



**FIRST NATIONS
PUBLIC SERVICE SECRETARIAT**

Records and Information Management Assessment Toolkit

RIM

“Records management is knowing what you have, where you have it, and how long you have to keep it”

November 2021

Overview of the RIM Assessment ToolKit

The RIM Assessment Toolkit covers the following topics:

- 1. The RIM basics
- 2. The RIM Assessment Toolkit
- 3. The eight RIM Principles and their associated questions that form the RIM Assessment Toolkit Questionnaire
- 4. How to set up interviews
- 5. How to analyze information collected during the interview process
- 6. How to determine a RIM Maturity Level
- 7. Options and potential projects to assist with next steps based on the interview results



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The RIM Assessment Toolkit was designed by Mark Stephens of Windward Design Services.

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BACKGROUND

Records & Information Management Training

The First Nations Public Service Secretariat (FNPSS) offers **Records & Information Management (RIM) Management Training Academies (MTAs)** that focus on the fundamentals of RIM and provide suggestions on how to implement these fundamentals with respect to First Nations governments and organizations.

A total of 447 participants attended five RIM MTAs between 2019 and March 2021, of which 382 (85%) were from First Nations governments and organizations.

A recommendation from RIM MTA participants was access to additional training, tools, and resources to assist them in assessing their existing RIM programs. Based on this recommendation, FNPSS and the Information Governance Advisory Committee (introduced below) decided to offer the Intensive RIM Assessment Workshop and to create this RIM Assessment Toolkit.

The first **Intensive RIM Assessment Workshop** was held in April and June 2021 as a pilot. It was designed to help First Nations participants determine the strengths and weaknesses of their own RIM programs. It included a series of webinars and offered coaching to support participants in conducting assessment interviews within their own organizations and analyzing the interview results.

Visit FNPSS' [Events Calendar](#) regularly, [subscribe to the newsletter](#), and follow FNPSS on social media to stay informed about upcoming **RIM MTAs** and Intensive **RIM Assessment Workshops**.

This RIM Assessment Toolkit was developed using the Workshop materials. The Toolkit is intended to be self-guided so that First Nations government and organization employees responsible for RIM can complete RIM assessments at their own pace with the ability to access additional resources and support as needed. It offers assistance on how to conduct a RIM Assessment to better understand the strengths and weaknesses of a government's or an organization's RIM program.

“This RIM MTA has planted seeds for a vision for my Nation to work towards - thank you.”

- RIM MTA participant

“These sessions really put into perspective how much my Nation has to do - and I look forward to being a part of the process!”

- RIM MTA participant



FNPS staff at the conference

About FNPSS, Its Advisors and Partners

First Nations Public Service Secretariat



The purpose of the FNPSS is to create and implement a collective plan to support First Nations communities and organizations in British Columbia (BC) as they pursue excellence in capacity building and human resource development. The goals of the FNPSS are to:¹

- Strengthen and support relationships between First Nations Leadership, Administration, and communities
- Coordinate and strengthen human resource development for First Nation employees in the core competencies (also known as pillars): human resource management, financial management, records and information management, and policy development and implementation
- Support and enhance human resource development efforts for First Nation employees in a range of professional sectors, such as health, education, children and families, and resource management

Visit fnps.ca to learn more about FNPSS.

The Intensive RIM Assessment Workshop and the RIM Assessment Toolkit were created by FNPSS with the support, guidance, and expertise of the following groups:

- FNPSS' Band Administrators' Advisory Committee
- ARMA Canada, ARMA Vancouver Chapter, ARMA Vancouver Island Chapter, and the Information Governance Advisory Committee
- The Expert Interview Group

Band Administrators' Advisory Committee

The **Band Administrators' Advisory Committee** (BAAC) is comprised of First Nation Band Administrators from across BC who provide guidance and expertise on FNPSS' activities, focus, and direction. BAAC members echoed RIM MTA participant suggestions that since First Nations employees had firsthand knowledge and experience of their government's / organization's business processes and how records were created, stored, and maintained, elements of a RIM assessment could be completed internally (rather than hiring a consultant to conduct an assessment from start to finish). BAAC members supported the recommendation that the Intensive RIM Assessment Workshop and this RIM Assessment Toolkit be created, and to combine these with one-on-one mentorship support from RIM experts

¹FNPSS. "About the First Nations Public Service Secretariat." Retrieved from fnps.ca/about

ARMA and the Information Governance Advisory Committee



ARMA International represents the “community of records management, information management, and information governance professionals who harness the benefits and reduce the risks of information. ARMA is one of the leading organizations in RIM with widely accepted resources and best practices used by organizations all over the world.”²

ARMA Canada Region and ARMA Vancouver Chapter are longstanding partners of FNPSS, as two of the original partners dating back to 2010. The renewed 2019 Memorandum of Understanding (MOU) was expanded to include ARMA Vancouver Island Chapter and reiterated the commitment of all parties to work together to identify learning needs and develop and implement strategies to strengthen and enhance the information governance capacity of First Nations’ governing bodies and institutions.³

Under the 2019 MoU, the Information Governance Advisory Committee (IGAC) was formed. It is comprised of ARMA members and other RIM experts working in First Nations governments, local governments, and/or as independent RIM consultants. The IGAC is a volunteer group that meets regularly to undertake the activities under the MoU workplan. Under the 2019 MoU, ARMA publications and other resources are featured in tandem with First Nations-tailored RIM training delivered by FNPSS. With ARMA’s permission and ongoing support, this RIM Assessment Toolkit also features ARMA International’s Generally Accepted Recordkeeping Principles® and its associated Maturity Model.

Learn more about ARMA Canada, ARMA Vancouver Chapter, and ARMA Vancouver Island Chapter by visiting armacanada.org.

Expert Interview Group

The Expert Interview Group consisted of RIM professionals who work in or with First Nations and/or have experience with ARMA’s International Generally Accepted Recordkeeping Principles®. The Expert Interview Group offered advice on how to develop and simplify the assessment materials during the initial consultation phase of creating the Intensive RIM Assessment Workshop and the RIM Assessment Toolkit, and then reviewed the final materials. Some members of the Expert Interview Group also mentored First Nations participants throughout the Intensive RIM Assessment Workshop.

Special Acknowledgement

Special acknowledgement is extended to: Ken Oldenburger (Oldenburger Consulting) for contributing the Assessment Toolkit’s foundation document and Michelle Barroca (FY Information Management) for assisting with the RIM Assessment Toolkit’s development process and facilitating the Intensive RIM Assessment Workshop; the Tseil-Waututh Nation for kindly sharing a RIM Policy Template; and the Ktunaxa Nation for kindly sharing images used in the RIM Assessment Toolkit.

²ARMA. “About ARMA.” Retrieved from www.arma.org

³FNPSS. “Partners”. Retrieved from fnps.ca/partners

INTRODUCTION

A Council member is wondering if a recording of an Elder's storytelling session from the Fall Festival is available to use for a proposal.

A Housing Manager asks the Housing Assistant to locate a file about a housing initiative written by an employee who no longer works in the office.

A CCP workshop is scheduled and a coordinator is tasked with providing the community's plans from the last 20 years. A presenter wants to review these during Day 1's "Where we have been" session.



Ktunaxa office

Completing any of these tasks could be as easy as conducting an electronic search within a robust computer document repository, opening a filing cabinet where color-coded, organized documents are stored, or accessing the Archives that houses all the video and audio files on tape.

Realistically, knowing what information has been kept, where it is kept and how to access it, and how long it needs to be kept is not always that simple; most organizations struggle with maintaining a healthy RIM program (with policies, procedures, and guidelines) that meets organizational and legal requirements.



This RIM Assessment Toolkit offers assistance on how to conduct a RIM Assessment to better understand the strengths and weaknesses of a government's or an organization's RIM program.

A RIM Assessment *does not* take away or discredit the work done on a government's or an organization's existing RIM program. It does identify what is working, what is not working, and where to focus efforts to improve the RIM program.

What the RIM Assessment Toolkit IS – a self-guided resource to aid in conducting a RIM Assessment

What the RIM Assessment Toolkit is NOT – a RIM consultant or a software recommendation to develop and implement a RIM program



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MODULE 1

OVERVIEW OF THE RIM ASSESSMENT TOOLKIT

Focus of RIM Assessment

This self-guided RIM Assessment Toolkit is used to examine a RIM program to determine its strengths and weaknesses so that projects can be identified to further develop the RIM program for a First Nation Band Administration, an Indigenous Government, a First Nation Institution or a First Nation Organization or other Indigenous Organization in Canada.

This RIM Assessment Toolkit can be applied organization wide, but it is not recommended to assess every department, function, or business process at once. Rather, it is often best to begin by conducting a RIM Assessment on one or two Department(s) (such as Housing, Finance, or Education) or around a specific business process (such as support for Chief and Council, land use planning, or operating the reception area).

