

The following checklist is intended for government institutions to ensure that basic records and information management (RIM) requirements are addressed from the outset of the project as they undertake new IT initiatives. RIM requirements identified in this checklist must be addressed by the institution responsible for the information in consultation with the institution's RIM coordinator (Records Manager). The Information Management Services program at the Provincial Archives of Saskatchewan (PAS) can provide RIM advice and assistance at any stage of this process. If your organization does not currently have a RIM coordinator, please contact the PAS.

**Information, regardless of its format or storage media, is subject to the RIM requirements laid out in *The Archives and Public Records Management Act (APRMA)*. Government institutions that own official public records are responsible for maintaining the records usable, accessible, legible and transferable until they are approved for disposal by the Provincial Archivist. In addition, the authenticity, completeness, and integrity of the records must be maintained as outlined by *The Electronic Documents Act*. Information Technology (IT) staff and any third party vendors must be made aware of these requirements so that retention, maintenance and security procedures can be established and followed.**

For the purposes of this document, *information* means all structured and unstructured data including any forms of electronic records created by government institutions, and the *system* refers to the subject of the IT initiative being developed.

The checklist complies with the APRMA, *The Electronic Documents Act*, and ensures compliance with *The Freedom of Information and Protection of Privacy Act* and *The Health Information and Protection Act*. Government institutions must also address any institution-specific requirements included in their legislation or regulations that may impact the management of electronic records. For a comprehensive listing of RIM functional requirements for IT business systems refer to *Government of Saskatchewan Records Management Requirements for Business Systems* (see Appendix A).

Action	Steps to Complete
<p><b>1</b> Identify the institution/business unit/program that owns the information within the system.</p>	<p>Consult all parties involved with the system to clearly define which institution/business unit/program owns the information. This decision must be well documented and communicated to all parties.</p> <p>Policies must be in place that identify the official records owned by the institution in order to reduce redundant information.</p>
<p><b>2</b> Identify applicable RIM requirements of institutions/business units/programs that will have access to the system.</p>	<p>Consult institutions/business units/programs that control or use the information to identify their RIM requirements, if applicable.</p>
<p><b>3</b> Identify approved records schedules that apply to the information within the system.</p>	<p>Determine which records schedules apply.</p> <ul style="list-style-type: none"> <li>• ARMS2014 (Administrative Records Management System 2014), the government-wide standard, for administrative information. (ARMS applies to most government institutions.)</li> <li>• An institution-wide Operational Records System (ORS) for information related to the institution's mandate.</li> <li>• A Comprehensive schedule that includes both operational and administrative information if you are a Crown Corporation (applies to Crown Investments Corporation of Saskatchewan and some Treasury Crown Corporations).</li> </ul> <p>For clarification as to which schedule should be applied, please contact the PAS. If there is no applicable schedule, contact the PAS regarding schedule development.</p> <p>Refer to <i>Transitory Records Guidelines</i> (see Appendix A) to determine if transitory information exists within the system. Transitory records do not need to be retained in accordance with an approved schedule. Consult the PAS with any questions in this regard.</p>

