One Box at a Time:

Recorded Information Management (RIM) Strategy and Three-Year Plan 2.0

2021 - 2024

Prepared by

Public Archives and Records Office

Background

Under the mandate of the *Archives and Records Act*, the Province of Prince Edward Island is bound to ensure records created and kept by government offices are managed effectively and disposed of responsibly. Since the implementation of the Recorded Information Management (RIM) Strategy and Three-Year Plan in 2017, government has made great progress during the past three years in increasing the level of compliance with the records management responsibilities outlined in the *Archives and Records Act*. As part of the strategy, government created and reviewed existing legislation, policies, and procedures, hired full-time records management staff, developed mandatory records management training, increased storage capacity for non-electronic and electronic government records, and developed a compliance monitoring system. To build on past success, government is implementing the new *Recorded Information Management (RIM) Strategy and Three-Year Plan 2.0* to continue to modernize government's records management practices.

Goal

The goal of the *Recorded Information Management (RIM) Strategy and Three-Year Plan 2.0* is to build on the success of the original strategy in order to continue to increase the level of RIM compliance in government departments, agencies, and commissions and to ensure that the records of government are maintained and preserved.

Strategy

Government will implement the following:

1. **Existing legislation, polices, and procedures will be reviewed to ensure they are relevant, practical, and enforceable and any necessary new policies will be created**;
2. **New staff positions will be hired to develop and implement records retention and disposition schedules targets and to implement the Electronic Document and Records Management System (EDRMS) in the new strategy;**
3. **Retention and disposition schedules will be created/revised, approved, and implemented in all sections within government;**
4. **Government staff will be required to have records management training to ensure compliance**;
5. **Capacity will be added to provide safe and secure storage for government records, both paper and electronic**;
6. **An Electronic Document and Records Management System (EDRMS) will be adopted and implemented;**
7. **Government records management policies and procedures will be introduced to affiliated public bodies.**

1. **Existing legislation, polices, and procedures will be reviewed to ensure they are relevant, practical, and enforceable and any necessary new policies will be created.**

In 2017, the *Archives and Records Act* was reviewed and amendments were passed in the Spring 2017 sitting of the Legislature.

Although 46 new records management policies, procedures, guidelines, forms, and templates have been created and adopted since 2017, further policy development is required. A review of the "Records Information Management (RIM)" sections of the Treasury Board Policy and Procedures Manual continues and revisions are in progress. Completion of this review and that of other records management policies is dependent on the migration of government to Office 365 and the implementation of an EDRMS. Other needed records management policies include such topics as disaster recovery, texting/instant messaging, email, final disposition, records transfer, and vital records.

2. **Full time staff positions will be hired to develop and implement records retention and disposition schedules and to implement the Electronic Document and Records Management System (EDRMS);**

Since 2017, to meet the goals of the RIM Strategy, government has created positions for and hired one records analyst, 10.7 records coordinators and 1 Records Clerk. These staff, along with the already existing records coordinators, maintain the records management status quo in main line departments. However, further staff are needed to complete the requirements of the new RIM Strategy, specifically to create and implement the records retention and disposition schedules, to assist in the implementation and maintenance of an EDRMS, and to operate the second Provincial Records Centre.

3. **Retention and disposition schedules will be created/revised, approved, and implemented in all sections within government.**

Records retention and disposition schedules are the foundation of an effective records management program. A records retention and disposition schedule is a document that outlines: how long to keep records (i.e. how long the record is active or semi-active); when, or if, to move records into storage (Provincial Records Centres); and what happens to records at the end of their life cycle (i.e. destruction or transfer to the Public Archives). These documents enable Public Bodies to effectively use, maintain, and destroy or archive records according to their legislative, financial, administrative and historical value.

Since 2016, 171 schedules have been created or reviewed and approved by the Public Records Committee. However, 210 sections within government either require new retention schedules or a review of existing schedules. Having approved retention schedules in place is essential to the implementation of EDRMS.

4. **Government staff will be required to have records management training to ensure compliance.**

Government employees must complete the *RIM Basics 101* course, which is available in the classroom or online (offered in both French and English), in order to have the basic knowledge needed to meet their personal records management responsibilities. New employees should complete the course as

part of their orientation while existing employees should make it a priority to complete the course as soon as possible if they have not already done so.

5. **Capacity will be added to provide safe and secure storage for government records, both paper and electronic.**

PARO operates two Provincial Records Centres, one in Charlottetown and one in Slemon Park, for non-electronic records. The records centres provide secure off-site records storage and retrieval services for all government departments and agencies including Health PEl. The Charlottetown facility has been at capacity since 2015. Based on current growth rates, the Slemon Park site, which opened in October 2017, will reach capacity in 2022. Without increasing the capacity at Slemon Park, records may be placed at risk, both in terms of security and preservation, when stored improperly within departments and agencies in basements and attics, closets, rented storage lockers, and in some cases, vaults. Furthermore, the creation and implementation of retention schedules over the three years of this strategy will greatly increase the demand for transfer of records to the Slemon Park site. Solutions include expanding upwards on the existing shelving at Slemon Park, relocating to a larger site in Slemon Park, or establishing a third records centre site which require further staffing.

