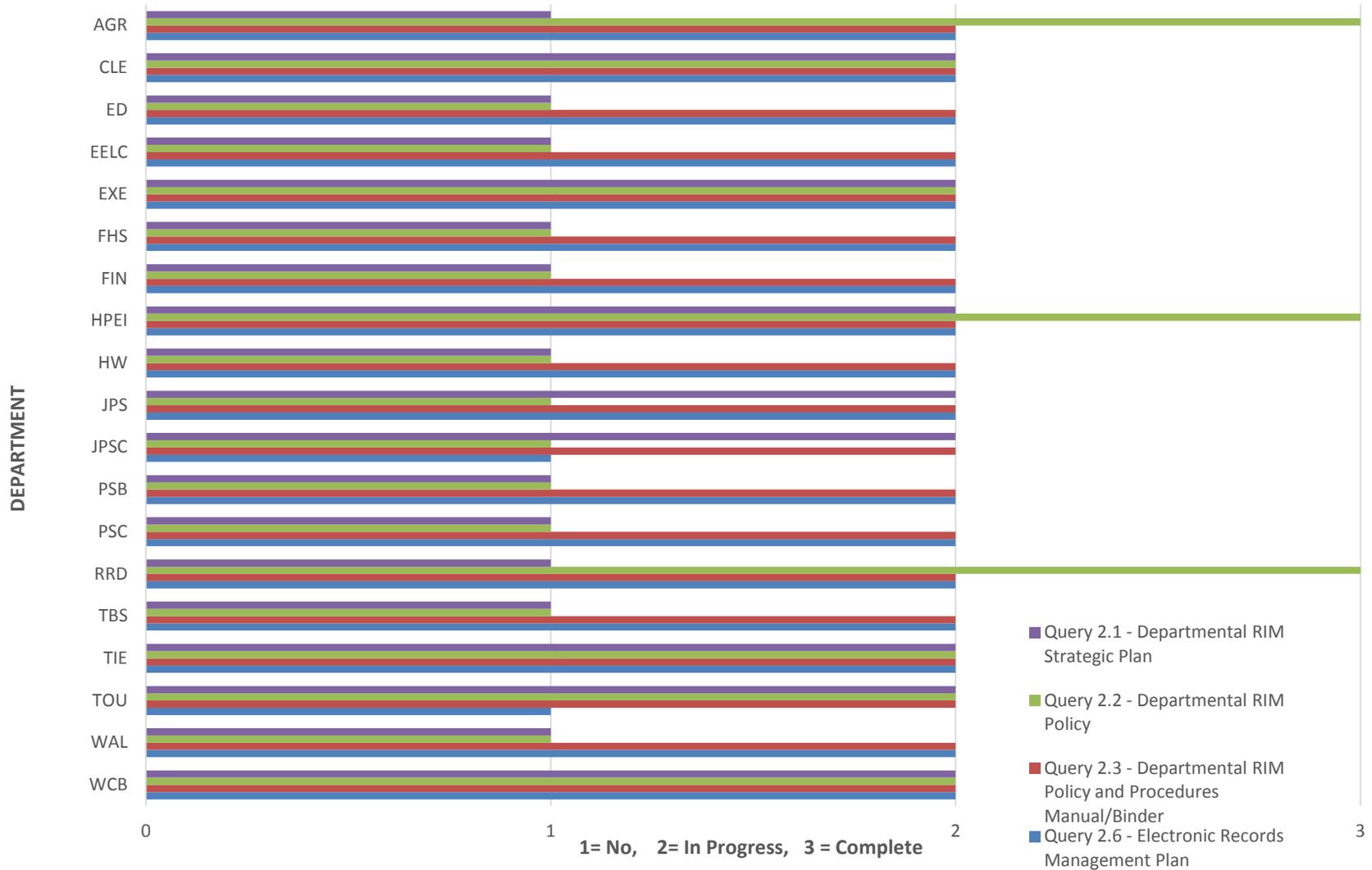
TIE = Transportation, Infrastructure, and Energy

TOU = Tourism (Economic Development and Tourism)