For reference, the term **'Department' is purposely used throughout each Module to emphasize the suggestion to focus on one or two Departments or a business process.** Furthermore, the term **'Organization' refers to a First Nation Band Administration, an Indigenous Government, a First Nation Institution or a First Nation Organization or other Indigenous Organization in Canada.** The functions, business processes, and authorities addressed in this RIM Assessment Toolkit are specific to these groups. However, Module 5: Potential Projects is tailored to a BC-based Organization as FNPSS focuses on BC First Nations communities.

This version of the RIM Assessment Toolkit addresses information and records associated with organizational business processes and documentation, specifically for the purposes of performing governmental administration or operations (for example, delivery of programs and services, human resources (HR), and finances). It does not address specifically other aspects of data management (for example, socio-economic data) or archival functions of a First Nation government, nor does it specifically look at cultural aspects of a RIM program in a First Nations Department and Organization.⁴ For more information on First Nations data management, visit the [First Nations Information Governance Centre \(FNIGC\)](#) and the [BC First Nations' Data Governance Initiative \(BCFNDGI\)](#). To learn more about how RIM, data management, and archives work together, view the webinar titled [Data and Information Management](#), presented by the FNPSS on behalf of the FNIGC and BCFNDGI.



⁴An example of how culture may influence a RIM program could be how access is managed, or how a First Nation might apply a cultural or Nation-building lens to determining which records should be preserved.

Overview of Modules

The Modules cover the following.

Module 1:

- What the RIM Assessment Toolkit is, how it can be used, and who can use it

Module 2:

- Elements of a RIM program and key definitions
- An introduction to ARMA, its Generally Accepted Recordkeeping Principles® and its associated Maturity Model
- An overview of the RIM Assessment Toolkit Questionnaire

Module 3:

- How to conduct interviews with employees and address common questions

Module 4:

- How to gather, score and interpret interview responses to determine a Maturity Level

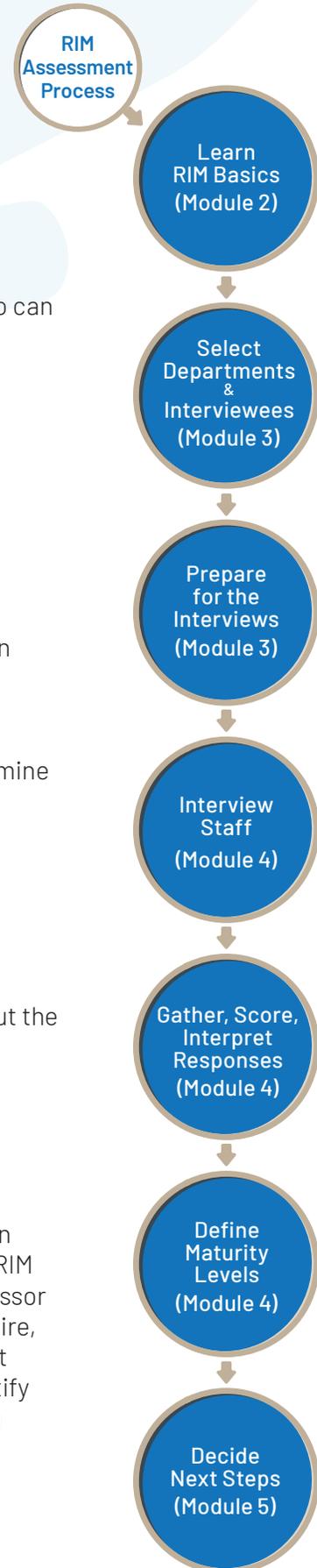
Module 5:

- Potential Projects that can be implemented to improve a RIM program

Working through the Modules takes a significant amount of time but ultimately supports the Department in making strategic decisions about the ongoing development of a RIM program.

How does it work?

The employee tasked with completing the RIM Assessment (the “RIM Assessor”) can begin by working through Modules 1 to 3 in order to learn more about RIM and gather together instructions on how to conduct a RIM Assessment of a Department. After completing Module 3, the RIM Assessor can interview colleagues using the RIM Assessment Toolkit Questionnaire, and then can use the tools provided in the Toolkit to score and interpret the interview results. With the results, the RIM Assessor can then identify and seek approval to implement RIM projects that assist in the ongoing development of a Department’s RIM program.



Who can use the Assessment Toolkit?

The RIM Assessment Toolkit is tailored to be used by a RIM Assessor who is:

- An employee of a First Nation Band Administration, an Indigenous Government, a First Nation Institution or a First Nation Organization or other Indigenous Organization in Canada
- Responsible for organizing and maintaining records for the Department, Band Administration, Government, or Organization

And has:

- Already taken some RIM training, either with [FNPSS programs](#) or through other sources, such as [ARMA Vancouver](#) and [ARMA Vancouver Island](#)

What is needed to use the RIM Assessment Toolkit?

The RIM Assessor has:

- Between 10 and 20 hours of time to commit to working through the five Modules and conducting the interviews
- Support from colleagues who are willing to be interviewed
- Support from a supervisor to undertake the RIM Assessment process

What can the RIM Assessment Toolkit be used for?

A RIM Assessment Toolkit can be used in a variety of ways, including:

- To establish a baseline to track the progress of a RIM program
- To visualize the results (see the Sample Visual on page 51 for an example) and present them as part of the reporting cycle
- To build a business case to submit to the Department's leadership with the goal to gain support and budget allocation towards further development of a RIM program

What if help is needed while working through the RIM Assessment Toolkit?

FNPSS is available via email (info@fnps.ca) to answer general questions about the RIM Assessment process. FNPSS can also connect RIM Assessors with an IGAC member who can provide RIM-specific guidance and support.

What is the IGAC? The IGAC (Information Governance Advisory Committee), briefly introduced in the Background section, is a committee of RIM experts who are volunteering to support RIM capacity in BC First Nations and organizations. Find more information about the IGAC by visiting [FNPSS' website](#).



“As far as areas of focus, I don’t think we were looking for an area of focus. But I know that we have a lot of tools now that we can just go forward and present to our band administrator.”

– RIM Workshop participant,
K’ómoks First Nation

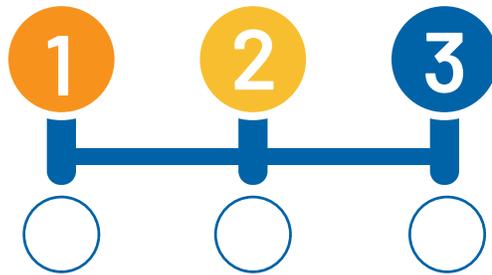


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PAUSE FOR PREDICTIONS

Before getting started, based on your knowledge right now of your Department's RIM program, do you think your Department's RIM program is (1) minimal (almost non-existent), (2) exists but is still in development (so it needs a lot of work), or (3) exists and has the basics covered?

There is no wrong answer or a need to submit your answer. The purpose is to compare this rating against the results you gather throughout the RIM Assessment process.



On a scale of 1 to 3, place a checkmark in the circle that you estimate shows your Department's level of Records and Information Management.

Write a few notes about why you chose this rating
(either here if you have printed the RIM Assessment Toolkit or in a notebook).