With regard to electronic records, Information Technology Shared Services (ITSS) continues to increase the server space to accommodate electronic documents, the demand for which increases at a rate of over 60% annually.

6. **An Electronic Document and Records Management System (EDRMS) will be adopted and implemented.**

The implementation of an Electronic Document Management System (EDMS) is becoming standard practice in both government and corporate environments as a component of their records management programs. These systems track the creation, revision, classification, retention, circulation, and final disposition of all connected electronic records created by employees. An EDMS would also allow records to be searched efficiently and secured appropriately so only those with proper clearance have access to a given record. Implementation of an EDMS will take time to be fully integrated and will require new staff to implement and monitor the use of retention schedules within the system.

7. **Government records management policies and procedures will be introduced to affiliated public bodies.**

In addition to core government departments, the *Archives and Records Act* applies to many affiliated public bodies. The head of a public body is not only responsible for the records in the care and custody of the core department but also is ultimately responsible for the records in the care and custody of any of their affiliated public bodies defined as such under the *Archives and Records Act*. While the original strategy focused on core government departments and will continue to build on that work, this new strategy will also begin the process of introducing records management policies and procedures to those affiliated public bodies.

Three-year Development Plan

The strategy will be implemented over the next three years so that government records are managed effectively and disposed of responsibly.

Year 1:

- Review and create required records management legislation, policies, and procedures;
- Hire and train 3 Records Analysts, 2 Records Coordinators, and 1 EDRMS Records Coordinator;
- Create/revise and approve retention schedules for government sections;
- Implement new Classification Plan and Retention Schedule for Administrative Records (CPRS) and new operational schedules to government records, regardless of format;
- Adopt and begin implementation of Electronic Document and Records Management System (EDRMS) to effectively manage electronic government records including email;
- RIM Basics 101 course completed by 75% of government staff (core government and schools).

Year 2:

- Review and make any necessary amendments to the *Archives and Records Act*;
- Hire and train 2 EDRMS Records Coordinators, 4 records clerks and 1 Records Centre clerk;
- Create/revise and approve retention schedules for government sections;
- Continue implementing the new Classification Plan and Retention Schedule for Administrative Records (CPRS) and new operational schedules to government records, regardless of format;
- Continue implementation of Electronic Document and Records Management System (EDRMS) to effectively manage electronic government records including email;
- RIM Basics 101 course completed by 85% of government staff (core government, schools, and Health PEI);
- Construct addition to the Slemon Park Records Centre or establish a new larger records centre to accommodate the semi-active records of public bodies.

Year 3:

- Completion of creation of required new schedules or revision of existing schedules outstanding government sections;
- Continue implementing the new Classification Plan and Retention Schedule for Administrative Records (CPRS) and new operational schedules to government records, regardless of format;
- Continue implementation of Electronic Document and Records Management System (EDRMS) to effectively manage electronic government records including email;
- RIM Basics 101 course completed by 95% of government staff (core government, schools, and Health PEI);
- Introduce government records management policies and procedures to affiliated public bodies.

RIM Staff and duties

Records Analysts – Level 16 (3 new, 1 existing)

- Supervises pod of 5-6 RIM staff–related staff
- Supports the Records Coordinators in developing records retention & disposition schedules for all records and media types
- Advises the Records Coordinators in researching relevant statutes and analyzing information for proper retention
- Oversees periodic review of retention schedules
- Develops records retention & disposition schedules for all records and media types
- Provides administrative support for Public Records Committee

EDRMS Records Coordinators – Level 15 (3 new)

- Responsible for overseeing the EDRMS
- Input and maintenance of retention schedules
- Input and monitoring of final disposition
- Assists in the creation of final disposition policy and procedures for EDRMS
- Sets up folder structures in accordance with retention schedules
- Trains staff
- Provides guidance in the clean-up of shared drives, personal drives, and emails

Records Coordinators – Level 13 (2 new, 14.5 existing)

- Liaises with Government RIM Coordinator and Government Records Archivist
- Communicates and trains staff in departmental RIM policy and procedures
- Signs off records for transfer to storage
- Develops a uniform file classification system
- Tracks all active and inactive records
- Develops records retention and disposition schedules for all records and media types
- Ensures long-term accessibility of records regardless of format, including electronic records
- Researches relevant statutes and analyzes information for proper retention
- Develops RIM Policy and Procedures Manual for department
- Assists in the implementation of an EDMS
- Guides Records Clerks in implementing retention schedules
- Liaises with records staff of affiliated public bodies

Records Clerks – Level 8 (4 new)

- Implements retention schedules under guidance of the Records Coordinators
- Undertakes records clean-up projects
- Conducts and maintains a records inventory of all departmental records
- Creates and labels files for department records
- Prepares paperwork for records transfers

Records Centre Clerks – Level 9 (1 new, 1 existing)

- Assists the Government RIM Coordinator in maintaining the two Provincial Records Centre Sites
- File retrieval and return
- Receiving and accessioning boxes of records
- Provides first point of contact for Records Centre Services
- Prepares and verifies file recall lists
- Prepares and distributes Final Disposition Notices