
SECTION 5

RECORDED INFORMATION MANAGEMENT

5.03 CORE PROGRAM ELEMENTS

AUTHORITY:

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ADMINISTRATION:

DEPARTMENT OF EDUCATION
PUBLIC ARCHIVES AND RECORDS OFFICE

5.03 CORE PROGRAM ELEMENTS

The elements which a department must have in place in order to operate a basic recorded information management program and satisfy the requirements of the Public Archives and Records Office (PARO) of Prince Edward Island are as follows:

- (1) **Recorded Information Management Implementation Plan**
- (2) **Recorded Information Management Designates**
- (3) **An Up-to-Date Inventory of All Records Held by the Department**
- (4) **A File Classification Plan**
- (5) **Records Retention and Disposition Schedules for All Records**
- (6) **Filing Centres**
- (7) **Departmental Recorded Information Management Policies and Procedures Manual**

(1) **RECORDED INFORMATION MANAGEMENT IMPLEMENTATION PLAN**

Plans serve as the foundation for all departmental achievements. Departments are requested to consult with the PARO to initiate a recorded information management implementation plan. This plan will outline the goals and objectives of the department in its endeavour to incorporate recorded information management into the daily operations of the department. Each department should outline a strategy on how it plans to reach this goal.

Standards:

- (a) All plans should include ways to accomplish the objective, a timetable for the planned action, and a cost projection, if feasible.
- (b) The implementation plan shall be reviewed periodically for revision or amendments.

(2) RECORDED INFORMATION MANAGEMENT DESIGNATES

Departments of the Prince Edward Island Government are requested to designate staff to be responsible for the department's Recorded Information Management Program and to serve as a primary contact with the PARO.

Designates have been identified at two levels:

Management Level (Accountability)

This management level designate has overall accountability for the department's records.

It is suggested that Departments consider the positions of Coordinator, Management Information Systems or Director, Finance and Administration as the appropriate level for this designate.

Activity Level (Responsibility)

This level designate is responsible for the implementation, maintenance, and administration of the department's recorded information management program.

It is suggested that departments consider records analysts, central registry supervisors or administrative officers as the appropriate level for this designate.

It is imperative that one person in each department assume responsibility for all recorded information management functions within the department, regardless of type of system (centralized or decentralized) which exists. This person should be designated as the departmental Records Management Liaison Officer (RMLO).

Standards (Activity Level):

- (a) The records management liaison officer's position should be at an officer level.
- (b) Reporting structure (extent of authority):
Recorded information management reporting is to the senior management officer responsible for the unit in which the program is placed.
- (c) The PARO must be notified in writing by the Deputy Minister, of the names of both designates and be kept informed when staff changes to these positions are made.

(3) UP-TO-DATE INVENTORY OF ALL RECORDS HELD BY THE DEPARTMENT

An inventory is commonly the first step in establishing a recorded information management program. An inventory of records is required because it 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.

5.03 Core Program Elements**Standards:**

- (a) All records in all departmental offices, including the regions, must be inventoried.
- (b) The information collected about the records must include all those elements on the "Records Series Inventory" commonly used by the PARO. (Attachment 5.03-I)
- (c) The inventory should be kept current with annual updates.

(4) FILE CLASSIFICATION PLAN

A file classification plan organizes records systematically by subject, allowing for easy retrieval of information; for the establishment of retention schedules by record series; and for the application of these retention schedules on a regular basis.

Standards:

- (a) **Administrative Records:**
All departments should organize and schedule their administrative records according to the plan provided in the **Classification Plan and Retention Schedule for Administrative Records** (CPRS). According to Order-in-Council No. EC376/92, Council ordered "that the retention and disposition schedules approved by the Public Records Committee and issued in the "Classification Plan and Retention Schedules for Administrative Records" dated June 1992 shall be the retention and disposition schedules for the public documents of a department as identified in the classification plan."

Departments with an established system should use the scheduling information, and develop plans to convert their existing file plan in time. When new systems are being established, the CPRS is to be used.
- (b) **Operational Records:**
The provincial block numeric system is recommended for the organization of operational records.
- (c) **Subject Indexing:**
Comprehensive subject indexes should be maintained to provide speedy access to the contents of the files. The index should cover both administrative and operational records and provide cross-references.

(5) RECORDS RETENTION AND DISPOSITION SCHEDULES FOR ALL RECORDS

All record series must be identified and described with 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 (semi-active stage), and what their final disposition should be (destruction or transfer to the Public Archives). Under the authority of the *Archives Act*, the Public Records Committee signs the Records Retention and Disposition Schedule as part of the consultative process. The Schedule comes into effect when approved by the Public Records Committee.