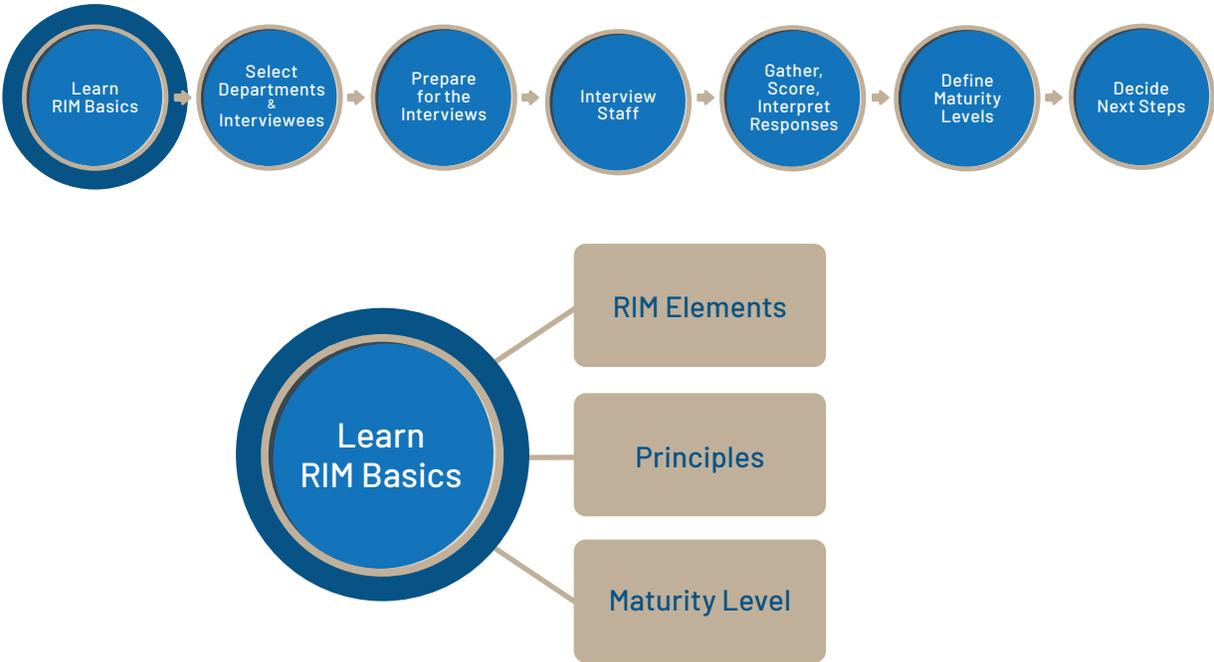


MODULE 2

RIM BASICS

Module 2 covers the basics of RIM as described by ARMA International,⁵ noting where concepts have been tailored to reflect the context of First Nations in Canada. The information presented is meant to assist with the RIM Assessment process, including the interviews, analysis, and decision making on next steps.

RIM Assessment Process



⁵ ARMA International is a not-for-profit professional association and a global authority on governing information as a strategic asset. Formed in 1955, ARMA International's mission is to provide information professionals the resources, tools, and training they need to effectively manage information assets within an established information governance framework. The association created the Generally Accepted Recordkeeping Principles® and the Information Governance Maturity Model, and it publishes the *Information Management Magazine*. Learn more about ARMA International at www.arma.org.

RIM as an Administrative Function

As illustrated in Figure 1, RIM is an administrative function that is interconnected to a Department's other core functions. First Nation administration functions are expansive and include program and service delivery (e.g., housing and education), support to leadership in their decision making, and other core governance functions such as managing HR, finance, and IT.

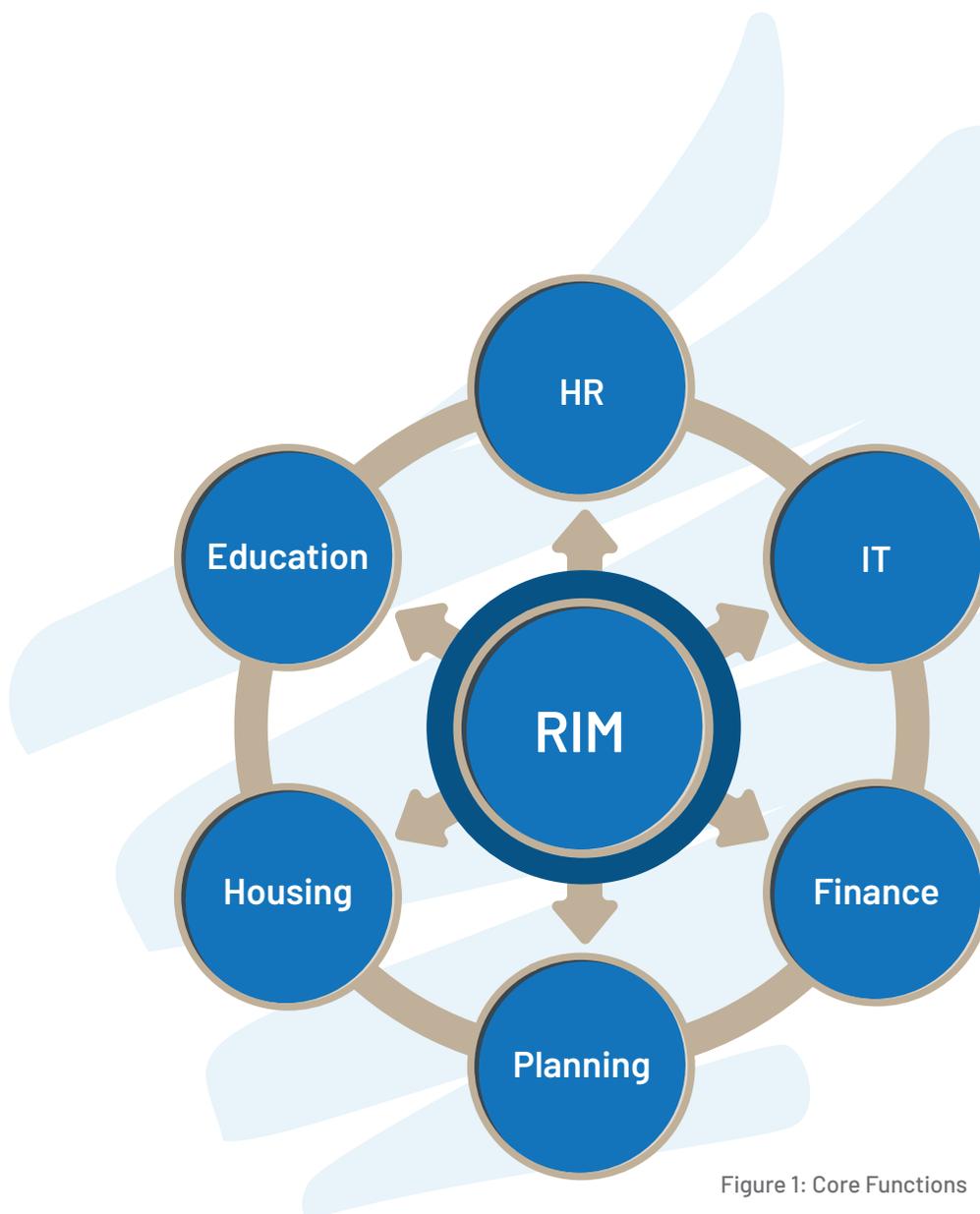


Figure 1: Core Functions

RIM Program Definitions

Records and Information Management (RIM): RIM is the discipline responsible for the efficient and systematic control of recorded information in all forms and formats throughout the record's life cycle.

Record: "A document in any form (paper, photograph, audio or video recording, digital file, map, drawing, oral history, private and family papers, artwork) that contains evidence of past, current, or future activities, decisions and transactions. A record has long lasting value to the past, present, or future operation of an organization. In archives, a record has been assessed to have historical value and is preserved for a long time."⁶

Examples of Physical Records: Tangible records such as community plans that are printed on paper and photographs placed in a photo album

Examples of Electronic Records: Analog records (such as CDs, audio tapes, and DVDs) and intangible and digital file formats including digital files (such as JPEG, TIFF, MP4, MOV, Excel, PowerPoint, Word, and PDF files)

Information: "Knowledge that is communicated [to others] or received. This may be any documentary material regardless of communication source, information format, production mode or recording medium."⁷

Information is things that are or can be known about a topic – once that information is recorded in some way as evidence of past, present, or future activities, it can become a record.

Policy: Policies are a set of general guidelines that lay the foundation for how records and information are managed by the Department or Organization. Policies communicate what to do (not how to do it – that is the role of procedures).

Example: "Records Management Policy: The purpose of this policy is to provide guidance on effective recordkeeping practices that enables <FIRST NATION NAME> to create and acquire, manage, and protect the integrity of its records that support its decision making, and support reporting, performance and accountability requirements."⁸

Procedure: Procedures are step-by-step instructions on how to administer the policy.

Example: "Filing procedures: Incoming hard copy records are received by postal mail, courier and fax. Incoming mail is opened, sorted, and placed in designated locations for staff to pick up and transmit to designated staff in their work groups, or for the records management staff to collect for filing into the office records collection."⁹

Guideline: A guideline provides general guidance and additional advice for policies and procedures.

Example: All records have a story to tell. Before deciding if a record is obsolete, consider if it may be of interest as an archive or if it is a public document, to a community member.

⁶Adrien Hembree, Records Management Policy (Template), (2021), 3.

⁷Ibid.

⁸Ibid, 2.

⁹First Nations Summit. Information Management Toolkit: Information for First Nations in BC (2011), online: fnps.ca/wp-content/uploads/2020/03/RIM-Toolkit-Volume-2.pdf

RIM Program Elements

When referencing a RIM program and its development, it refers to the policies, procedures, and plans that a Department (and an Organization) has in place that define and guide the RIM processes. The RIM Assessment Toolkit, including its RIM Assessment Toolkit Questionnaire, are built upon asking questions such as how many of these policies, procedures, and plans exist, how they are developed, and how well they are implemented. Examples of policies and procedures, illustrated in Figure 2, include the following:

- Written policy directives, Band Council Resolutions (BCRs), bylaws, and laws that establish formal authority and define roles and responsibilities
- Records classification systems and retention schedules (RCRS)
- Documented standard operating procedures and guidelines
- Long-term strategies and plans

- Requirements around staff training on and access to RIM-related resources
- Documented manual and automated methods for classification, retrieval, and dissemination of recorded information
- Rules around security and appropriate access systems

Generally speaking, a functioning RIM Program exists when a Department has RIM-focused policies, procedures, and plans that are developed and successfully implemented.