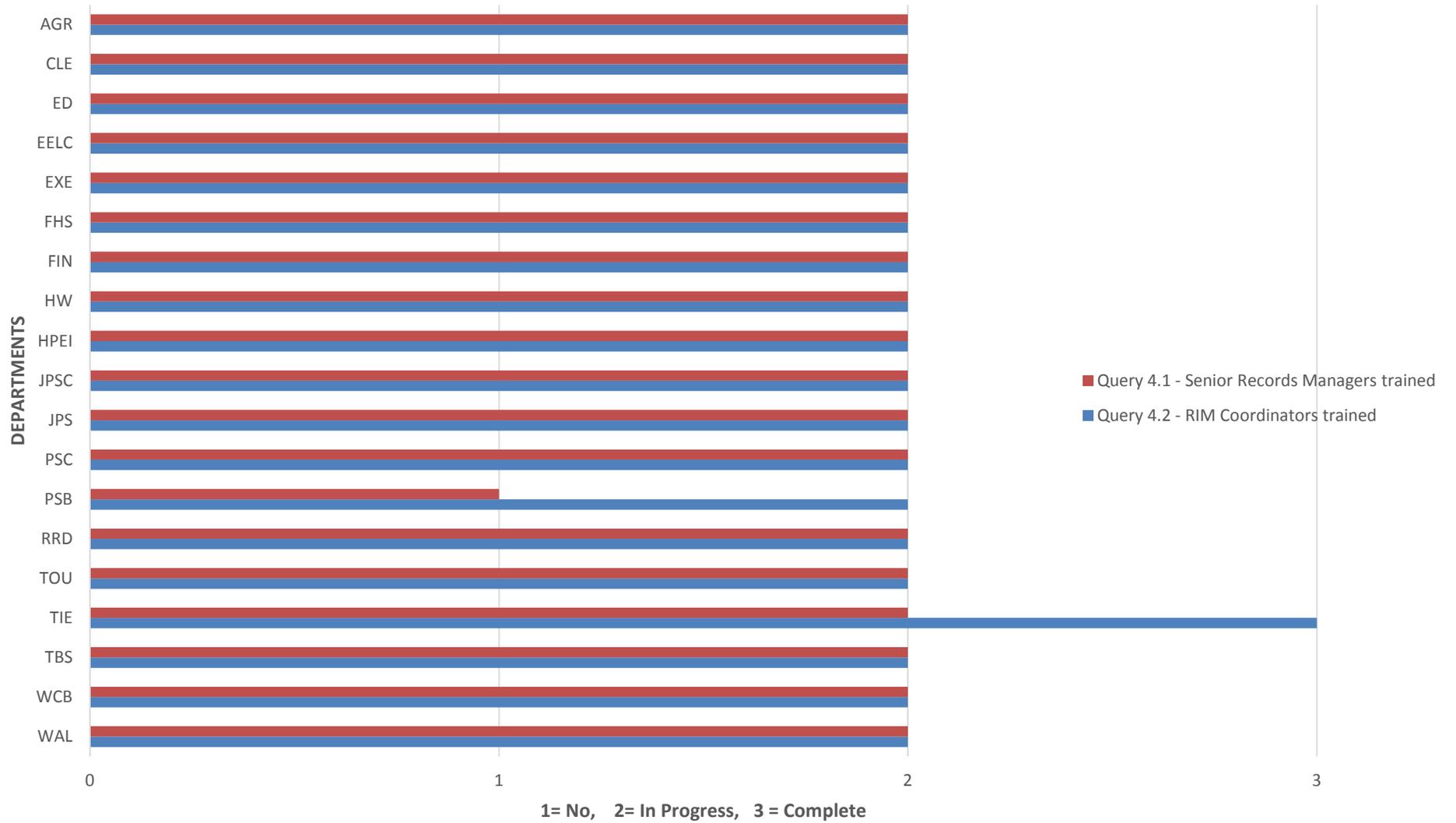
WAL = Workforce and Advanced Learning

WCB = Workers Compensation Board

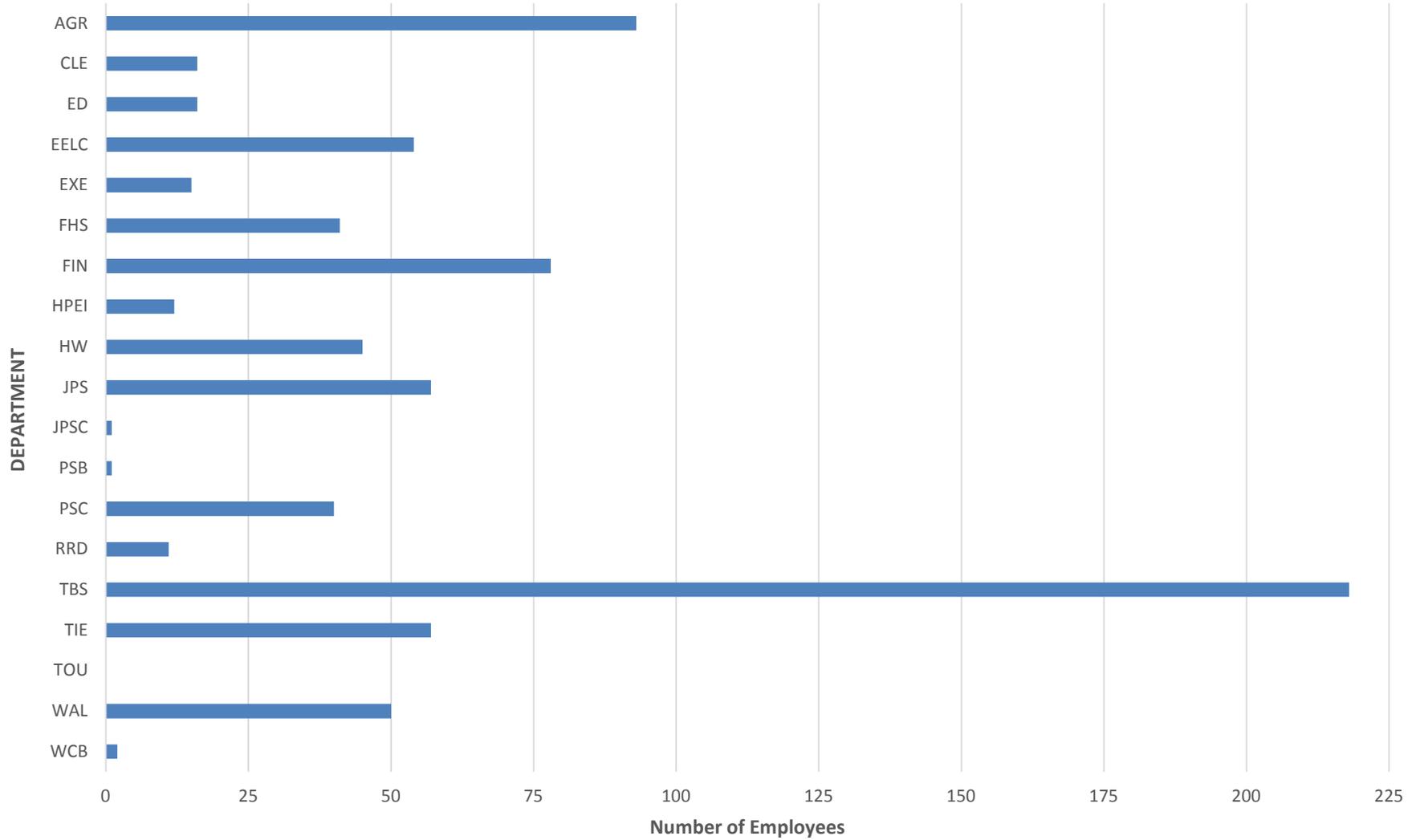
Appendix 1a – RIM Implementation Plan, Policies, and Procedures



Appendix 1b – RIM Training (RIM staff)

