Assessment Questions for Record Management

Division: Branch & Program/Unit:

DMO would like to invite each branch to provide information to help plan out the LAN clean-up effectively. Each branch is to fill out the survey questionnaire below which will provide the Records Management Team with the information they need to help your branch with their LAN clean-up project.

This survey will explore your branch's current record management process and any additional support you would like to see to strengthen this process for your unit.

SURVEY QUESTIONNAIRE

Each branch member selected to complete this survey will be a representative of that branch to the Records Management Team to help us understand your records position and current processes for your branch records.

1. **Current RM Processes & Challenges:**
    a. How do you feel about your current relationship with Record Management process?
    b. How user-friendly do you find the LAN?
    c. Are you able to access the required information?
    d. How do you obtain this information now?
    e. How much extra time do you spend searching for the accurate information?
    f. Do you? use a job aid for understanding records management? Do you find it helpful?
    g. What information is missing or difficult to find?
    h. What obstacles are preventing you from getting accurate information?
    i. What are your overall challenges with records management?
    j. Do you think there is another way to make this process more streamlined?
    k. Is there additional feedback regarding to record management and record integrity?

2. **Knowledge and Training for RM Processes:**
    a. How familiar are you and your branch with the ARCS and ORCS classification system?
    b. What training and support on records management currently exists/is provided in your branch?
    c. What types of training and resources would you like to see, that you feel are missing?
    d. What types of supports do you believe are required?

Assessment Questions for Record Management

3. **Records you create:**
    a. Of the records your branch creates, is the format electronic or paper or both?
        i. If paper, please explain why you need to create these in records in a paper format.
    b. Do you have a current naming convention(s) in your branch? Does it work?
    c. Procedure for IM and filing practices
        i. Do you have set practices that your area follows?
        ii. Is your LAN arranged as described in ARCS/ORCS?
    d. Transitory, Working, Final (official), Confidential documents:
        i. Where are they kept?
        ii. How are these records managed? By whom? In what manner?
    e. Transitory documents:
        i. How are these records disposed of? How often?
    f. Working documents:
        i. When do your records change from being working documents to final documents?
        ii. Are they moved to a different space when this happens?
    g. Final (official) & Confidential documents:
        i. Are they updated? By whom? How often? In what manner?
        ii. How are these records disposed of? By whom? In what manner?
    h. Is there a different area you would prefer to store your records (transitory, working, final) from where they are now? Please list for each record type.
        i. Transitory documents
        ii. Working documents
        iii. Final (official) documents
        iv. Confidential documents

4. **Shared Records:**
    a. Do you share your records with the other branches? Yes or no. If yes, see below.
        i. Who do you share your records with?
        ii. When do you share them? At a certain time in a project, or are they specifically requested by a different branch when needed by them?
        iii. What records are they? E.g.: ESS registration and referral forms
        iv. Do you provide a copy of the records or create a shortcut to the original records?
            1. If you provide them with a copy, where do those branches store them?
            2. Do the branches use these records for reference, or do they make changes to the document?
    b. Which branches are you collecting/requesting records from?
        i. When and how do you request these records?

ii. Who do you contact at the other branches to get those records?
iii. Is it always the same person or do you have a specific person for the different types of records?
iv. What type of records are you collecting/requesting?
v. Do you make a copy of the records, or do you make a shortcut to it?
    1. Where are these records you get from other branches stored if you are given a copy?
vi. Describe how you would use these records/the information contained in them.
    1. Do you use the records for reference?
    2. Do you make changes to the records?
    3. What is the purpose of the records in completing your Branch's work?

Thank you for your time. Your feedback is much appreciated. Please contact me if you think of anything else to add or if you need clarification on any of the questions provided at Arielle.AlexanderGordon@gov.bc.ca. Please note that I may contact you if I have any follow-up questions as this is a continuous process. Our next steps will be continuing to gather more information from the rest of the division to improve data quality.

