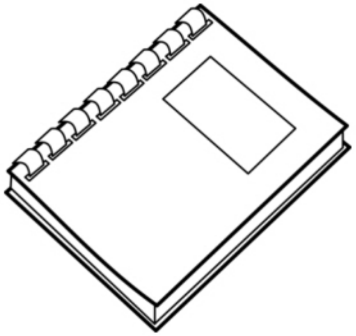
Records Management
&
Freedom of Information

Presented by:
Information Management and Strategic Initiatives

January 2021

WHAT IS A RECORD?

A “**record**” includes “books, documents, maps, drawings, photographs, letters, vouchers, papers and any other thing on which information is recorded or stored by any means whether graphic, electronic, mechanical or otherwise”



TRANSITORY RECORDS

tran·si·to·ry

[ˈtransəˌtôrē, ˈtranzəˌtôrē]

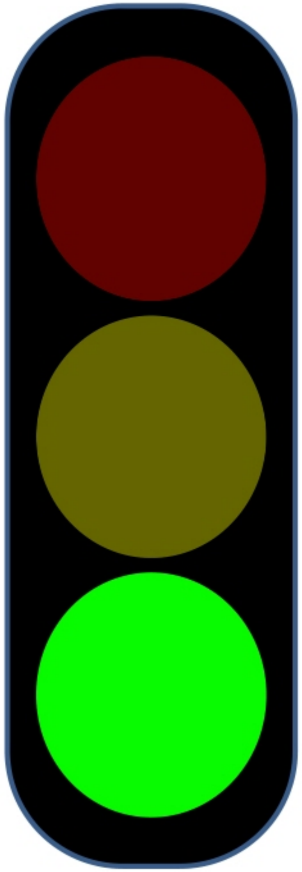
ADJECTIVE

not permanent.

"transitory periods of medieval greatness"

synonyms: temporary · transient · brief · short · short-lived · short-term · impermanent · ephemeral · evanescent · momentary · fleeting · flying · passing · fugitive · flitting · fading · mutable · [more]

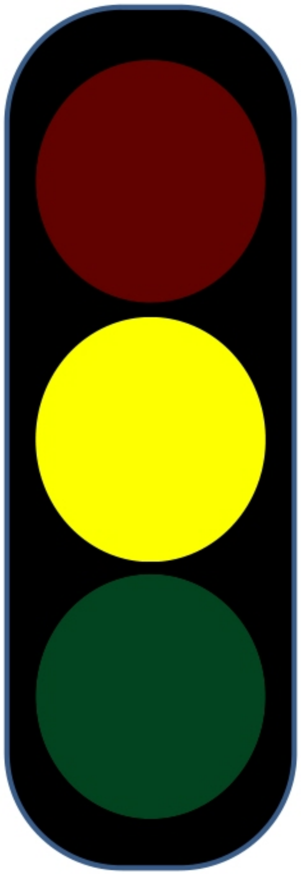
CLEARLY TRANSITORY



– Redundant Information
  - Convenience copies and duplicate forms
  - Email superseded by a later email – “Strings”
  - Copies of a message received by a large audience for information only
  - News service (“clippings”) received, TNO
  - Reference material

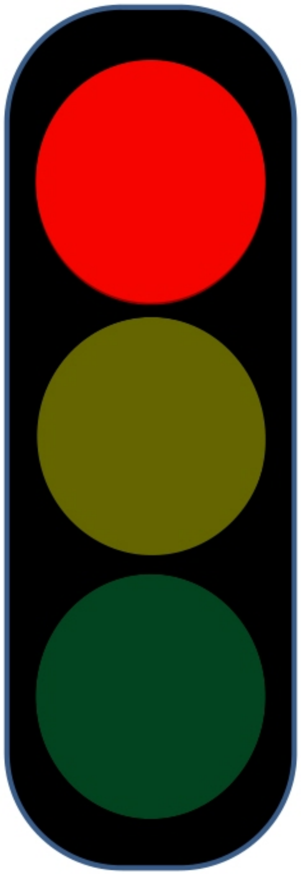
– Non-Substantive Drafts
  - Rough working notes and calculations
  - Working drafts never circulated or reviewed

USING YOUR JUDGEMENT



- Does the record document substantive activities, decisions and/or the decision making process of the office?
- Is the record significant in relation to the activity for which it was created/used in support?
- Does the information best document the activity it was created for or used to support in relation to other records?

TRANSITORY BUT…



- Transitory records must not be deleted when they are responsive to an FOI request or litigation

FOI Timelines

30 Days

Step	Time
Request is received and Program Area is notified	1 Day
Program Area gathers records and provides any necessary context IMSI provides records package to Central FOI (IAO)	12 Days
Central FOI (IAO) prepares proposed disclosure package	10 Days
IMSI reviews proposed severing and coordinates approval process through Program Area Delegated Head (ADM, MSD) approves response	6 Days
Central FOI (IAO) provides response to applicant	1 Day

Call For Records / Records Gathering

CALL FOR RECORDS - New FOI Request | JTT-2020-05385 (EA emails - sent/received - April 6-10 2019) | Pls. respond by Sept 9

FE FOI Economy Sector MAH:EX

Reply | Reply All | Forward | ...

To Meehan, Patrick JEDC:EX

Cc Monroe, Danielle JEDC:EX; Flamank, Brittany JEDC:EX; Rondeau, Alyson JEDC:EX; Wensink, Alison JEDC:EX; FOI Economy Sector MAH:EX

Tue 2020-09-01 3:08 P

You forwarded this message on 2020-10-15 2:16 PM.

Please forward the responsive records to our team FOI inbox at FOI.Inbox@gov.bc.ca by **Wednesday, September 9, 2020.**

The Ministry of Jobs, Economic Development and Competitiveness has received the following new request (applicant type: Political Party):

Records of any and all emails - excluding attachments and TNOs – sent or received by the Minister's Executive Assistant(s) - where such a position existed and was staffed during the period. Email search is limited to the individual's outlook account. Please exclude TNO records, as well as Corporate calendar, House Schedule and House Schedule updates, Media watch, Media Monitoring and BC Gov News (Date Range for Record Search: From 4/6/2019 To 4/10/2019)

Please note:

- **Gather records as you normally would, in their original format.**
- If you expect this search for records to take more than 3 hours, please do not proceed. Please email us with a fee estimate as soon as possible.
- Identify consultations that may be required.
- **If you believe this Call for Records should be directed to someone other than those it has been addressed, please advise**

Thank you,

Nicole Forward
Senior Analyst, FOIPPA | Information Management and Strategic Initiatives
Management Services Division
T: 778-698-7858 | E: Nicole.forward@gov.bc.ca

How is a record responsive to an FOI Request?

- The record falls within the date range of the request

- The title and/or the content of the record speaks directly to the wording of the request, including information contained within attachments.

- If the words ‘Any and all records…’ start off the request, everything relating to that topic within the date range is responsive. (this may result in a Fee Estimate).

Harms

What information within the records could potentially cause an issue if it was disclosed?

Why is it harmful?

EXCEPTIONS TO DISCLOSURE

Mandatory Exceptions	
Section 12	Cabinet confidences
Section 21	Third party business information
Section 22	Personal information
Discretionary Exceptions	
Section 13	Policy advice/recommendations
Section 14	Legal advice
Section 15	Law enforcement
Section 16	Intergovernmental relations
Section 17	Financial or economic interests
Section 18	Heritage sites
Section 19	Personal health or safety
Section 20	Information soon to be published

Approvals

FOR REVIEW, COMMENTS AND APPROVAL: JTT-2020-02513 (Sr MA calendar Jan to Mar 2020) | Please respond by Jan 20

FE FOI Economy Sector MAH:EX

To Kirby, Kyla JEDC:EX

Cc FOI Economy Sector MAH:EX; Rondeau, Alyson JEDC:EX

Reply | Reply All | Forward

Wed 2021-01-13

Circulating - JTT

You forwarded this message on 2021-01-13 3:37 PM.

JTT-2020-02513 - Sign form.pdf 165 KB

JTT-2020-02513 Redline.pdf 2 MB

Good afternoon,

Please send comments/approval to our FOI.Inbox@gov.bc.ca by **Wednesday, January 20, 2021**. The Legislated due date for this file was August 25, 2020.

Request Wording:

A copy of the Ministerial Assistant's calendar, excluding attachments, in the Calendar Details Style format, where such a position exists and was staffed at any point during the time frame (Date Range for Record S
From 8/1/2020 To 8/31/2020)

Note to Reviewers:

- This is a cross-government request: XGR-2020-02498
- Records were provided by the DMO on behalf of the MO.
- All severing is identified by red boxes and follows the calendar severing guidelines.
- We are seeking final approval from ADM White, Delegated Head.
- This package will Not be published to Open Information.

Thank you,

Taran Bhangu
Analyst, FOIPPA | Information Management and Strategic Initiatives
Management Services Division
T: 778-698-4995 | **E:** Taran.Bhangu@gov.bc.ca

DRAFT PROCESS FOR FOI REQUESTS FOR NON-TOPICAL REQUESTS (EMAILS)

- Single Point of Contact (with backup when required)
  - Tracking
  - E-sig on file for Mas for approvals
  - Flagging questions from FOI when required
  - Weekly meeting on FOIs
- MA's Outlook sub-folder for 1 month's worth of sent emails
  - Near end of month – move emails from sent items here and clean up
  - Clean-up tool
  - Delete transitory records (as long as FOI hasn't arrived)
  - Send remainder in original format to SPoC
- SPoC sends records to JERI FOI > IAO for de-duplication
- Clean PDF comes back for harms review

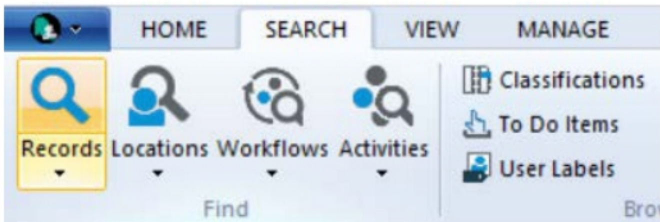
David Padgett
Vicki Hudson
Jennifer Mohan

EDRMS Tips for ESB staff

Ways to Search for Records

There are a few different ways to search for records in EDRMS. These can be used individually or combined as will be shown later.

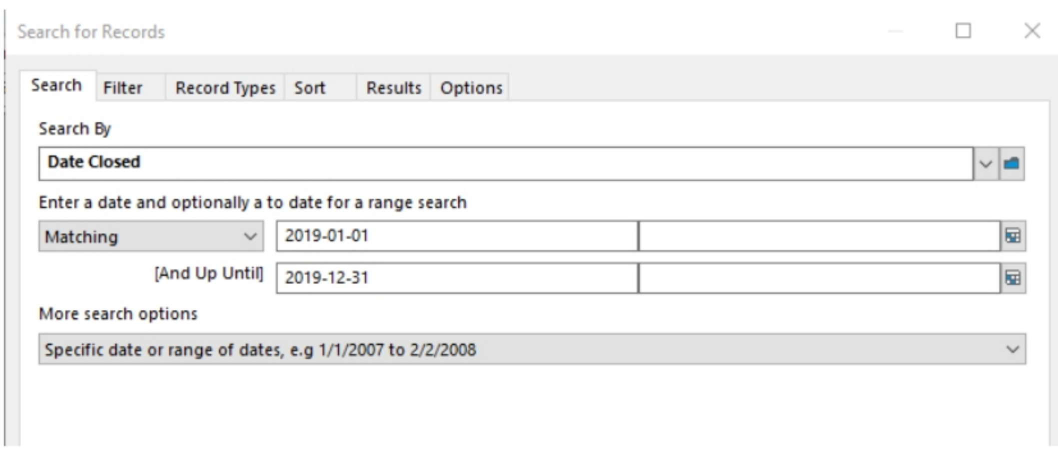
To open a new search, select search in the top left-hand tool bar. Then click on the large magnifying glass and a new search box will pop up.



By date:

After opening a new search, set your '**Search By'** field to '**Date Closed**'. If you are not able to find it, click on the blue folder on the right hand side of the search box and you can choose it from there.

Then enter the start and end date of the period you are searching for. Most likely it will be a calendar year so January 1 to December 31.



By Office Location:

After opening a new search, set your '**Search By'** field to '**Home**'.

Your name will auto populate into the Location field. Erase it and instead enter the location name for your office from the options listed here. Be sure to enter it exactly as it is listed:

LBR ESB Kelowna
LBR ESB Langley
LBR ESB Nanaimo
LBR ESB Prince George
LBR ESB Richmond
LBR ESB Victoria

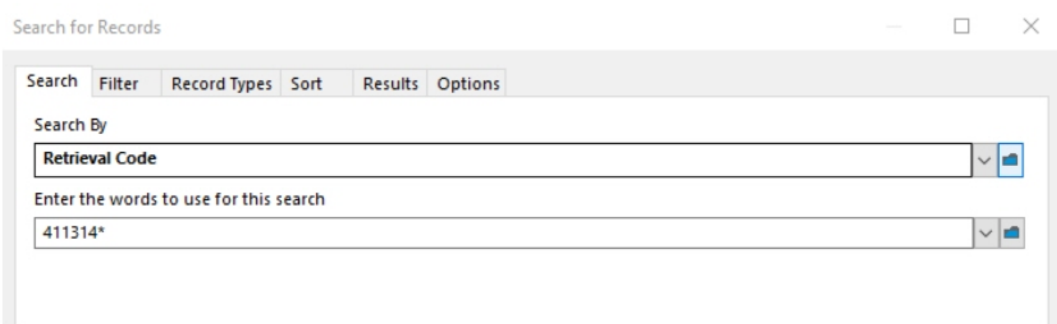
By Title:

To search by person or company, you will want to use a 'Title Word' search. When entering the word or name you want to search by, make sure you include an astrix (*) at the end. This is the EDRMS wildcard for searches.

By Retrieval Code (6 digit ER code):

You can also search by using the retrieval code which is made up of the 6 digit ER code and the assignment number. You can search by either number, but if you are using only one of the codes remember to add the astrix (*) wild card at the end. If you are typing in the whole code it must be formatted exactly as below (6 digits, space, dash, space, 7 digits)

XXXXXX - XXXXXXX

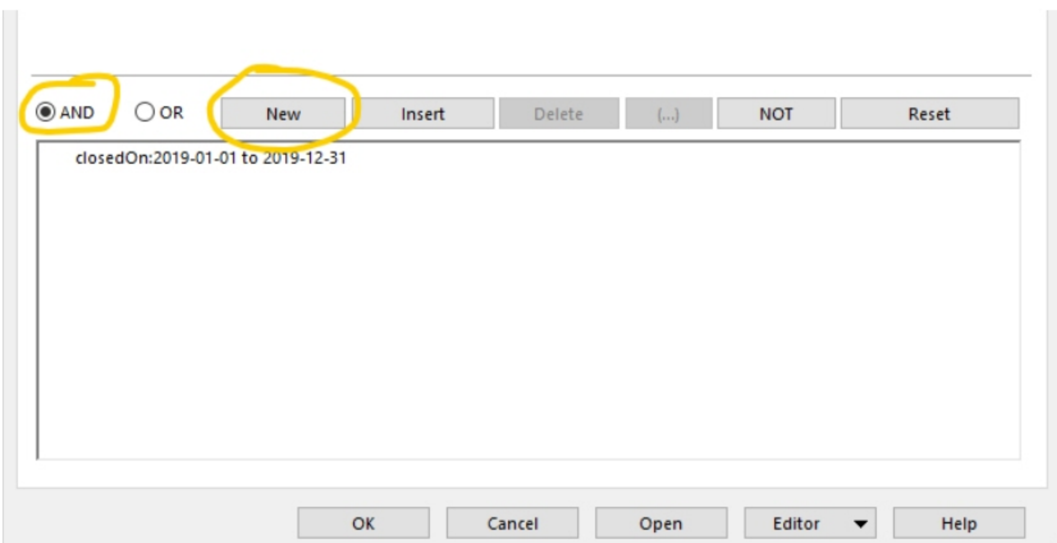


Layering Searches

You can also layer your searchs to that you can search for multiple criteria.

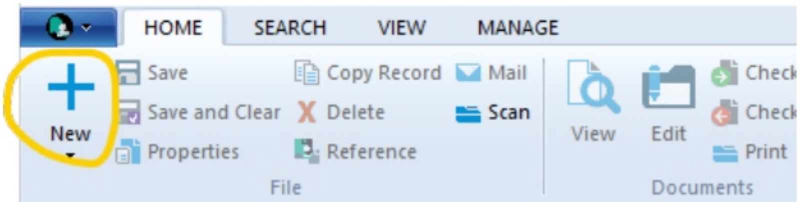
To do this, go to the bottom of the search screen and select the button next to '**AND**'. Then select new.

Then go back to the top and choose the new criteria that you want to search by.



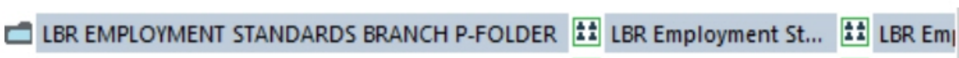
Create a new Record

To create a NEW record, go to the 'HOME' on the top left hand tool bar. Click the plus sign.