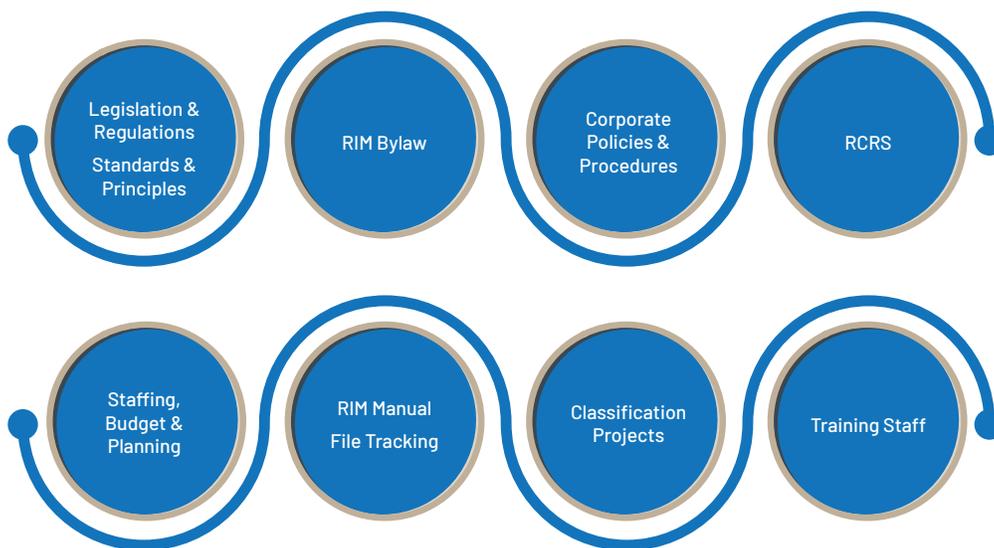
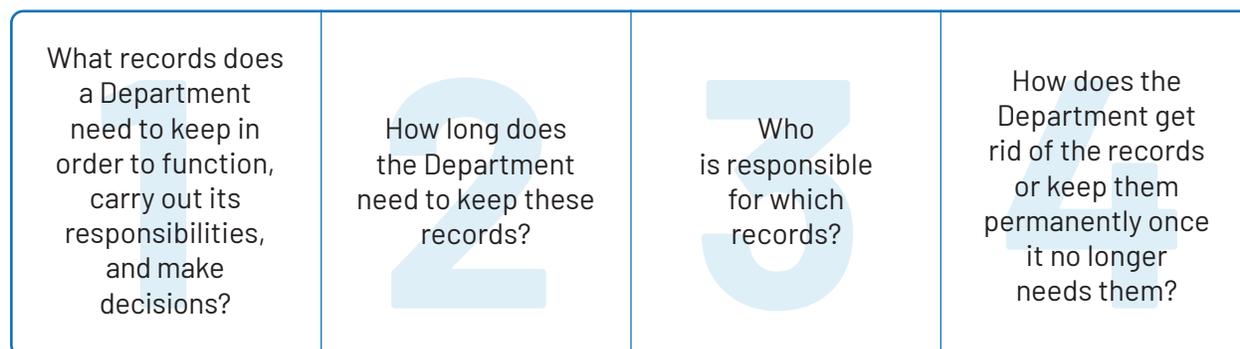


Figure 2: RIM policies, procedures, and plans

RIM Processes

RIM processes focus on *records*, and for ease of understanding, can be divided into four sequenced sections, from creating a record to disposing of it.



How these processes are determined and carried out are the crux of the RIM Assessment process. The RIM Assessment Toolkit Questionnaire helps guide the RIM Assessor to answer these questions.



FNS office

Foundational Concepts

The RIM Assessment Toolkit aligns with ARMA's International Generally Accepted Recordkeeping Principles® (Principles¹⁰) and its associated Maturity Model, which provides "organizations with both a standard of conduct for governing information and guidelines by which to judge the conduct."¹¹

The RIM Assessment Toolkit focuses on ARMA's eight Principles and the Maturity Model throughout the Modules.

These Principles and models were initially developed for and biased toward Western organizations. Some of the Principles and RIM Assessment Toolkit Questionnaire questions do not necessarily reflect First Nations contexts, such as how traditional knowledge and oral history fit in as 'records'. The RIM Assessment Toolkit and the RIM Assessment Toolkit Questionnaire are tailored to better reflect the RIM elements of a First Nations Department or Organization.

Principles



Accountability



Access
(Transparency)¹²



Integrity



Protection



Compliance



Availability



Retention



Disposition

Maturity Model

Level 1: Recordkeeping concerns are addressed minimally

Level 2: Recognition of RIM importance is developing

Level 3: Key basic components of a sound RIM program are in place

Level 4: RIM program is compliant with best practices and legal and regulatory requirements

Level 5: RIM program is effectively integrated to ensure ongoing success and accountability

¹⁰ "Generally Accepted Recordkeeping Principles®." © 2017 ARMA International, www.arma.org/principles.

¹¹ ARMA International, *Implementing the Generally Accepted Recordkeeping Principles®*, (August 13, 2017), 6.

¹² "Transparency" has been renamed "Access" in the RIM Assessment Toolkit because "Access" better reflects the statement and purpose of this Principle that focuses on access to organizational business processes and documentation. It is different from the ARMA use of "transparency," which is associated with the level of honesty and openness to citizens.

Generally Accepted Recordkeeping Principles®

Generally Accepted Recordkeeping Principles® (Principles) describe **eight fundamental attributes or characteristics of effective RIM processes**. Similar to describing attributes and characteristics of a program (e.g., # of new homes built as an attribute of a housing program), the Principles allow the RIM Assessor to describe the Department's RIM processes in order to better understand them and how they are functioning.



Tip!

In order to understand how to conduct a RIM Assessment, you may want to first take time to understand the purpose of the Principles and their meanings.

Source: © 2009 ARMA International



FNPSS staff member at the office

Quick Overview of What the Principles Mean



Accountability: Authority, awareness, responsibility, RIM policy



Access: Documented processes, accessibility



Integrity: Authenticity, reliability, trustworthiness



Protection: Centralized access controls, information security



Compliance: Satisfy legislation, policies and guidelines



Availability: Efficient and accurate retrieval of records



Retention: Appropriate time to maintain records



Disposition: Secure and appropriate disposal, transfers

Who do the Principles apply to?

The Principles can be applied to a broad cross-section of individuals in various roles to undertake a variety of activities, such as:

- **Elected Leadership** (e.g., Chief and Council): For example, crafting legislation to hold organizations, like the Band Administration, accountable to appropriate standards of conduct and to provide greater certainty in business and public affairs
- **Administrators and Senior Management** (e.g., Band Administrator, Program Manager): For example, determining how the Band Administration can safely and appropriately manage information and records
- **RIM Specialists** (e.g., Records Manager, RIM consultant): For example, designing and implementing effective RIM programs
- **Organization Employees** (e.g., Housing Assistant, Receptionist): For example, performing day-to-day RIM-related duties

How are the Principles incorporated into the RIM Assessment Toolkit Questionnaire and Assessment process?



The RIM Assessment Toolkit Questionnaire uses the Principles to organize **37 questions** the RIM Assessor is going to ask colleagues about RIM practices.

Learn the Principles

RIM Assessor, please take your time now to learn each Principle. The Questionnaire is only provided for you to become familiar with the Principles. The RIM Assessment Toolkit provides instructions on how to use the Questionnaire during the interviews in Module 3.

The following pages (26-41) are organized by Principle, starting with a definition (a statement, key points, and a purpose) and then the related questions from the Questionnaire so that the RIM Assessor can see how it all fits together.

- **Statement:** What we are aiming to achieve?
- **Key Points:** What should the Principle look like in a RIM practice / program?
- **Purpose:** Why we are doing this?



“We’ve always had records management in our culture. We’ve always had processes in place for pieces of knowledge to be protected, shared, and to be transferred.”

Gwen Phillips, Ktunaxa Nation



Brian Corrie photo



ACCOUNTABILITY

Authority, awareness, responsibility, RIM policy



Statement: A senior administrator (or person of comparable authority) oversees the RIM program and delegates responsibilities to appropriate individuals. The Organization adopts policies and procedures to guide staff and ensure that the program can be audited.

