

Good RM for Great RMs

**President – Elect
ARMA**

**Denise M. Harry , CRM,
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Manager, Records
Management



**Secretary
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Management Archivist



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Privacy, Records &
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Today's agenda

ARMA

Records
Management

Records
Schedule

Vital
Records

Privacy &
Security



A Little Crass Promotion

- What is ARMA International
- ARMA Canada
- What is ARMA Saskatchewan
- Benefits of membership

The screenshot shows the top navigation bar of the ARMA Saskatchewan Chapter website. It features the ARMA International Saskatchewan Chapter logo on the left, the text 'ARMA SASKATCHEWAN CHAPTER' in the center, and social media icons for LinkedIn, Facebook, and Twitter on the right. Below the header is a yellow navigation menu with the following items: HOME, SASKATCHEWAN CONNECTIONS CONFERENCE, EVENTS, EDUCATION, COMMUNITY, ABOUT US, 2015 PLATINUM SPONSOR, and TRUSTED VENDORS.

ARMA Sask Chapter Annual General Meeting Friday, June 24



OUR MANDATE






UPCOMING EVENTS



CATCH THE TWEETS

Visit us at www.arnasask.org

Types of memberships

-  **175** – Professional
-  **95** - Associate
-  **Friend of ARMA**

Benefits of membership

Why we need Records Management

Because we can't all be celebrity chefs

But what if you were a celebrity chef?

You and your staff at your five star restaurant are preparing a gala dinner for 200

Think of all the planning and preparation and decisions to make!



You have a vision of what this dinner will be

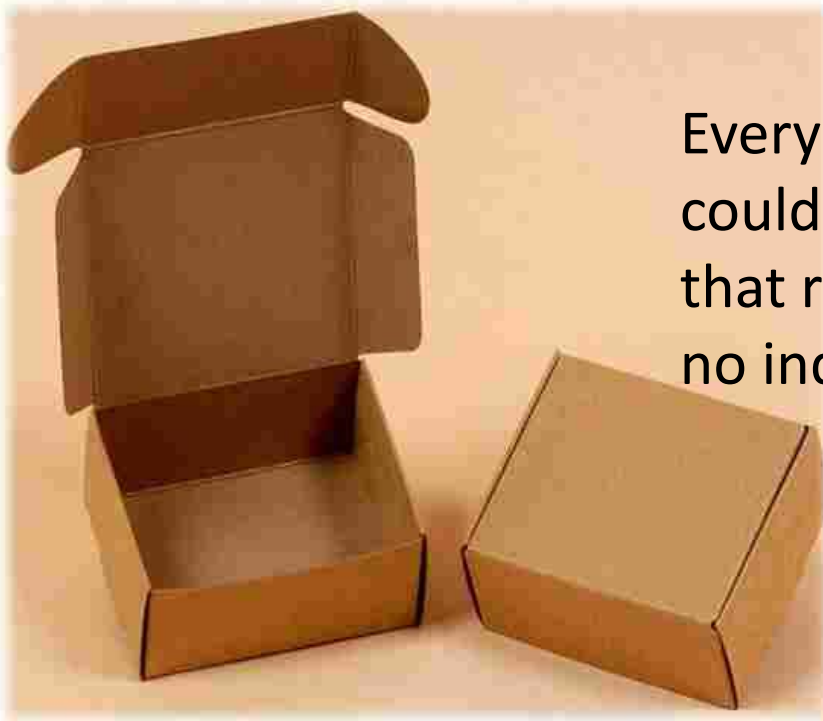
Imagine if this is what you found in the kitchen



And in the freezer and refrigerator



What's in the box?



Your worst nightmare

Every ingredient you might need (if you could just remember what you did with that recipe!) is in a box or a can with no indication of what might be inside.

The Reality

This scenario would never happen because there are federal regulations mandating food labelling, and what must be included on the labels – including dates past which the product can no longer be safely consumed.

There are federal and provincial statutes and legislation that relate to information – how it is used, how it must be managed, how long to keep it, and who has access to it.

So What's My Point?