A box will pop up asking you what kind of record you want to create. Always select the option

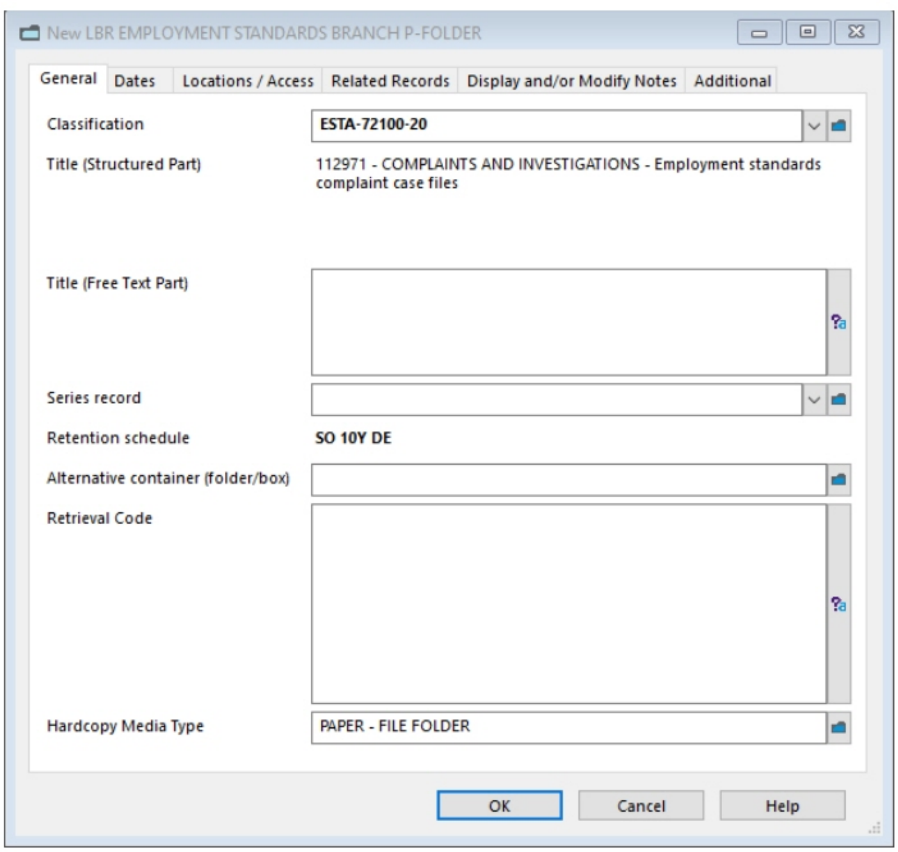
LBR EMPLOYMENT STANDARDS BRANCH P-FOLDER



A new window will open and you will be asked to fill in a number of fields.

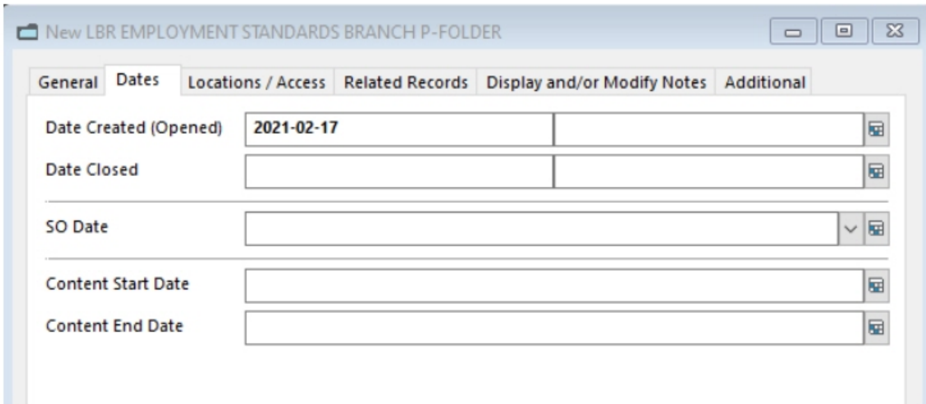
In the '**General'** tab in the new record window you MUST fill in

Classification
Title (Free Text Part)
Series Record
Retrieval Code



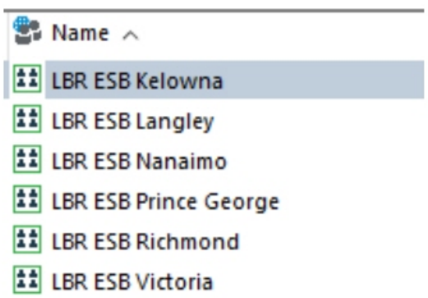
Once all those areas are filled in, go to the '**Dates'** tab.

In the dates tab, enter the dates necessary for the file. You MUST enter a date created, but if the file is already closed then you can also enter a closed date and an SO date as per processes in your business area.

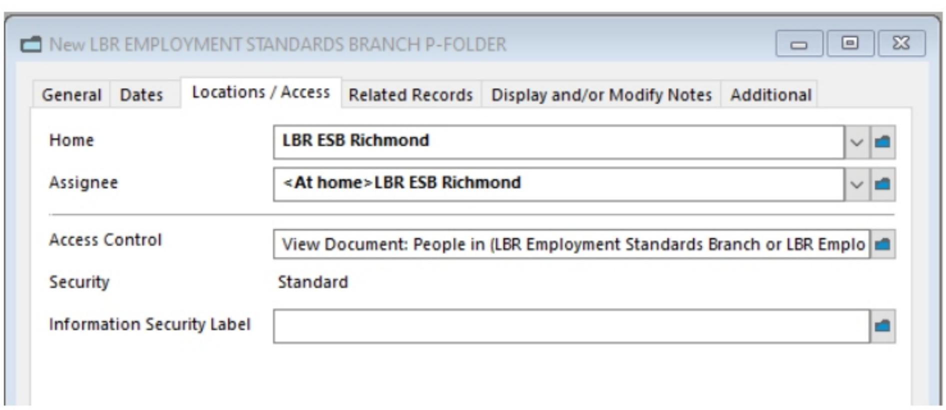


Once the dates are entered, go to the '**Locations/Access**' tab.

Enter in your home location in both the '**Home**' and '**Assignee**' field. Ensure that you enter the name of the home office exactly as listed below:



LBR ESB Kelowna
LBR ESB Langley
LBR ESB Nanaimo
LBR ESB Prince George
LBR ESB Richmond
LBR ESB Victoria



Once all the necessary information has been filled out on all three tabs, hit Okay and your record will be created!

Print Report

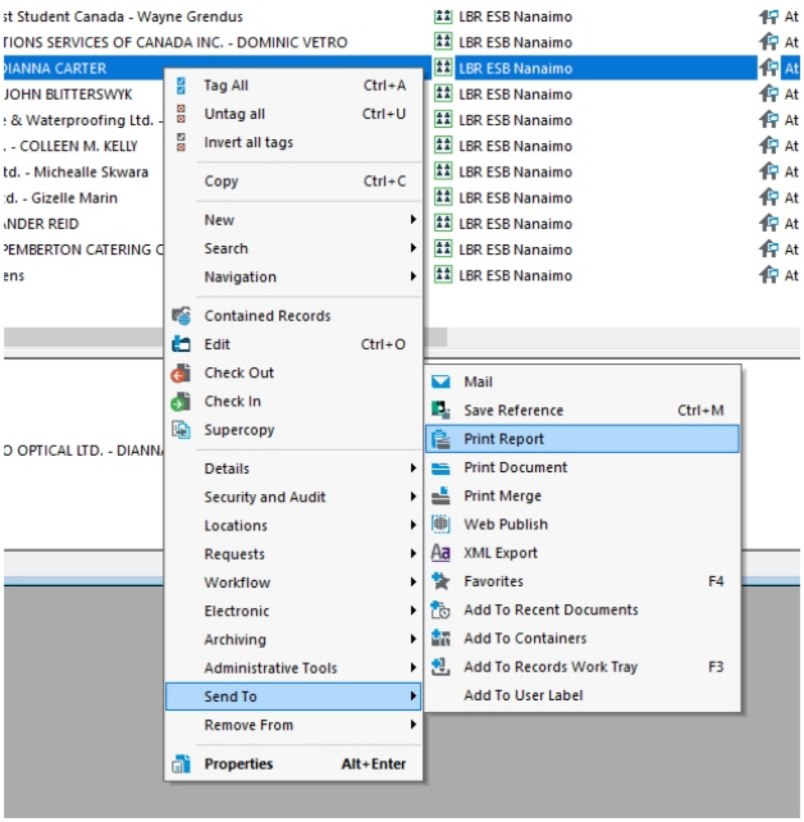
If you need a list of records for off siting, you will want to print a report. In order to do that, first do a search or create a user label that has all of the records you want included on the list. Once they are all viewable, right click anywhere in the window.

Choose ‘**Tag All**’

All of the records should now have a check mark next to the records on the left hand side.

Now, right click anywhere in the window again.

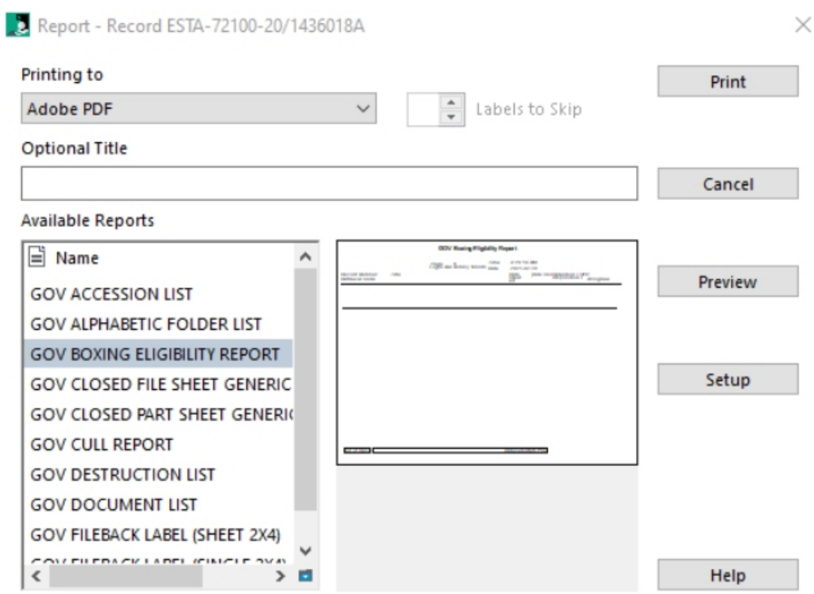
Choose ‘**Send To**’ and then choose ‘**Print Report**’



A window will pop up and there will be a variety of report formats that you can choose from.

You want to choose '**GOV BOXING ELIGIBILITY REPORT**'

For Printing to, you can either choose **Adobe PDF** or your local printer.



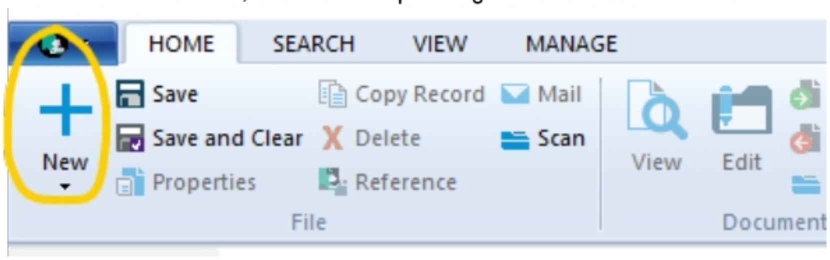
Click **Print** when you are ready to print.

EDRMS Quick Tips
For LBR – ESB Branch

Opening Files:

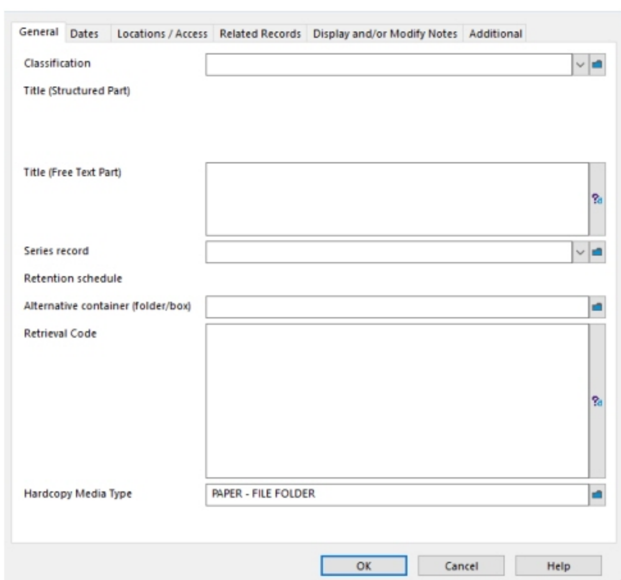
Steps to create a new record in EDRMS CM.

1) From the Home Tab, click on the plus sign to create a new record.



2) A window will pop up that will ask you to choose a record type.
Choose the record type called
LBR EMPLOYMENT STANDARDS P-FOLDER
Hit okay

3) A window will pop up where you will enter information about the file. You will be entering information in 3 of the tabs on this window – General, Dates and Location/Access. Do not click okay until information has been entered in all 3 tabs.



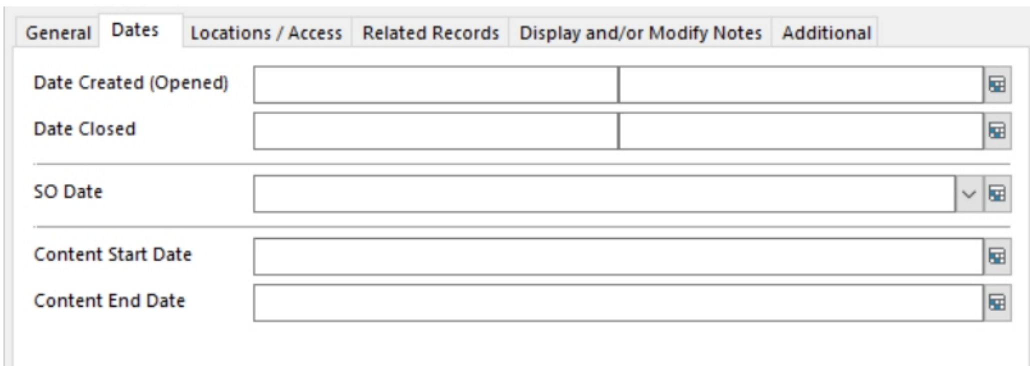
Fields You MUST enter:
Classification – ARCS or ORCS number – primary and secondary
Title (Free Text Part) – Adhere to your Branch standards for naming conventions of files

Series Record – Choose OPR (Office of Primary Responsibility) or NON-OPR, as appropriate

Other Fields:
Retrieval Code – use the standard code that is used on other files within your branch.
Hardcopy Media Type – Should always says 'PAPER – FILE FOLDER'

DO NOT CLICK OK YET

4) In the same window open the 'Dates' Tab. This field always defaults to the current date and time. Please enter the correct date created for the file and remove the time.

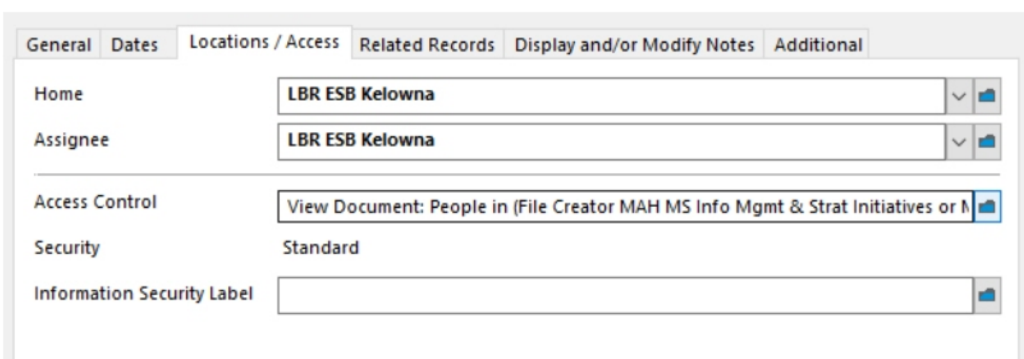


The Date created is a mandatory field and must be entered. If you also know the date closed, or the SO date you can enter that now.

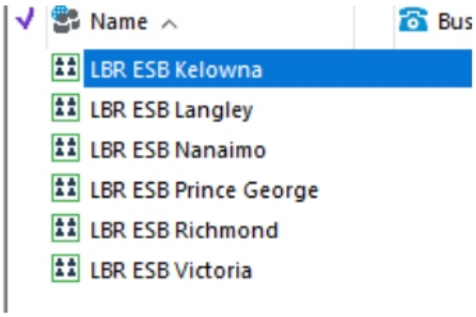
If you need to change date created or date closed at a later date, then you must contact EDRMS.Help@gov.bc.ca

DO NOT CLICK OK YET

5) In the same window open the 'Locations/Access' tab



Ensure that the Home and Assignee fields match your ESB location. Both fields will have the same location listed. Below is the list of locations that you can choose from.



6) Once you have ensured that all the information on the General, Dates and Location/Access tabs are correct, you click okay at the bottom of the screen.

   Your record is now created!

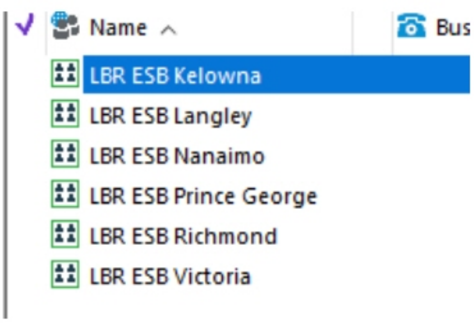
Transferring Files from Office to Office:

To show that a file has been transferred from one ESB office to another you need to update the Home and Assignee fields within EDRMS Content Manager.

Please follow the guide that Government Records Services have created.

All ESB files should have **LBR Employment Standards Branch** listed as the owner.