Key Points:

- Awareness of RIM exists at all levels
- Responsibility for RIM development is identified
- Documented policies and procedures exist
- Electronic records are included as part of the RIM program
- Staff training is available

Purpose: Accountability reflects the awareness and understanding of RIM and the RIM roles and responsibilities at all levels of the organization, including oversight by elected leadership (e.g., Chief and Council) and senior management.

Questions

A. What is elected leadership's level of awareness / support and practice of RIM?

(For example, elected leadership approves RIM policies and procedures.)

1. The elected leadership is hardly aware of or does not support and practice RIM.
2. The elected leadership is aware of the need to manage records and information but does not fully support and practice RIM (e.g., no RIM program, budget, or staffing).
3. The elected leadership is both aware of, supports, and practices RIM

B. What is the Record Manager's (RM) role in the Organization?

(The RM's position can be part-time or full-time.)

1. The RM has no role (i.e., exists in name only or has been delegated to a position or individual who is unable to fulfill the role) or we do not have a RM.
2. The RM exists but has little authority.
3. The RM exists and is responsible for the Organization-wide RIM program.

C. Do RIM policies and procedures define the RIM functions and responsibilities and provide rules for how records and files are created, managed, classified, and disposed of in your Department / Organization?

1. RIM policies and procedures do not exist.
2. RIM policies and procedures exist, but they are either outdated, inadequate, or have never been implemented.
3. RIM policies and procedures exist and are followed.

D. What does your Organization's RIM program cover?

1. There is no RIM program. Staff manage the organization's records and information in an ad hoc manner.
2. Primarily only the paper files are managed. Electronic files are not systematically managed. The IT department leads the management of the electronic files.
3. The program manages both paper and electronic files.

E. Is RIM training available for staff? (Training can include the staff's responsibility for RIM and how to manage records and information in your Department / Organization.)

1. Training is not available.
2. Some staff have received RIM training.
3. All staff members have received RIM training and new staff are trained in RIM during orientation.



Presenter at the conference



ACCESS

Documented processes, accessibility



Statement: An Organization's business processes and activities, including its RIM program, are documented in an open and verifiable manner, and are available to all staff members and appropriate interested parties.

Key Points:

- Information about RIM and business processes is documented and readily available (e.g., manuals)
- Routine access is available to non-sensitive records
- Ability to locate records and information quickly

- Ability to accommodate information requests (internal and external)
- Staff training is available

Purpose: Access addresses the need to document business processes and activities in an open and verifiable manner and make that documentation available to appropriate internal and external personnel and interested parties.

Specific Instructions: Access can often be associated with personal information, cultural information, and archival materials; in this RIM Assessment Toolkit, we are focusing on *access to organizational business processes and documentation*.

Questions

A. Are business processes well defined and documented?

(A business process is a series of actions performed by your Department / Organization to carry out organizational goals. Think about the work you do in your Department on a daily basis. Do you have written procedures in place for your everyday work? For example, do you have written procedures for managing HR records? If you work for the finance department, do you have written procedures for managing financial records?)

1. Processes are not defined or documented.
2. Processes are partially defined and documented.
3. Processes are well defined and documented.

B. How accessible are non-sensitive records between offices within your Department / Organization?

(Non-sensitive records exclude any personal or confidential records. These can include, for example, routine working files, records about an issue or a project, and operational and administrative documents that are neither personal nor confidential.)

1. It is difficult to locate or share records between offices and occasionally even between individuals in the same office. Electronic records are often kept in email inboxes, on personal drives, or in shared folders that have unnecessary security restrictions. Information in the organization is organized by department (e.g., only staff members in a single office have access to a set of folders or a shared drive).

2. It can be a challenge to locate or share records between offices. Sometimes electronic records are inaccessible because they are kept in email inboxes, on personal drives, or in shared folders that have unnecessary security restrictions. Information in the organization is somewhat organized by Department.
3. It is usually not a challenge to locate or share records between offices. Rarely electronic records are inaccessible because they are kept in email inboxes or in shared folders that have unnecessary security restrictions. Personal drives do not exist or are not used for work records. Information that is organized by department is often still readable through "View Only" security permissions.

C. How easy is it to respond to external requests for records, information, etc.?

(External requests can include requests from provincial and federal governments, Freedom of Information, regulators, the courts, potential business partners, investors, buyers, and other entities.)

1. The Department / Organization cannot accommodate external requests because there are no defined processes or infrastructure to find files.
2. The Department / Organization can accommodate some external requests (e.g., regular financial audits), but other requests are time-consuming and difficult.
3. The Department / Organization can accommodate most external requests quickly and easily.

D. Are RIM processes documented and available to staff?

(For example, if new staff ask for a RIM policy and procedures manual or for training, can you provide it promptly?)

1. Processes are neither documented nor available to staff.
2. The RIM manual defines several RIM processes, but they are neither complete nor available to staff.
3. The RIM manual explains RIM processes and includes relevant RIM forms with easy access for staff.



FNS office



INTEGRITY

Authenticity, reliability, trustworthiness



Statement: A RIM program shall be constructed so the information generated by or managed for the Organization has a reasonable and suitable guarantee of authenticity and reliability.

Key Points:

- Chain of custody can be demonstrated (physical and electronic records)
- Recorded information can be trusted (it is not altered or erroneous)(e.g., metadata (used to fully understand the meaning of records and information – who, what, where, when and why) and audit trails (the complete history of any activity performed on a document, including creating, modifying, copying, moving and deleting))
- Scanning program meets CAN/CGSB-72.34-2017 guidelines

- Documented policies, procedures, and guidelines
- Staff training is available

Purpose: Integrity ensures that the records and information generated and managed by your organization are genuine and reliable, not altered, or erroneous.

Questions

A. Does your Department / Organization have naming conventions for files?

(Naming conventions are rules that support the consistent filing of documents (e.g., standard date formats and common abbreviations).)

1. There are no naming conventions.
2. Staff follow naming conventions at an ad hoc or department level.
3. There are formal naming conventions that my Department / Organization follows.

B. Are versions of electronic files tracked and/or identified?

(For example, do you add Ver01, Ver2.2, a date, Final, or Draft to the end of file names (e.g., RIMAssessmentTool_Ver2.2) or does a system automatically track versions (e.g., SharePoint or an EDRMS¹³)?)

1. There are no version controls.
2. Ad hoc version controls are applied by staff.
3. There are version control procedures that staff follow. Alternatively, file repositories (e.g., SharePoint or EDRMS) have a formal version controls feature.

¹³An electronic document and records management system (EDRMS) is a software application to manage digital records and information.

C. Are electronic record **audit trails** available in your Department / Organization?

(An audit trail is the complete history of any activity performed on a document, including creating, modifying, copying, moving, and deleting.)

1. There are no audit trails (e.g., standard shared drives).
2. Some records are stored in information systems (e.g., databases) or file repositories (e.g., SharePoint) that have audit trails.
3. All records are stored in file repositories (e.g., SharePoint or EDRMS) that have a formal audit trail process to track activities that affect the electronic records (e.g., copying or deleting).

D. Does your Department / Organization have scanning policies and procedures?

1. Staff scan documents without official scanning procedures or guidelines AND original documents are destroyed after scanning.
2. Staff do not scan documents. Alternatively, staff scan documents without official scanning procedures or guidelines. Original documents are NOT destroyed after scanning and both scans and the originals are filed properly.
3. Yes, staff scan documents by following formal scanning procedures or guidelines. Original documents are destroyed after specific periods and quality assurance. Alternatively, yes, qualified third parties scan documents for the Department / Organization



Tsleil-Waututh Nation staff member at the office



PROTECTION

Centralized access controls, information security



Statement: A RIM program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, essential to business continuity, or otherwise require protection.

Key Points:

- Appropriate storage and centralized access controls are in place for protecting physical and electronic records
- Physical and electronic security measures (e.g., fire-resistant vault and security permissions set in network file shares)

- Privacy policy and procedures
- Information security guidelines / policies
- Staff training is available

Purpose: Protection ensures that all records and information are protected to a reasonable extent and that confidential, privileged, or sensitive records and information are given extra protection.

Questions

A. Are your physical files protected from temperature extremes, high or low humidity, vermin, fire, and water?

1. Files are stored in high-risk areas (e.g., storage lockers, basements, attics, and closets with servers or hot water tanks).
2. Files are protected and stored in medium-risk areas (e.g., closets, offices, and hallways).
3. Files are well protected and stored in low-risk areas (e.g., file rooms, vaults, and off-site records storage facilities).