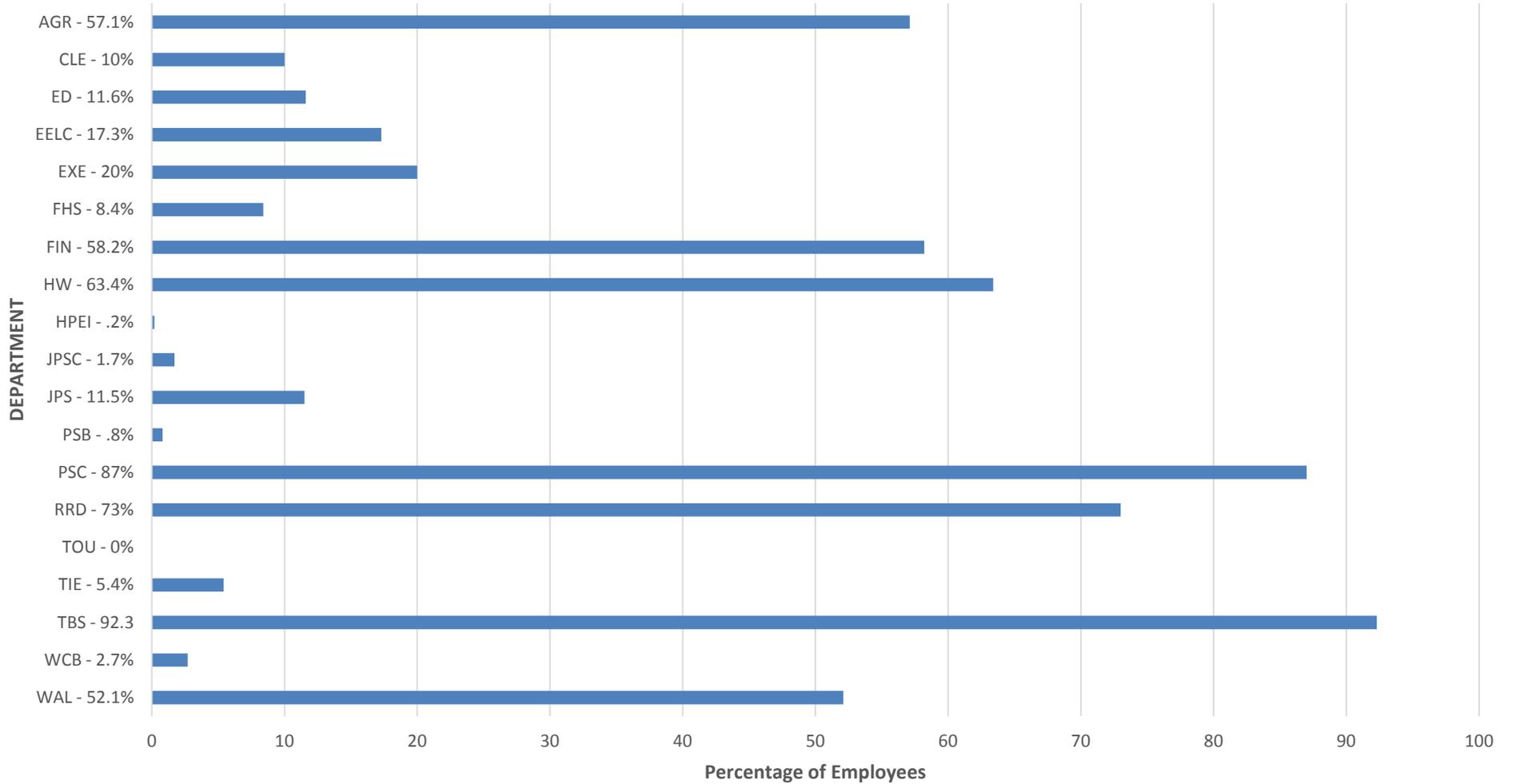


Appendix 1c – RIM Training (Employees)