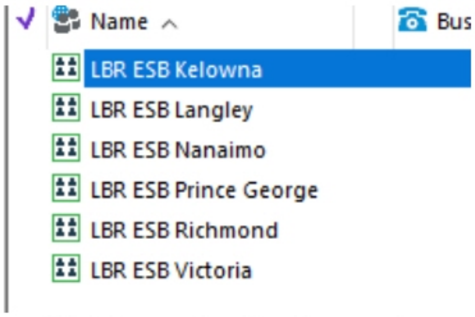
Home and Assignee locations should reflect the which office the file is physically at. See below for the list of ESB locations.



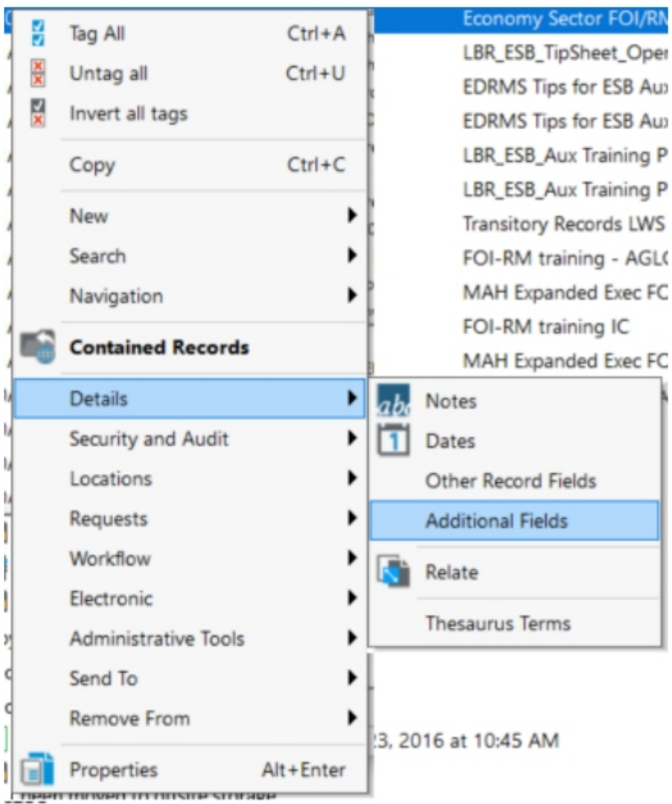
Reactivate a Closed File (when file is still onsite):

For if you need to reactivate a file that has been closed but has NOT yet been moved to offsite storage.

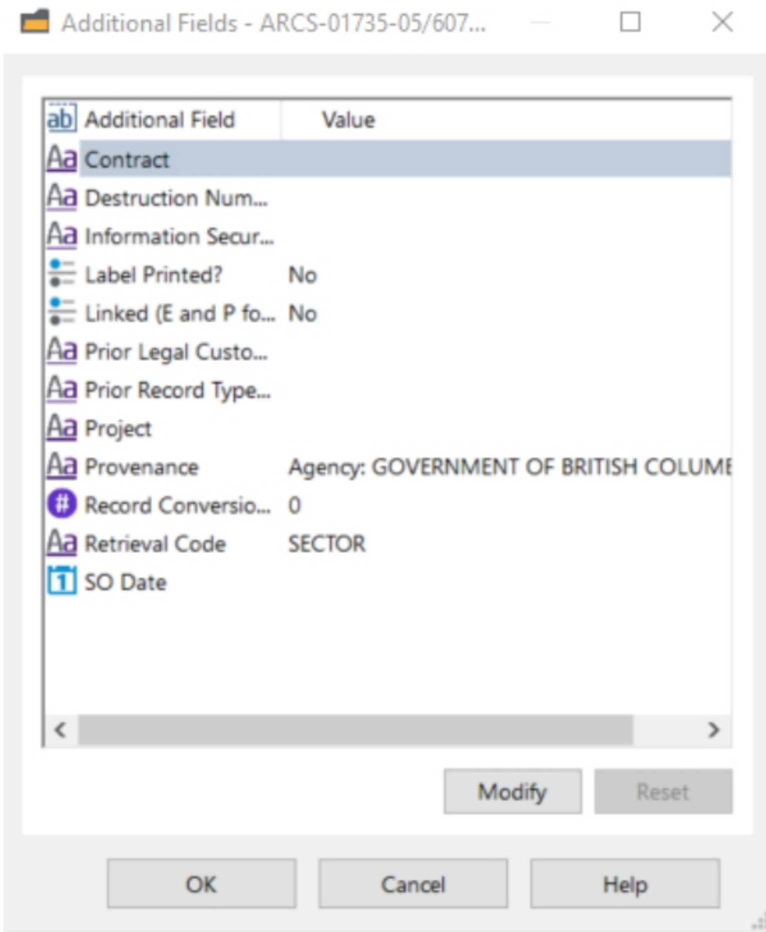
1) Once the file is in your office you need to remove it from the box in EDRMS
   a. Locate the file in EDRMS
   b. Right click and select 'Locations'
   c. In the pop up box, select 'Remove permanently From container'
   d. Select the new home/assignee from the list of available ESB offices



2) If there are SO dates on the file, they can be removed by right clicking on the record in EDRMS, then selecting 'Details', then 'Additional Fields'.



A pop up box will appear where you can choose additional fields to edit.



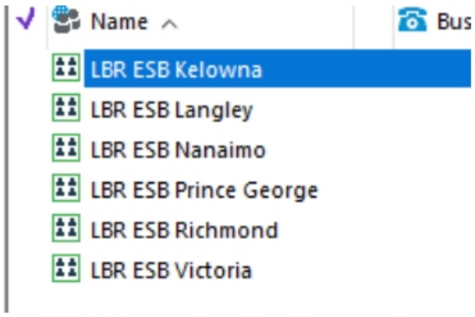
If there is an Accession or Destruction number associated with the record, it must also be removed at this stage.

3) Once this is complete, send an email to EDRMS.HELP@gov.bc.ca to change the disposition of the file and to remove the closed date in order to complete the reactivation.

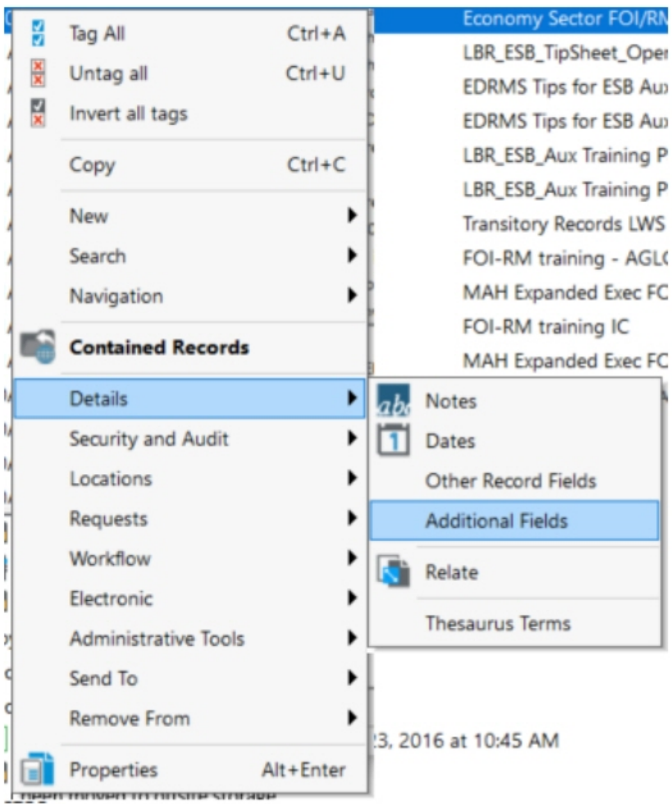
Reactivate a Closed File from offsite storage:

For if you need to reactivate (or reopen) a file that has been closed AND moved to offsite storage.

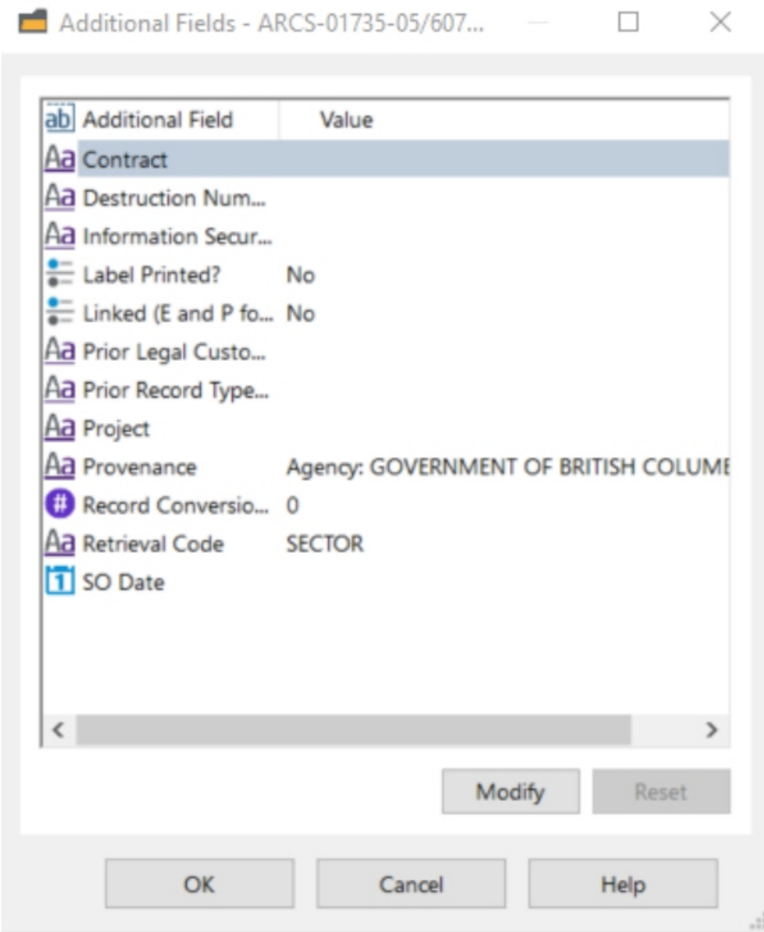
1) Recall the file from Offsite storage using form ARS 626-633 (found here under Forms)
2) Once the file is in your office you need to remove it from the box in EDRMS
    a. Locate the file in EDRMS
    b. Right click and select 'Locations'
    c. In the pop up box, select 'Remove permanently From container'
    d. Select the new home/assignee from the list of available ESB offices



3) If there are SO dates on the file, they can be removed by right clicking on the record in EDRMS, then selecting 'Details', then 'Additional Fields'.



A pop up box will appear where you can choose additional fields to edit.



If there is an Accession or Destruction number associated with the record, it must also be removed at this stage.

4) Once this is complete, send an email to EDRMS.HELP@gov.bc.ca to change the disposition of the file and to remove the closed date in order to complete the reactivation.

5) Also send an email to GRS@gov.bc.ca to let them know that the file has been permanently removed. Please provide them with the accession number and box number of the files that are being permanently removed, this can be done in the subject line using the format:

File removal – AccessionNumber BoxNumber. (eg. File removal 97-2186 box 8)

GRS will advise if they wish to receive a new file list for the off-site accession.

Additional Tips and Resoucrces:

Here are some additional tips and resources from Government Record Services. Questions can always be directed to the Economy Sector Records Help Team by email to Records.Help@gov.bc.ca

EDRMS Tip 013: Creating a Record

EDRMS CM Information Worker Video: Creating a P-Folder

EDRMS Tip 026: Updating Owner, Home, and Assignee

From: Mohan, Jennifer MUNI:EX(Jennifer.Mohan@gov.bc.ca)
To: Padgett, David MUNI:EX (David.Padgett@gov.bc.ca)
To: Moore, Ashley MUNI:EX (Ashley.Moore@gov.bc.ca); Thibault, Sarah MUNI:EX (Sarah.Thibault@gov.bc.ca)
Subject: Summary of Economy Sector Declutter your H: Drive Workshop Delivery
Sent: 03/12/2021 00:00:12

ARCS-00432-60/107317A

Hi,

I am pleased to report on the Economy Sector Declutter Your H: Drive Virtual workshop. This workshop was delivered 4 times and consisted of a 20-30 min virtual presentation that provided practical steps for H drive reduction. The deck was developed and delivered by Ashley Moore, Jr. Records Analyst. And other Information Systems and Information Management staff in MSD also provided input. SHR staff supported the communications and registration for the sessions. Email invitations were sent to all staff identified by ISB as having large H drives and it was also promoted across the sector on the Intranet banner. A total of 87 sector staff participated.

Ministry	09-Feb	11-Feb	17-Feb	19-Feb	TOTAL
JERI	4	5	6	5	**20**
LBR	4	7	5	4	**20**
MUNI	10	12	5	11	**38**
TACS	1	3	1	4	**9**
Outside Sector	0	0	0	1	**1**
Total # of attendees	**19**	**27**	**17**	**25**	**88**

e posted on the Economy Sector intranet, including a short animated video on how decluttering can "spark joy". The Declutter Page received 231 views between October and February. This topic seemed of particular interest to staff, as our regular Sector Records Management page only received 126 views during the same period.

We will also be presenting this workshop to a government-wide audience in October as part of the Government Records Service RM Community of Practice Webinar series.

We hope to build on this success by developing additional sessions to help staff manage their records. It was also a great opportunity for the RM team to build relationships with our colleagues across MSD.

Cheers,

Jennifer

Jennifer Mohan
Manager, Information Management and Strategic Initiatives
Management Services Division

Providing Services to:
Ministry of Municipal Affairs /
Ministry of Jobs, Economic Recovery and Innovation/
Ministry of Tourism, Arts, Culture and Sport/
Ministry of Labour

Jennifer.Mohan@gov.bc.ca
(778) 698-3503 (office)
(250) 514-0485 (cell)

EDRMS CM – Create and Search

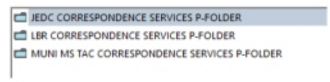
For Economy Sector – Correspondence Group

Jennifer Mohan, Manager, Information Management and Strategic Initiatives
Ashley Moore, Junior Records Analyst, IMSI

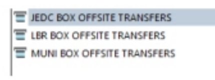
Record Types to Know

Each Ministries records are filed separately, so you enter them and search for them under different records types:

Record Types:
JEDC CORRESPONDENCE SERVICES P-FOLDER
LBR CORRESPONDENCE SERVICES P-FOLDER
MUNI MS TAC CORRESPONDENCE SERVICES P-FOLDER



Offsite Box Types:
JEDC BOX OFFSITE TRANSFERS
LBR BOX OFFSITE TRANSFERS
MUNI BOX OFFSITE TRANSFERS



Setting up your Columns and Properties

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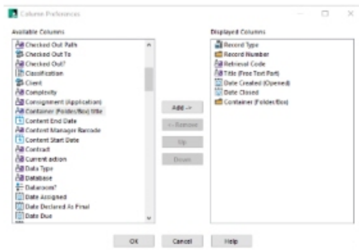

By right clicking on the column titles, you get a drop down menu. From there, choose Format Columns and you will get a pop up window of column preferences.

The most relevant columns are:
Record Number
Retrieval Code
Title (Free Text Part)
Date Created (Opened)
Date Closed
Container (Folder/Box

Other useful list columns are:
Date Due to Archive (FR/SR)
SO Date

You can also change the order they show up in using the Up and Down buttons.

You can also set up what information is viewed in the Properties tab at the bottom of the screen. Right click anywhere in the properties tab and select customize for a similar pop up window.

The most relevant fields are are:
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Date Registered
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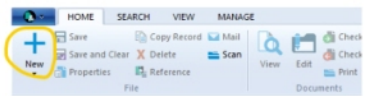
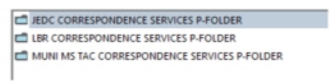
Create a New Record

To create a NEW record, go to the 'HOME' on the top left hand tool bar. Click the plus sign.



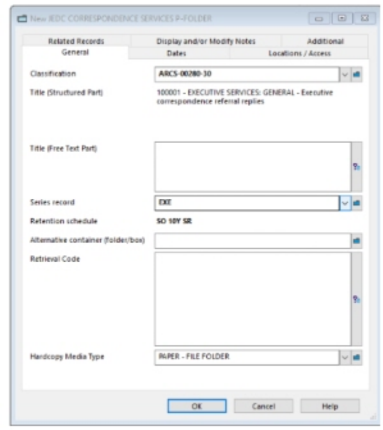
A box will pop up asking you what kind of record you want to create. Choose the option that corresponds with the ministry the record is for:

JEDC CORRESPONDENCE SERVICES P-FOLDER
LBR CORRESPONDENCE SERVICES P-FOLDER
MUNI MS TAC CORRESPONDENCE SERVICES P-FOLDER



Create a New Record (cont.)

A new window will open and you will be asked to fill in a number of fields. In the 'General' tab in the new record window you MUST fill in:

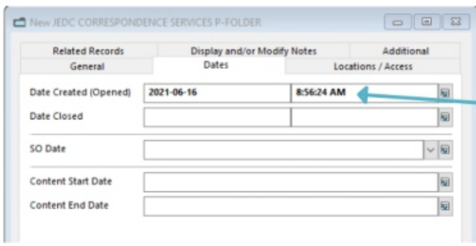


Classification
Title (Free Text Part)
Series Record (choose EXE for executive records)
Retrieval Code

Once all those areas are filled in, go to the Dates' tab.

Create a New Record (cont.)