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EMCR Executive Operations Overview

1. Records Management
2. Freedom of Information
3. Correspondence, eApprovals & CLIFF

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Ministry of
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Overview PowerPoint

1. Records Management
2. Freedom of Information
3. Correspondence, eApprovals & CLIFF

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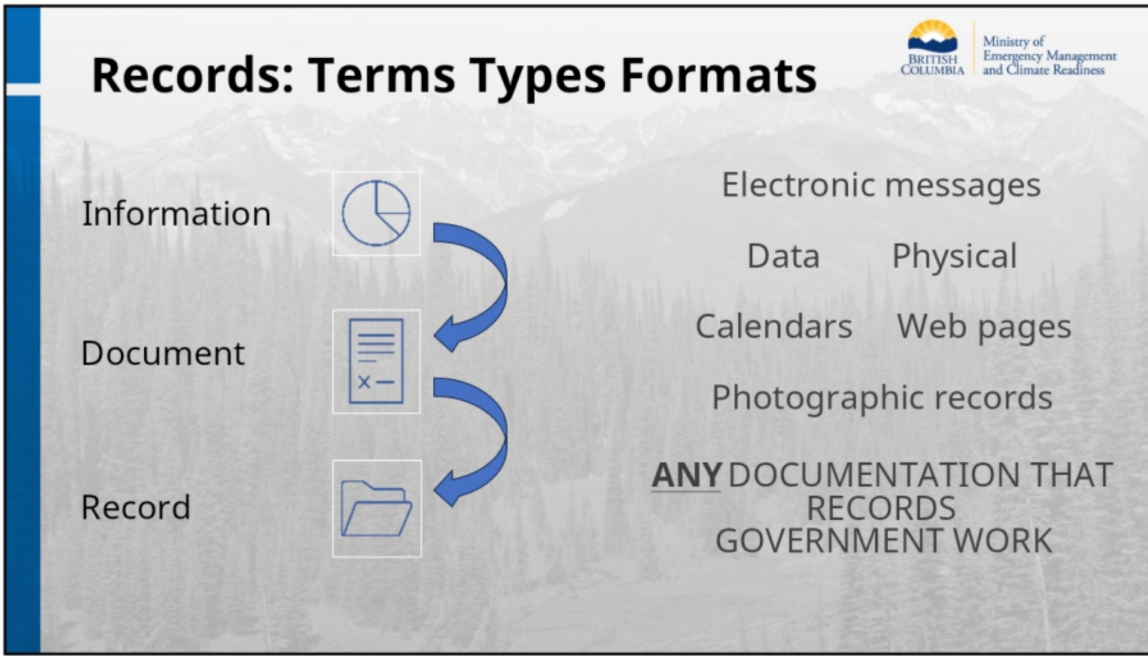
Records management is the way an organization:

- collects, organizes, and uses information
- how it governs, protects, shares and controls it,
- and how it disposes of information through its lifecycle

What is Effective Records Management

- Complete, Reliable, Accurate records with associated metadata
- Find what you need when you need it
- Access and destruction
- Lifecycle

Lifecycle: The lifespan of information from its creation or receipt and use, through to its final disposition.