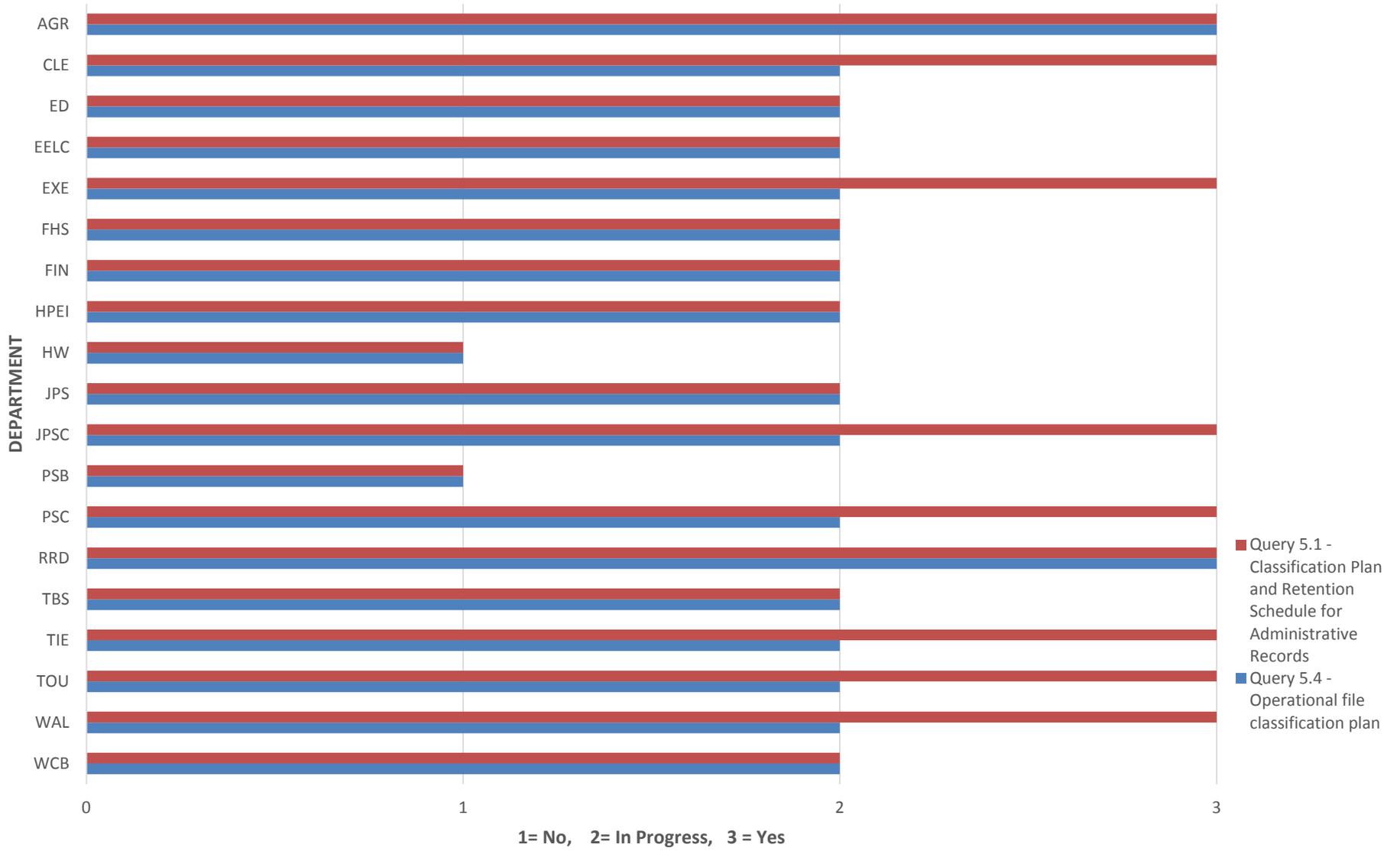


Appendix 1d – RIM Training

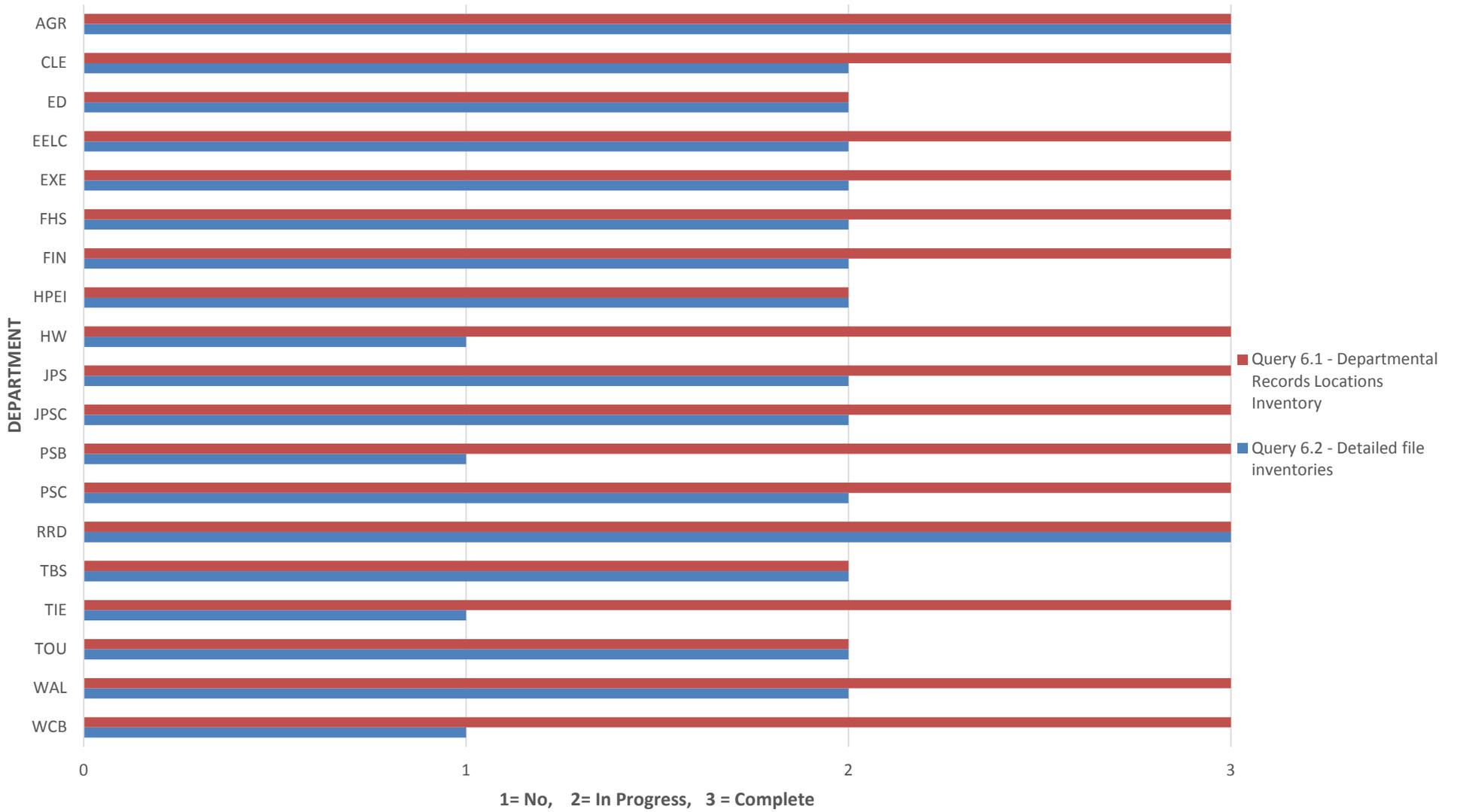
(Percentage of Employees who have completed RIM Basics 101)