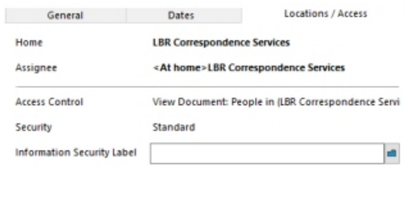
In the Dates Tab, enter the dates necessary for the file. You MUST enter a date created, but if the file is already closed then you can also enter a closed date and an SO date as per processes in your business area.



When entering the date, you will also want to erase the time stamp, as that is not required.

Create a New Record (cont.)

Also, go to the Locations/Access Tab and ensure that the Home and Assignee locations are correct and match the ministry the record is for.

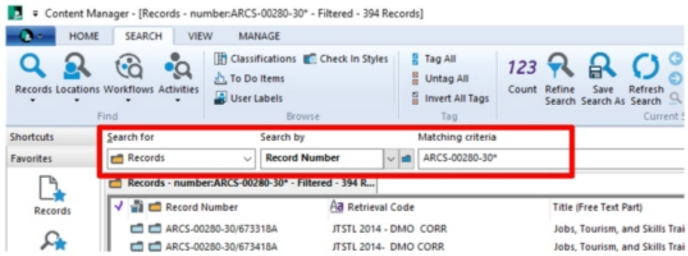


Once the General, Dates and Location/Access tabs are complete, you may hit the 'OK' button on the bottom of the screen.

Ta da! Your record is created!

How to Set up a Search

Using the quick search bar on EDRMS is the easiest way to start a search. The quick search bar is found here:



Both Search for and Search by have drop down menus so you can choose how you want to conduct your search. Search by also has a Blue Folder icon next to it, which will give you even more options for ways to search if you click it.

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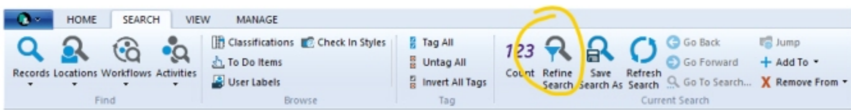
Refine Search is how you can narrow down a particularly wide search to more easily find the files you are looking for. You can find it under the Search tab or by pressing F7.



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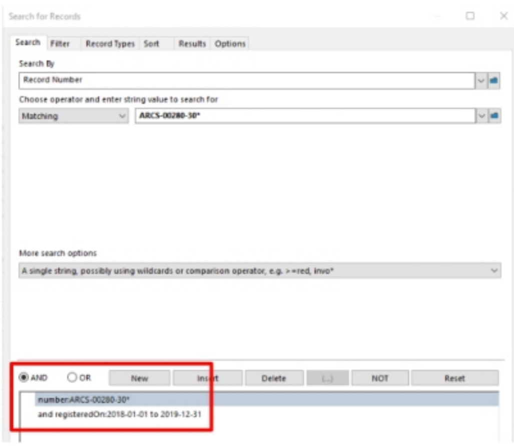

The Refine Search window gives you the option of a compound search.

In the example on the left hand side I have it set up for search for record type and within a specified date range.

You can also layer on Any Word searches.

Document Content Searches only seem to work with certain types of refine searches. For instance, it works to refine by dates, but not by record type or record number.

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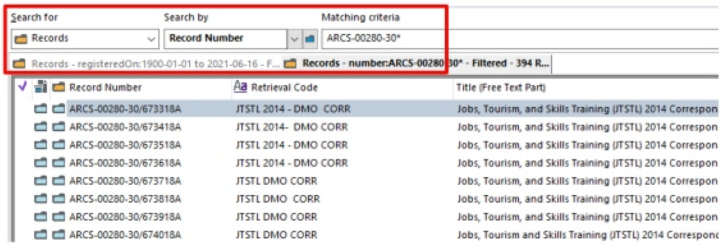
If you are looking to pull up all records currently on EDRMS, the best way to do that is to search by record number. This will bring up records that are both onsite and offsite.

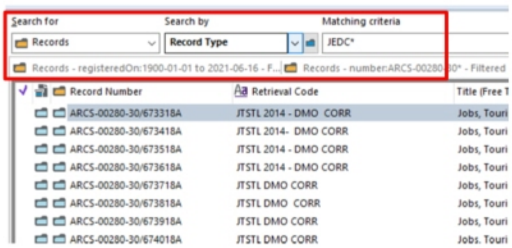


In this instance you would use the following settings:

Search for: Records
Search by: Records Number
Matching Criteria: ARCS-00280-30*

Searching by Record Type

If you are looking for records related to only one ministry then you will want to search by Record Type.



In this instance you would use the following settings:

Search for:	Records
Search by:	Record Type
Matching Criteria:	JEDC* OR LBR* OR MUNI MS TAC*

References and Contacts

References:

[EDRMS Content Manager Guides]
[Tip 006: Saving a Search/ Moving Between Open Searches]
[Tip 009: Using Wildcards in Searching]
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Contacts:

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EDRMS CM – Create and Search

For MUNI – Local Government Division Admins

Ashley Moore, Junior Records Analyst, IMSI

Record Types to Know

Records for different areas are divided into different record types. When you are approved for access to EDRMS your profile is linked to the specific record types for the area you work in. This helps to ensure that access is limited to people within the department or branch.

MUNI LG Division/Branch	Record Type(s) associated with it
MUNI Local Government ADM's Office	MUNI ADM LOCAL GOVERNMENT DIV P-FOLDER
Board of Examiners	MUNI LG BOARD OF EXAMINERS P-FOLDER
Governance and Structure / Policy, Research & Legislation	MUNI LG GOV & STRUCT POL RESEARCH & LEG P-FOLDER
Infrastructure and Finance	MUNI LG LOCAL GOV INFRASTRUCTURE & FIN P-FOLDER
Client Relations	MUNI LG LOCAL GOV OPS CLIENT RELATIONS P-FOLDER
Negotiations & Corporate Initiatives	MUNI LG NEGOTIATIONS & CORPORATE INIT P-FOLDER
Planning and Land Use Management	MUNI LG PLANNING & LAND USE MANAGEMENT P-FOLDER
Public Libraries	MUNI LG PUBLIC LIBRARIES P-FOLDER MUNI LG PUBLIC LIBRARIES E-FOLDER
University Endowment Lands	MUNI LG UNIVERSITY ENDOWMENT LANDS P-FOLDER

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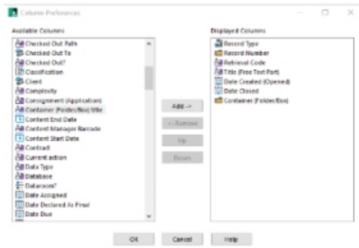

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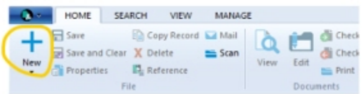

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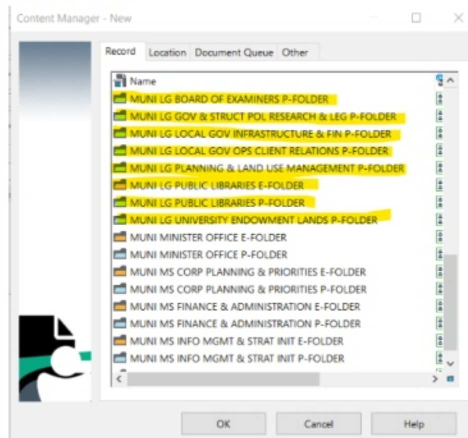

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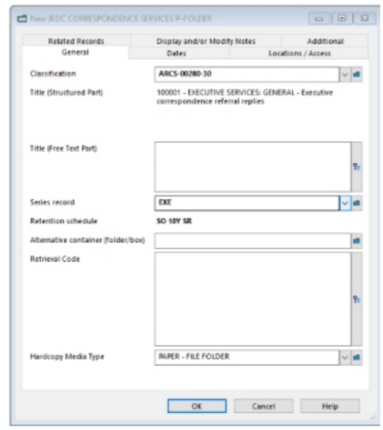

Classification
Title (Free Text Part)
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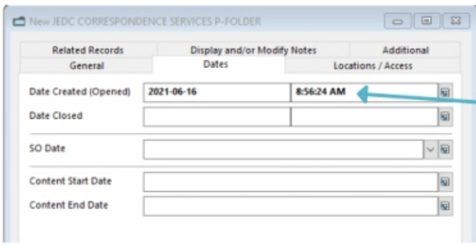

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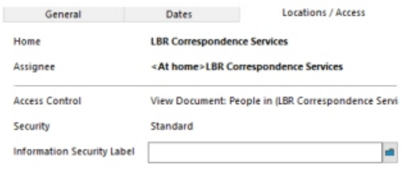

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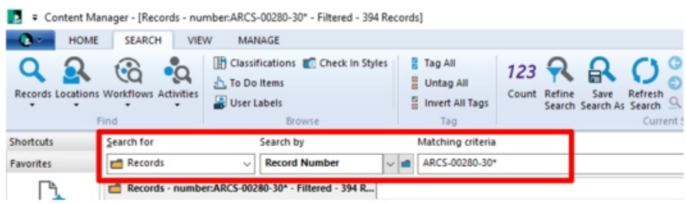

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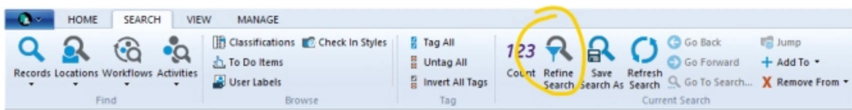

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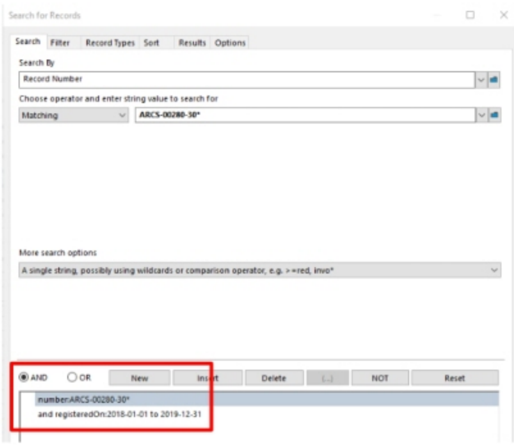

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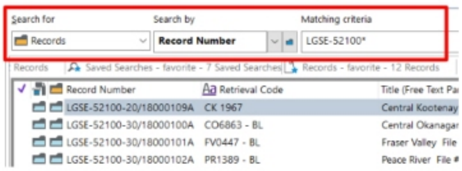

In this instance you would use the following settings:

Search for: Records
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Matching Criteria: Enter in the ARCS or ORCS number you wish to search by

Searching by Date

Another way to search is by date. There are a variety of dates that you can search by.

Dates and Times	
closedOn	Date Closed
createdOn	Date Created (Opened)
finalisedOn	Date Declared As Final
imported	Date Imported
updated	Date Last Updated
publishedOn	Date Published
receivedOn	Date Received
registeredOn	Date Registered
supersededOn	Date Superseded
actionedOn	Last Action Date

A note on *'Date Created'* vs *'Date Registered'*:

'*Date Created*' means when the record was first created.

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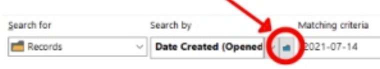
You can change find these and many other ways of searching by clicking the blue folder next to the 'Search by' text box.



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EDRMS CM – Create and Search

For MUNI – Local Government Division Admins

December 2, 2021

Ashley Moore, Junior Records Analyst, IMSI

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Infrastructure and Finance	MUNI LG Local Gov Infrastructure & Finance P-Folder
Planning and Land Use Management	MUNI LG Planning & Land Use Management P-Folder
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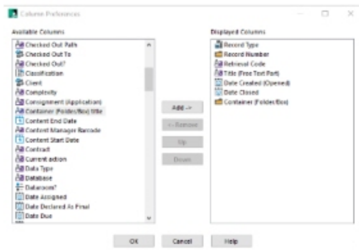

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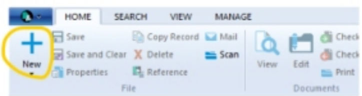

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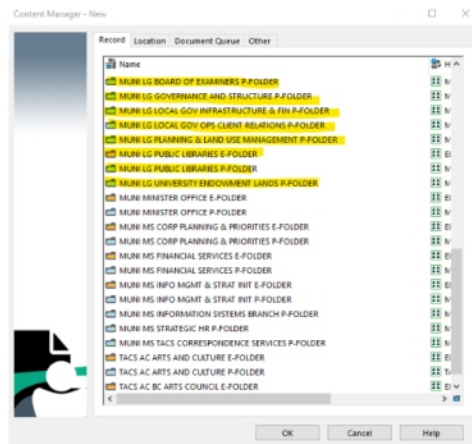

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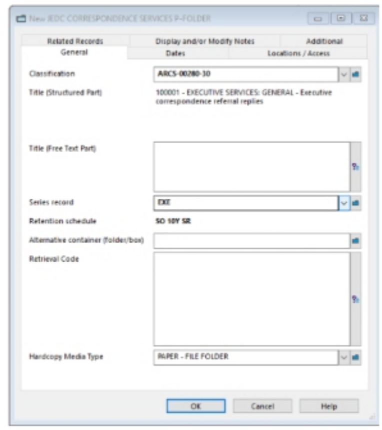

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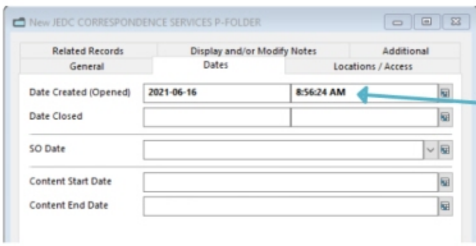

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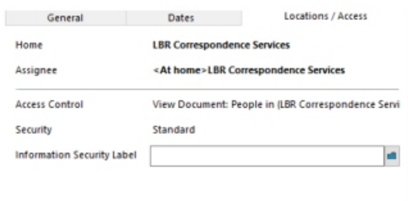

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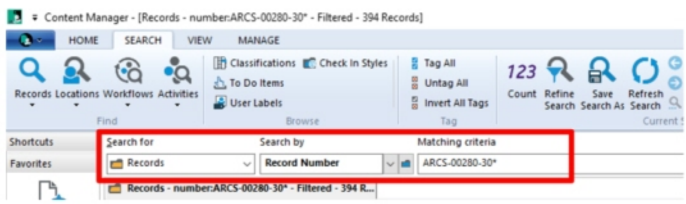

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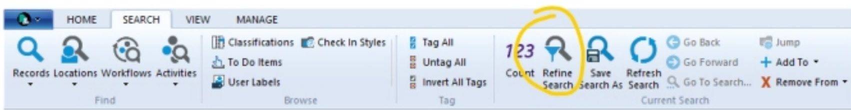

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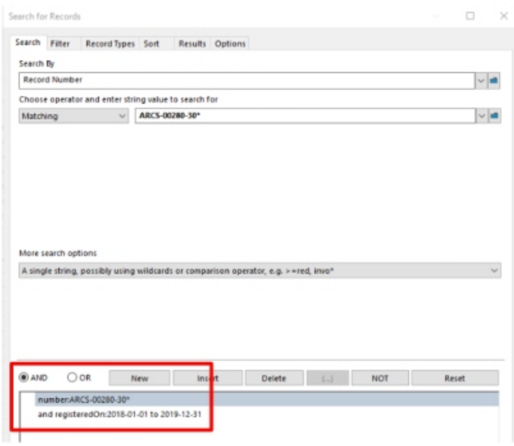

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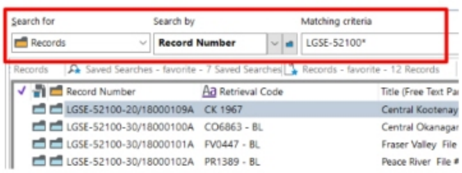

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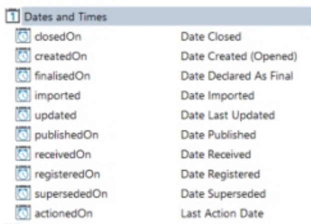

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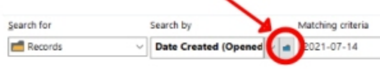

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Contacts:

Records Help Team
records.help@gov.bc.ca

Economy Sector
Records Help Team

Information Management Training

MUNI LG PLUM – June 14, 2022

Ashley Moore, Junior Records Analyst

BRITISH COLUMBIA | Ministry of Municipal Affairs

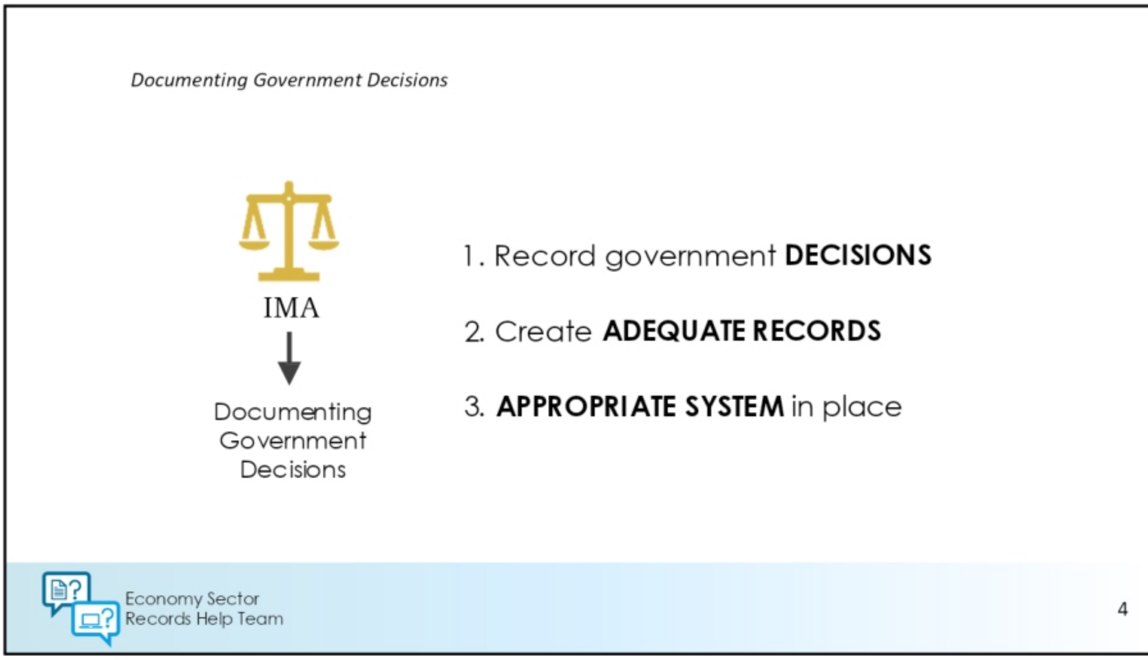
We are presenting from the traditional territories of the Coast Salish peoples - specifically the Lkwungen (Lekwungen) speaking peoples including the Songhees and Esquimalt Nations, as well as the W̱SÁNEĆ peoples - who have deep and lasting ties to this land since time immemorial.