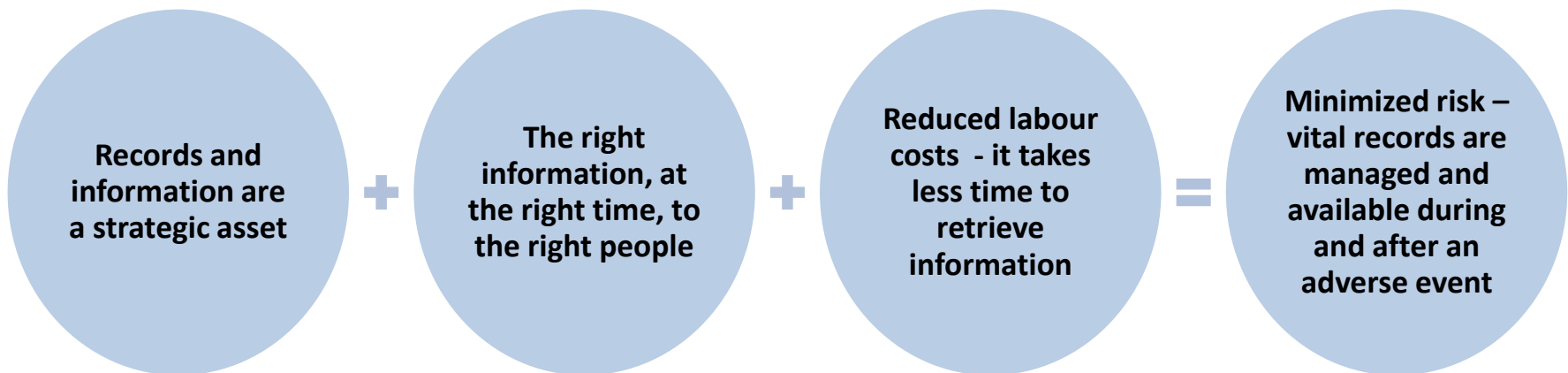


What if a business managed records and information the same way the chef managed the restaurant?



- No file plan or search functionality in place to locate records (the recipe)
- No naming conventions or meta data on the records (ingredients with no labels)
- No retention periods on the records so there is no way to know what to keep or how long to keep it (no “best before” dates)
- High cost associated with having to search for information and determine if it's accurate

What's the value of RIM?



Benefits

Organizing and expediting the retrieval of information

Eliminating irrelevant information via retention policies and procedures,

RIM facilitates value chain activities such as;

PROCUREMENT

PERMIT SYSTEMS

ACCOUNTING



RIM facilitates value chain activities like:

SCHEDULING

TAX ENFORCEMENT

**BUSINESS
CONTINUITY**



The tools you need

Over to Dan



PROVINCIAL
ARCHIVES OF
SASKATCHEWAN



Secretary
Dan Davies,
MAS

Information Management
Archivist

Records Management Tools

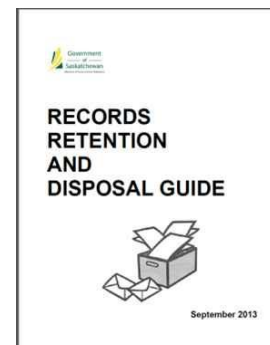
Tools to Help Manage and Prevent Clubroot in Your RM

Municipal Relations Publications Library

So....what is
'Clubroot'?

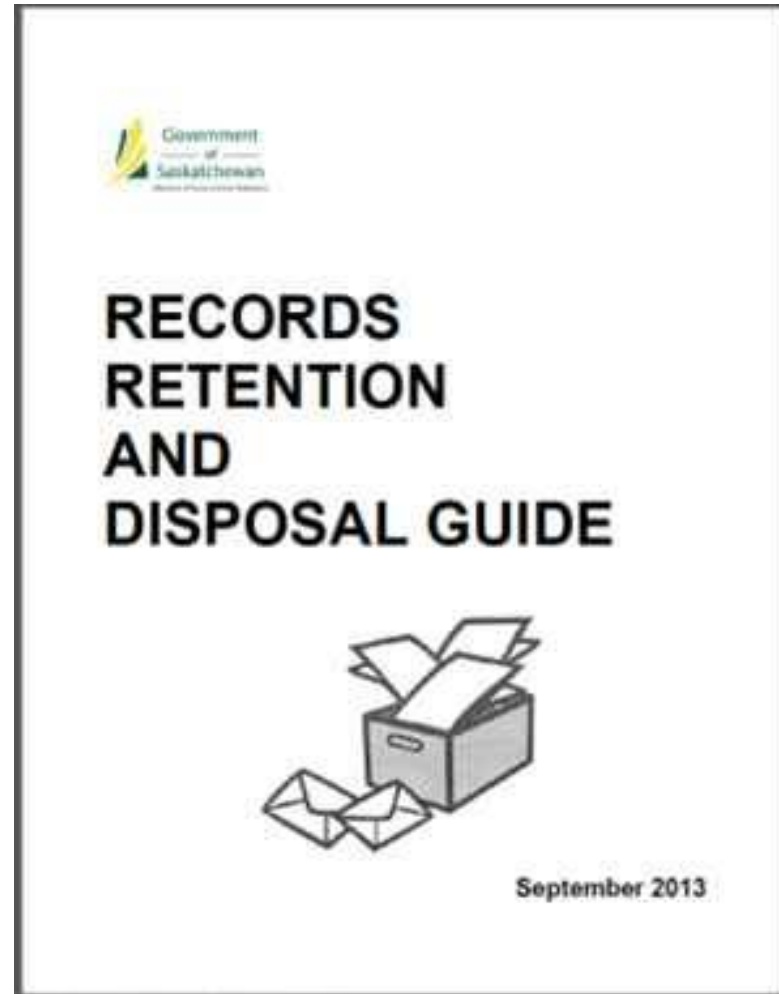
Saskatchewan Ministry of Government Relations has an extensive selection of guides and manuals available for download in word or PDF including Assessment and Taxation, Bylaws, Elections, Health and Safety, Municipal Administration, and Programs and Services. View their [publications library here](#).

The RMAA website directs users to links with useful publications, most notably this one.....



Records Management Guide

- Does this look familiar?
- Who is aware of this tool?
- Who is using this tool?