B. What protections are in place for electronic records and information?

1. Only standard passwords and logins are used. Information is not backed up or is stored on local computer hard drives rather than a shared drive. Antivirus software is absent or inadequate. Staff take records home without password protection or adequate encryption.
2. Information is kept in secure storage and is backed up occasionally, and antivirus protection is in place.
3. Information is kept in a secured platform (e.g., SharePoint or an EDRMS) and is backed up regularly according to a policy and schedule. Data-breach response procedures and business continuity plans are well documented.

C. Is there an information security guideline or policy?

(An information security guideline (or policy) is a set of rules designed to ensure all staff and networks in an organization meet minimum IT security and data security protection standards.)

1. There is no information security guideline or policy.
2. There is a written guideline / policy for select records and information (e.g., personnel records, electronic records, confidential contracts, and agreements), but it does not give clear and definitive guidelines for *all* records and information in *all* formats.
3. There is a formal written guideline / policy for protecting all information and records, with extra protection for sensitive or confidential information.

D. Are there access controls for information and records in place?

(Access control is a method of restricting access to sensitive information and records. For example, only the HR department and department directors should be able to see staff files.)

1. There is no access control or control is ad hoc. For example, individual staff members restrict access to folders or do not save records to a network shared drive.
2. Access to a Department's files is controlled by the Department director.
3. The Records Manager sets and manages access controls.

E. Is information protection training available for staff?

(For example, training is provided on management of regular and confidential information, and the need to report information breaches) See also questions A and B to refresh your memory about protection measures.

1. Staff do not receive any information protection training.
2. Some staff receive information protection training.
3. *All* staff receive training in information protection during orientation and are aware of their responsibilities.



Ktunaxa office



COMPLIANCE

Satisfy legislation, policies, and guidelines



Statement: A RIM program shall be constructed to comply with applicable laws and other binding authorities, as well as the Organization's policies.

Key Points:

- Laws and regulations
- Records classification system and retention schedule
- Documented RIM and privacy policies, procedures, and guidelines
- Review and audit process
- Staff training is available

Purpose: Compliance addresses the importance of complying with, or adapting to, both external legislation and regulations and internal policies, procedures, and guidelines.

Questions

A. Has your Department / Organization identified the laws and regulations that you must comply with?

(For example, a day care must comply with child protection legislation, a restaurant with the health code, or a land alteration project with environmental assessment regulations)

1. The Department / Organization has not identified key compliance laws and regulations.
2. The Department / Organization has identified some key compliance laws and regulations.
3. The Department / Organization has identified key compliance laws and regulations.

B. Does your Department / Organization comply with RIM policies and procedures for managing records and information?

1. There is little or no RIM documentation, and records and information are not systematically managed.
2. Some RIM policies, procedures, and manuals exist but are incomplete, out of date, or inadequate. Staff are aware of them. Information is inconsistently managed at the department level.
3. RIM policies, procedures, and manuals are complete and available. Staff are trained, and records and information are systematically managed.

C. Is the RIM documentation (or RIM program if any) regularly reviewed or audited?

1. We have no RIM program or documentation.
2. There is an awareness of audit and review needs, but they have not been conducted yet. The RIM documentation (or program) has not been reviewed since its creation or has not been reviewed in over five years.
3. The program and documentation have been regularly reviewed.

D. Is there a privacy guideline?

(A privacy guideline establishes how your organization collects, uses, and discloses personal information (e.g., religion, age, and information about financial transactions).)

1. There is no privacy guideline.
2. There is a written privacy guideline, but it is incomplete, outdated, or inadequate and has not been consistently implemented across the Department / Organization.
3. There is a formal written privacy guideline (or a policy that has formal approval from the Council or elected leadership), and it is well implemented across the Department / Organization.



FNPS conference documents



AVAILABILITY

Efficient and accurate retrieval of records



Statement: An Organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.

Key Points:

- Ability to search and locate records at the time they are needed
- Records classification system and retention schedule
 - Applies to physical and electronic records of the Department / Organization
- File tracking system, inventory lists
- Document naming convention (version controls)

- Standards for where and how recorded information is stored, protected, and made available (e.g., routinely available documents on the website)
- Staff training is available

Purpose: Maintain records and information in a manner that ensures their timely, efficient, and accurate retrieval.

Questions

A. How well are your physical files organized?

1. Physical files are often uncontrolled and organized individually.
2. Some specific types of files (e.g., invoices, personnel files, engineering files, and Council minutes) are sorted, labelled, and organized, but numerous other files are labelled and filed inconsistently.
3. All physical files are classified according to a records classification system and inventoried, labelled, and organized.

B. How well are your electronic files organized?

1. Electronic files are named and organized according to individual preferences. File folders may be named according to individuals (e.g., Bob or Karen) or may have generic names (e.g., Archived, General, and Old Photos).
2. Naming conventions exist for some records. File folders are named by department (e.g., Finance or HR) and/or business function (e.g., Accounts Payable or Recruitment).
3. Files are classified according to a records classification system and named according to written naming conventions. Version controls exist and are used. Alternatively, a file management system (or EDRMS) has been implemented.

C. How easy is it to find files?

(For example, if your supervisor asks for a final version of a financial report (or any report related to your department), can you easily find it?)

1. Files are often not readily available when needed. It may be too time-consuming to find the appropriate versions (e.g., latest draft or final). Records are often lost or are stored in inaccessible locations (e.g., personal computers, drives, folders, or inboxes).
2. Sometimes staff have to ask a Records Manager or other staff to find records. Some indexing exists to guide staff. Rarely are records lost or inaccessible.
3. It is usually easy to find the authentic final version of any records. Records are well indexed, and inaccessible locations are not used to store work records.

D. Does your Department / Organization have a file tracking system?

1. Staff find both paper and electronic files by memory or by searching—there is no tracking system.
2. There is some documentation (e.g., Word document or spreadsheet) to track files, but it may not be centralized or consistent across the Department / Organization.
3. A centralized file management system (or EDRMS) has been implemented to track all of the Department's / Organization's files.

E. Is there a legal discovery process?

(A legal discovery process is a formal process of identifying, protecting, and providing court admissible records and information during a litigation.)

1. There is no legal discovery process. Staff would not know what to do.
2. Responding to legal discovery is complicated and costly. Alternatively, a lawyer (or a consultant) is responsible for a legal discovery process.
3. Legal discovery processes are well defined and systematic.



Tsleil-Waututh Nation staff member at the office



RETENTION

Appropriate time to maintain records



Statement: An Organization shall maintain its records and information for an appropriate time, taking into account its legal, regulatory, fiscal, operational, and historical requirements.

Purpose: Retention means to maintain records and information for an appropriate time, taking into account your organization's legal, regulatory, fiscal, operational, and historical requirements.

Key Points:

- Ability to meet legal, regulatory, fiscal, operational, and historical requirements
- Records classification system and retention schedule
 - Applies to physical and electronic records
- Records Decision Matrix
- Staff training is available

Questions

A. Does your Organization have a records classification and retention schedule (RCRS)?

(An RCRS is a tool used to arrange business functions, activities, and/or records into categories (i.e., classifications). The classifications are then associated with a retention schedule that meets or exceeds the time periods required by legal and business needs.)

1. An RCRS does not exist.
2. The RCRS is available but is not updated regularly or is not consistently implemented throughout the Department / Organization.
3. The formal RCRS covers paper and electronic records and has been consistently applied throughout the Department / Organization.

B. Does your Department / Organization apply retention schedules to records according to the RCRS?

1. Staff either keep everything or destroy paper and electronic records based on their needs or assumptions, not according to the RCRS.
2. Either the RCRS has not been consistently applied across the entire Department / Organization or the retention schedules have not been annually complied with over the last five years.
3. The RCRS has been consistently applied across the entire Department / Organization and the retention schedules are applied annually.

C. Are staff aware of the requirements for them to keep and maintain the records and information they create and receive?

1. No. Staff are not aware of the requirements for keeping or disposing of the information they create and receive. Either staff are not aware of how to file records in existing file folders or no guidelines exist.
2. Staff are aware of how to file records in existing file folders, but not all staff have been trained or the guidelines have not been enforced.
3. All staff receive comprehensive RIM training during orientation and are aware of their responsibilities.

D. Are there any processes for a legal hold (i.e., litigation hold)?

(A legal hold is to suspend the regular disposition (i.e., destruction or transfer) of information and records in the event of investigation or litigation.)

1. There are no processes for a legal hold.
2. There is a realization of the importance of consistently suspending the disposition of information and records during a legal hold. Alternatively, a lawyer (or a consultant) is responsible for a legal hold.
3. A legal hold procedure exists.



Ktunaxa office



DISPOSITION

Secure and appropriate disposal, transfers



Statement: An Organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization's policies.

