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Name: HPEI Record Information Management (RIM) Policy

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Policy and Procedures Manual

RECORDED INFORMATION MANAGEMENT (RIM)

Health PEI		POLICY & PROCEDURES
Applies To:	Healthcare workers	
Monitoring:	Chief Administrative Officer	
Approving Authority:	Executive Leadership Team	
Date:	Effective: January 2, 2008 Next Review: September, 2024	
<p style="color: green; font-weight: bold;">This is a CONTROLLED document. Any copies of this document appearing in paper form should always be checked against the electronic version prior to use.</p>		

1.0 POLICY

- 1.1 In accordance with the *Archives and Records Act*, Health PEI shall apply a standardized recorded information management (RIM) approach for the appropriate protection, retention, storage, retrieval and final disposition of all Health PEI records in any format.
- 1.2 This includes:
 - (a) the application of the government Classification Plan and Retention Schedules (CPRS) to administrative records, and
 - (b) the development, management and maintenance of a RIM Program for Health PEI, including retention and disposition schedules for all operational records.
- 1.3 All healthcare workers have a responsibility to manage and protect records created as part of their day-to-day work and business activities.

2.0 DEFINITIONS

Active record:	Records that are referred to and required constantly by a program or service in the conduct of its business and are retained on site.
Administrative Records:	Records that are common to all government departments and agencies and support common functions such as planning, committees, budgets, payroll and personnel records. The government Classification Plan and Retention Schedules for Administrative Records (CPRS) is used for managing administrative records.
Healthcare worker:	All persons involved in providing care and/or services within Health PEI facilities and programs, which includes all employees (casual, permanent, temporary, full-time and part-time employees), physicians (salaried, fee-for-service, contract and locum), students, volunteers and contract workers.

Final disposition:	The action taken on records that have reached the end of their retention period, which may include secure destruction or transfer to the Provincial Archives for selective retention.
Non-Record:	Documents in any format that do not provide evidence of a business activity, or transaction and have no long-term value as determined by the program. See Appendix B “What is a record?”
Operational Records:	Records that are unique to a government department or agency and which are created to fulfill the mandate of the department or agency (e.g. patient/client records, charts or files). Retention and Disposition Schedules for operational records are developed by the department or agency. See Appendix B “What is a record?”
Record:	In accordance with definitions in the <i>Archives and Records Act</i> , <i>Freedom of Information and Protection of Privacy Act</i> and <i>Health Information Act</i> , record means recorded information in any format which provides evidence of a business function, activity, decision or transaction, including notes, images, audiovisual recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but not including software or any mechanism that produces records.
Recorded Information Management (RIM):	The systematic control and effective management of the life cycle of all recorded information from creation to final disposition.
Retention and Disposition Schedule:	A legal document that provides a description of records and explains the function of the records. It describes the length of time a set of records must be kept on site (active), stored at the Provincial Records Centre (semi-active) and how the records will be managed at the end of their life (final disposition).
RIM Team:	Health PEI staff with designated responsibility to develop, manage and maintain a RIM Program for the organization and to provide education and support on records management to all healthcare workers. The RIM Team includes RIM Coordinators, RIM Clerks and the Manager of Health Privacy and Information Access.
Semi-active record:	Records that are not required constantly for current use and may not be required to be retained on site.
Transitory Record:	Records that are not an integral part of an administrative or operational record. Transitory records are only required for a limited time to complete a routine action but do not have to be kept for legal, evidential, historical or financial purposes. See Appendix B “What is a record?”

3.0 PURPOSE/SCOPE

- 3.1 The purposes of this policy are to ensure that:
- (a) all Health PEI administrative records follow CPRS standards,
 - (b) all operational records have retention and disposition schedules, and
 - (c) healthcare workers follow retention and disposition schedules to enable good record management practices within the organization.
- 3.2 The objectives of the RIM Program are to:
- (a) ensure that records are properly managed, protected, preserved and securely destroyed only under authority of the *Archives and Records Act*,
 - (b) promote awareness of the value of records in order to meet organizational needs (decision-making and patient/client care), legal requirements and mitigate risk, and
 - (c) educate healthcare workers regarding the classification and categorization of records.

