



Ministry of Government
and Consumer Services

Information, Privacy and Archives

Records and Information Management (RIM) 102: Managing Public Records in the OPS

Tuesday January 13, 2015
OPS RIM Day Soft Launch

Learning Objectives

At the end of this training, you will understand:

1. What good records management is;
2. How good records management will benefit you;
3. What your records management obligations are; and
4. How to manage your records simply and effectively.

What is Good Records Management?



- Good records management means:
 - Knowing the difference between business and transitory records;
 - Saving your business records in the right place for the right amount of time; and
 - Destroying your transitory records when no longer needed.
- You already manage records everyday when you make, receive and save records like Word documents, PowerPoint slide decks, paper notes and emails.
 - To practice good records management, you only need to tune up what you are already doing.

How Will Good Records Management Benefit You?



- Have you ever experienced any of the following:
 - You can't find the policy document you're working on because you can't remember where you saved it?
 - You're working on a project with a colleague but neither of you are certain which is the most recent version?
 - You have 1000 emails in your inbox but you can't find the one you need?
 - You accidentally misplaced an important paper document amongst the piles of paper on your desk and you're worried that you may have accidentally shredded it?
- Many of us have!
- Good records management is a simple and easy solution to these frustrating, time-wasting situations.

Good Records Management Improves Your Efficiency and Effectiveness



- Managing your records properly will:
 - **Help you to do your job better:** You will be able to find the records you need efficiently, making it easier to get work done and collaborate with colleagues;
 - **Support you:** You will have records that provide evidence of actions and reasons for decision-making;
 - **Save you time:** You will be able to find records quickly and reuse valuable work that you or someone has done in the past; and
 - **Provide you with records you can rely on:** You will be able to identify the correct and authoritative versions of records.

Good Records Management Supports Your Compliance with Law and Policy



- Under the *Archives and Recordkeeping Act, 2006* (“ARA”), all public bodies (e.g., ministry or designated agency, board or commission) are required to manage their public records in accordance with records schedules approved by the Archivist of Ontario.
 - Public records made or received by public bodies in carrying out their activities.
 - This supports government transparency, openness and accountability.
- All OPS staff are required to manage their records in accordance with the *Corporate Policy for Recordkeeping*.
 - This supports the creation of authentic, reliable, enduring and useable business records in support of business functions and activities.

Managing Records is an Everyday Part of Your Job



- Good records management is not a one time event – it should be an everyday part of your work routine, like checking your email or changing your voicemail greeting.
- Once you understand the basics of records management, it will become second-nature.
- It takes more time to find records that are disorganized and poorly managed than it does to manage them properly.

RIM 101 Review

- There are two categories of public records:

Business Records	Transitory Records
<ul style="list-style-type: none"> Have ongoing value or usefulness to support business operations. 	<ul style="list-style-type: none"> Have no ongoing value or usefulness beyond an immediate and minor transaction or the preparation of a subsequent record.
<ul style="list-style-type: none"> Required to: <ul style="list-style-type: none"> Meet legal or fiscal obligations; or Document, support or direct government decision-making, policy development, activities or operations. 	<ul style="list-style-type: none"> Not required to: <ul style="list-style-type: none"> Meet legal or fiscal obligations; or Document, support or direct government decision-making, policy development, activities or operations.

RIM 101 Review (Continued)

- Public records can exist in any format or media:
 - Electronic records, such as Word documents, PowerPoint presentations, and emails; and
 - Paper records, such as handwritten notes, printed documents and notebooks.
- Public records may be created, sent or received using:
 - Outlook accounts;
 - Laptops and PCs;
 - Blackberries;
 - iPads and Windows tablet devices; and
 - Any other government-issued or personal information technology devices.
- You must manage all of your public records in accordance with your ministry's records schedule and the *Corporate Policy on Recordkeeping* regardless of format, media or how they were sent or received.

Three Key Steps for Good Records Management



1. Identify the record – is it business or transitory?
2. Save business records in the shared repository.
3. Destroy transitory records when no longer needed.

Step 1: Identify the Record

- **Was the record made or received in the course of carrying out your ministry's activities?**
 - If YES, the record is a public record.
 - If NO, the record is not a public record.
- **Does the record:**
 - Have ongoing value or usefulness to support business operations?
 - Need to be kept to:
 - Meet legal or fiscal obligations? Or
 - Document, support or direct government decision-making, policy development, activities or operations?
 - If YES to ANY of these questions, the record is a business record and must be saved.
 - If NO to ALL of these questions, the record is a transitory record.