Key Points:

- Destroy or permanently retain records at the end of their life cycle
- Authorized destruction process
- Records classification system and retention schedule

- Applies to physical and electronic records
- Documented records transfer process (to archives or storage)
- Staff training is available

Purpose: Disposition provides for the secure and appropriate disposal of records and information no longer required to be maintained in compliance with applicable laws and the organization's policies.

Questions

A. Has your Organization established disposition procedures for physical files?

(Disposition is to either destroy records or preserve them permanently (e.g., transfer to archives), according to the RCRS.)

1. There are no processes, forms, or written instructions for the transfer or destruction of physical records.
2. Some Departments have established processes for destruction. Off-site storage may be available for inactive records (e.g., a records centre).
3. Official procedures for disposition are established and followed throughout the organization. Paper records are disposed of properly.

B. Has your Organization established disposition procedures for electronic files? Does your Department / Organization dispose of electronic records?

1. There are no processes, forms, or written instructions for the transfer or destruction of electronic records.
2. The processes for destruction are established for some Departments and records but are not enforced throughout the Organization.
3. Official procedures for disposition are established and followed throughout the Department / Organization. Electronic records are disposed of properly.

C. Are staff aware of the concepts of transitory records and official records? Do they regularly dispose of transitory records?

(Transitory records are records that do not provide evidence of a decision, activity, or transaction and are required only for a limited time (e.g., copies and duplicates, drafts, notes, and supporting materials for final documents). Official records are related to business, decisions, or programs.)

1. Staff are not aware of the difference between transitory and official records.
2. Either only some staff have received training on transitory and official records, or all staff have been trained but they are not regularly disposing of transitory records.
3. All staff have received training about transitory and official records and regularly dispose of transitory records.

D. Has the Department / Organization destroyed or transferred official records through an approved annual process?

(An approved process requires a RIM policy, an RCRS, and approval forms.)

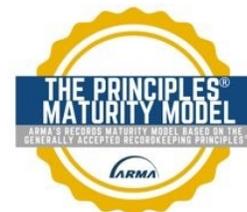
1. Either the Department / Organization has not destroyed or transferred official records in the past five years, or it has destroyed or transferred official records without using an approved policy or RCRS.
2. The Department / Organization has destroyed or transferred some official records using an approved process, but either the process has been irregular (e.g., not annual) or not all of the official records that should have been destroyed or transferred were managed (e.g., electronic records were ignored and only paper records were managed, or only a specific type of record, such as financial records, were managed).
3. The Department / Organization annually destroys or transfers official records using an approved process.



Ktunaxa office

The Principles Maturity Model

In the RIM Assessment Toolkit Questionnaire, there is a reason the answers are numbered 1, 2 and 3. The first answer (1) demonstrates minimal RIM processes. The second answer (2) acknowledges some RIM processes, but they are inconsistent in their existence and implementation. The third answer (3) shows the basics are covered when executing RIM processes. The responses directly correlate to the Principles Maturity Model.



Source: 2009 ARMA International©

The Principles Maturity Model describes differing levels of maturity, completeness, and effectiveness of RIM programs in five distinct levels of development for each of the Principles:

Level 1: Recordkeeping concerns are addressed minimally (Minimal)

The RIM program will not meet legal or regulatory scrutiny and may not effectively serve the Department.¹⁴

Level 2: Recognition of RIM importance is developing (In Development)

The RIM program provides minimal processes, but decision makers are realizing they need to do more. The Department is still vulnerable to scrutiny of its legal or regulatory obligations.

Level 3: Key basic components of a sound RIM program are in place (Basics Covered)

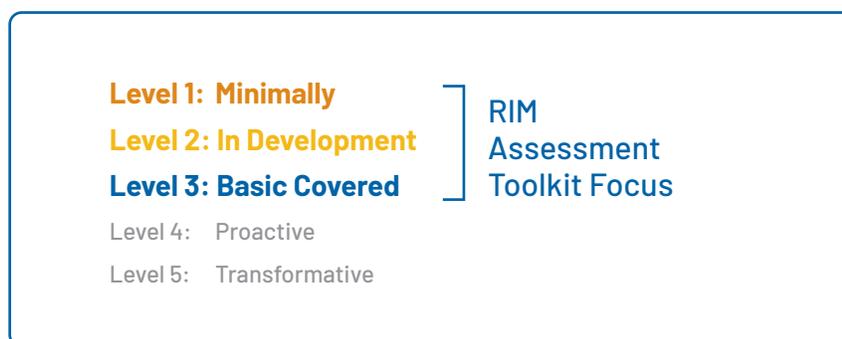
The Department is able to meet legal, regulatory, and business requirements. There are policies and procedures in place that are adhered to by staff.

Level 4: RIM program is compliant with best practices and legal and regulatory requirements (Proactive)

The Department establishes a Department-wide, proactive RIM program for continuous improvement that easily meets its legal and regulatory requirements.

Level 5: RIM program is effectively integrated to ensure ongoing success and accountability (Transformative)

The Department has integrated RIM into its infrastructure and business processes, resulting in client service excellence, cost containment, and competitive advantage.



The RIM Assessment Toolkit only focuses on **Levels 1, 2, and 3**, as these are the levels where concerted effort and planning are required to improve and further develop a RIM program. A RIM program at Levels 4 and 5 typically would not require a formal RIM assessment.

¹⁴Reminder: The term “Department” is used to describe the organization being assessed: Department, Band Administration, Indigenous Government or Indigenous organization.

RIM Assessment Process



After having conducted the interviews and analyzing the results of the interviews, the RIM Assessor determines a Maturity Level for each Principle in order to provide a starting point to begin planning next steps.

How do the Maturity Levels and Principles come together?

When the RIM Assessor has completed the analysis of the interview results, a Maturity Level is assigned for each Principle to better understand the strengths and weaknesses of the Department's RIM program. Table 1 is an example of how the Maturity Levels can be described with respect to the Accountability Principle.



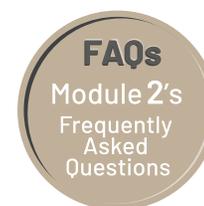
Tsleil-Waututh Nation staff member at the office

Table 1: Example of the Maturity Model using the Accountability Principle¹⁵

 <p>Accountability</p>	<p>Statement: A senior administrator (or person of comparable authority) oversees the RIM program and delegates responsibilities to appropriate individuals. The Department adopts policies and procedures to guide staff and ensure that the program can be audited.</p>
<p>Level 1 Recordkeeping concerns are addressed minimally</p>	<p>No senior manager, including the Administrator, is responsible for records or information. The Records Manager role is largely non-existent, or it is an administrative and/or clerical role distributed among general staff. Records and information are managed in a disparate fashion or not at all.</p>
<p>Level 2 Recognition of RIM importance is developing</p>	<p>No senior manager, including the Administrator, is involved in or responsible for records or information, although they are aware of the need for an effective RIM program. The Records Manager role is recognized, although the person in that role is concerned primarily with managing paper records only. The IT employee is the de facto lead for storing electronic information, and the Records Manager is not involved in discussions about electronic systems. Information is not stored in a systematic fashion.</p>
<p>Level 3 Key basic components of a sound RIM program are in place</p>	<p>The Records Manager role is recognized within the Department, and the person in that role is responsible for the tactical operation of the established RIM program (which includes both paper and electronic records) on an organization-wide basis. The Records Manager is actively engaged in strategic RIM initiatives with other officers of the Department. Senior management is aware of the RIM program. The Administrator envisions establishing a broader-based information governance program to direct various information-driven processes, including RIM, throughout the office in order to attain specific goals related to accountability.</p>

What has been covered so far

- RIM basics and key definitions
- Elements of a RIM program
- The 8 Principles
- The RIM Assessment Toolkit Questionnaire
- The Principles Maturity Model

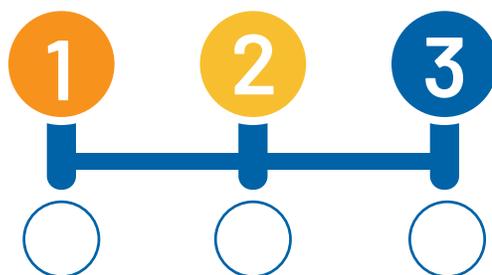


¹⁵ARMA International. (2013). "Generally Accepted Recordkeeping Principles®: Information Governance Maturity Model." Retrieved from: rim.ucsc.edu/management/images/ThePrinciplesMaturityModel.pdf. We provide one tailored example using Accountability. You can view examples of all eight Principles in the "Generally Accepted Recordkeeping Principles®: Information Governance Maturity Model" document.

Pause for Predictions

Now that you know more about RIM, and before continuing to work through the RIM Assessment Toolkit, do you think your Department's RIM program is (1) minimal (almost non-existent), (2) exists but is still in development (so it needs a lot of work), or (3) exists and has the basics covered?