Records Management Guide

- Available since 2013 Sept
- Developed by UMAAS, RMAA, SUMA and SARM in partnership with Provincial Archives of Saskatchewan (formerly Saskatchewan Archives Board)
- Applicable to all records of;
 - municipalities, both urban and rural,
 - boards, commissions, associations est. by councils
- Complies with key legislation;
 - *The Municipalities Act;*
 - *The Local Government Election Act;*
 - *The Archives and Public Records Management Act;* and
 - *Local Authority Freedom of Information and Protection of Privacy Act*

Records Management Guide

Definition of a Record (as per LAFOIP)

Advice on storage; good practices, formats

Disposal procedures and appraisal (Provincial Archives)

Records Schedule

Key purpose of 'ready-to-use' tool

- Classification – based on functions/purpose/content
- Timetable – time period records are 'active'
- Final fate

1. ACCOUNTING AND FINANCE (cont'd)

1. ACCOUNTING AND FINANCE

RECORDS	RETENTION PERIOD	DISPOSAL RECOMMENDATION
1.1 Accounts Payable (includes billing, payments, overdue accounts, invoices, receipts, payment vouchers, receipt duplicates, related correspondence, etc.)	7 years	Dispose
1.2 Accounts Receivable (includes receipt records, write offs, invoices, vouchers, related correspondence, etc.)	7 years	Dispose
1.3 Annual Financial Statements	Permanent as per legislation	Permanent as per legislation
1.4 Audits and Compliance Reviews (auditor recommendations, reports, etc.)	7 years	Dispose
1.5 Bank Accounts (includes records related to termination and establishment of bank accounts, deposit slips, cancelled cheques, passbooks, bank statements, reconciliations, deposit books, cheques stubs/duplicates, etc.)	7 years	Dispose
1.6 Budget (as part of the minutes)	Permanent	Permanent
1.7 Budget Related Reports	7 years	DISPOSE
1.8 Cash Payments and Receipts (includes cash payments books, print-outs, cash reports and summaries, register tapes, etc.)	7 years	DISPOSE

RECORDS	RETENTION PERIOD	DISPOSAL RECOMMENDATION
1.9 Debentures/Loans (includes registers, coupons, etc.)	7 years after final payment	DISPOSE
1.10 Federal/Provincial Remittance	7 years	DISPOSE
1.11 Grants (includes applications and supporting documentation)	7 years after completion of project, activity, task, etc. or rejection of application	Contact the Archives Dispose only upon the Archives recommendation
1.12 Investment Records	7 years after maturity of financial instruments	DISPOSE
1.13 Ledgers/Journals (includes general ledgers, subsidiary ledgers, ledger cards, reports, journals, etc.)	7 years	DISPOSE
1.14 Local Improvement Roll	7 years after completion of project	DISPOSE
1.15 Monthly Financial Statements	7 years	DISPOSE
1.16 Requisition/Purchase Orders	7 years	DISPOSE
1.17 Tax Roll/Assessment Roll (i.e. hard copy of year-end print out)	Permanent as per Legislation	PERMANENT as per Legislation
1.18 Utility Documents (includes water and sewer cards and ledgers, utilities tax roll, etc.)	7 years	DISPOSE

**All the activities/transactions and records that comprise the
'accounting and finance' functions**

Records as series

All the records that support a particular purpose, activity, and/or transaction and can share the same fate

1. ACCOUNTING AND FINANCE

RECORDS	RETENTION PERIOD	DISPOSAL RECOMMENDATION
1.1 Accounts Payable (includes billing, payments, overdue accounts, invoices, receipts, payment vouchers, receipt duplicates, related correspondence, etc.)	7 years	Dispose

a- Classification

1. ACCOUNTING AND FINANCE

Based on function

RECORDS

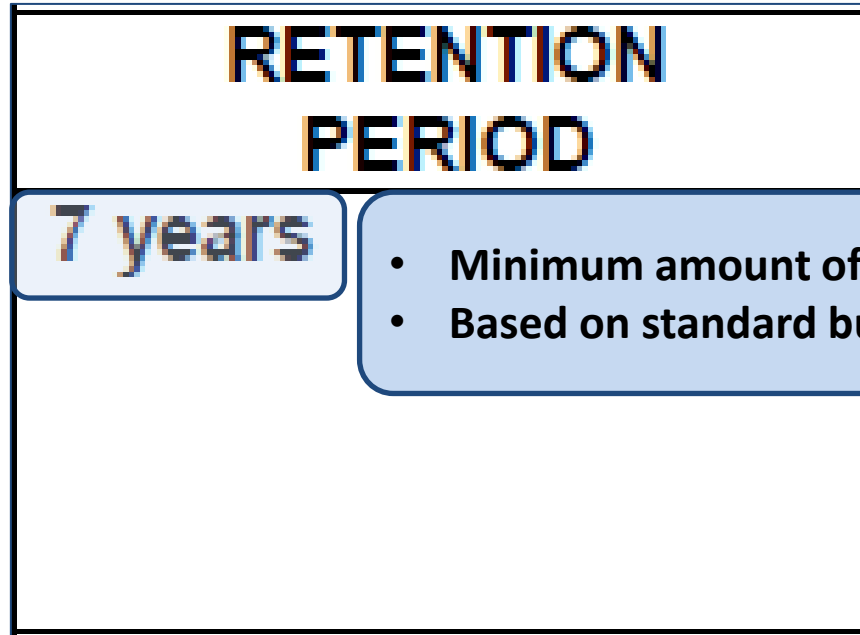
1.1 Accounts Payable (includes billing, payments, overdue accounts, invoices, receipts, payment vouchers, receipt duplicates, related correspondence, etc.)