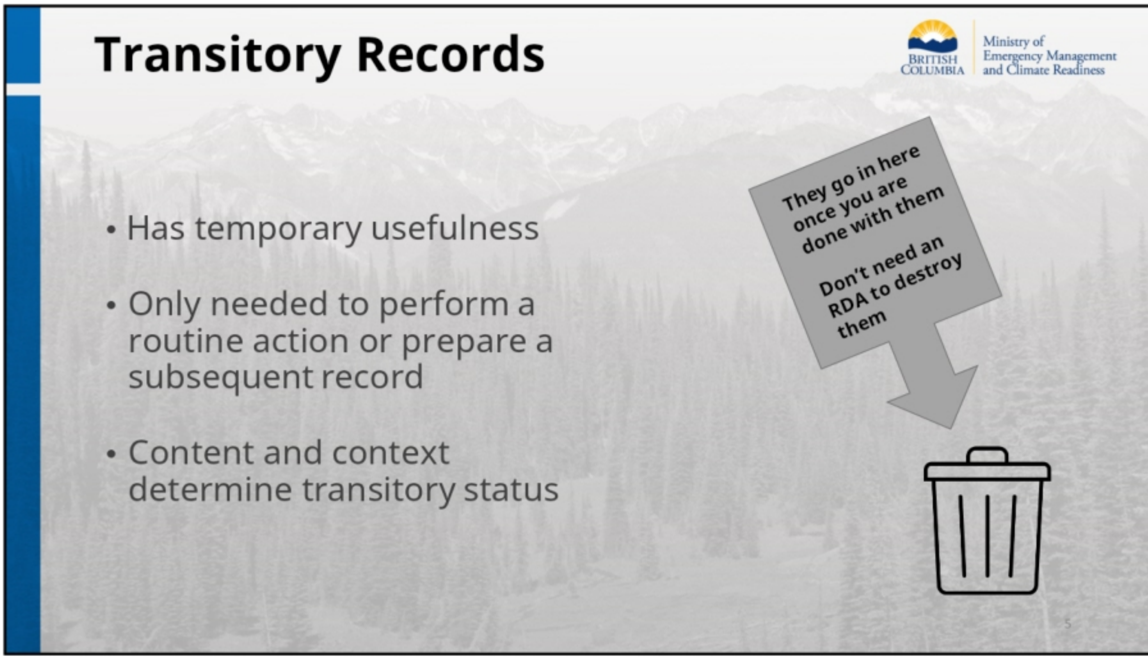
Information: Any collection of data that is processed, analyzed, interpreted, or communicated in order to serve a useful purpose, present facts or represent knowledge in any medium or form. Information includes both data and records.

Document: Information consigned to a medium (paper, digital, cd, microfiche, etc.)

Record: Recorded information created, received and maintained by an organization or person, in the transaction of business.

A record of the business conducted by government can exist in many different forms:

- **Electronic messages** (email, instant messaging, voicemail, etc.)
- **Data** maintained on electronic systems - Databases (ETeam, WebEOC, HVRA Tool)
- **Physical** (paper records)
- **Calendars**, appointment books, diaries (work related)
- **Photographic** records
- **Web pages**



Examples:
IMs, sticky notes, mass ministry emails, convenience copies of records for reference

Draft/Working Materials

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- Rough notes, prelim drafts, research notes
- Created in the preparation or analysis of other records

They become transitory when the final record is made

Working materials relating to statutes, audits, or other records specified in an information schedule

Need to be kept with the other records on that subject matter

They become part of the final record if they document significant change between drafts

Final Records

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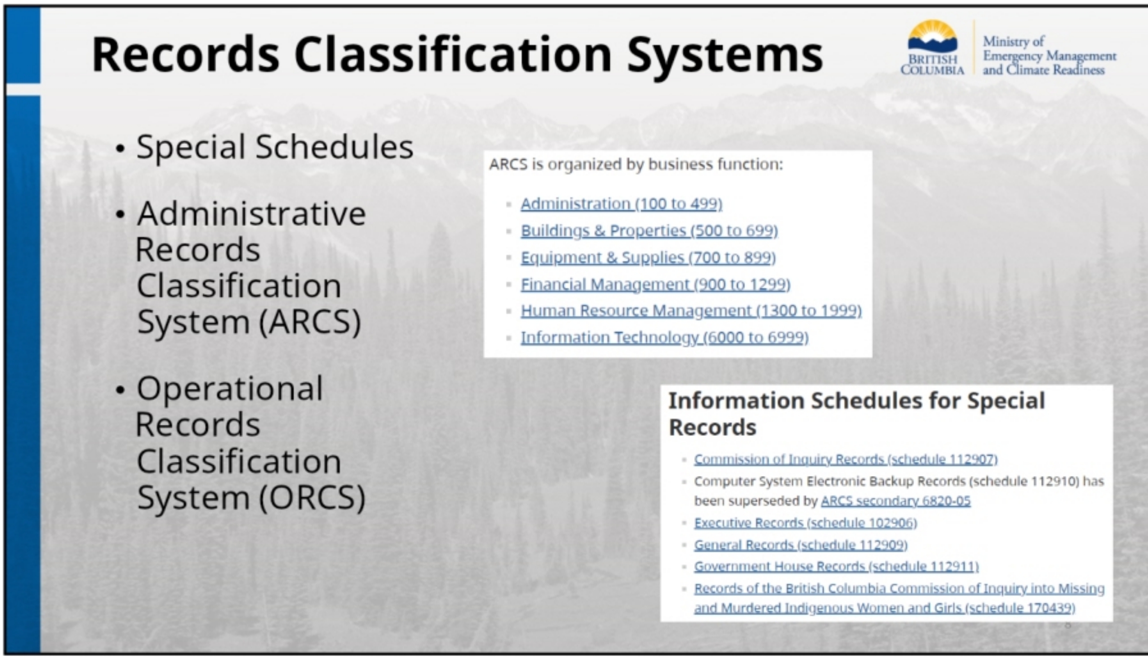
- Complete, final and authorized version of a record
- Legally enforceable
- Version that is classified and saved in the office recordkeeping system