Standards:

- (a) All record series within a department must be scheduled.
- (b) All administrative records are scheduled under the Classification Plan and Retention Schedules for Administrative Records published by the PARO.
- (c) The form "Records Series Inventory" (Attachment 5.03-I) is the standard to be used when scheduling operational records.
- (d) Semi-active records must be transferred to the PARO Centre for storage on a timely basis, according to the Records Retention and Disposition Schedule. The records must be in appropriate-sized boxes (12x15x10H) and each box must be accompanied by a complete "Records Transfer List" (Attachment 5.03-II), which is available from the PARO.
- (e) Departments must complete a "Records Transfer Request" form (Attachment 5.03-III) available from the Public Archives and Records Office when arranging for the scheduled destruction of records directly from the office. This form must be signed by the departmental Records Management Liaison Officer.

(6) FILING CENTRES

Each department should have recognizable filing centres* (whether centralized or decentralized, in head office and in the regions) which are under the control of the departmental Records Management Liaison Officer (directly or indirectly).

*NOTE: Filing centre can hold any single type of records - paper, microforms, maps, plans and drawings, photographs, films, videos, etc.- or any combination of types.

5.03 Core Program Elements**Standards:**

- (a) All records (apart from working files) are to be maintained here rather than in private offices.
- (b) Filing centres must be adequately staffed to allow the provision of sufficient opening hours throughout the day.
- (c) Procedures must be in place to accommodate after-hours use of records.
- (d) Adequate accommodations and modern equipment and supplies must be provided to the filing centre. For example, the current standard file folder is 14-point, kraft, 9 1/2 X 14 3/4".
- (e) Filing centres should be secure areas, with physical barriers in place to prevent general entry.
- (f) Access to information must be controlled by the use of a charge-out system. Access to confidential information must also be restricted.

(7) DEPARTMENTAL RECORDED INFORMATION MANAGEMENT POLICIES AND PROCEDURES MANUAL

Written policies and procedures must be made available to all staff to explain the departmental recorded information management program. These internal policies and procedures should make clear to record office users their responsibilities in regard to recorded information management, and define specific procedural guidelines appropriate to each department. It should also include internal policies and procedures concerning the operation of the filing centre and should be made available for all office staff.

These departmental policies and procedures should take the form of a policy and procedures manual.

Standards:

- (a) Departments must have a departmental recorded information management policy and procedures manual. It should be issued by the Records Management Liaison Officer and endorsed by the Deputy Minister.

Attachment 5.03 - I

RECORDS SERIES INVENTORY

1. Department/Agency			2. Records Custodian/Telephone No.		
3. Records Series Title					
4. Type of Records Series: Administrative _____ Operational _____					
5. Function/Activity that Records Series Documents					
6. Description of Records Series					
7. Arrangement of Records Series					
Alphabetical	Numerical	Chronological	Organizational	Geographical	Subjective
8. Records Media/Format (Check off all that apply)					
Paper	Microform	Electronic Record		Other	
Files Plans Maps Drawings Blueprints Cards	Microfiche Microfilm Other:	Tape Diskette Optical Disk Digital File Other:		Audio Video Photographs Other:	
9. Volume of Records	10. Inclusive Dates		11. Annual Accumulation	12. Portion in Storage	
Cubic Feet	From	To	Cubic Feet/Inches	Yes No	Where: Volume:

Attachment 5.03 - I

13. Rate of Reference to Records Series					
Reference Activity	1-12 Months	1-3 Years	3 -5 Years	5-10 Years	>10 Years
3-Frequent: 2-Occasional: 1-Rare: 0-Never					
What Activity Occurs to Change Rate of Reference:					
14. Location of Records Series					
1. Original/Media Type	2. Copy 2/Media Type	3. Copy 3/Media Type	4. Copy 4/Media Type		
15. Recommended Records Retention & Disposition Schedule					
	In Office	Records Centre Storage	Final Disposition		
Hardcopy					
Electronic Copy					
Microfilm/Security Copy					
Qualifying Factors, if any:					
16. Is this Potentially an Essential Record?	17. Access to Records Restricted?		18. Any Existing Authority:		
19: Additional Information:					
20. Signature of Person preparing Report , Telephone Number and Date:					

Attachment 5.03 - III

RECORDS TRANSFER REQUEST

Public Archives and Records Office of Prince Edward Island

F R O M	Department	Records Custodian	
	Address	Date Requested	
		Phone	
R E C O R D S	Schedule/CPRS No.	No. of Boxes	
	Description		
	Date of Records	Sender	
T O	<input type="checkbox"/> Records Centre <input type="checkbox"/> Public Archives <input type="checkbox"/> Destruction		
	Destruction Authorization: I certify that the accompanying records are approved for destruction as per above mentioned Schedule/CPRS No. or as non record material.		
	Approval (RMLO) only	Received by	Date

White Copy - Public Works

Yellow Copy - Public Archives & Records Office

Pink Copy - Department