House of Assembly

Records Management Policy

Effective 1 April 2009

Approved by Clerk of the House of Assembly

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Clerk

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Date 2009. 03, 19.

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1.0   Introduction

The House of Assembly Service (HOAS) and House of Assembly Management Commission (HOAMC) create, receive, maintain, use and dispose of government records in the course of their normal business operations. These records are vital assets and will preserve a historical record of the House of Assembly Service and the House of Assembly Management Commission, protect privacy, facilitate access to information and protect the House of Assembly's legislative and financial obligations. Records management is the field of management responsible for the systematic control of these records from their creation through to their final disposition. Effective records and information management facilitates the efficient operation of the HOAS and the HOAMC by supporting transparency, informed decision-making, accountability and preserving historically valuable information.

Records of the HOAS and HOAMC will be maintained according to internal records management policies which have been designed using the standards defined by the Office of the Chief Information Officer (OCIO) and ISO 15489, International Standard for Information and Documentation – Records Management, and which are in compliance with the *House of Assembly Accountability, Integrity and Administration Act*, the *Management of Information Act* and the *Rooms Act*.

2.0   Purpose

The Information Management Division of the HOAS has created this records management policy to establish a framework for ensuring that records created and managed by the HOAS and the HOAMC in support of business functions and legislative requirements are reliable, useable and authentic. This policy provides direction to all staff of the HOAS and the HOAMC on records management legislation, responsibilities, policies and standards, internal information management systems and compliance.

3.0   Scope

This policy applies to all employees of the HOAS and the HOAMC. It also applies to any individual, contractual employee, student or otherwise who has been authorized to work on behalf of the HOAS or the HOAMC.

4.0   Policy

4.1   Policy Statement

The HOAS is committed to implementing a records management program in compliance with the *House of Assembly Accountability, Integrity and Administration Act, Management of Information Act*, the *Rooms Act*, policies as defined by OCIO and with best practices as outlined in ISO 15489 – International Standard for Information and Documentation – Records Management.

All employees of the HOAS and HOAMC are responsible for the creation, maintenance and security of records which document and support their primary business function.

All employees of the HOAS will organize records according to the HOAS classification system. Any reorganization of existing records series or creation of new records series will be done in consultation with the Records Office, Information Management Division, House of Assembly Service.

All records of the HOAS and HOAMC including administrative, operational and parliamentary records, electronic or otherwise, are managed and controlled according to policies and standards approved by the Clerk of the HOA who, according to the *House of Assembly Accountability, Integrity and Administration Act,* is responsible for "…**the orderly safekeeping of the records of the House of Assembly Service**…" Section 28. (3)(g)

All government records of HOAS, except surplus copies or those which are created for convenience of reference as defined by the *Management of Information Act,* shall be disposed of in accordance with HOAS retention schedules. Employees who destroy records of the HOAS in contravention of the retention schedules may be guilty of a punishable offence per *House of Assembly Accountability, Integrity and Administration Act,* s.66, and or per the *Management of Information Act,* s.8.

In the absence of related HOAS policy and standards, records will be managed according to policies and standards set by the OCIO and The Rooms, Provincial Archives.

4.2   Responsibilities

As part of an effective records management policy, and in order for the HOAS records management program to operate at maximum efficiency, records management roles and responsibilities are defined and assigned as follows:

● The Clerk, in his or her capacity as chief administrative and financial officer of the House of Assembly and as defined by the *House of Assembly Accountability, Integrity and Administration Act,* is responsible for **"…the custody and safe-keeping of the records of the House of Assembly…**s.28. (2)(d) and **"…the orderly safekeeping of the records of the House of Assembly service…"** s.28. (3)(g)

● The Director of Information Management, Chief Financial Officer and other senior management of HOAS support the successful development and implementation of the HOAS records management program through allocation of necessary resources and support for the application of HOAS records management policies, procedures and standards throughout the organization.

● All records management staff, under the direction of the Director, Information Management, will implement records management policies, procedures and standards.

● As all staff create and receive records as part of daily business operations, all staff will manage their records according to HOAS records management policies, procedures and standards to ensure the records are reliable and accurate. Similarly, staff who create and receive records for the HOAMC will manage them in accordance with HOAS policies, procedures and standards

• System administrators and database managers will ensure that documentation collected and maintained on HOAS information management systems is accurate and accessible.

4.3   Compliance

Essential to the success of a records management program is ensuring compliance. ISO 15489 cites three reasons for monitoring and auditing a records management program:

• to ensure compliance with the organization's established standards
• to ensure records are reliable and will be accepted by court if necessary
• to improve an organization's performance

This policy will be signed by the Clerk of the House of Assembly as the Chief Officer of the House of Assembly.

This policy will be reviewed at regular intervals. If policy changes are required and are deemed to be greater than 25% of the original policy, an announcement of change will be made internally to staff of HOAS and HOAMC. The revised policy will be signed by the Clerk of the House of Assembly and will supersede the previous version.