Business activity/transaction that creates records

Description of series content/context of records

b - Retain & manage

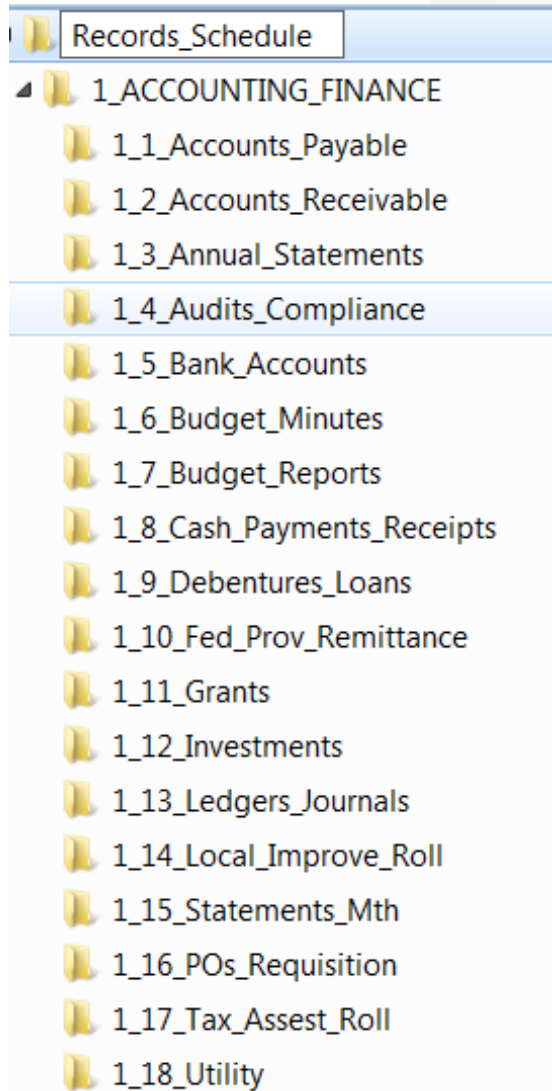
<u>1. ACCOUNTING AND FINANCE</u>
RECORDS
1.1 Accounts Payable (includes billing, payments, overdue accounts, invoices, receipts, payment vouchers, receipt duplicates, related correspondence, etc.)



- Minimum amount of time
- Based on standard business need



Retention



- “Official record/copy”
- Determine format that is official
- Not all records need to be retained

c – Fate of the Records



Best feature of a schedule?

* identifies records that you get to throw away*

Records reaching their retention period can be destroyed
– the guideline provides useful advice on who to carry this out, for both hardcopy and digital records

Disposal - Always

DISPOSAL RECOMMENDATION

Dispose

1. ACCOUNTING AND FINANCE

RECORDS	RETENTION PERIOD
1.1 Accounts Payable (includes billing, payments, overdue accounts, invoices, receipts, payment vouchers, receipt duplicates, related correspondence, etc.)	7 years



- Reached the 7 years?
- No longer required?
- Not archival?

Disposal - Maybe

2. ADMINISTRATION

RECORDS	RETENTION PERIOD	DISPOSAL RECOMMENDATION
2.4 Celebrations and Events	3 years after concluded	Contact the Archives Dispose <u>only</u> upon the Archives recommendation

Record series

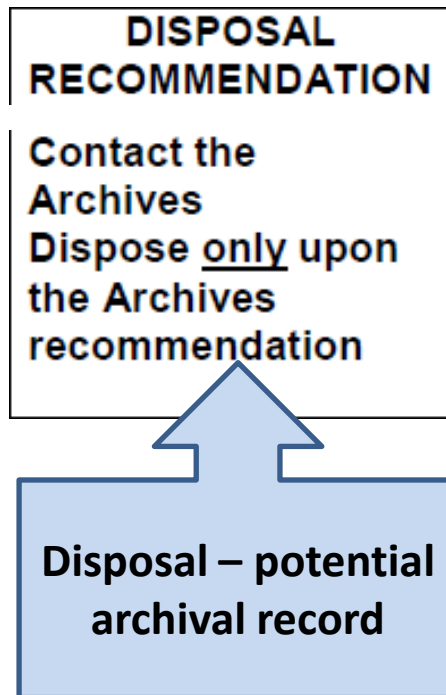
Retention – in this case a ‘conditional’ trigger

Disposal – potential archival record

Disposal - Maybe

Records Retention and Disposal Guide, September 2013,

p. 5, Section 4. Historical appraisal by the Saskatchewan Archives Board (now the Provincial Archives of Saskatchewan)



- When records become eligible,
- Disposal process is triggered
 - Forward an inventory to the PAS and request to review
 - PAS will advise one of two fates; physical appraisal or transfer to the PAS

What records are archival?

