Records Management Policy Model

It is important that Government Institutions establish a sound records management policy in order to meet their obligations, as outlined in *The Archives and Public Records Management Act.*

At minimum, a records management policy must include a policy statement and an accountability structure which outlines the responsibilities of various members of the agency with regard to records management. It may also include applicability statements identifying individuals and records to which the policy applies, definitions of records management terms, policy requirements explaining in greater detail the implications of the policy, etc.

Please note that in order to implement the records management policy, it will be necessary for institutions to develop procedures providing employees with further direction. These procedures may be included as part of the policy to create one document on records management, or may be developed separately to address particular records management issues.

The following is a model of a basic records management policy. Government Institutions may customize or expand this model in order to meet their needs.

Policy Model

Policy Statement

The *Government Institution* will manage all government records, regardless of their format, that are created, received or controlled by the *Government Institution* according to the standards set out by *The Archives and Public Records Management Act* and all other applicable legislation. Employees will be responsible for ensuring records are useable, complete, accurate, authentic and protected.

Records Management Accountability Structure

The Deputy Minister/President/CEO is responsible for:
- Ensuring that this policy is implemented and enforced and that any procedures, standards or guidelines required for the policy to be applied are developed and maintained.
- Cultivating an institution-wide culture that values information and its effective management.
- Appointing the institution's Designated Records Officer(s) (DRO).
- Ensuring that sufficient resources are allocated to the institution's Records Management Program.

Executive and management level personnel are responsible for:
- Cultivating an institution-wide culture that values information and its effective management.
- Ensuring that all employees understand and adhere to procedures for the proper collection, creation, storage, access, retention and disposal of information.
- Assessing the training needs of staff in relation to records management and ensuring that these training needs are met.
- Ensuring proper levels of security and privacy protection are applied to the information under their control.

The Designated Records Officer (DRO) is responsible for:
- Cultivating an institution-wide culture that values information and its effective management.
- Final disposition of records within the processes outlined and approved by the Provincial Archives of Saskatchewan and the *Government Institution*.

The Records Management Coordinator is responsible for:
- The overall delivery, effectiveness and sustainability of the Records Management Program.
- Facilitating a coordinated approach to records management in the institution to ensure all areas are working in the same strategic direction.

● Developing institution-wide records management policies, strategies, guidelines and procedures related to collection, creation, storage, access, retention and disposal of information and ensuring that these policies and procedures are communicated to all staff.
● Supporting program managers in identifying and meeting records management needs.
● Assisting program areas in defining and understanding their responsibilities in relation to records management.
● Working with information technology managers to plan and implement appropriate technology to effectively manage electronic information assets.
● Maintaining the records management program by monitoring existing processes and developing new strategies as the institution evolves.

Information Technology staff are responsible for:
● working cooperatively with records management staff to design, implement and improve the records management capability of business systems and to develop effective strategies for maintaining digital records accessible, legible and transferable throughout their lifecycle.
● ensuring that digital records are maintained in accordance with the institution-wide records management policies in a manner that guarantees their integrity and authenticity.
● considering the risks involved if digital records are not managed properly.

All employees are responsible for:
● Understanding and complying with information management policies, procedures, guidelines, etc., and identifying any information management training needs in consultation with their manager or supervisor.
● Creating and retaining government records within the appropriate records classification and retention schedule in a format and media that ensures the records' authenticity and integrity.
● Identifying and disposing of non-government information created or received.
● Protecting all government records from unauthorized disclosure, inadvertent loss and destruction.
● Protecting personal information contained in government records according to the requirements of *The Freedom of Information and Protection of Privacy Act, The Health Information Protection Act* and government policy.

Definitions

Government Record: All recorded information that relates to the transaction of government business, regardless of physical form, including documents, maps, electronic records, e-mail, drawings, photographs, letters, vouchers, papers, etc., which are received, created, deposited or held by a ministry, agency, board, commission, crown corporation or other institution of the Government of Saskatchewan.

Official Record: The official copy of a record that is retained within your agency for legal, fiscal, operational or historical purposes. It exists to fulfill long-term financial, legal and audit requirements. It can be the original and only copy of the record or a replacement copy that is designated as official. Legal concerns for storage media, as defined by *The Electronic Documents Act* and *The Saskatchewan Evidence Act,* must be satisfied before a document is designated official. Disposal of all official records must be approved by the Provincial Archivist.

Non-Government Records: Records that do not pertain to any aspect of Government business and therefore are not subject to the requirements of *The Archives and Public Records Management Act.* The following are considered to be non-government records and can be disposed of without reference to a retention schedule when no longer needed: external publications and non-work related records.

Transitory Records: Records of temporary usefulness that are needed only for a limited period of time, to complete a routine task or to prepare an ongoing document. Also, exact copies of official records made for convenience of reference. For more information, please refer to the Provincial Archives of Saskatchewan's *Guidelines for the Management of Transitory Records.*