Note about Red Dress Day

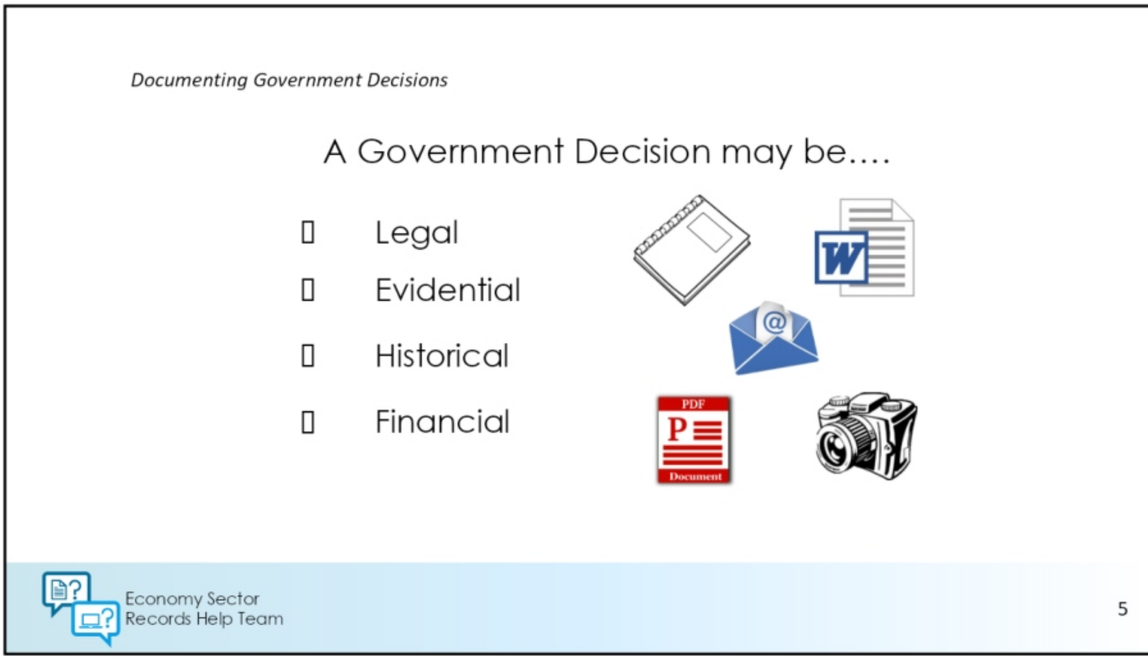
We are **ALL**

Trusted Stewards of

Government Information



The duty to document is embedded in our legislation, the Information Management Act



The first piece of Documenting Government Decisions is creating a record.

(the Managing Government Information Policy (or MGIP) **definition of a Record: Information created, received and maintained by an organization or person, in pursuance of legal obligations or in the transaction of business. This includes records formats defined in the Interpretation Act and FOIPPA.**)

- Government bodies **must** create and maintain records of their decisions to meet their obligations under the IMA.
- It's a government record if it
- Information or a record of a decision can be: physical or digital; and can be in any format (data, map, drawing, photo, email, video, audio, post on Teams, etc.)

Documenting Government Decisions

A record is **ADEQUATE** when…

you can show someone,
who is not familiar with your business,
how decisions were made.

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The second piece key part of Documenting a Government Decision is Adequate records.

We're an open and transparent government; records are essential to understanding government business.
We must create and maintain records of our decisions to meet our obligations under the IMA; and they must be **adequate**:

That means that you can show the record (or records) to someone, who is not familiar with your business, and they can see how decisions were made.

The W's

- **Who** and **what** authority
- **When**
- **Who's** affected
- Under **what** basis

Always remember your W's!

The public should be well informed about:

- **Who** made the decision and under **what** authority;
- **When** the decision was made;
- **Who** will be affected by the decision; and
- Under **What** basis was the decision made

This might result in a casefile of documents that, when put together, show how a decision was made.

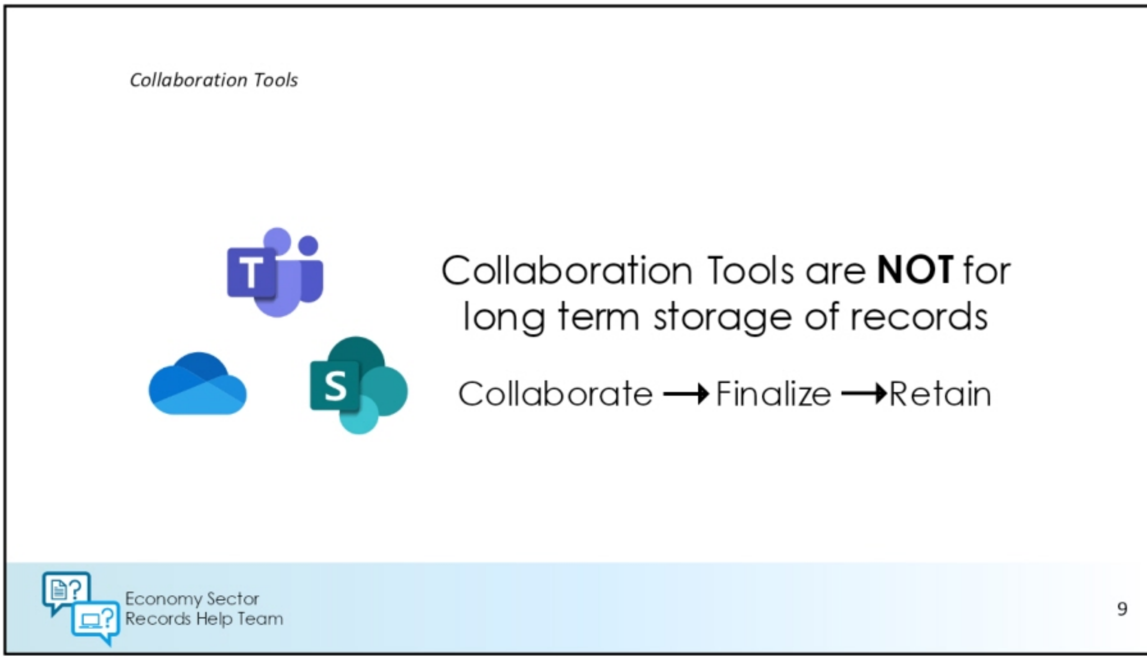
An Appropriate System has:

1. Defined Roles & Responsibilities
2. Documented Policies & Procedures
3. Recordkeeping Systems
4. Training & Awareness
5. Compliance Monitoring

Appropriate Systems is the last key piece for Documenting Government Decisions

An appropriate system doesn't just mean what software or files storage system you need. The components of an appropriate system are:

1. Defined Roles & Responsibilities - Ensure that everyone is on the same page and understand their role and responsibility in creating and maintaining records of decisions
2. Documented Polices & Procedures - Develop program area-specific policies, processes and procedures. You are the subject matter experts of your line of business.
3. Recordkeeping System - Three main: EDRMS CM, LAN, Hardcopy. Additionally, you may have business-specific systems. For any recordkeeping system:
   - Appropriate access ('Least privileged' and 'Need to know')
   - System permits for appropriate retention and disposition
   - Think FOI - FINDABILITY
4. Training & Awareness: Staff need to have a clear understanding of their responsibilities on creating and maintaining government information, to ensure consistency in practices and the control of the records.
5. Compliance Monitoring: Be proactive in monitoring and assessing your IM activities, practices and processes.



Collaboration tools is a term used to discuss digital tools or applications that can be used simultaneously by multiple employees working together.

- MS Teams, SharePoint, OneDrive, OneNote are most common.

Collaboration tools are NOT appropriate record keeping systems. While they are helpful for editing and collaborating, once a document is finalized then that version needs to be saved onto the LAN (shared drive). – Then delete that the versions available on the collaboration tool.

Access for MS Teams and OneDrive must be managed by employees and Team owners.

Access to documents in Teams and One Drive are not automatically granted or removed when an employee joins or leaves a team. It is the responsibility of all staff to review who you are sharing files within MS Teams and OneDrive and to remove anyone who no longer needs access to them.

Access to Teams, channels and chats on MS Teams is the responsibility of the Team Owner(s). It is a good practice to have at least two Owners for a Team.

Email Management

Outlook is NOT for long term storage of records.

Emails that document government decisions must be saved on the LAN or EDRMS CM

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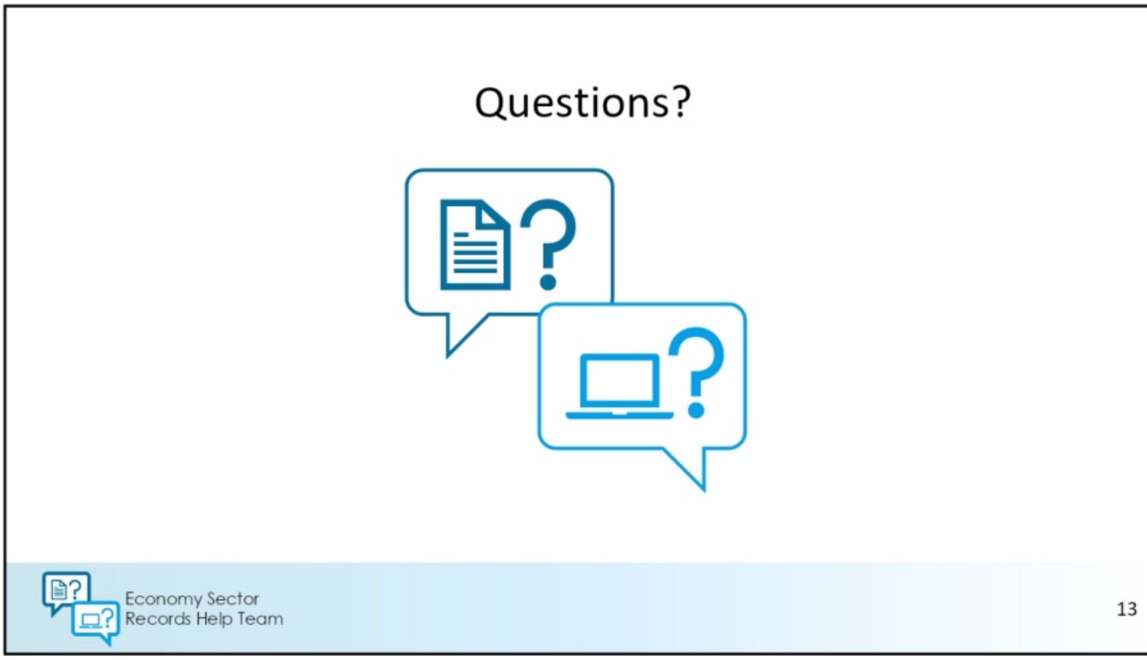
Like collaboration tools, outlook is not a place to store your records. Emails that document government decisions should be saved to the LAN.

The best time to manage your emails is when you are using them. That means that when you read an email manage it right away, whether that means putting it in a folder, using a category or saving a copy to the LAN (either as a .msg file or a .pdf file)

Make email clean up part of your close out process for projects.

When managing your email:
- Focus on emails that document government decisions.
- Make use of folders, categories, rules

An important note:
Do NOT destroy any transitory information that is relevant to a FOIPPA request or legal discovery.
Any record, transitory or not, that is deemed **responsive** cannot be destroyed once the FOI request is received.



Questions?

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Information Management Training

MUNI All Admins – June 23, 2022
Ashley Moore, Junior Records Analyst

British Columbia | Ministry of Municipal Affairs

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We are **ALL**

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Documenting Government Decisions

IMA

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Documenting Government Decisions

1. Record government **DECISIONS**
2. Create **ADEQUATE RECORDS**
3. **APPROPRIATE SYSTEM** in place

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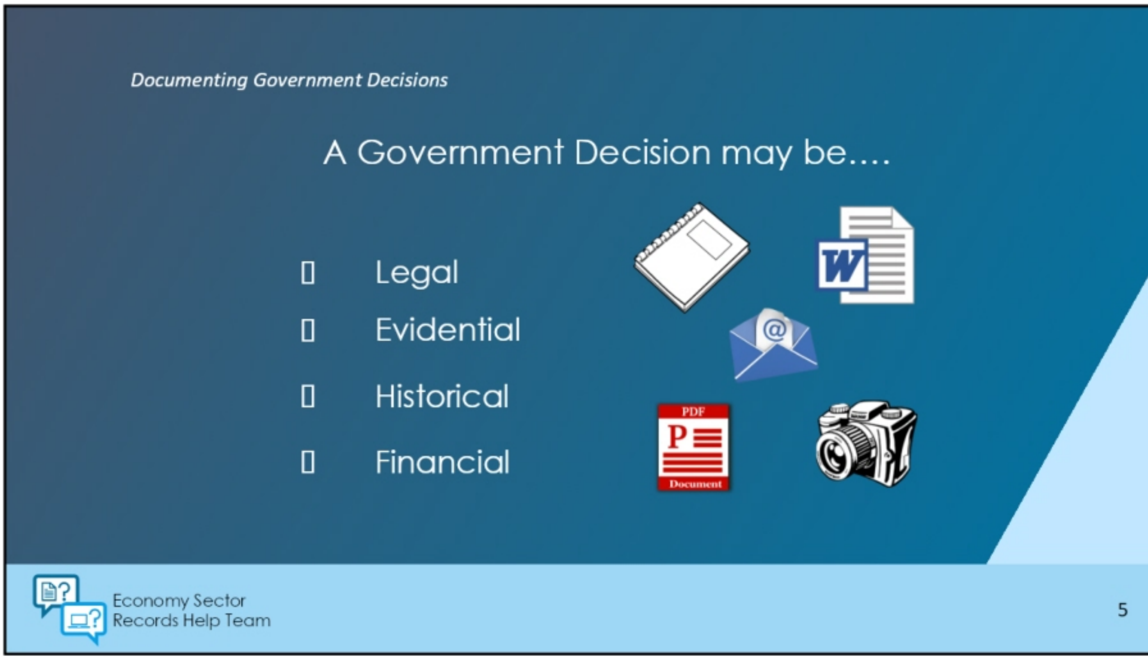

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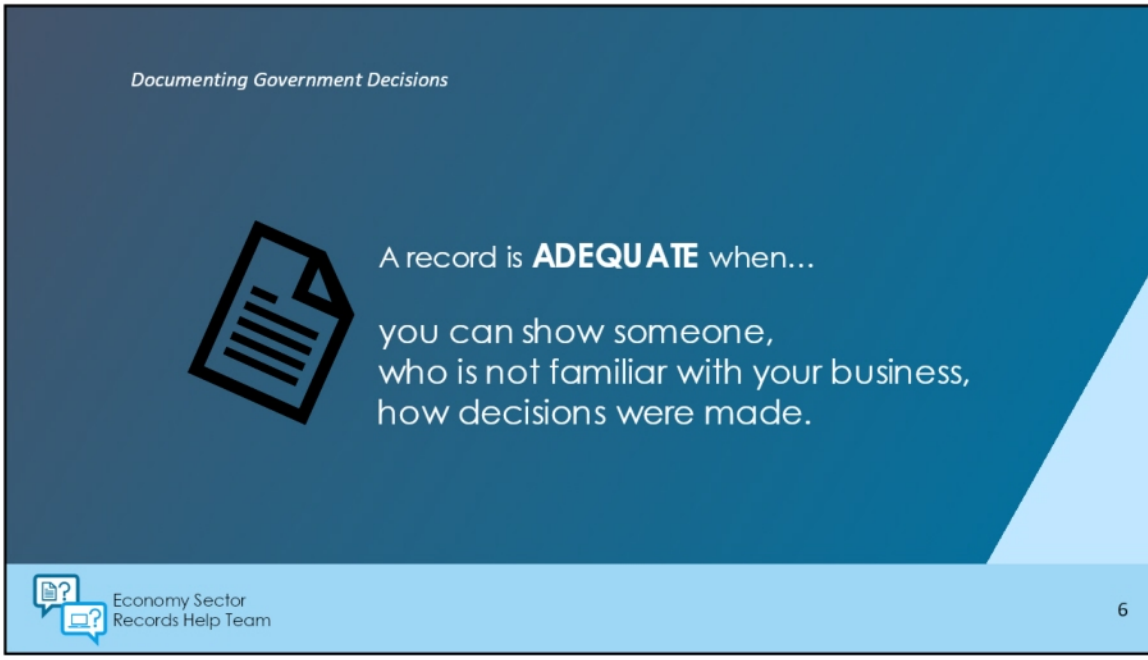

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Documenting Government Decisions

The W's

- **Who** and **what** authority
- **When**
- **Who's** affected
- Under **what** basis

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Always remember your W's!