Current records of 'business critical' value – are potentially archival
Specifically;



DECISIONS; deliberations, decisions, rights, obligations, legal precedents



MAJOR PROJECTS; significant public works and infrastructure projects



PUBLIC CONSULTATION; informing the public on issues which may impact them, complaints and appeals,

What records are archival?

Current records of 'business critical' value – are potentially archival
Generally speaking;



HISTORICAL EVENTS; heritage programmes, local history celebrations



UNIQUE aspects of life and conditions in the province of Saskatchewan

Records NOT Acquired

Routine financial records (cancelled cheques, vouchers, invoices, bank books)



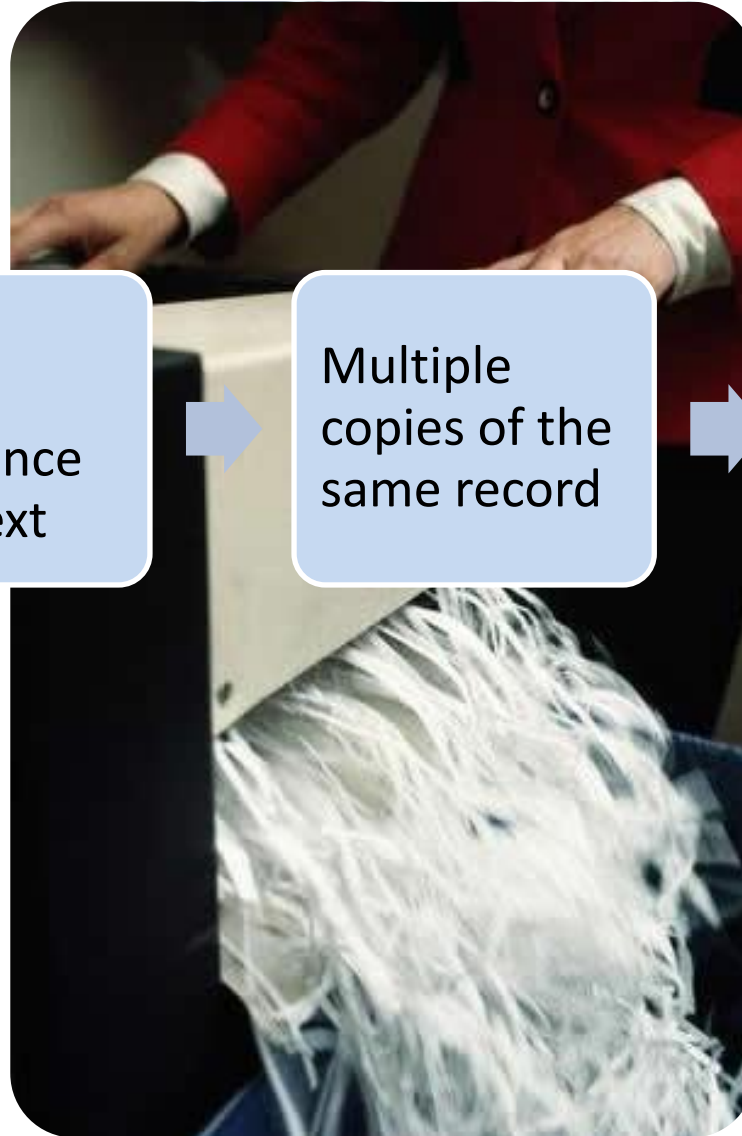
Records without provenance or context



Multiple copies of the same record



Duplicate formats (microfilm, CDs, DVDs) of records already in collection



This is not 'accountable' disposal

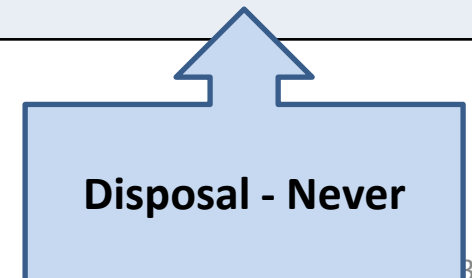
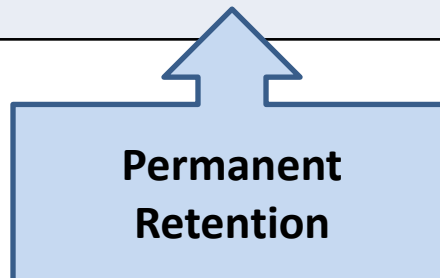
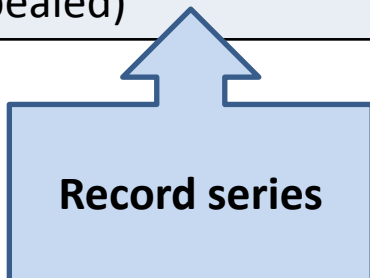


“A chicken farm should not be used to dispose of sensitive health documents, Saskatchewan's privacy and information commissioner says.”
- CBC News



Disposal - Never

RECORDS	RETENTION PERIOD	DISPOSAL RECOMMENDATION
1.17 Tax Roll/Assessment Roll (i.e. hardcopy of year-end print out)	PERMANENT as per legislation	PERMANENT as per legislation
2.7 First Nations Consultations	PERMANENT	PERMANENT
6.1.4 Development Permits – Register	PERMANENT	PERMANENT
8.1 Council Minutes (includes original bylaws, active and repealed)	PERMANENT as per legislation	PERMANENT as per legislation





Disposal - Never



The records retention and disposal guide identifies twelve records series that are **Permanent** Records

- Typically, *Vital Records* retained permanently

What are Vital Records? Over to Denise



President - Elect
Denise M. Harry, CRM,
AIIM CIP, ECMP

Manager, Records
Management



What about your Vital records?