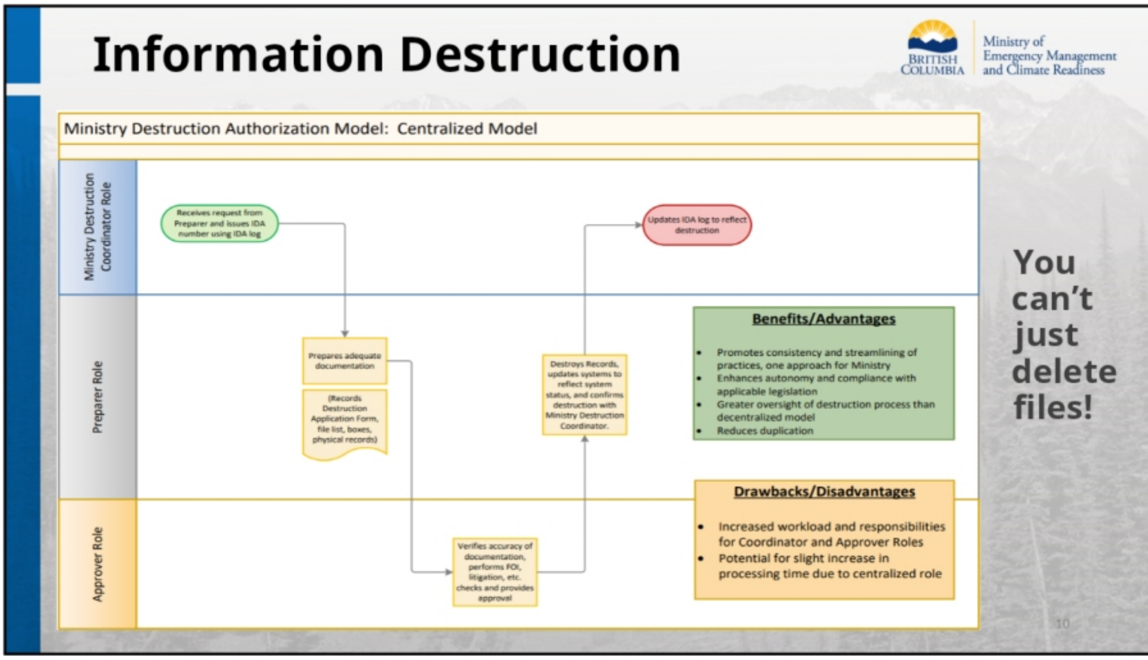
All these records spark joy and are to be filled in LAN and EDRMS



A **Classification System** organizes records based upon function and subject, to assist with filing and retrieval. A numeric classification system provides a unique code for each record based on the overarching function or subject of the record and a secondary number for the specific section of the function or subject that applies. Each classification is assigned a retention schedule, which is a timetable that governs the lifecycle of information and specifies that it is kept for as long as required, dependent on the content and value of the record. As you can see, they go hand in hand.

What is official RM repository and what is not

What types of records go where?



We have a process you need to follow: Centralized model of information destruction

FOI and RM

- Responsive records can exist in any format, on any application / device that is used while conducting business.
- Searches should include information in paper and digital formats such as handwritten notes, emails, instant messages on Skype.
- Records can be stored in collaboration tools such as MS Teams along with LAN Drives.
- Information may be stored offsite or to BC Archives. Contact **Arielle Alexander-Gordon** (EMCR Ministry Records Contact) to assist with next steps in retrieving relevant records.
- Always remember to keep detailed notes of the steps taken during searches including if records have been disposed of prior to the FOI request.