This might result in a casefile of documents that, when put together, show how a decision was made.

3. Recordkeeping System - Three main: EDRMS CM, LAN, Hardcopy. Additionally, you may have business-specific systems. For any recordkeeping system:
   - Appropriate access (‘Least privileged’ and ‘Need to know’)
   - System permits for appropriate retention and disposition
   - Think FOI - FINDABILITY

Collaboration Tools

Collaboration Tools are **NOT** for long term storage of records

Collaborate ⟶ Finalize ⟶ Retain

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Collaboration Tools

Access for MS Teams and OneDrive must be managed by employees and Team owners.

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Email Management

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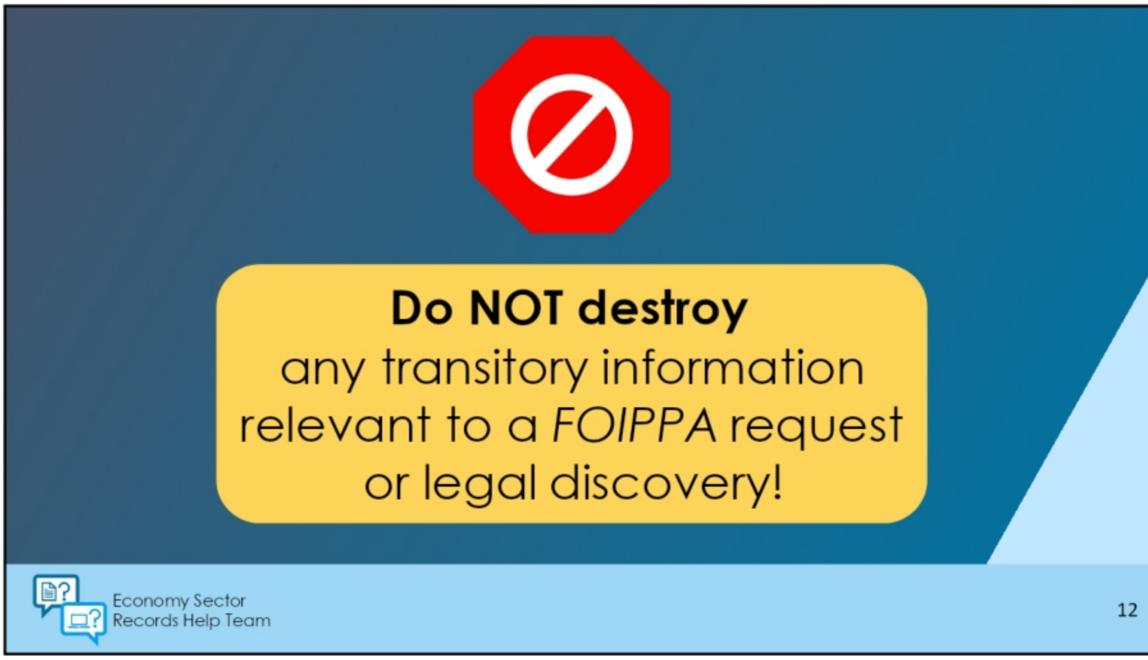
Do NOT destroy
any transitory information
relevant to a *FOIPPA* request
or legal discovery!
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Questions?

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Documented Policies & Procedures

Information Session

September 21st

BRITISH COLUMBIA

Ministry of Municipal Affairs


Land Acknowledgement


HEY, WHAT ARE YOU DOING?
I THOUGHT I'D DOCUMENT OUR KEY PROCESSES...
Dataedo /cartoon
Piotr@Dataedo

Agenda

- Overview
- Fundamentals
- Fill-in Template
- New Service
- Workshop

Documented Policies and Procedures (DPP) = organization-specific documentation on policies and procedures regarding your business activities, how/why your information/records are created and maintained, team roles and responsibilities, required training, and legislated responsibilities.

Legislated Requirements

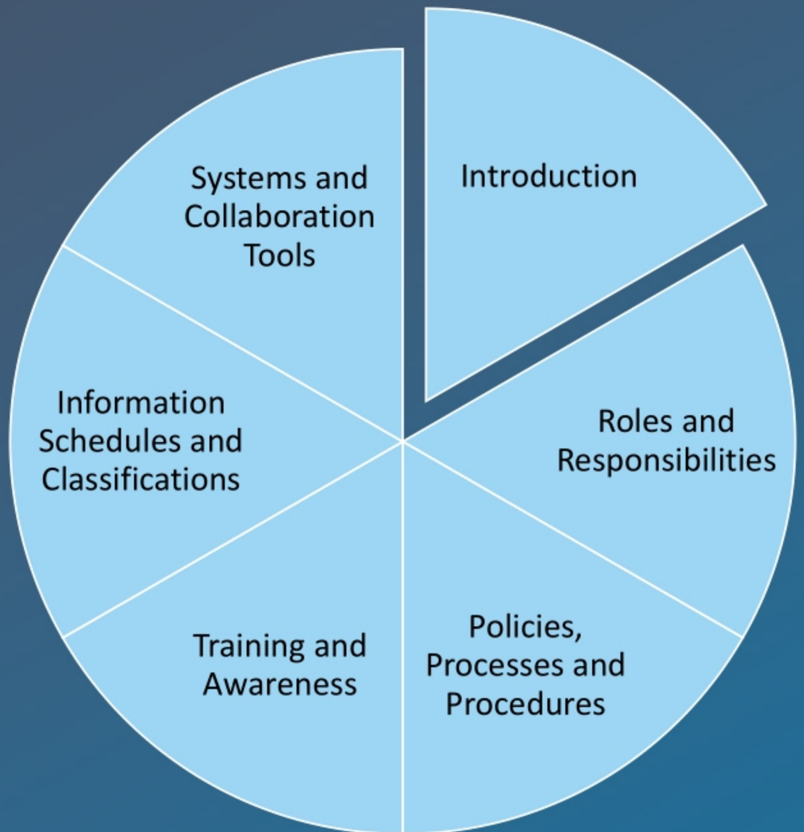
Under the Information Management Act (IMA) government bodies are required to have documented policies and procedures.

Government bodies are required to have an appropriate system in place, which must include recorded policies and procedures as outlined in **section 2.a.** of the Documenting Government Decisions Directive.

Documented Policies and Procedures

- Fundamentals
- Fill-in Template
- Checklist

Fundamentals



Fill-in Template

Introduction

Branch Name:	
Division:	
Ministry:	
Legislated Requirements:	
Business Function:	

Commonly Used Acronyms	
Acronym	**Meaning**
E.g. MUNI	*Ministry of Municipal Affairs*

Team Roles and Responsibilities

(Create one table for each role within the Branch)

Job Title and Classification:	
Reports To:	
Supervises:	
Responsibilities:	

Title of activity or business function

Purpose/Overview			
Records Classification	ARCS classification number (e.g. 280-20) or indicate if record is not covered under an approved information schedule		
Format	☐Physical ☐Digital ☐Both		
Records Location	EDRMS CM, file path, line of business system, physical location, ongoing accession number		
Office of Primary Responsibility	☐OPR ☐ Non-OPR ☐Executive Records schedule applies	**Critical Records**	☐ in Business Continuity Plan (BCP) ☐Full-Retention record ☐N/A
Responsibility of:	Job title or classification	**Approvals Required**	List if multiple approvals needed
Specifics			
Describe the activity or business function and any pertinent information such as: when and how often it takes place; links and dependencies; applicable security or privacy considerations (PIA or STRA); which records, if any, are considered critical; how adequate records of decisions are maintained; and when active records are considered closed. Common types of activities or business functions: - Committee files - Service requests - Financial grant applications - Financial Transactions			

New Service

Documented Policies and Procedures Review

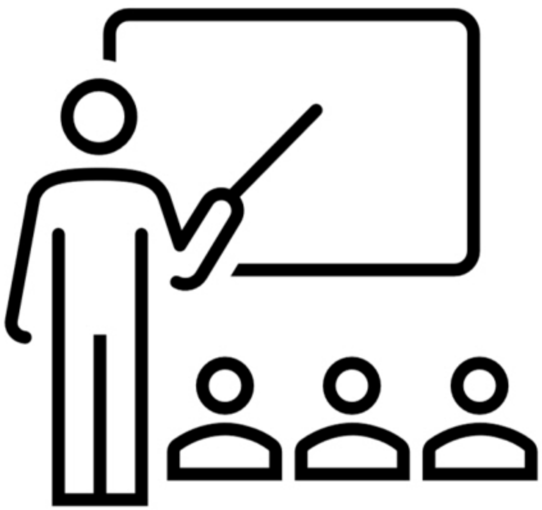
Documented Policies and Procedures Review Checklist

Mark each statement with Yes (Y), No (N), or Not Applicable (N/A)

Introduction	
Program area, division, and ministry are listed	
Program area business and functions are explained	
Legislated requirements are listed	
Key terms and acronyms are defined	
Roles and Responsibilities	
Roles and responsibilities for all staff are outlined	
Supervisor and manager roles are identified	
Roles are references by job title or classification, not staff name	
Key contacts outside the program area are listed - such as IT Support, FOI Team, Records Help Team, Finance Team	
Policies, Processes and Procedures	
Purpose is clearly stated	

Workshop

In conclusion



Documented Policies and Procedures help with:

- Onboarding and training new staff
- Knowledge transfer
- Consistent processes
- Creating efficiencies

Questions?

Workshop Outline

- Intro to workshop and introductions
- Cover Sections 1 & 2 of DPP Fundamentals

- Cover Section 3, 4, and 5 of DPP Fundamentals

- Cover section 6, and appendices
- Outstanding questions & wrap up

Economy Sector
Records Help Team

Information Management & Freedom of Information

Presented by:
Information Management and Strategic Initiatives,
Municipal Affairs,
Economy Sector

May 2023

Land Acknowledgement

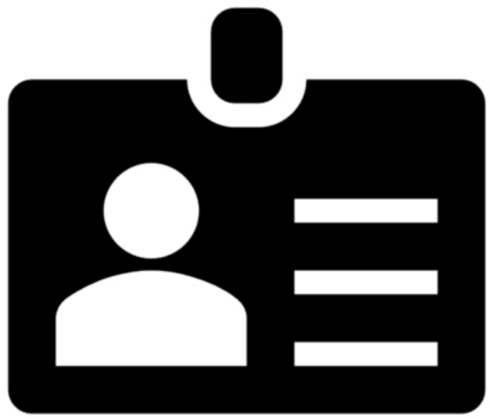
Your Roles & Responsibilities as a Public Servant:

1. Information Management
2. Freedom of Information

Part 1: Information Management

1. Documenting Government Decisions
2. Adequate Record
3. Appropriate System

We are **ALL**



Trusted Stewards of

Government Information

COVID-19: The duty to document does not cease in a crisis, it becomes more essential

Documenting Government Decisions
Fundamentals

IMA

Documenting Government Decisions

1. Record government **DECISIONS**

2. Create **ADEQUATE RECORDS**

3. **APPROPRIATE SYSTEM** in place

Examples of **Records of Decision**

- ❑ Legal
- ❑ Evidential
- ❑ Historical
- ❑ Financial

Adequate Records

A record is **ADEQUATE** when…

you can show someone,
who is not familiar with your business,
how decisions were made.

Adequate Records

- **Who** and **what** authority
- **When**
- **Who's** affected
- Under **what** basis

Adequate Records

Don’t create and keep **all** information of **every** decision.

Apply your **professional** judgement.

Appropriate System

1. Defined Roles & Responsibilities
2. Documented Policies & Procedures
3. Recordkeeping Systems
4. Training & Awareness
5. Compliance Monitoring

Create a **Culture** of Information Management

Have it on your **Agenda**

Be an IM **Champion**

Remember to **Document** your decisions

Do NOT destroy
any transitory information relevant to a *FOIPPA* request or legal discovery!

Can't talk about **records**…

…without talking about **FOI**!

Part 2: Freedom of Information

1. Program Area Responsibility
2. Legislation/harms review
3. Final Review/redline

FOI Timelines

30 Business Days

VWHS#4

- Request is received from Information Access Operations (IAO)
- Information Management and Strategic Initiatives (IMSI) sends Call for Records (CFR) to Program Area (PA) for records.

1 Day

VWHS#5

- PA gathers records in original format (unless a fee is required) and sent to IMSI
- IMSI send records back to PA for harms review.
- PA returns records with harms review to IMSI.
- IMSI reviews harms and adds comments before sending to IAO.

12 Days

VWHS#6

- IAO reviews records, prepares proposed disclosure package and may take appropriate extensions if needed (consultations, volume, etc.)
- Package returned to IMSI.

10 Days

VWHS#7

- IMSI receives redline from IAO and sends to PA for review and approval.

VWHS#8

- Once approved by PA, the package is moved to the Delegated Head (DMO and/or ADM) for final review/approval.
- Final Approval Package returned to IMSI for finalizing prior to submitting to IAO.

6 Days

VWHS#9

- IAO prepares response package for release to applicant.

1 Day

SAMPLE CALL FOR RECORDS (CFR)

Good morning/afternoon,

Please forward the responsive records to our team FOI inbox at FOI.Inbox@gov.bc.ca. Response is requested by: **Day, Month, Year.**

The Ministry of (Ministry Name) received a request for records from a **Political Party**:

Please note:

- Please gather records as you normally would in their original format. **Please do not convert files to pdf.**
- **If you believe this Call for Records should be directed to someone other than those it has been addressed, please advise**
- If you expect this search for records to take more than 3 hours, please do not proceed. Contact our office immediately
- If a fee estimate is required, you do not need to provide a time estimate for electronic records. Please provide the number of files and IAO will calculate the time required for consideration of a fee.
- Identify consultations that may be required

Thank you,

Is this record responsive to an FOI Request?

- The record falls within the **date range** of the request

- The title and/or the content of the record speaks **directly to the wording of the request**, including information contained within attachments.

- If the words ‘Any and all records…’ start off the request, **everything** relating to that topic within the date range is responsive. (this may result in a Fee Estimate).

Harms Review

- What information within the records could potentially cause an issue if it was disclosed?
- Rationale for why it is harmful
- Are Consultations needed?
- What to do when you receive a Consultation

EXCEPTIONS TO DISCLOSURE

Mandatory Exceptions	
Section 12	Cabinet confidences
Section 18.1	Harmful to the interest of an Indigenous people
Section 21	Third party business information
Section 22	Personal information
Discretionary Exceptions	
Section 13	Policy advice/recommendations
Section 14	Legal advice
Section 15	Law enforcement
Section 16	Intergovernmental relations
Section 17	Financial or economic interests
Section 18	Heritage Sites
Section 19	Personal health or safety
Section 20	Information soon to be published

SAMPLE PROGRAM AREA APPROVAL

Please reply with comments/approval to FOI.Inbox@gov.bc.ca by **Day, Month, Year**

Request Wording:

(Request wording goes here)

Note to Reviewers:

- Records were provided by xxxxx (division (s).
- The **green sticky notes** have been provided by the IAO analyst assigned to this request. The sticky notes may include information such as public links, notification on consultations, severing rationale, etc.
- Our office has reviewed and **highlighted** additional severing recommendations on the following pages.
    - Page #: section(s). Please respond to the sticky note.
- Once approved by ED xxx the package will be forwarded to the ADMO prior to submitting to the DMO for final review and approval
- This package will be published on Open Information. (In some instances, this bullet may state – the package will Not be published)

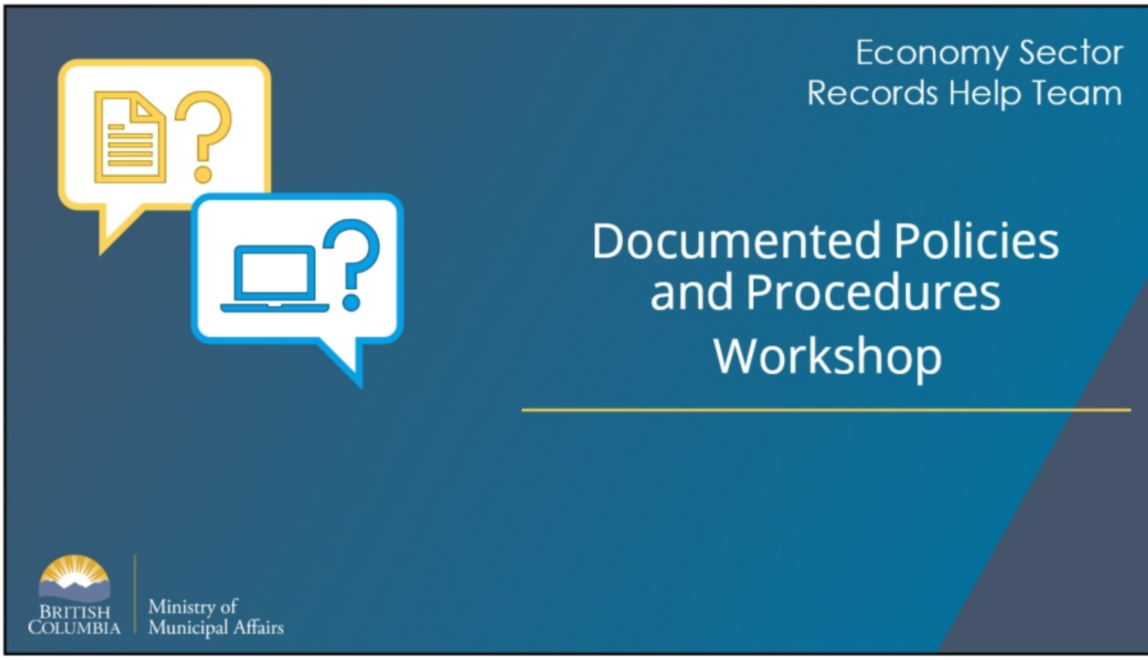
Thank you,

REMEMBER!!