Step 2: Save the Business Records in the Shared Repository

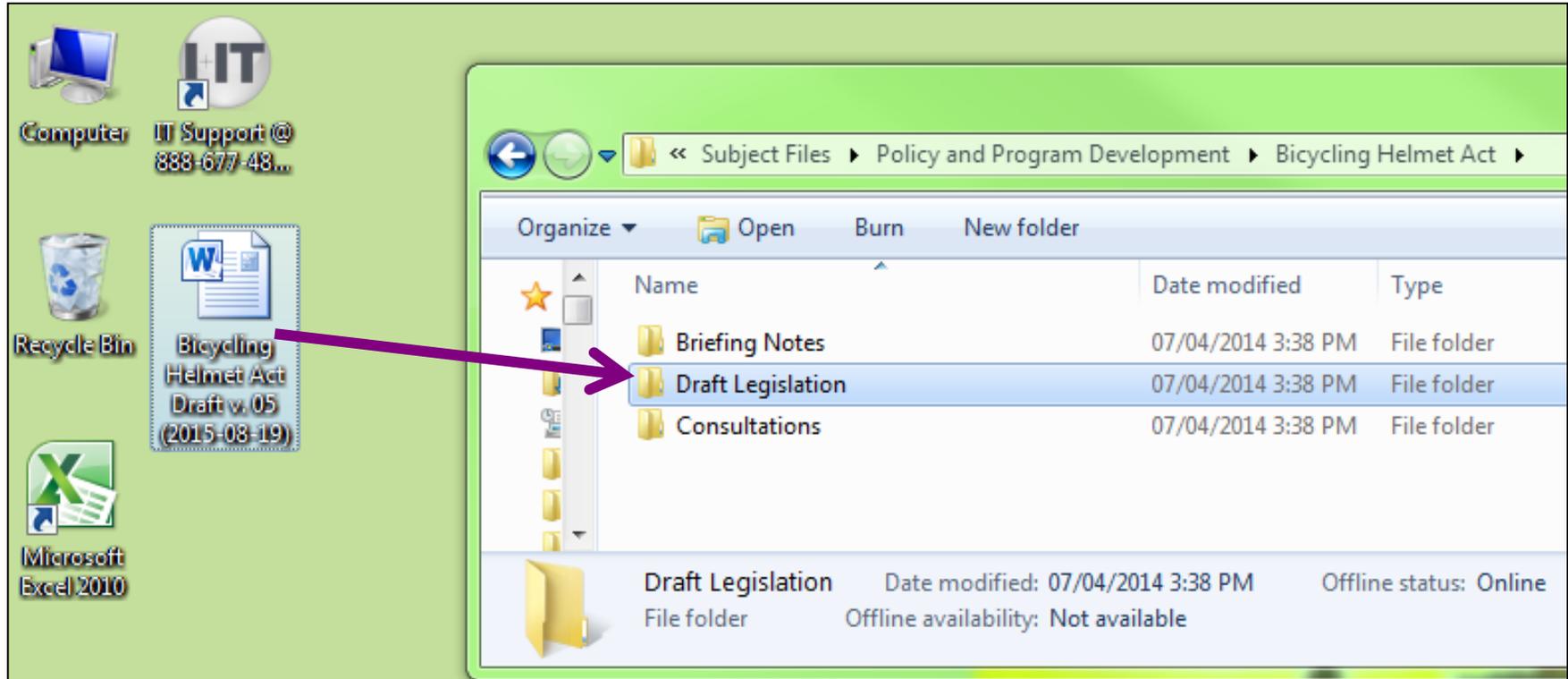


- Pursuant to the *Corporate Policy on Recordkeeping*, all business records, including email records, must be saved in your ministry's shared repository (e.g., shared network drive and filing cabinets).
 - Save your records in the right place by reviewing your program area's file classification plan.
 - This ensures that records that relate to the same subject, issue or activity are stored together.
 - Name your records using a standard file naming convention.
 - This will make it much easier to identify the right record and right version.

How to Name Your Records

- To name your file, use:
 - A brief and meaningful description of the subject matter;
 - The type of record;
 - Version; and
 - Date created (YYYY-MM-DD).
- Example:
 - ✓ Bicycling Safety Helmet Act Briefing Note v. 03 (2015-06-06)
 - ✗ NOT: Legislation Note.doc
- Tip: Change the version of a record if you make changes to it after sending it to colleagues.

Click, Drag and Drop Electronic Records into the Shared Drive



How to Manage Your Email Records



- Email messages that are business records (including attachments) must be saved in the shared repository.
- Set aside time for managing your emails daily or weekly – don't let it pile up.
- Delete transitory emails as soon as possible – don't wait!
- Create Outlook folders for each subject, topic or activity and sort your emails containing business records as soon as you receive or send them.
- Write a meaningful subject line and keep to one topic to make emails easier to classify and file.
- Be sparing with group mail and replying to all – send only to the people who need to know or take action.
- Delete “CC” or “BCC” that are FYIs or for convenience only.

You've Saved the Business Record – Now What?



- Your ministry's records schedule specifies how long you must retain your business records and how you must dispose of them (i.e., transfer to the Archives of Ontario or destroy).
- Each program area should have a records contact who is familiar with the requirements of your ministry's records schedule.
- Before destroying any business record, consult with the records contact for your program area to ensure:
 - It has reached the end of its retention period;
 - It has a disposition of destroy; and
 - There is no reason why the disposition may not be carried out, such as a legal request for records (e.g., FOI request, legal discovery, etc.)

Step 3: Destroy Your Transitory Records



- You should securely destroy your transitory records when they are no longer needed using methods appropriate to their level of sensitivity in accordance with the [Information Security and Privacy Classification Policy and Operating Procedures](#).
- Transitory paper records that contain sensitive information should be shredded.
- **Before destroying transitory records, ask: Is the transitory record subject to a legal request for records?**
 - If YES, the transitory record must not be destroyed and must be saved.
 - If NO, the transitory record can be destroyed.

What Happens to my Records if I Leave my Ministry or the OPS?



- The public records you make and receive are the property of the Crown and belong to your ministry.
- When you leave your ministry or the OPS, your records must remain in the ministry.
- Before you leave, you should ensure:
 - All transitory records are destroyed, unless the records are responsive to a legal request for records (e.g., FOI request or litigation hold);
 - All business records (including emails) are saved in the appropriate folder in the shared repositories; and
 - Your colleagues are aware of the location of business records in the shared repositories.

Good Records Management: Summary



1. Identify the record – is it business or transitory?
 2. Save business records in the shared repository.
 - Follow your program area’s file classification plan
 - Properly name your records – title, date and version
 - Check with your manager or records management contact before destroying business records
 - Manage your email records on a regular basis
 3. Destroy transitory records when no longer needed.
 - Use methods appropriate to their level of sensitivity
 - Make sure transitory records are not subject to a legal request for records before destroying them
- Before leaving your ministry or the OPS, make sure all your records are properly managed!