What is a Freedom of Information Request?

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- Under the Freedom of Information and Protection of Privacy Act (FOIPPA), the public submit a request to access and review B.C. government records that contain:
  - Information about government activities or programs
  - Personal information from government records about yourself or on behalf of someone else

  Anybody can make an FOI request for any record the public body has physical possession of, AND:
    - which were created in the course of an employee's duties, and the content of which relates to the public body's mandate and functions;
    - are integrated with other records the public body holds; and
    - over which the public body has any rights or responsibilities, including respecting their use, disclosure, or destruction.

- In short, any record created or received in your work may ultimately be responsive to an FOI request.

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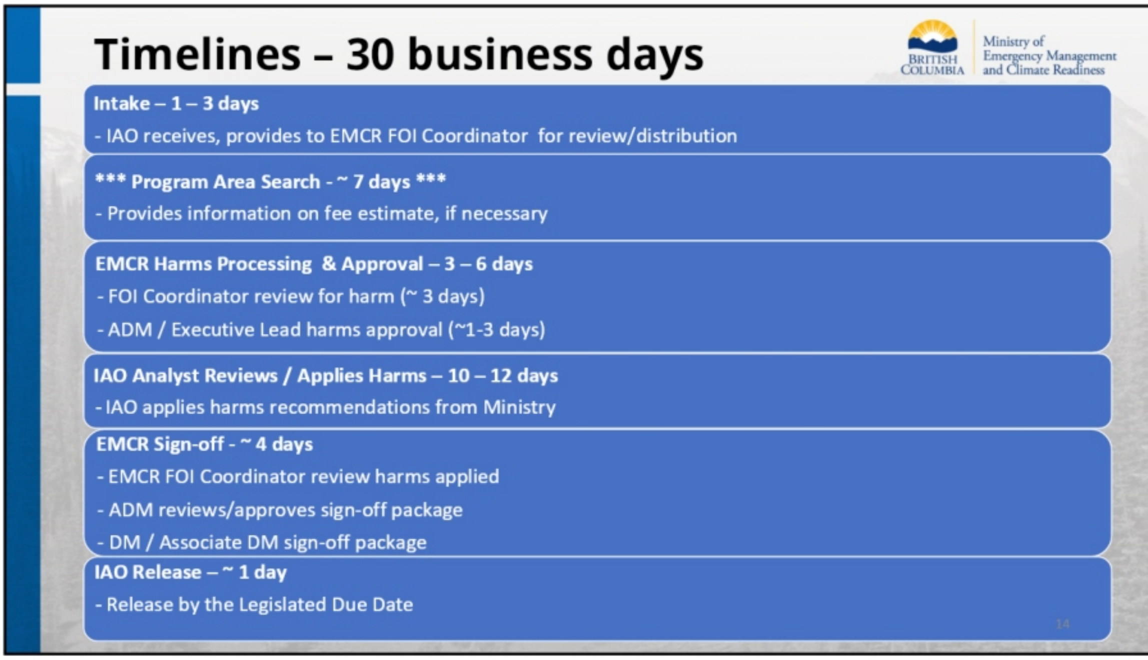
This is often referred to as the public body’s “duty to assist”

And while we may need to provide records as responsive to a request, this doesn’t mean we have to reveal confidential information.



Overall timelines for an FOI are dictated by the Act; these timelines are given to us, and are not for us to adjust to fit our needs.

There are cases where deadlines can be extended if there is good reason and if it's approved by IAO, the OIPC, or the applicant.

Per the Freedom of Information Act – the public body has 30 business day from receipt of the request the "**legislated due date**"

The first 'due date' is the **"records due date"** in which we are to provide the initial records – approximately 10 days after request received (for the first 3 steps above). This is the date for the ministry to provide IAO with records and initial harms.

As you can see, timelines are tight, so important that requests are initiated early.

Time must be built in to allow for the other links in this chain to complete their work on time.

Considerations:

- A delayed search will force executive to rush the next steps.
- If we fail to meet the legislated due date, the Office of the Information and Privacy Commissioner will investigate for negligence.