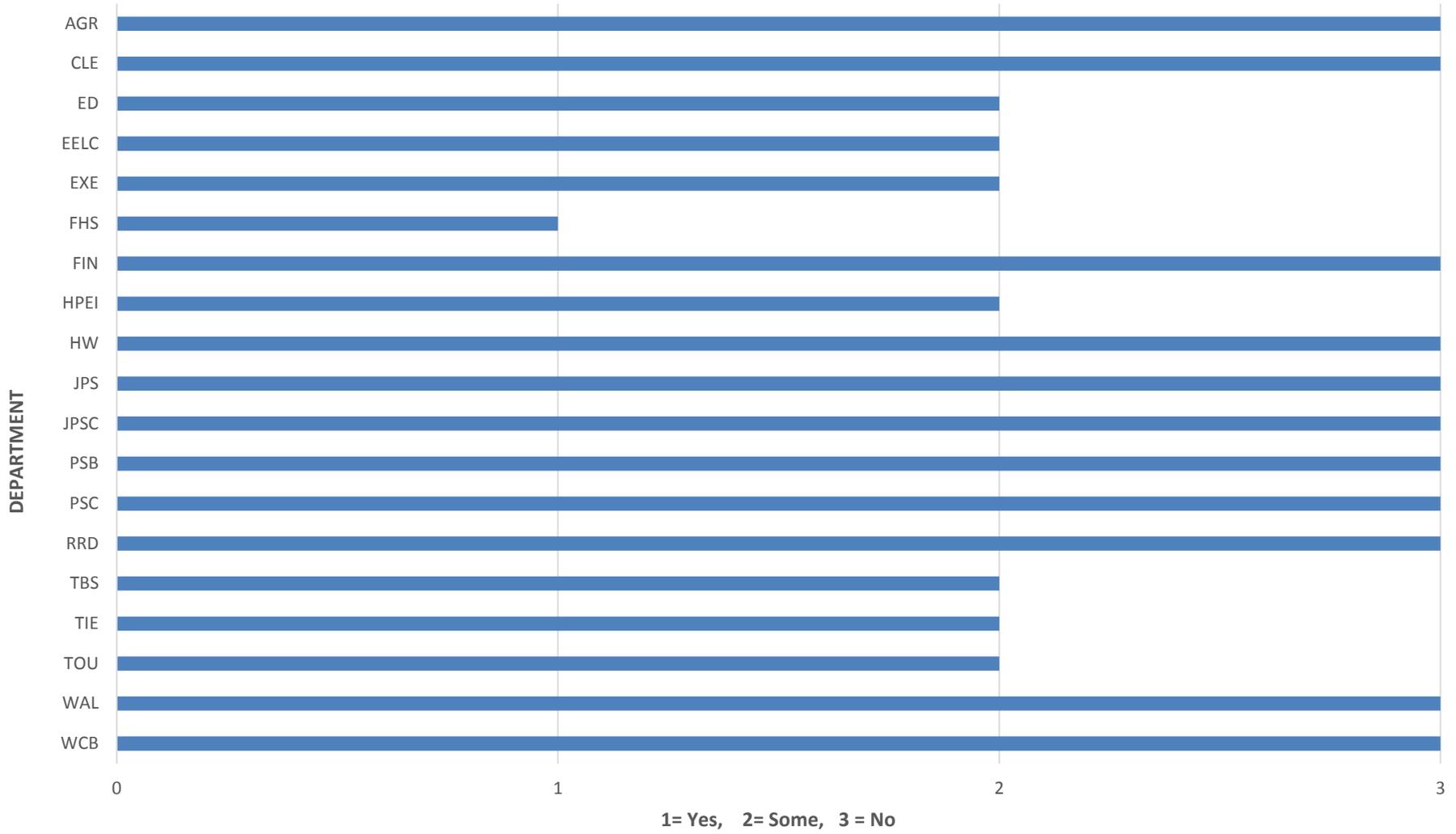
Appendix 1e – File Classification Plan & Retention Schedules



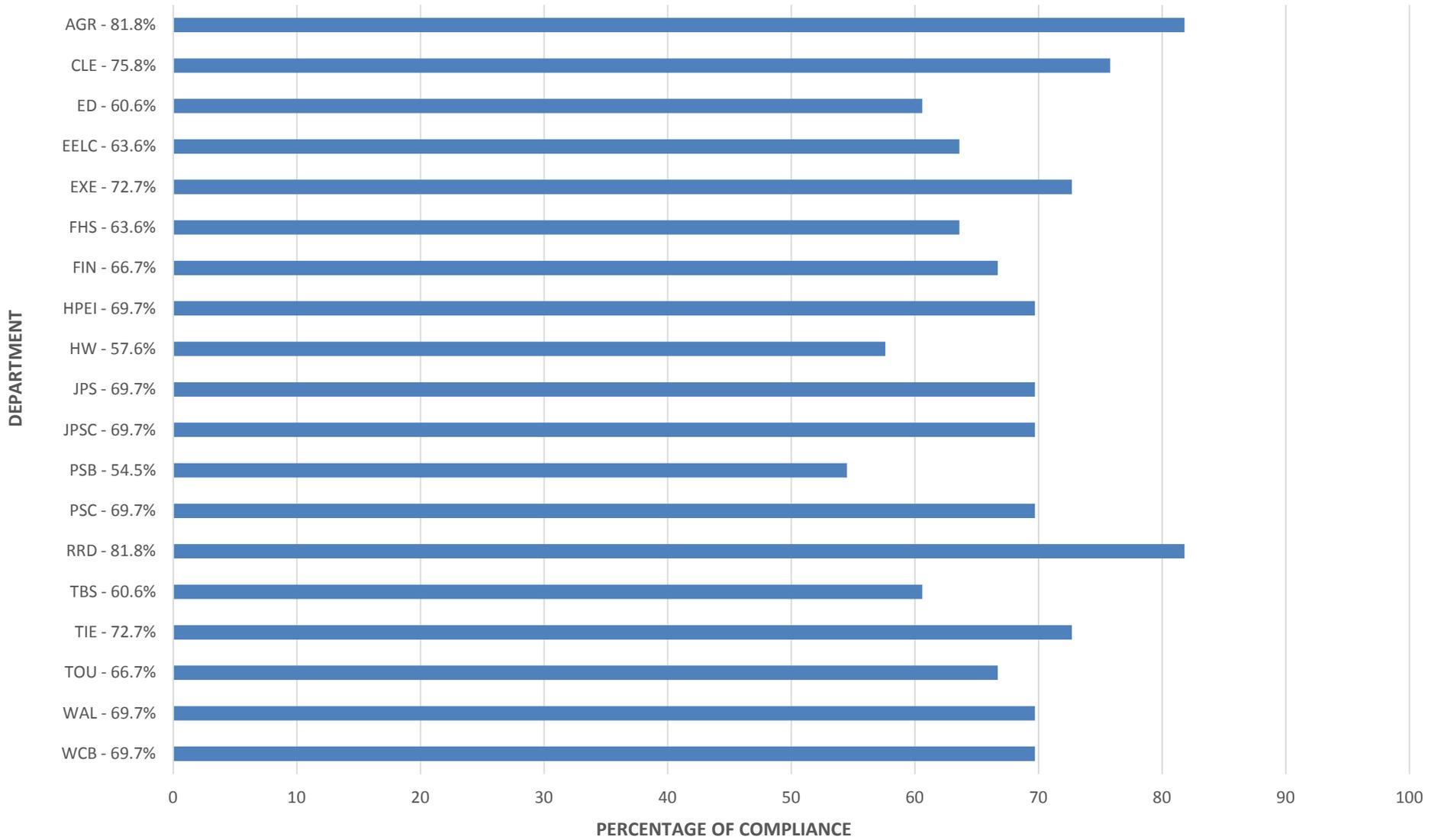
Appendix 1f – Inventory of Records Holdings