Identify and Protect, and Double-Tap if needed

What's a vital record?

- records, regardless of medium, which are *essential* to the organization in order to continue with its business-crucial functions both
 - during and after an interruption in business
 - or a disaster (like a zombie apocalypse)

- How do we define this type of record in Saskatchewan?

What's a vital record?

- Records required to resume Critical / Vital Services
 - BUT ALSO ...
 - To activate / continue Business Continuity procedures
 - By legislation
 - To recreate legal and financial status
 - To preserve rights and obligations of government, stakeholders and citizens
 - To provide evidence of ownership
 - To establish operations (e.g. policy, procedures)
 - ... and others?

Factoids

(<http://www.livescience.com/16411-zombies-fact-fiction-infographic.html>)

- Vital records make up a small volume of an organization's data * 3 to 10% (average of 5%)

Vital records management program documentation and emergency management and business continuity plans are always considered vital records

In a top-ten Safe Zone Countries list, Canada comes out at number 2, right behind Australia as a safe place to be during a zombie outbreak

Common Assumptions

“All our vital records are in computer applications”

- Time lag for recent input?
 - e.g. customers fill in paper or electronic forms.
- Application contains only summary, partial or recent data?
- Some vital records in networks, e-mail?
- Vital records in field offices?
- Work in progress in workstations?
- Critical services delivered by partners?
 - How do they protect vital records?