If you have questions, IMMEDIATELY contact the FOI Team!

FOI.Inbox@gov.bc.ca

Questions?



Welcome to the Workshop we'll go over what to expect but first, lets do a round table of introductions.

What are DPP?:

Documenting your policies and procedures helps to align your program area with legislative requirements

- Information Management Act requires that ministries have an appropriate system in place for managing records.
- Further to that, the Chief records officer's Directive issued under the IMA and Guidelines explains that an appropriate system must include recorded policies and procedures for creating/maintaining records of decisions.

We want this to be a true workshop – *Birdhouse analogy. Workshop time will be spent going through the Fill-in Template. Filling it out on the spot while having a wholesome discussion as team about your teams policies and processes.

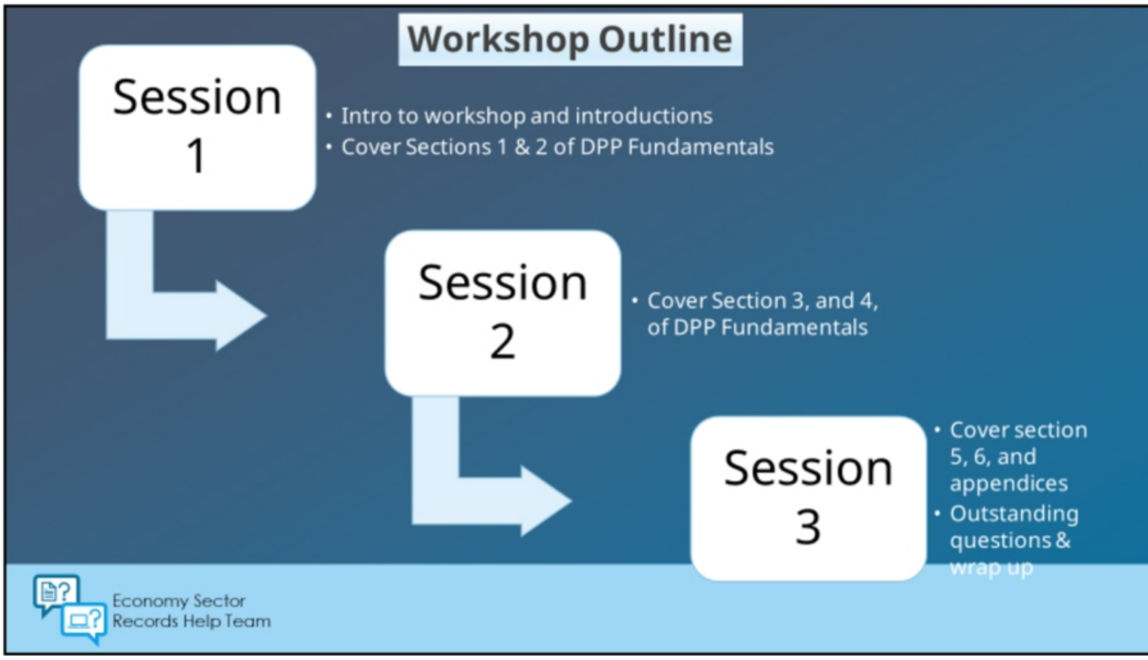
You will walk away from this workshop with a completed DPP

Lets pause for a poll

MS teams Poll – to check knowledge. Check all that apply

○ What records management terms do you have an understanding of:

ARCS/ORCS, Accession, Retention period, final disposition, OPR and non-OPR, Information



2.5hrs of workshop time, and 4-6hr of work outside of workshop time

Sessions will be hands on require participation from team

- Sessions will be spent working on the Fill-in Template.

Template will be open during this discussion. RH team to ask guiding questions that will help program area in filling out the template.

Fill- in Template

Introduction

Branch Name:	
Division:	
Ministry:	
Legislated Requirements:	
Business Function:	

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Common types of activities or business functions:

- Committee files
- Service requests
- Financial grant applications
- Financial Transactions

Economy Sector
Records Help Team

Documented Policies and Procedures Project

Workshop

Background

With the duty to document embedded in our legislation, through a CRO Directive and establishing the components of an appropriate system, BC Government has made a commitment to document government decisions (DGD).

The Documented Policies and Procedures Project addresses the second component of an appropriate system, the requirement to document policies and procedures. In the initial part of the project the Economy Sector Records Help Team deliverables included:

- Establish the Documented Policies and Procedures Fundamentals
- Developed the Documented Policies and Procedures Tool Kit

Purpose

The third and final deliverable of the project is to deliver a practical workshop to inform, adopt, and document:

- Inform program areas on the requirements of documenting policies and procedures
- Adopt the Fundamentals across the Economy Sector
- Document policies and procedures using the Records Help Team tools.

The end goal for the workshop is for program areas to have a completed documented policies and procedure document.

Session 1

Session Deliverables
Deliverables • Intro to workshop and introductions • Cover sections 1 & 2 of DPP Fundamentals • Poll participants for Records Management understanding **Audience** Individual program areas that have applied to participate in workshop.
Lesson Plan

<table>
<tr><td colspan="2">Bridge-in:
• Introductions
• Intro to the workshop
• Brief highlight of benefits of DPP</td><td></td></tr>
<tr><td colspan="2">Learning Objectives:
1. At the end of the session program area should understand:
    o Requirements for documenting Policies and Procedures
    o What to expect in following workshop sessions.
2. At the end of the session program area will have completed sections 1 & 2 of DPP Fill-in Template</td><td></td></tr>
<tr><td colspan="2">Resource Materials:
• Fill-in Template
• Workshop Intro Graphic
• MS Teams poll
Links:
• Link to DPP intranet
• CRO Directive</td><td></td></tr>
<tr><td>Session overview</td><td>Learner Activities</td><td>Time</td></tr>
<tr><td>Introduction
• Round table introductions
• Bridge in with birdhouse example, benefits of DPP ie. Onboarding, and knowledge transfer, as well as meeting CRO directive of appropriate system.
• MS teams Poll – to check knowledge. Check all that apply
    o What records management terms do you have an understanding of:
        ▪ ARCS/ORCS, Accession, Retention period, final disposition, OPR and non-OPR, Information Destruction Authorization (IDA), Redundant Source Information (RSI), How to Offsite records, How to destroy records.
        ▪ If participants note a lack of understanding in a particular area – Send out some resources on those topics following the 1st session and do a quick walk through in the 2nd session.</td><td>Slide 1</td><td>5 min</td></tr>
<tr><td>Share Workshop Intro Graphic
• Workshop agenda
• Go over expectations: 2.5hrs of workshop time, 4-6hr of work outside of workshop time
• Sessions will be hands on and require participation from team
    o Sessions will be spent working on the Fill-in Template.
    o Template will be open during this discussion. RH team to ask guiding questions that will help program area in filling out the template.</td><td>Slide 2</td><td>3 min</td></tr>
</table>

Open Fill-in template – do an overview of the sections covered in this session: Section 1 and 2. **Section 1 of Fill-in template** • Work with client to fill out program area information. Questions - What are your key business functions or what services do you provide? Questions that may be asked: - Where can I find my legislated requirements? o Ministry Service Plan o Annual Service Plan o IMA/CRO directive	Slide 3/Fill-in template	10 minutes
Section 2 of Fill-in template • Work with client to fill out program area information. Questions - How many people are in your team? - What are some of the key projects each role is responsible for. Suggestion: look over the job profiles for each position. - Who are some of your key contacts? The template includes common ones, but can anyone think of any other groups the team should be aware of? Ie. Internal communications	Fill-in template	10 minutes
Summary/Closure: - **Covered Section 1 (Introduction) and 2 (Roles and Responsibilities) of Fill-in template** - **Next session we will discuss Sections 3 (Policies Process & Procedures), and 4 (Training and Awareness)** - **Before next session please begin filling out Sections 3 and 4, and come with any questions you may have.**		2 min

Session 2

Session Deliverables	
Deliverables • Complete section 3 and 4 of DPP Fill-in template **Audience** Individual program areas that have applied to participate in workshop.	
Lesson Plan	
Bridge-in: • Today we will be focusing on your key business functions and how the records of those business functions are managed. • We will also cover training and awareness required for your branch.	
Learning Objectives: • At the end of the session program area will have completed sections 3 & 4 of DPP Fill-in Template	

<table>
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• Fill-template
• Workshop Intro Graphic
Links:
• Link to DPP intranet</td><td></td></tr>
<tr><td>Session overview</td><td>Learner Activities</td><td>Time</td></tr>
<tr><td>Introduction
• Review what was covered last session.
• Any outstanding questions from last session?
• Quick walk through of any unclear topics from MS teams poll conducted in 1st session.</td><td>Workshop outline</td><td>10 min</td></tr>
<tr><td>Section 3 of Fill-in template - Policies Processes and Procedures
• Work with client to fill out program area information.
Questions:
• What are your business functions. Think about what projects your team is currently working on, any routine job duties, participation in working groups/committees and what records and decisions may come out of those business functions.
Recommendations:
• Outside of workshop time take a look at BCP and see if any of your business functions show up in the BCP.
• When records are being created in collaboration with other program areas discuss with them who will be OPR</td><td>Fill- template</td><td>35 min</td></tr>
<tr><td>Section 4 of Fill-in template – Training and Awareness
• Work with client to fill out program area information.
Questions:
• Is there any training that is specific to individual roles. This could be a formal LearningHub course, but it could also be online resources, reports etc.
• Are there any Communities of Practice that your team should participate in – if so what roles should be involved.
Recommendation:
• Think about what was helpful in your learning when starting your position. It may be more helpful than you realize to document the reading materials or courses you took that helped you get up to speed.</td><td>Fill-in template</td><td>10 min</td></tr>
<tr><td colspan="2">Summary/Closure:
- Covered Section 3 (Policies Processes and Procedures) and 4 (Training and Awareness) of Fill-in template
- Next session we will discuss Sections 5 (Information Schedules and Classifications), 6 (Systems and Collaboration Tools), appendices
- Before next session please begin filling out Sections 5 and 6, and come with any questions you may have.</td><td>5 min</td></tr>
</table>

<u>Session 3</u>

<table>
<tr><th colspan="3">Session Deliverables</th></tr>
<tr><td colspan="3">Deliverables
• Complete section 5, 6, and appendices of DPP Fill-in template

Audience
Individual program areas that have applied to participate in workshop.</td></tr>
<tr><th colspan="3">Lesson Plan</th></tr>
<tr><td colspan="2">Bridge-in:
• Today we will be focusing on information schedules and classifications that your program area uses as well as applicable systems and collaboration tools.
• We will cover any appendices to include in your DPP such as a section on naming conventions or accessions for example.</td><td></td></tr>
<tr><td colspan="2">Learning Objectives:
3. At the end of the session program area will have completed section 5, 6, and appendices of DPP Fill-in Template
4. Close out with any final questions.</td><td></td></tr>
<tr><td colspan="2">Resource Materials:
• Fill-in template
• Workshop Intro Graphic
• MS Teams poll
• ARCS/ORCS
Links:
• Link to DPP intranet</td><td></td></tr>
<tr><td>Session overview</td><td>Learner Activities</td><td>Time</td></tr>
<tr><td>Introduction
• Review what was covered last session.
• Any outstanding questions from last session?</td><td>Slide 1</td><td>5 min</td></tr>
<tr><td>Section 5 of Fill-in template – Information Schedules and Classifications
• Work with client to fill out program area information.
Questions:
• Think about some common records type you may have. For example, you likely have HR and Financial records, but what other types can we think of – ie committee files, staff meetings, training files.
• Are you aware of any ongoing RSIs applicable to your program area.
• Are you aware of any ORCS for your program area.
• Has executive (ADM or above) delegated record keeping to you on their behalf? If so, executive records schedule will apply to those records.</td><td>Fill-in template</td><td>20 min</td></tr>
</table>

Section 6 of Fill-in template – Systems and Collaboration Tools • Work with client to fill out program area information. **Questions:** • What systems does your team have? Do you use eApproval, have any Teams pages, EDRMS, Salesforce, etc. • How do you access each of these systems • How are the records handled in these systems is it a repository or record keeping system?	Fill-in template	20 min
Appendices • Work with client to decide if they need an appendices. Questions • Do you have any physical records in off-site storage? Or do you have any physical records that you'd like to get out of the office? • Do you have any established naming conventions or are you interested in developing some? Recommendation: • We recommend you establish naming conventions for use in your branch. This will help with record keeping – share naming convention guide. • We recommend for more complex tasks/business functions you document these in a separate document with the step-by-step procedures and create links between your DPP and these step-by step guides.	Fill-in template	10 min
Summary/Closure: • **Covered Section 5 (Information Schedules and Classifications) and 6 (Systems and Collaboration Tools) and appendices of Fill-in template** • **MS teams poll – 1st Q: How satisfied were you with the workshop. 2nd Q: What could we improve on.** • **Workshop close out and thanks for participation.**		5 min

Documented Policies and Procedures – Article

Discover a suite of cutting-edge tools and workshops crafted by the Records Help Team. These resources are designed to empower business units and program areas, providing invaluable support in efficiently documenting their crucial business functions and processes. Elevate your documentation game with our latest offerings.

Documenting policies & procedures help with:

- Knowledge transfer
- Training and onboarding
- Supporting consistent processes
- Creating efficiencies

Legislative Alignment:

Documenting your program area's policies and procedures is essential in order to meet the BC Government's obligations under the Information Management Act (IMA). Government bodies are required to have an appropriate system in place, which must include recorded policies and procedures, as outlined in section 2.a of the Documenting Government Decision Directive.

Unveiling the toolbox: Resources tailored for success:

The Records Help Team developed a set of tools to assist program areas in documenting their policies and procedures in alignment with legislative requirements. These tools include:

- The Economy Sector's **Fundamentals** - outline the key components of a comprehensive documented policies and procedures.
- **Fill-in Template** - built on the Fundamentals and allows program areas to simply fill in their program area specific information.
- **Checklist** - created for program areas that already have documented policies and procedures in place and would like to know whether they meet legislative requirements.

Workshops

Beyond just providing the tools, the Records Help Team has gone the extra mile by offering hands-on workshops as part of a 3-part series. These workshops provide 1:1

expert advice and guidance on developing documented policies and procedures. Participants are required to attend all three sessions and allocate additional time beyond workshops for the development of their documented policies and procedures document.

- Comprehensive guidance: The Records Help Team delves into all six sections of the fundamentals, ensuring a thorough understanding. Finish the workshop with a completed Documented Policies and Procedures document.
- Program Area Involvement: Encourage participation from branch administrative coordinators, leadership (obtain support from executive), and subject matter experts (SMEs) to foster well-rounded discussions. Ideally 3-5 participants per workshop.
- Time commitment: The workshop requires a time commitment of 2.5 hours, with an additional allocation of approximately 2 hours outside of the workshop for actively working on documented policies and procedures.

Reach out to the Records.Help@gov.bc.ca for more information, or to apply to attend workshops. Don't miss out on this opportunity to elevate your business processes to new heights!

Information Management in MUNI

2021-2022 Fiscal Year

The Records Help team identified 3 performance indicators by which we can assess and manage risk within the Economy Sector. These indicators are in line with Chief Records Officer directives and the Information Management Act (IMA).

Governance & Accountability

- Established IM Contacts to enable communication and identify responsibilities across the sector
- 86% of MUNI branches have a designated IM Contact

Training and Awareness

- Launched the Records Help Newsletter which features IM updates and best practices
- H: Drive workshops were delivered across the sector in conjunction with ISB to help reduce the size and cost of H: Drive storage
- 43% of H: Drive Training Attendees were MUNI staff

Recordkeeping Systems & Maintenance

- Oversaw and coordinated the transfer and destruction of records when the Attorney General for Local Government closed
- 95% of MUNI branches use EDRMS CM, which is the government's standard recordkeeping system

Information Management in TACS

2021-2022 Fiscal Year

The Records Help team identified 3 performance indicators by which we can assess and manage risk within the Economy Sector. These indicators are in line with Chief Records Officer directives and the Information Management Act (IMA).

Governance & Accountability

- Established IM Contacts to enable communication and identify responsibilities across the sector
- 87% of TACS branches have a designated IM Contact

Training and Awareness

- Launched the Records Help Newsletter which features IM updates and best practices
- H: Drive workshops were delivered across the sector in conjunction with ISB to help reduce the size and cost of H: Drive storage
- 10% of H: Drive Training Attendees were TACS staff

Recordkeeping Systems & Maintenance

- Office of the BC Athletic Commissioner applied digitization processes and an information schedule to improve efficiency and to meet IM requirements
- 87% of TACS branches use EDRMS CM, which is the government’s standard recordkeeping system

Information Management in JERI

2021-2022 Fiscal Year

The Records Help team identified 3 performance indicators by which we can assess and manage risk within the Economy Sector. These indicators are in line with Chief Records Officer directives and the Information Management Act (IMA).