5.0   Legislation, Standards and Resources

5.1   Legislation

The HOAS as it relates to record keeping practices and standards is governed by the following legislation:

- *Access to Information and Protection of Privacy Act*
  http://assembly.nl.ca/Legislation/sr/statutes/a01-1.htm

- *Rooms Act*
  http://assembly.nl.ca/Legislation/sr/statutes/r15-1.htm

- *Management of Information Act*
  http://assembly.nl.ca/Legislation/sr/statutes/m01-01.htm

- *House of Assembly Accountability, Integrity and Administration Act*
  http://assembly.nl.ca/Legislation/sr/statutes/h10-1.htm

5.2   Standards and Resources

The following records management **standards** for HOAS records are available:

- House of Assembly Business Rules for Operational and Administrative Records
- House of Assembly Incoming/Outgoing Communication Procedure
- House of Assembly Incoming/Outgoing Documentation Procedure
- House of Assembly Protection of Electronic Information Procedure
- House of Assembly Addition of External TRIM Locations Procedure

Other standards are in development. However, where standards do not exist, OCIO standards will apply.

Other **resources** are available for ensuring the maintenance of an effective and efficient records management program. As new resources

become available and guidelines are developed or modified, these resources or guidelines will be made available to HOAS staff. Current resources include but are not limited to the following:

- Records and Information Guidelines
  - Guideline #1: What is a Record?
  - Guideline #2: Which Records Should I Keep?
  - Guideline #3: How Do I Manage My E-Mail?
  - Guideline #4: What Legislation Should I Be Aware Of?
  - Guideline #5: Naming Titles and Naming Conventions
- TRIM Context Quick Reference
- TRIM Context – Email Integration Quick Reference Guide
- TRIM End User Manual

6.0 HOAS Records Management Systems

6.1 TRIM Context

TRIM Context is the primary records management system for the HOAS, and has been adopted as the records management standard for the maintenance of HOAS and HOAMC records. TRIM Context has been designed to apply business context and structure to unstructured information. It does so by implementing the rules of ISO 15489 standard for records management. ISO 15489 prescribes four characteristics for a record. These are *authenticity*, *reliability*, *integrity* and *usability*.

- *Authenticity* means that a record is what it purports to be. Via strict access and security features, TRIM ensures that any alterations to a record are captured and access is granted to users at the level which they require. This access is determined by the HOAS TRIM administrator in consultation with the user.
- *Reliability* means that records are accurate representations of the operations that they support and can be relied upon for future reference. TRIM's audit feature captures the full history of a record from its creation to final disposition.
- *Integrity* means that a record must be kept in its totality. TRIM can apply retention rules and holds at the folder level to ensure that part of a document is not destroyed but that the full context of the document is maintained until the retention date is reached.
- *Useability* refers to the ability to locate, retrieve, present and interpret a record. TRIM's extensive classification structures allow it to interpret the record in the context of the organizational structure in which it is created. The classification system of HOAS is defined in TRIM.

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6.2   HOAS Classification Plan

The Information Management Division of HOAS has developed a records classification plan as a means of organizing records and/or business activities according to a logically structured system. HOAS has adopted this classification plan in TRIM for its operational, administrative and parliamentary records. This classification plan is currently being used in the electronic environment of TRIM only but will be expanded in application to include paper records. Reorganization of any existing records series of this classification plan or application of this plan to paper records must be undertaken in consultation with the HOAS Records Office.

For additional information on TRIM Context and on the records classification plan please contact:

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7.0   Glossary

<u>Administrative records</u> are records which are commonly created in all businesses and organizations such as personnel records, asset management, and general administration.

A <u>classification system</u> is a logical, systematic ordering of records. For HOAS, the classification system which is used in TRIM has been developed using a hierarchical structure to reflect the business activities and operations of HOAS.

<u>Disposition</u> refers to physical destruction of a record or transfer to the Provincial Archives for permanent retention. Disposition will be determined by an approved retention schedule.

<u>ISO 15489</u> is the international standard for records management. It provides direction for the standardization of records management policies and procedures to ensure records are efficiently and effectively maintained.

<u>Operational records</u> are those records which are unique to an organization. They are created as a result of an organization's mandate. For example, Hansard is an operational record of the HOAS.

<u>Government records</u> as defined by the M*anagement of Information Act are "**records created by or received by** (the House of Assembly**) in the conduct of its affairs and includes a cabinet record, transitory record and an abandoned record.** "*

<u>Records</u> as defined by the *Management of Information Act are* **correspondence, a memorandum, form, paper, parchment, manuscript, map, plan, drawing, painting, print, photograph, magnetic tape, computer disc, electronically produced document, microform and all other documentary material regardless of physical form or characteristics.***"*

<u>Records management</u> is the field of management responsible for the systematic control of records from their creation through to their final disposition.

<u>Retention schedule </u>is a schedule which identifies the period of time for which a record is to be maintained prior to its final disposition.