4.0 APPLICATION

This policy applies to all physicians, staff, programs and services of Health PEI, and to all records in the custody or control of Health PEI.

5.0 PROCEDURES

- 5.1 To classify and categorize records:
- (a) Records categorized as active must be kept on the site of the program or service to which they belong, in paper or electronic format. Active records should be accessible to authorized staff who require access.
 - (b) Records categorized as semi-active may be processed for storage in the Provincial Records Centre with the support and direction of the RIM Team.
 - (c) Records categorized as having met their final disposition may be processed with the support and direction of the RIM Team.
 - (d) Documents classified as non-records are disposed of at the discretion of the program.
 - (e) Records classified as transitory are not required to meet legal obligations. These records should only be kept for as long as they are administratively useful.
- 5.2 Provincial Record Centre and Public Records Committee
- (a) The Provincial Record Centre is an off-site storage facility that provides safe, secure, free storage for semi-active records, processes retrieval requests and re-files the records upon return to the Records Centre. Only records with a retention and disposition schedule can be placed in the Provincial Records Centre.
 - (b) The Public Records Committee is established pursuant to the *Archives and Records Act* to review and approve retention and disposition schedules developed by all government departments and agencies.
- 5.3 Email and Electronic Documents Management
- (a) Email messages and electronic documents classified as records must be maintained by filing within existing e-mail system or electronic drive (shared drive), designing

and maintaining an electronic document management system (EDMS), or printing to paper and storing the paper in the existing manual file system.

6.0 ROLES AND RESPONSIBILITIES

6.1 All healthcare workers:

- (a) Be aware of the RIM Policy, retention and disposition schedules and records management practices (see Records Management for New Employees, Appendix A).
- (b) Manage records according to policy and applicable schedules.

6.2 Chief Officers, Executive Directors, Directors, Managers and Supervisors

- (a) Ensure all program or service areas have a retention and disposition schedule.
- (b) Provide or ensure access to education for healthcare workers on records management.
- (c) Monitor compliance with CPRS and applicable schedules.
- (d) Contact the RIM Team if a new schedule or revision to existing schedule is required.

6.3 Manager of Health Privacy and Information Access

- (a) Oversee the development, management and maintenance of Health PEI's RIM Program.

6.4 RIM Coordinators

- (a) Develop, manage, monitor and maintain Health PEI's RIM Program.
- (b) Provide expert advice to healthcare workers on records management practices.
- (c) Support program areas in development of new and revision of existing retention and disposition schedules.
- (d) Present all new or revised schedules to the Public Records Committee for approval.

6.5 RIM Clerks

- (a) Provide support, guidance and assistance to healthcare workers in managing records.
- (b) Assist healthcare workers in processing records according to approved retention and disposition schedules.

7.0 MONITORING

7.1 The Chief Administrative Officer is responsible for ensuring this policy is reviewed every three years according to Health PEI's policy review cycle and standards.

7.2 The Manager of Health Privacy and Information Access and RIM Coordinators is responsible to collect feedback on the application of the policy and make recommendations for revisions as required.

8.0 REFERENCES

Related Documents

Classification Plan and Retention Schedules for Administrative Records

Health PEI Operational Schedules

Archives and Records Act

Freedom of Information and Protection of Privacy Act

References

N/A

Appendices[Appendix A - Records Management for New Employees](#)[Appendix B – What is a Record \(Public Archives & Records Office 2017\)](#)**9.0 STAKEHOLDER REVIEW**

Group/Committee	Dates of Review
Health PEI RIM Team	March 2021

10.0 REVIEW HISTORY

Review Dates: May 2017 March 2021 _____

Appendix A – Records Management for New Employees

Records Management for New Employees

Welcome to your new position as an employee of the Province of Prince Edward Island. As you fulfill your duties, you will inevitably create records. These records will take many forms: paper records; video or audio recordings; emails and other forms of electronic records, etc. This memo gives a quick overview of the Province's Recorded Information Management (RIM) Program and your role in safeguarding the records of government.

What is “recorded information management” (RIM)?

Records Management or Recorded Information Management (RIM) is a system of rules and procedures governing the creation, use, storage, and disposition of all recorded information, regardless of format, within government.

What is a “record”?

A record is information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.