Governance & Accountability

- Established IM Contacts to enable communication and identify responsibilities across the sector
- 97% of JERI branches have a designated IM Contact

Training and Awareness

- Launched the Records Help Newsletter which features IM updates and best practices
- H: Drive workshops were delivered across the sector in conjunction with ISB to help reduce the size and cost of H: Drive storage
- 23% of H: Drive Training Attendees were JERI staff

Recordkeeping Systems & Maintenance

- Draft Information Schedule for financial grants completed and applied to COVID-19 grants within JERI
- 45% of JERI branches use EDRMS CM, which is the government's standard recordkeeping system

Information Management in LBR

2021-2022 Fiscal Year

The Records Help team identified 3 performance indicators by which we can assess and manage risk within the Economy Sector. These indicators are in line with Chief Records Officer directives and the Information Management Act (IMA).

Governance & Accountability

- Established IM Contacts to enable communication and identify responsibilities across the sector
- 85% of LBR branches have a designated IM Contact

Training and Awareness

- Launched the Records Help Newsletter which features IM updates and best practices
- H: Drive workshops were delivered across the sector in conjunction with ISB to help reduce the size and cost of H: Drive storage
- 23% of H: Drive Training Attendees were LBR staff

Recordkeeping Systems & Maintenance

- Led the ESB Trust Program in a project to document and apply effective digital IM procedures in order to go paperless to improve efficiency
- 82% of LBR branches* use EDRMS CM, which is the government's standard recordkeeping system

*WAO and EAO are not included in the calculations of this percentage as they do not have access to EDRMS CM.

Team

Vision: A culture that values information management excellence.

The Records Help team has been established for 5 years, and the recent 2 years have been focused on building a presence in the Sector and foundations to support our team, our partners, and our clients.

- We're an established team, with a vision & mission, business plan, comprehensive records management tracking log for status and reporting, a generic inbox, an Intranet page, and a monthly newsletter. We manage our records in EDRMS CM, and Director has access to Manager-restricted records on the LAN, here.
- We have established relationships, with information management point of contacts designated at the program area level, and reoccurring meetings and reporting to the Information Systems Branch/ISB (key IT partner in the Sector) and with Government Records Services/GRS (key records management partner at the central agency, in CITZ).

Business functions

The Records Help Team assists with planning and delivery of Information Management (IM) initiatives across the Economy Sector. Our service delivery functions include expert advice to meet IM requirements, developing and providing IM training, ORCS development support, processing IM service requests (e.g. records destructions), and leading IM projects.

Staffing

There are four positions: three positions report to the Manager. Two positions are currently staffed, and two expected to be filled in the next 2-6 weeks. One staff is on STIIP leave.

1. Manager, Band 3 – Sarah Thibault (TA); Base: Jennifer Mohan (on STIIP leave)
2. Ministry Records Officer, AO 24 – Linda Nobrega (TA); Base: Sarah Thibault (on TA)
3. Records Analyst, AO 15 – Vacant; competition in-progress
4. Junior Analyst, AO 15 – Vacant; Base: Natalia Viveiros (on TA, returning to base Nov. 14)

Business planning

Our business plan lays out our FY22-23 goals; next status update is Q3/Dec 31, 2022. Our two key priorities, sponsored by Joanna White and Alana Best, MSD ADMs:

- Information Destruction Authorization project (75% complete): the responsibility for authorizing onsite destructions is decentralizing and moving to ministries. We developed a destruction authorization model to implement the service delivery in the sector. It's not anticipated that additional resources are required to process destruction requests, however we'll monitor the workload once implemented in 2023. Recently briefed ADM/sponsors on model and awaiting their approval on model (Jason, ED, submitted request through eApproval).
- Documented IM Policies & Procedures project (50% complete): developing a framework to assist program areas in meeting their obligations with documenting their policies and procedures. We developed standards, a tool kit, and currently in-progress is developing the education & awareness plan.

Reporting

- Manager submits weekly reporting to director on Mondays.
- Manager produces fiscal year-end reporting for ministry executives (2021-22 reporting).
- ADMs Alana and Joana are the Information Management Ministry Leads (IMML) for the Economy Sector. IMML comprise of ministry representatives, typically ED or ADM level. IMML was initiated by GRS to connect with ministry executives and report out on GRS-led IM initiatives, including access, privacy, and security. GRS holds quarterly meetings with IMML. IMML have designated Records Management Contacts within their ministry; Records Help Team Manager and IMSI Director. GRS holds separate quarterly meetings with IMML and Records Management Contacts.

Upcoming priorities (starting Nov. 28)

- 30 days: staff onboarding and orientation; initiate implementation and communication plan within the Information Destruction Authorization project; and address IM updates and changes following the Nov. 24 announcement of ministry reorganization.
- 60 days: anticipating staff changes (both TA end on Dec. 31, 2022); initiate the education & awareness plan within the Documented IM Policies & Procedures project, complete remaining deliverables in the Documenting government Decisions Gap Analysis and produce a 2023 Progress Report.
- 90 days: 2023-24 business planning, fiscal year-end reporting, MPP completion.

Sarah Thibault
A/Manager, Records Help Team

Records Help Team

2022/2023 Business Plan

Inside this Plan:

Page 1 – Vision, Mission, Values, Core Work
Page 2 – Goals, Objectives, Strategies & Outcomes
Page 3 & 4 – Core Deliverables & Status

Our Vision
A culture that values information management excellence.

Our Mission
Service delivery that responds to people, practices, and technology.

Our Values
- Collaboration
- Engaged
- Insightful
- Reliability
- Fun

Our Core Work
The Records Help Team assists with planning and delivery of information management initiatives across the Economy Sector.

Proposed by Sarah Thibault, A/Manager
Approved by David Padgett, Director
Information Management and Strategic Initiatives
Management Services Division, Municipal Affairs

2022-23 Business Plan: Setting a Foundation

The theme of the 2022-23 business plan is "Setting a Foundation". Just like a building needs a solid foundation to support the structure above, so do the Records Help team and Information Management programs within the Economy Sector need an established bedrock of partnerships, policies, processes, procedures, culture, and positive team environment to develop, maintain, and grow the Information Management 'framework' above. This year's goals, objectives, strategies, outcomes, and deliverables are designed to connect with our clients and IM point of contacts to build a presence within the Sector and improve our modes of communication. By the end of the fiscal year, Sector staff should know who we are, what we do, and how we can help them.

Goals—Objectives—Strategies—Outcomes

The Records Help Team strategies align with Municipal Affair's 2022-2025 Strategic Plan. The linkages and dependencies of the Government Records Service 2021-2022 Branch Operational Plan have been taken into consideration.

Goals	Objectives	Strategies	Outcomes
OUR CLIENTS & PARTNERS recognize us as trusted leaders and collaborators.	Foster strategic partnerships	Engage with key partners	Builds trust and creates efficient collaboration on multi-stakeholder projects
	Build up a presence within the Economy Sector	Update ministry portfolios and clarify services delivered	A growing awareness of our team and services we deliver
OUR TEAM is an engaging and collaborative work environment.	Develop tools that help staff deliver on their work	Improve business planning and reporting	Staff have clear guidelines, and the structure, to deliver on their work
	Promote personal and professional development	Provide opportunities to develop competencies	Staff have the competencies they need to advance their career goals
OUR SERVICES are delivered strategically through continuous improvements.	Establish an IM culture	Build IM capacity and establish a framework for an IM culture	An IM culture that is conducive to IM excellence
	Improve and establish new standards and processes	Establish models for data and information destruction	Information destruction services are transitioned from CIRMO to Sector
	Guide the sector in Documenting Government Decisions (DGD)	Develop tools for DGD	Increased efficiency in meeting DGD requirements

Core Deliverables

GOAL 1: OUR CLIENTS & PARTNERS Aligns with the following MUNI strategic plan objectives 2.2: Analysis is grounded in effective data, evidence gathering, & systems thinking 2.3: Collaboration is fostered via trusted, outcome-oriented relationships	Status
Engage with OCIO and GRS on projects impacting our sector	Completed
Continue to lead in the Community of Ministry Information Managers group	Completed
Support economy sector members of the Information Management Ministry Leads	Completed
Provide updates and flag projects that overlap with Information Systems Branch	Completed
Identify Broader Public Sector IMA and non-IMA clients, and the delivery of our services to those clients	Completed
Review and update EDRMS Content Manager user access	Completed
Review and update offsite access authorizations	Deferred
Update ORCS and EDRMS Content Manager status and prioritization spreadsheet	Completed
Update Sector Intranet IM content	Completed
Evaluate ORCS Developer as a potential new service delivery	Deferred

GOAL 2: OUR TEAM Aligns with the following MUNI strategic plan objectives 3.1: Staff connect & collaborate with others 3.3: Staff have the skills, capacity & tools to be successful	Status
Design a business plan and executive reporting blueprint	Completed
Establish a robust 2022-23 MyPerformance Profiles (MPP)	Completed
Provide learning opportunities that are in-line with MPP goals	Completed
Manager assigns a lead for each project, with considerations to MyPerformance goals and core role and responsibilities	Completed

In-progress Ongoing Completed Deferred

Core Deliverables

GOAL 3: OUR SERVICES Aligns with the following MUNI strategic plan objectives 2.1: Service delivery is high quality & focused on the needs of those we serve 2.2: Analysis is grounded in effective data, evidence gathering, & systems thinking 2.4: Innovative solutions & continuous improvement are valued Aligns with the following GRS operational plan objectives 2.a: Increased participation and use of GRS learning products. 4.c: Common Information Schedules 4.e: Information Schedule Transformation Strategy (ISTS) 8.b: Records Destruction Applications Process Transition	Status
Draft framework for an IM culture	Completed
Review monthly newsletter process	Completed
Identify IM champions within IM Contacts	Completed
Define IM Contacts roles & responsibilities	Completed
Develop an IM Contacts onboarding checklist	Completed
Develop & implement an Information Destruction Authorization model	Completed
Develop & implement a Defensible Destruction model	Completed
Develop a Documented Policies and Procedures project plan	Completed
Lead Documented Policies and Procedures workshops	Deferred
Complete remaining DGD gap analysis and recommendations	Cancelled

In-progress Ongoing Completed Deferred

Status updated on: 2022-04-03
Classification: ARCS-400-10 Final Business Plans
EDRMS CM: D51939022A

Outcomes

The targeted outcomes, marked in bold, have been met through the accomplishments listed in bullets.

OUR CLIENTS & PARTNERS recognize us as trusted leaders and collaborators.	**Builds trust and creates efficient collaboration on multi-stakeholder projects** • Improved connections with ministry executives, realized through IMML-sponsored IM initiatives. • Improved collaborations with ISB, partnering on IM IT corporate initiatives and providing regular IM updates. • Participated on GRS-led projects, providing feedback, and engaging in consultations. • Applied changes to responsibilities and records ownership following the December 7, 2022, announcement of a new cabinet. • Took a leadership role in CMIM and established the terms of reference, engaging ministries across government to strengthen the IM community and support each other on cross-ministry initiatives.
	A growing awareness of our team and services we deliver • Established working documents that contextualize the health of the Sector regarding information schedule and EDRMS CM coverage, to plan and prioritize for development and implementation projects. • Formed a baseline to maintain EDRMS CM user access and IM point of contacts coverage across the Sector. • Identified our service levels and responsibilities for broader public sector bodies. • Created a draft classification covering records of financial grant programs to support Sector ministries apply a solution until an approved schedule can be applied. • Led the first approval, across government, to authorize the application of the defunct records schedule, covering records of the AGLG defunct program.
OUR TEAM is an engaging and collaborative work environment.	**Staff have clear guidelines, and the structure, to deliver on their work** • Established a vision and mission for the Records Help Team, and updated team branding. • Revived the Sector Information and Records Management Intranet with subject-based subpages to easily communicate and share information with executives, clients, key contacts, and ministry point-of-contacts. • Reorganized the team shared folder with a logical ARCS/ORCS folder structure, to establish a recordkeeping system in compliance with IM requirements and ensure staff could easily find and maintain records.
	Staff have the competencies they need to advance their career goals • Organized a team building day, themed "Community of Information Professionals", to strengthen awareness and understanding of the broader community of IM professionals. • Staff attended the ARMA conference and ACA conference, to support their professional development. • Staff outlined their 2022-23 working and learning goals aligning them with the 2022-23 business plan goals.
OUR SERVICES are delivered strategically through continuous improvements.	**An IM culture that is conducive to IM excellence** • Drafted an IM Culture framework, which outlines the system motivating behaviours to achieve IM excellence, to guide the Records Help Team in the development and implementation of IM strategies across the Sector. • Established roles and responsibilities and role-based training for the ministry IM point of contacts. • Identified IM champions across the Sector. • Submitted informational monthly newsletters to key point of contacts, and reviewed the newsletter process.
	Information destruction services are transitioned from CIRMO to Sector • Established an IDA Model, approved by both ADM/IMML, that outlined a defensible destruction process for sector ministries, and successfully implemented it on January 3, 2023.
	Increased efficiency in meeting DGD requirements • Developed a Documented Policies and Procedures Guide to support program areas to document their policies and procedures and meet the requirements of the IMA; and established a process for the Records Help Team to review program area documented policies and procedures.

Status updated on: 2022-04-03
Classification: ARCS-400-10 Final Business Plans
EDRMS CM: D51939022A

Information Management & Strategic Initiatives Unit 2023/2024 Business Plan

Page 1 – Vision and Core Work

Page 2 – Goals, Objectives, Strategies & Outcomes

Page 3 & 4 – Key Priorities & Status

Our Vision

A culture that values information management excellence and supports effective access to information.

Our Core Work

The Records Help Team assists with planning and delivery of information management initiatives across the Economy Sector.

The FOI Team offers guidance and support related to information access requests, including tracking, risk review and management, and advice for Economy Sector clients.

Approved by Jason Gabitous, Executive Director, Sept 18, 2023
Information Management and Strategic Initiatives
Management Services Division, Municipal Affairs

2023-24 Business Plan: Service excellence

The theme of the 2023-24 business plan is “service excellence”. Demonstrating service excellence through continuous improvement, we show our clients and partners that we are committed to making processes efficient, and engagement meaningful, resulting in trusted relationships. The FOI Team and Records Help Team business is service oriented; this year’s objectives and strategies highlight the importance that those we service for and with are at the forefront.

Goals—Objectives—Strategies—Outcomes

This plan takes into to consideration the priorities of our client ministries and partners, the Economy Sector’s Information Systems Branch (ISB), and the central agencies within the Office of the Chief Information Officer (OCIO), Information Access Operations (IAO) and Government Records Service (GRS).

Goals	Objectives	Strategies	Outcomes
OUR CLIENTS & PARTNERS recognize us as trusted leaders and collaborators.	Build IM and FOI capacity with key partners	Foster strategic relationships	Creates efficient collaboration on multi-stakeholder projects
	Increase presence within the Sector	Engage with executives and communicate services delivered	A growing awareness of our team and increase in executive sponsorship
OUR TEAM is engaged in a collaborative work environment.	Successful transition to the new Performance Development Platform	Align staff PDP goals to IMSI’s business plan	Staff have clear guidelines and the structure to deliver on their work
	Improve team collaborations through learning opportunities	Develop staff Indigenous Relations Behavioural Competencies	Staff have the competencies they need to foster an inclusive and diversified team
		Support ongoing IM and FOI learning	
OUR SERVICES are delivered strategically through continuous improvements.	Meet legislative responsibilities of the Information Management Act (IMA) and Freedom of Information and Protection of Privacy Act (FOIPPA)	Apply information schedules and manage record’s lifecycle	Reduced effort for the development of an information schedule
	Improve processes to minimize risks	Establish holds and litigation standards and processes	Risks are reduced
		Reduce overdue freedom of information request files. Strive to maintain our high on-time rate.	
	Increase efficiency in meeting the Documenting Government Decisions (DGD) requirements	Maintain and promote IMSI Documented Policies and Procedures tools	Sector meets the recorded policies and procedures requirement of DGD

Key Deliverables

GOAL 1: OUR CLIENTS & PARTNERS	
Partner with ISB on IM/IT projects impacting our sector	
Participate as a subject matter expert in the SharePoint 2016 Replacement project	
Collaborate with OCIO and ISB on Financial Grant Common Component projects	
Engage with Corporate Information and Records Management Office (CIRMO) on projects impacting our sector	
Update Sector FOI roles & responsibilities	
Improve Sector FOI service delivery through the FOI Modernization Pilot	
Meet and connect regularly with economy sector's Information Management Ministry Leads	
Work with program areas to update access authorizations for records in offsite storage	
Update FOI Intranet	
Establish a process for keeping the FOI ministry contacts list current	
Review the FOI executive reporting format following the implementation of the new FOI system	
Design a foundational FOI and Records Management training workshop for the Sector	

GOAL 2: OUR TEAM	
Manager assigns a lead for each project in alignment with staff PDP goals and core role and responsibilities	
Establish ongoing conversation meetings with staff about their performance	
Staff identify how the IM Culture framework will be applied to their work	
Hire a co-op student	
Identify training in support of the IRB competencies	
Work with Economy Sector's Ten Draft Principles Committee to enact reconciliation	
Continue to participate in community of practice groups	
Establish team building activities	

Key Deliverables

GOAL 3: OUR SERVICES	
Apply schedules to physical records	
Establish an Economy Sector approval model for the application of the defunct schedule	
Engage with OCIO and ISB on the Financial Grant Common Component project	
Evaluate potential for Sector service for ORCS development	
Evaluate the impact when CRO 01-2021 Directive is lifted, and digital archives becomes operational	
Update existing procedures to include reference to holds	
Establish a process for litigation search and holds in the Economy Sector	
Establish FOI risk reporting for ministries	
Establish controls on the harms review process	
Continuous improvement to support an effective proactive release of estimate and transition binders	
Establish DPP services for delivery	
Promote appropriate use of collaboration tools	