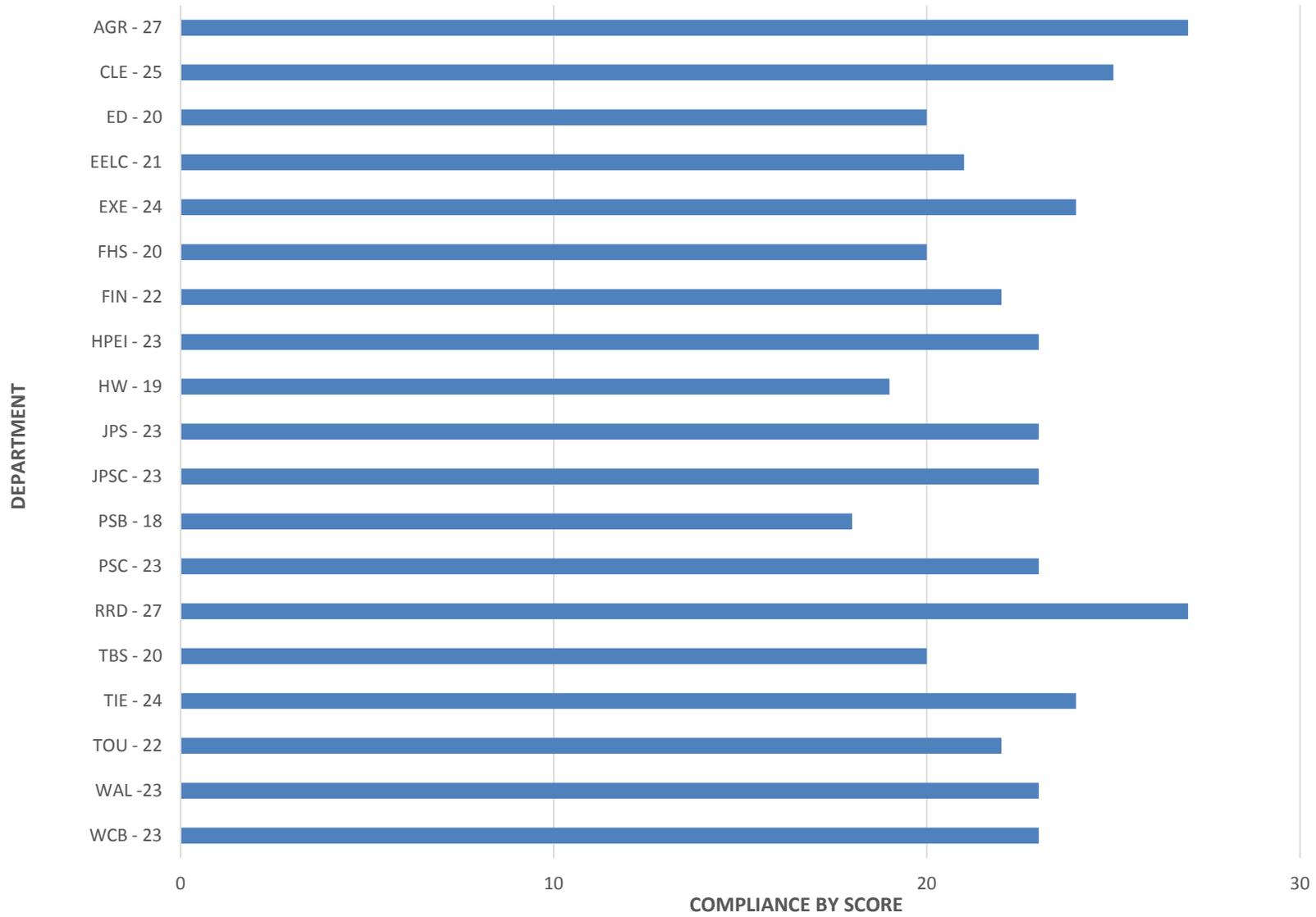
Appendix 1g – Records at Risk



Appendix 1h – Overall Compliance by percentage



Appendix 1i – Overall Compliance by score



Appendix 2

RIM Assessment – 2017-2018

Sample assessment



RIM PROGRAM ASSESSMENT

FOR

(Department/Public Body)

Time period covered by RIM Assessment:	
Date RIM Assessment completed:	
Completed by:	
Departmental RIM Coordinator name:	
Departmental RIM Coordinator signature:	
Senior Records Manager name:	
Senior Records Manager signature:	
Deputy Minister/CEO name:	
Deputy Minister/CEO signature:	
Employees consulted (please list):	

DEPARTMENT OVERVIEW

1.	General Information	Amount/Score
1.1	Number of divisions?	
1.2	Number of sections/functions?	
1.3	Number of employees?	
1.4	Number of work sites?	