Records may include any email message, correspondence, memorandum, book, plan, map, drawing, diagram, pictorial or graphic work, photograph, film, microform, sound recording, video tape, electronic file, text message, social media posting, and any other documentary material, regardless of physical form, characteristics or media on which it is stored.

What are “public records”?

"Public record" is the official term for a government-owned record. Public records are records kept by any provincial officer or employee in the course of his or her employment with the Provincial Government.

What is a “transitory record”?

Transitory records are those records required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record. Examples of transitory records include:

- duplicate copies used for convenience or reference
- information received as part of a distribution list
- miscellaneous, “FYI” notices or memoranda on meetings, holidays, charitable campaigns, boardroom reservations, etc.
- casual communications and personal messages
- photocopies of departmental publications
- draft documents where all critical content changes have been incorporated into a subsequent document
- working versions not communicated outside of your office

What is a “records retention and disposition schedule”?

Records retention and disposition schedules are documents created by departments to describe the records that are created and how long those records must be retained. A records retention and disposition schedule:

- Identifies and describes the records or classes of records to which it applies.
- Specifies how long the records are to be kept by government.
- Identifies records to be destroyed at the end of their life cycle.
- Identifies the records or classes of records that have archival value.

Why are records important?

- Because they have value!
- Records contain information that is needed for the day to day work of government. Their purpose is to provide reliable evidence of, and information about, “who, what, when and why” something happened.
- In some cases, the requirement to keep certain records is clearly defined by law, regulation or professional practice.
- **RIM is not optional!!! The *Archives and Records Act* requires that records created and kept by government offices are managed effectively and disposed of responsibly.**
- The *Freedom of Information and Privacy Protection Act* requires government to make public records available to the public.

What are my records management responsibilities?

- Good recordkeeping is everyone’s responsibility.
- All government employees have a duty to create full and accurate records of their actions, and file and capture them in formal recordkeeping systems.
- Contact your departmental RMLO to see if your department has a file plan and retention schedules.
- Follow your Department’s RIM policies, procedures, file plans, and retention schedules.
- **Employees at all levels must not destroy records except as provided by approved records schedules, and in accordance with established procedures for records destruction.**
- **Remember... all records you create as an employee of the government are the property of the government.**

Who should I contact if I have questions about records management?

For more information, contact your RIM Team at healthpeiRIM@ihis.org

Resources: *Archives & Records Act*
Treasury Board Policy and Procedures Manual, “Section 5: Recorded Information Management”

Appendix B – What is a Record

WHAT IS A RECORD?

Records are documents created, received, and maintained by government as evidence and information of its legal and business activities.

Public records are records, in any format, kept by or created by any individual during the course of his or her employment with the Provincial Government.

Examples:

- ☞ Briefing notes, directives, policies, final reports and recommendations
- ☞ Workplans, schedules, assignments and performance results
- ☞ Materials that document a business decision, a business transaction or the position of the department
- ☞ Materials of historical or research importance
- ☞ Agendas and meeting minutes
- ☞ Documents that result in a decision, or that result in the implementation of a policy or activity
- ☞ Materials that would allow for the reconstruction of the evolution of policy and program decisions
- ☞ Materials that would be required to support a financial, administrative, or legal audit

WHAT IS A TRANSITORY RECORD?

Transitory records are public records, in any format, that are of short-term value.

Transitory records are only required for a limited time to complete a routine action, but do not have to be kept for legal, evidential, historical, or financial purposes.

Examples:

- Working documents, such as drafts or preliminary materials used in the preparation of a final document
- Copies kept for reference in another unit
- Department-wide memos, announcements
- Meeting requests
- Drafts (if they do not document decisions)
- Duplicate minutes, agendas, correspondence held by other committee members, other than committee chair
- Simple phone messages

WHAT IS A NON-RECORD?

Non-Records are documents in any format that do not provide evidence of a business activity, or transaction and have no long term value.

Non-records do not need to be filed and are disposed of at the discretion of the user.

Examples:

- Junk mail/Spam
- Personal documents (appointments/photos/ correspondence).
- Advertisements
- Published Materials (books/ journals/ newspapers)
- Blank forms and obsolete stationery
- Materials available from public sources
- Research material from the web