For today's presentation we are focusing mainly on the second part of the process "Program Area Search"

FOI: Timelines

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- Upon receiving a request, the Ministry is given a strict "**legislated due date**" to meet.
- We also work under a **"records due date"** in which we are to provide the initial records.
- Time must be built in to allow for the other links in this chain to complete their work on time.
- The applicant must receive processed records within 30 days.

- Considerations:
  - A delayed search will force executive to rush the next steps.
  - If we fail to meet the legislated due date, the Office of the Information and Privacy Commissioner will investigate for negligence.

Recieving an FOI

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- FOI requests are assigned by the FOI Analyst to divisional ADMOs
- If you receive an FOI request (a Call for Records) - instructions on what is required of you will be provided.
- If you have questions, connect with your divisional ADMO or the FOI Analyst (EMBCFOI@gov.bc.ca)

Correspondence Unit (CU) Responsibilities

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- Receive incoming MO & DMO emails and coordinate responses with divisions
- Track all ministerial correspondence throughout its lifecycle
- Log correspondence in CLIFF and assign to divisions in eApprovals
- Request advice on correspondence from divisions
- Refer correspondence to other ministries & coordinate joint-responses
- Relay direction from the MO/DMO to divisions
- Final proofread and format of draft responses
- Send out approved responses

ADMO & Division Responsibilities

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ADMO Responsibilities

- Send division ADM-approved advice to CU
- Work with other divisions on wording when necessary
- Track correspondence/advice requests deadlines within the division
- Provide initial formatting based on Correspondence Manual/Writing Guide
- Return ED and ADM approved draft responses to CU in eApprovals

Division Responsibilities

- Provide advice to ADMO on incoming correspondence
- Draft responses that answer incoming in full
- Review DMO/MO track changes on draft responses
- Review/answer DMO/MO questions on draft responses
- Send Direct Reply responses through EDs

Correspondence Unit

The CU uses two tools to assist in the tracking and action of ministerial correspondence: **CLIFF** and **eApprovals**.

Note: Ministry generated items (from division) require the division to open the CLIFF and eApproval for the item.

- **CLIFF** logs all correspondence received, assigns a tracking number, and keeps a history of the correspondence's lifecycle.
  - CLIFF **does not** replace filing on the LAN – must be used in conjunction.
- **eApprovals** is used for the creation, development, and approval of documents, including the drafting of responses for correspondence.
  - **Not for long term filing**. Will disappear 10 days after item is closed.

Both systems are used for the tracking and approval of briefing notes, speaking notes, bullets, advice, etc.

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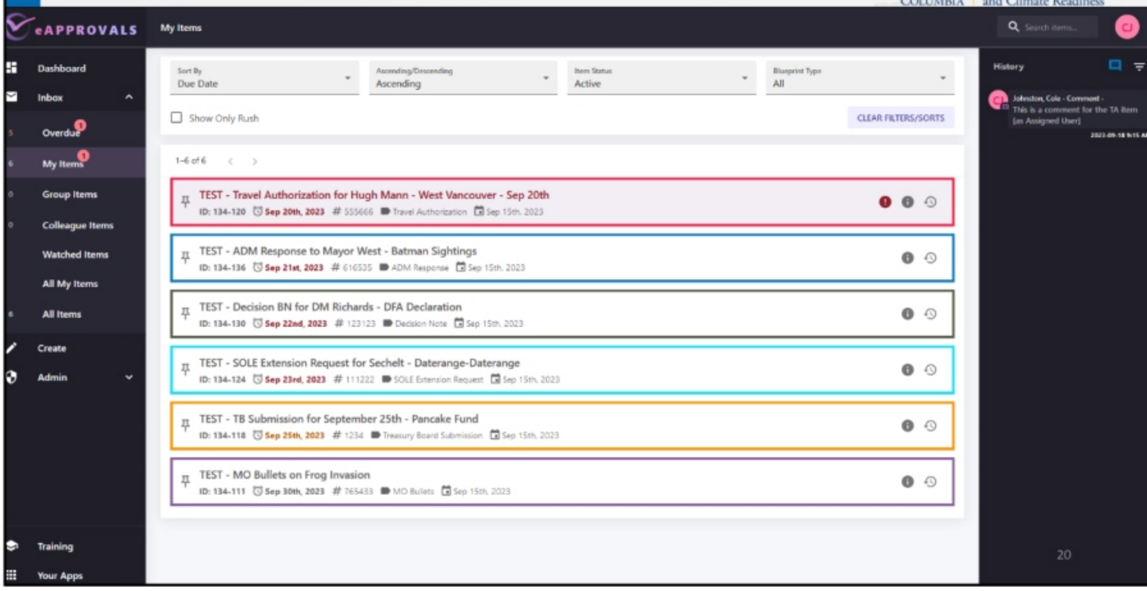
Speaking Notes:

The CU, part of Executive Operations in the Deputy Minister's Office (DMO), coordinates ministerial correspondence received by the Minister's Office (MO) and the DMO across the ministry.

eApprovals



eAPPROVALS
My Items
Search items...
Dashboard
Inbox
Overdue
My Items
Group Items
Colleague Items
Watched Items
All My Items
All Items
Create
Admin
Training
Your Apps
Sort By
Due Date
Ascending/Descending
Ascending
Item Status
Active
Blueprint Type
All
Show Only Rush
CLEAR FILTERS/SORTS
1-6 of 6
TEST - Travel Authorization for Hugh Mann - West Vancouver - Sep 20th
ID: 134-120 Sep 20th, 2023 # 555666 Travel Authorization Sep 15th, 2023
TEST - ADM Response to Mayor West - Batman Sightings
ID: 134-136 Sep 21st, 2023 # 616535 ADM Response Sep 15th, 2023
TEST - Decision BN for DM Richards - DFA Declaration
ID: 134-130 Sep 22nd, 2023 # 123123 Decision Note Sep 15th, 2023
TEST - SOLE Extension Request for Sechelt - Daterange-Daterange
ID: 134-124 Sep 23rd, 2023 # 111222 SOLE Extension Request Sep 15th, 2023
TEST - TB Submission for September 25th - Pancake Fund
ID: 134-118 Sep 25th, 2023 # 1234 Treasury Board Submission Sep 15th, 2023
TEST - MO Bullets on Frog Invasion
ID: 134-111 Sep 30th, 2023 # 765433 MO Bullets Sep 15th, 2023
History
Johnston, Cole - Comment -
This is a comment for the TA item
[as Assigned User]
20

Correspondence Timelines

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MF Assoc DM Response to s.22
ID: 134-5972 Feliciano, Miguel EMCR:EX # 640570 Correspondence - Associate DM Response

Feb 6th, 2024

Items must be drafted, approved, and returned to the DMO or sent out (ADM Responses or Direct Replies) within the deadline provided – see date above for example in eApprovals.

Rush deadlines: 6 business day turnaround   **Non-rush deadlines:** 15 business day turnaround

This means that after being assigned by the CU to the division, the response must be drafted and make it through the below routing in time to meet the deadline.

Ex approval routing: CU -> **ADMO -> Division Staff -> ADMO -> ADM -> ADMO ->** CU -> DMO Director Exec Ops -> DM/Assoc DM -> CU -> MO -> Minister -> MO -> CU

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Resources

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Always check with your ADMO and branch admin first!

RM: EMBC.RecordsManagement@gov.bc.ca

EMCR RM Intranet: Ministry of Emergency Management and Climate Readiness - Records management practices - (gov.bc.ca)

RM Mandatory Training: IM 117 via Learning Centre

BC Govt RM Training: GRS Learning - Citizens' Services Hub (gov.bc.ca)

FOI: EMBCFOI@gov.bc.ca

FOI Intranet: Privacy and security - Ministry of Emergency Management and Climate Readiness (gov.bc.ca)

CU: EMBC.CorrespondenceUnit@gov.bc.ca

CU Templates: Ministry templates and logos - Ministry of Emergency Management and Climate Readiness (gov.bc.ca)

CLIFF: CLIFF (correspondence tracking system) - Ministry of Emergency Management and Climate Readiness (gov.bc.ca)

EApprovals: eApprovals - Ministry of Emergency Management and Climate Readiness (gov.bc.ca)


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Questions?
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