2.	Recorded Information Management (RIM) Implementation Plan (1 and 7)	Amount/Score
2.1	Departmental RIM Strategic Plan? Yes = 3, In progress = 2, No = 1	
2.2	Does your department have a RIM Policy that is compliant with the government-wide RIM policy and other records management best practices Yes = 3, In progress = 2, No = 1	
2.3	Departmental RIM Policy and Procedures Manual/Binder? Yes = 3, In progress = 2, No = 1	
2.4	Number of Department specific policies/procedures developed/revised in past year?	
2.5	List of Department policies and procedures:	
2.6	Has a plan for managing electronic records within the department been developed? Yes = 3, In progress = 2, No = 1	

3.	Information Management (RIM) Designates (2)	Amount/Score
3.1	Number of Senior Records Managers?	
3.2	Number of Tobacco Reps?	
3.3	Number of RIM Coordinators?	
3.4	Number of Records Clerks?	
3.5	Number of other staff who have some RIM specific responsibilities?	

4.	RIM Training	Amount/Score
4.1	Have the Senior Records Managers been fully trained? Yes = 3, In progress = 2, No = 1	
4.2	Have the RIM Coordinators been fully trained? Yes = 3, In progress = 2, No = 1	
4.3	Number of RIM presentations made to Department staff?	
4.4	Number of Department employees who have completed RIM Basics 101?	
4.5	Number of Department employees exempt from RIM Basics 101?	

5.	File Classification Plan and Retention Schedules (4 and 5)	Amount/Score
5.1	CPRS is used for Administrative Records? – choose one of the following: Yes =3	
	In progress, an alternate administrative file classification plan in use, or a combination of the CPRS and an alternate system = 2	
	Nothing = 1	
5.2	Number of approved Operational Records Retention Schedules?	
5.3	Percentage of records under Operational Retention Schedules?	
5.4	Operational file classification plan? Yes = 3, In progress = 2, No = 1	
5.5	Number of retention schedules approved in the past year?	

5.6	List of retention schedules approved:	
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6.	Comprehensive inventory of information holdings (3)	Amount/Score
6.1	Departmental Records Locations Inventory completed? Yes = 3, In progress = 2, No = 1	
6.2	Detailed file inventories completed for Department sections? Yes = 3, In progress = 2, No = 1	
6.3	Number of detailed file inventories completed in the past year?	
6.4	Percentage of sections which still require detailed file inventories?	

7.	Records Location Information (6)	Amount/Score
7.1	Number of offices/workstations?	
7.2	Number of central filing rooms?	
7.3	Number of offsite locations?	
7.4	Total number of boxes in storage – In-house/Off-site?	
7.5	Total number of boxes in storage – Records Centre(s)?	
7.6	Are any records at risk? - Yes = 1, Some = 2, No = 3	
	If you have any special media storage requirements, please describe?	

8.	Daily activities	Amount/Score
8.1	Total number of boxes of records sent to Provincial Records Centre?	
8.2	Total number of boxes of records sent to other secure storage facilities?	
8.3	Volume of records legally destroyed?	
	i. Scheduled	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*
	ii. Transitory	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*
	iii. Non-record	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*
8.4	Total volume of boxes of records destroyed?	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*

8.5	Volume of records transferred to the Public Archives	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*

9.	Major projects	Amount/Score
	a. Retention Schedule and Development – list schedules developed in the past year:	
	b. Retention Schedule Implementation – list schedules which were implemented in the past year:	
	c. Special Cleanup Project – list location and scope of project:	
	Number of boxes you started with?	
	Number of boxes re-housed?	

10.	Overall Compliance (8)	Amount/Score
	Yes – 3 x ? =	
	In progress – 2 x ? =	
	No – 1 x ? =	
	Total (out of a possible 33)=	
	Total % =	

Evaluation Score Key

100 - Exceptional: All program elements in place

90-99 - Excellent: Most program elements in place

80-89 - Very Good: Many program elements in place

70-79 - Good: Needs a number of improvements

60-69 - Pass: Needs many improvements

50-59 - Marginal Fail: Needs major improvements; many program elements are undeveloped

40-49 - Fail: Most program elements are undeveloped

0-39 - Very Low Fail: Program largely undeveloped

11.	Comments:	

*Because government is still in the process of implementing an Electronic Document Management System, Departments were not required to answer questions regarding electronic documents.

Division/ Branch or Unit: _____

Location: _____

1.	General Information	Amount/Score
1.2	Number of sections/functions?	
1.3	Number of employees?	
1.4	Number of work sites?	

3.	Information Management (RIM) Designates (2)	Amount/Score
3.3	Number of Records Clerks?	
3.4	Number of other staff who have some RIM specific responsibilities?	

4.	RIM Training	Amount/Score
4.3	Number of RIM presentations made to Department staff?	
4.4	Number of Department employees who have completed RIM Basics 101?	
4.5	Number of Department employees exempt from RIM Basics 101?	

5.	File Classification Plan and Retention Schedules (4 and 5)	Amount/Score
5.1	CPRS is used for Administrative Records? – choose one of the following:	
	Yes =3	
	In progress, an alternate administrative file classification plan in use, or a combination of the CPRS and an alternate system = 2	
	Nothing = 1	
5.1	CPRS is used for Administrative Records? – choose one of the following:	
5.2	Number of approved Operational Records Retention Schedules?	
5.3	Percentage of records under Operational Retention Schedules?	
5.4	Operational file classification plan? Yes = 3, In progress = 2, No = 1	
5.5	Number of retention schedules approved in the past year?	
5.6	List of retention schedules approved:	

6.	Comprehensive inventory of information holdings (3)	Amount/Score
6.2	Detailed file inventories completed for Division sections? Yes = 3, In progress = 2, No = 1	
6.3	Number of detailed file inventories completed in the past year?	
6.4	Percentage of sections which still require detailed file inventories?	

7.	Records Location Information (6)	Amount/Score
7.1	Number of offices/workstations?	
7.2	Number of central filing rooms?	
7.3	Number of offsite locations?	
7.4	Total number of boxes in storage – In-house?	

7.5	Total number of boxes in storage – Records Centre(s)?	
7.6	Are any records at risk? - Yes = 1, Some = 2, No = 3	
	If you have any special media storage requirements, please describe?	