Action (continued)	Steps to Complete (continued)
<p><b>4</b> Develop and implement strategy to manage <i>inactive</i> information (information that is no longer accessed regularly for business purposes, but is required to be retained to meet fiscal, legal and other administrative or operational requirements).</p>	<p>Analyze information that will be managed by the system and determine its eligibility for disposal in accordance with an approved schedule.</p> <ul style="list-style-type: none"> <li>• Prepare and submit disposal requests to the PAS for any information that have met its retention periods. (Note: For disposal purposes, any applicable branch-specific ORS that is still effective can be used.)</li> <li>• Determine how to manage inactive information that has not yet met retention requirements (e.g. transfer the information or maintain it accessible and legible in current format until the information meets the retention requirements as per the approved schedule). Consult IT staff on technical matters and the PAS regarding the RIM requirements.</li> </ul>
<p><b>5</b> Ensure that information and its associated metadata is retained, accessible, legible and can be deleted from the system in accordance with the RIM requirements.</p>	<p>Consult with IT staff and PAS to develop and implement strategies based on approved schedules that include the following:</p> <ul style="list-style-type: none"> <li>• Capture of metadata</li> <li>• Maintenance and preservation of information including migration protocols</li> <li>• Long-term stability of information formats and readability of information</li> <li>• Disposal protocols (e.g. internal disposal procedures; disposal of <i>source</i> documents, if initiative involves digitization of official records; procedures ensuring complete deletion of information upon approval from the PAS, etc.)</li> </ul> <p>Identify any potential issues in the system that may be in conflict with the RIM requirements and determine what steps to take to mitigate or eliminate them (e.g. disable auto-delete features within the system).</p> <p>Note: Reports produced by/from the system that are official records must be captured and retained according to an approved records schedule.</p>
<p><b>6</b> Ensure that information security and privacy requirements are identified and addressed.</p>	<p>Consult with IT staff and your Privacy Officer to establish and implement security protocols and access controls for the protection of confidential, sensitive or personal information.</p>
<p><b>7</b> Ensure the system has the capabilities to securely export, and/or transfer information and associated metadata from the system.</p>	<p>Consult with IT staff and PAS to develop and implement strategies based on approved schedules that include the following:</p> <ul style="list-style-type: none"> <li>• Export and transfer capabilities</li> <li>• Migration protocols</li> <li>• Acceptable formats for long term preservation</li> <li>• Acceptable formats for transfer to the PAS</li> </ul> <p>Note: Sound migration protocols are crucial if the information may be needed for longer than the anticipated life of the system or if the information is of long-term historical value. Records determined to be of historical significance must be in a format that is transferrable to the PAS.</p>

**Contact information for Provincial Archives of Saskatchewan:  
Information Management Inquiry Line: 306-787-0734 or e-mail: [recordhelp@archives.gov.sk.ca](mailto:recordhelp@archives.gov.sk.ca)**

## Appendix A: RIM Resources

### RIM Guidelines, Policies and Tools

*File Formats for Long-Term Preservation and Transfer to the Provincial Archives* [https://www.saskarchives.com/sites/default/files/pdf/fileformats\\_fin\\_2.pdf](https://www.saskarchives.com/sites/default/files/pdf/fileformats_fin_2.pdf)

*Government of Saskatchewan Records Management Requirements for Business Systems* [https://www.saskarchives.com/sites/default/files/pdf/itsystems\\_rimreqs\\_fin.pdf](https://www.saskarchives.com/sites/default/files/pdf/itsystems_rimreqs_fin.pdf)

*Guidelines for the Management of Transitory Records* [https://www.saskarchives.com/sites/default/files/pdf/transitory\\_rec\\_guide\\_fin.pdf](https://www.saskarchives.com/sites/default/files/pdf/transitory_rec_guide_fin.pdf)

*Managing Official Electronic Records Guidelines* [http://saskarchives.com/sites/default/files/pdf/elec\\_rec\\_guide\\_fin.pdf](http://saskarchives.com/sites/default/files/pdf/elec_rec_guide_fin.pdf)

*Records Retention and Classification Schedule Development Guide* [https://www.saskarchives.com/sites/default/files/pdf/orsdevguide\\_fin\\_2017.pdf](https://www.saskarchives.com/sites/default/files/pdf/orsdevguide_fin_2017.pdf)

*ARMS 2014* [http://saskarchives.com/sites/default/files/pdf/517\\_arms2014\\_links\\_jan302019.pdf](http://saskarchives.com/sites/default/files/pdf/517_arms2014_links_jan302019.pdf)

*Records Disposal Process* <http://saskarchives.com/services-government/records-disposal>

### Acts and Legislation

*Archives and Public Records Management Act* <https://pubsaskdev.blob.core.windows.net/pubsask-prod/83004/A26-11r1.pdf>

*The Electronic Documents Act* <https://publications.saskatchewan.ca/api/v1/products/501/formats/642/download>

*The Freedom of Information and Protection of Privacy Act* <https://pubsaskdev.blob.core.windows.net/pubsask-prod/1893/F22-01r1.pdf>

*The Health Information and Protection Act* <https://pubsaskdev.blob.core.windows.net/pubsask-prod/15676/H0-021r1.pdf>