Not a safe assumption: A Zombie is the same as a Mummy

Wants order restored or to be
avenged

Mindless, brain eating un-dead



Examples of vital records

Current insurance policies

Current accounts payable

Community and regional maps

Personnel security clearance lists

Land surveys

Emergency action plans

Unaudited financial records

Current contracts and agreements

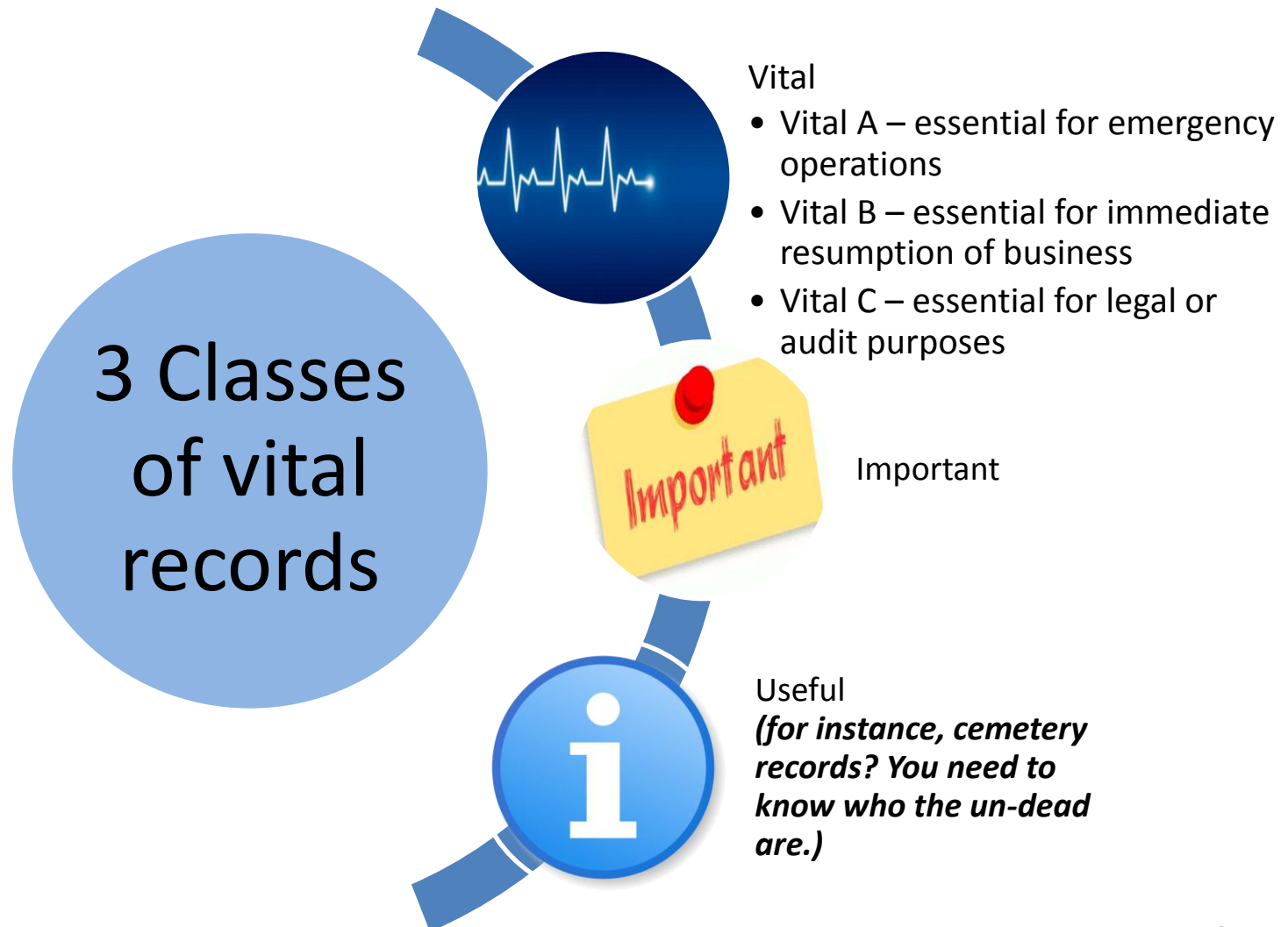


Metadata (data about data)

What information about a vital record would be considered valuable?

- Location, location, location
- Type of media
- What software is required and which version?
- Amount and frequency of reference activity
- *Classification and Priority

Classification



Documentation

Prepare a Vital Records Manual or Procedure

- Should be used for training of personnel and to provide direction
- At a minimum, it should contain

- Vital records schedule

- Procedures for retrieval of backups

- *Procedures for recovery and restoration of records (and where the zombie safe-zone is)

Risk Management

- Physical records storage sites – any security or environmental vulnerabilities?
- Any existing alternative protection for vulnerable records and information?
- Should include a site survey

In Summary – 4 Phases

Mitigation. Identify and adequately protect the organization's vital records and information.



Preparedness. Reduce the risk of disasters caused by human error, deliberate destructiveness building/equipment failure or malfunction



Response. Ensure the organization's ability to continue or resume operations effectively after a major event



Recovery. Ensure the organization's ability to recover lost or endangered information rapidly

And Just in Case

Spray Paint
Filing Cabinet
Coffee and Coffee Brewer

Grrraaiinnsssss



Permanent retention of records - Implications?

Over to Brenda



Treasurer
Brenda Hudey

Privacy, Records & Policy
Manager

Privacy & Security in RIM

Outline

Privacy & Security in RIM

Local Authority Freedom of Information and Protection of Privacy Act (LAFOIPPA).

How to create a workspace/environment that supports the proper handling of information

Legislation

The Local Authority Freedom of Information and Protection of Privacy Act (LAFOIPPA)

An Act respecting the right of access to documents of local authorities and a right of privacy with respect to personal information held by local authorities.

Applies to municipalities

LAFOIPPA

All records held by a local authority are accessible but some information may be exempt from release.

– LAFOIPPA includes:

- Procedures to follow when responding to an Access to Information Request.
- Guidance around what information contained within a record may be exempt:
 - Advice to ministers, Cabinet information, etc.
 - Personal information

LAFOIPPA continued

What is personal information?

Definition of personal information can be found in section 23(1);

Some examples are:



Information about a person's nationality, religion, marital status, disability, age;



Information that relates to the health of an individual;



Home and business address, telephone number; and



Information relating to an individual's finances, assets, financial history.

LAFOIPPA continued



Privacy

Contains rules for the appropriate handling of personal information.

For example,

- Purpose of information: collection of personal information must relate to an existing or proposed program or activity.
- Accuracy: ensure personal information being used for administrative purposes is accurate and complete.
- Access: based on a 'need-to-know'
 - Use and disclosure of information

LAFOIPPA continued



Privacy

Generally Accepted Recordkeeping Principles

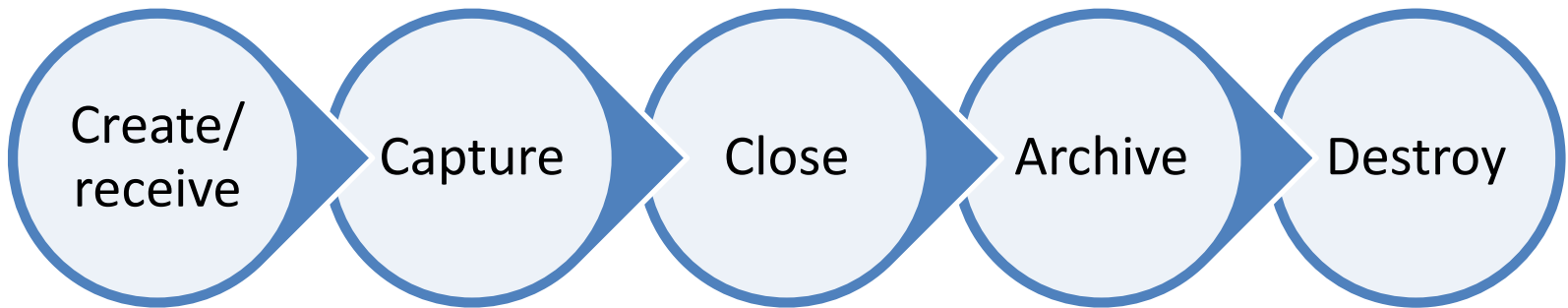
Available on ARMA International's website.