8.	Daily activities	Amount/Score
8.1	Total number of boxes of records sent to Provincial Records Centre?	
8.2	Total number of boxes of records sent to other secure storage facilities?	
8.3	Volume of records legally destroyed?	
	i. Scheduled	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*
	ii. Transitory	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*
	iii. Non-record	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*
8.4	Total volume of records destroyed?	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*
8.5	Volume of records transferred to the Public Archives	
	a. Hardcopy (boxes) – from the Provincial Records Centre(s)	
	b. Hardcopy (boxes) – from in-house	
	c. Electronic (files)	*
	d. Email (single messages)	*

9.	Major projects	Amount/Score
	a. Retention Schedule and Development – list schedules developed in the past year:	
	b. Retention Schedule Implementation – list schedules which were implemented in the past year:	

	c. Special Cleanup Project – list location and scope of project:	
	Number of boxes re-housed?	

11.	Comments:	

*Because government is still in the process of implementing an Electronic Document Management System, Departments were not required to answer questions regarding electronic documents.

Appendix 3

RIM Achievements – 2017-2018

RIM Achievements – 2017-2018 Fiscal Year

Legislation/Policies

1. *Archives and Records Act*

Promotional Materials and Guides/Manuals (3 government-wide, 2 internal, and 1 departmental)

1. 'Using the CPRS' Quick Guide handout (Government-wide)
2. Departing and Transferring Employees Handout (Government-wide)
3. Records Types/Definitions (Government-wide)
4. Shred Boxes Posters and Labels (Internal)
5. Fulfilling a FOIPP Request Guide (Internal)
6. RIM Toolkit (Departmental - Health PEI)

Records Systems (14 Retention Schedules)

1. *2014-HealthPEI-01 (Section 6): Public Health* - Health PEI (3 retention schedules)
2. *2014-HealthPEI-01 (Section 3): Hospital Services* - Health PEI (2 retention schedules)
3. *2014-IAL-FINANCE-01: Finance PEI* - Economic Development and Tourism (2 retention schedules)
4. *2005-DEV-FTC-01: BioFoodTech* - Economic Development and Tourism (1 retention schedule)
5. *EC376/92: CPRS - Cheque Pro (Finance Department Use Only)* - Education, Early Learning and Culture - Public Archives and Records Office (1 retention schedule)
6. *2017-EDT-PNP-01: Provincial Nominee Program* - Economic Development and Tourism (4 retention schedules)
7. *2011-Tourism-01 (Libraries): Library Services* - Education, Early Learning and Culture (1 retention schedule)

Forms and Templates (7 internal forms/templates created)

1. Records System Cover Page and Template (Internal)
2. PRC Submission Form - Revision (Internal)
3. Administrative Sketch Template (Internal)
4. Records Locations Inventory Form (Internal)
5. Work Plan Template (Internal)
6. Records Locations Inventory Spreadsheet Template (Internal)
7. RIM Presentations Template (Internal)

Presentations and Training – Created/Presented (9 in total)

Government-Wide (2)

1. RIM Basics 101 – 32 sessions, 716 participants (In-Person Classes)
2. Work began on the online RIM Basics 101 modules in English and French

Departmental (6)

3. Introduction to RIM for Staff Meetings (Family and Human Services)
4. Electronic Filing Presentation (Family and Human Services)
5. Senior Management Work Plan Presentation (Communities, Land and Environment)
6. Agriculture Policy Section Presentation on Archives and Records Management (Provincial Archivist)
7. *Archives and Records Act* Presentation to Internal Lawyers (Provincial Archivist)
8. Exiting/New Employee Training – as needed (All RIM Coordinators)

PARO – Internal (1)

9. Orientation and RIM training program for Departmental RIM Coordinators/Records Analyst
10. Retention Schedule Development Training for Departmental RIM Coordinators

Presentations and Training – Received (8 in total)

1. RIM Basics 101 (RIM Coordinators/Records Analyst)
2. New Brunswick Community College – RIM Fundamentals Online Courses – 5/6 modules completed (RIM Coordinators/Records Analyst)
3. Retention Schedule Development Training (RIM Coordinators)
4. Collaborative Strategies for Resolving Conflict for Employees (RIM Coordinators, Records Analyst, Provincial Archivist)
5. Introduction to the Archives Presentation (RIM Staff)
6. Back Care Training from Workers Compensation Board (RIM and Archives Staff)
7. Gender Based Analysis, Online Course (Some of PARO's staff)
8. Presentation from Information and Privacy Commissioner Karen Rose (RIM staff)

Projects (24 in total)**All Public Bodies (2)**

1. Records Locations Inventories (All Public Bodies)
2. Departmental Sketches (All Public Bodies)
3. RIM Priorities Planning Meetings - winter 2017 and the 2017-2018 fiscal years (15 Public Bodies)

Clean Ups (19)

1. Office Wide Clean Up – 2 work sites (Workers Compensation Board)
2. Personnel File Clean Up Project (Workers Compensation Board)
3. Flood Clean Up – 50 boxes removed – November 2017 to June 2018 (Family and Human Services)
4. "Records at risk" Clean Up/Re-Housing – 150 boxes to Records Centre – 178 pending shipment (Health PEI)
5. Contaminated Building Clean Up/Re-Housing – 417 boxes transferred (Health PEI)
6. Storage Area Clean Up Project – 36% of storage area contents to be transferred for semi-active storage or final disposition (Justice and Public Safety)
7. File Reorganization Project (Justice and Public Safety)
8. 4 Clean Up Projects (Communities, Land and Environment)
9. 4 Clean Up Projects (Courts)
10. Clean Up Project – Water Damage (Finance)
11. Storage Area Clean Up – 460 boxes inventoried – 46 boxes transferred to Records Centre (Economic Development and Tourism)
12. Special Project – 100,000+ records, full inventory and database updates, 1200 records integrated into storage area (Economic Development and Tourism)

Other (3)

1. Summerside Records Centre set up (752 bays installed; 1041 shipments received; 3238 boxes moved from Charlottetown to Summerside)
2. Creation of File Inventory Database/Spreadsheet for 5000+ files (Communities, Land and Environment)
3. Central Filing System created (Courts)

Staffing - new

1 FTE Records Analyst

9 FTE Departmental RIM Coordinators (PARO – 8; WCB – 1)