- Accountability
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition
- Transparency



Assess your records and where they may be at risk

- Know what you have (inventory)
- Identify sensitive information (personal information, confidential, vital records, etc.)
- Know where it is stored (filing cabinets, network, etc.)
- Know who needs access
- Know the retention period: records need to be managed throughout the entire lifecycle



How to protect records?



Incorporate privacy and security into record-keeping practices

Where?

Physical work environment

Technology

How?

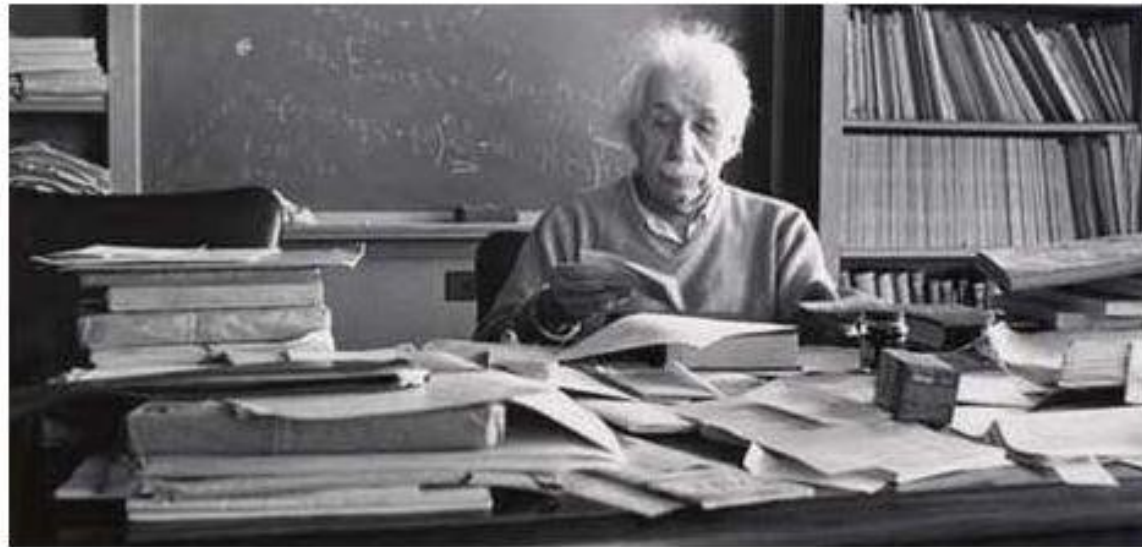
- Policies and procedures
- Standards of Practices

Document the rules



- Shred confidential documents
- Lock work station when leaving your desk
- Keep confidential documents in locked cabinet
 - Acceptable use of internet
- Keep passwords confidential/no sharing

Document the rules



"If a cluttered desk is a sign of a cluttered mind, Of what, then, is an empty desk a sign?"
~Albert Einstein



– Privacy Policy and Procedures

- Appropriate handling of personal information
- Technology – how personal information is shared



Questions about privacy and access

Saskatchewan Information & Privacy Commissioner

Phone:306-787-8350

Toll free:1-877-748-2298

Email: webmaster@oipc.sk.ca



Office of the
Saskatchewan Information
and Privacy Commissioner

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- FAQs
- The Commissioner
- Blog
- Resources
- Legislation
- Forms
- Reports
- Events
- News Releases
- Annual Reports

The Saskatchewan Information and Privacy Commissioner is an independent officer of the Saskatchewan Legislative Assembly that oversees **three Saskatchewan statutes**.

The Information and Privacy Commissioner (IPC) has jurisdiction over public bodies as contained in the legislation.

Jurisdiction and Mandate of the IPC

What's New

New Blog Entry: [Who Signs for a Child?](#)

New Blog Entry: [Contracting With Government](#)

[IPC Guide to Exemptions](#)

[Annotated Section Indexes](#)

Tweets by @SaskIPC

Sask IPC
@SaskIPC

OIPC BC Upholds Decision to Withhold Identity of Informant;
oipc.bc.ca/orders/1945
[#privacy](#)

21h

One Last Pitch



Is this your emoji?

Then ARMA Sask Board is looking for you!

If you are an “idea person” who welcomes new people and new challenges, we invite you to join our local Chapter Board.



WHAT YOU CAN EXPECT FROM US ...

- The opportunity to work closely with a great group of individuals to help shape the future of ARMA Saskatchewan; and
- Even more great networking opportunities with like-minded individuals.

WHAT WE WANT FROM YOU ...

- Your dedication and time commitment (of at least one year) to participate at regular meetings and conduct Chapter Business; and
- Your ideas and suggestions for how we can make ARMA Sask Chapter even better!

If this sounds like the “ideal” fit for you, please consider filling a position on the ARMA Sask Board!



Thank you.

Questions?