(Jump back to the first Pause for Predictions on Page 14 to see if your answer is different.)



On a scale of 1 to 3, place a checkmark in the circle that you estimate shows your Department's level of Records and Information Management.

Write a few notes about why you chose this rating
(either here if you have printed the RIM Assessment Toolkit or in a notebook).



MODULE 3

INSTRUCTIONS FOR THE INTERVIEWER

Module 3 provides instructions on how to select interviewees and conduct an interview using the RIM Assessment Toolkit Questionnaire for the RIM Assessor.

This is the time in the Assessment Process when the RIM Assessor might want to consider which Department or business process on which to conduct an assessment. The progression of using the RIM Assessment Toolkit is typically to prepare for the interviews, conduct the interviews, and then analyze the results (discussed in Module 4). Instructions are provided below on ways to complete this progression.

Select Department and Interviewees



Select Department

Depending on the size of the Organization and how much experience the RIM Assessor has with the Organization's RIM policies and practices, the RIM Assessor may want to assess one or two Departments (rather than the whole Organization). Here are some tips for selecting a Department:

- A Department with operational functions, such as Administration, Finance, or HR
- A Department that is transitioning from paper to electronic records management (e.g., a digitization project is underway)
- A Department with a staff member who is knowledgeable about the Department's business and information management processes
- A Department with a staff member who is keen on performing RIM practices (e.g., is good at organizing files)

Select Interviewees

Best practice shows that selecting two to three staff members from the Department¹⁶ (this may vary depending on the Department's size) to interview provides sufficient insight into its RIM program.

Ideally, staff members are selected who:

- Are responsible for key program areas within the Department
- Have a working knowledge of the Department's business and information management processes
- Have a willingness to commit additional time and actively participate in the RIM Assessment interview

Examples include managers, project coordinators, and administrative support staff.

A RIM Assessment is likely a new activity for most staff members. While making the initial request to participate in the RIM Assessment, the RIM Assessor should provide as much context as possible so that the staff members understand the process and are better prepared to participate

Prepare for the Interviews



Decide on the Interview Format

Completing the RIM Assessment Toolkit Questionnaire with each interviewee or group will likely take approximately 60 to 90 minutes. Offering multiple interview format options to interviewees is a good idea as individual workloads and schedules may vary. For example, one-on-one or small group sessions and virtual and/or in-person sessions could all be considered.

¹⁶Module 3 onwards assumes the RIM Assessor is conducting the RIM Assessment on a Department.

Tip!

If you are assessing a larger Department with staff in similar roles, small group interviews may work well. The discussions can be enlightening when an engaged group of colleagues comes together.

As Rim Assessor, you will likely find the discussion around the questions helps in your analysis of results. For this reason, it is recommended that you complete the RIM Assessment Toolkit Questionnaire with the interviewees (rather than the interviewees completing it by themselves and handing it in).

Schedule the Interviews

There are a few tips that can help with scheduling interviews:

- Set up interview times in advance with selected staff members
- Send the RIM Assessment Toolkit Questionnaire in advance and ask them to go over the Questionnaire so they are comfortable with the questions and can think about their responses (noting they do not have to complete the Questionnaire in advance of the interview) (Instructions to access the Questionnaire are available on page 57)
- Include the following information in the interview confirmation email:
 - Reiterate what the interview is for, how long it will take, and what to expect
 - Confirm the date, time, and location
 - Attach the RIM Assessment Toolkit Questionnaire with a reminder to review in advance
- Send an email reminder to the staff members the day before the interview

A sample Interviewee Checklist is on page 50. As the RIM Assessor, you can use the Checklist to organize the meetings with staff members.

Sample Email



Hi <Interviewee's Name>,

Thank you for agreeing to participate in the assessment I am undertaking for our department's records and information management (RIM) program. I am following up with details about the meeting.

The purpose of the RIM Assessment is to assist us in examining our department's RIM practices so that we can determine their strengths and weaknesses, with the aim to improving them.

I will ask you 37 questions with three options as responses for each question, and we will discuss what the best option is based on your experience and your knowledge of the business processes in the department. Please take some time to review the Assessment Questionnaire attached prior to our meeting. (There is no need to complete the Questionnaire yourself as we will be working through it together.)

I will use your responses to analyze how our department's RIM program is working. The intent is to share the results with management and/or Leadership to gain additional support for projects and initiatives that will further develop our RIM program. The results will be anonymized to ensure confidentiality.

This process is NOT intended to critique performance or the existing workflow of staff members.

Meeting Details

Time and Date: August 4, 2021, 10:00-11:00 am (PST)

It will take approximately 60 minutes (one-on-one meeting) / 90 minutes (group interview).

Interview Format: In person (specify the meeting room location) / Virtual (insert link, e.g., an MS Teams link)

RIM Assessment Questionnaire: Attached is the RIM Assessment Toolkit Questionnaire. Please go over the RIM Assessment Questionnaire briefly in advance and bring a copy with you to the meeting.

[Optional] **Recording:** I would like to record the meeting (only for reference and analysis of the final results). Once the analysis is completed, the recording will be destroyed. Please reply to confirm your consent to recording our session.

If you have any questions or concerns, please reach out to me anytime.

Thank you,
<Your Name>



The Interview Sample Email is available for download as a Word document

available for download in the Downloadable Documents section

RIM Assessment Toolkit – Interviewee Checklist

Confirmed Interviewees

Employee 1 Name: _____

Employee 2 Name: _____

Employee 3 Name: _____

Interview Location

In Person (room booked) or Via Zoom (details emailed)

Interview Type

Individual or Small Group

Interview Timing

Date: _____

Time: _____

Send interview reminder on (date): _____

Questionnaires

Questionnaire sent Yes No

Copies printed Yes No



**The Interviewee Checklist
is available for download
as a Word document**

available for download in the
Downloadable Documents section


Tip!

There are several aspects to conducting the interviews that you may want to consider. A few are outlined below.

Interview Staff

At the Start of the Interview

- Start the interview by explaining how the gathered information will be used and presented to others (a sample script is provided in the RIM Assessment Toolkit Questionnaire)
- Explain the purpose of the interview to the interviewee(s) (e.g., to assess the weaknesses and strengths of the existing RIM program – it is okay if it is not really a program yet)
- Explain to the interviewee(s) that they will be asked to choose the option they believe best describes the chosen Department **on average**
- Let them know the interview may take approximately 60 minutes to complete for each one-on-one interview and group interviews of two to three individuals may require 90 minutes to complete
- Make a comfortable and welcoming space for interviewees – try these tips: 1) Let the interviewees talk (do not jump in with questions); 2) Do not be afraid of silence (they might just be thinking about how to respond); and 3) Use nonverbal probes (e.g., nodding and smiling)

Should the Interview be Recorded?

The RIM Assessor may want to record the interview for the purpose of analysis. If the decision is made to record interviews, consider the following:

- **Information:** Inform interviewees ahead of time if the interview will be recorded so they are not taken off guard (a note on that is included in the sample email on page 49) and let them know the recording will be anonymized and will be shared only with the RIM Assessor
- **Location:** To ensure audio recording quality, choose an interview location where background noise can be minimized (an office with a closed door can be ideal)
- **Equipment:** Expensive recording equipment is not necessary – if an in-person interview is scheduled, a work cell phone or a voice recorder can be used for recording (using a personal phone is not the best option, for confidentiality reasons) and if an online interview is scheduled, use the recording function (e.g., Zoom has a recording button) (Tip: The microphone is best placed close to interviewees)

During the Interview

There are 37 questions on the RIM Assessment Toolkit Questionnaire. The RIM Assessor may want to consider introducing each Principle before starting to ask the associated questions so that the interviewee(s) better understand the context of the question. This could be done by reading out the Statement, Key Points, and Purpose directly, or these could be summarized.

Example: How to describe the Accountability Principle

"When I say 'accountability', this is what I mean. Our Band Administrator oversees the RIM program and delegates responsibilities to department managers. We create policies and procedures to guide staff and ensure that the RIM program can be audited. The key points for the Accountability Principle are:

- Awareness of RIM exists at all levels – from Chief and Council to summer students
- Responsibility for RIM development is identified – we all know who is responsible for what
- Documented policies and procedures exist – if we have a question, we can grab the manual to find out how to do something
- Electronic records are included as part of the RIM program – what we save on our computer is as important as what we save in our filing cabinet
- Staff training is available – new staff, refreshers, and updates – RIM is a part of our personal training plans

The purpose of the Accountability Principle is that it reflects the awareness and understanding of RIM and the RIM roles and responsibilities at all levels of the Band Administration, including oversight by Chief and Council and the Band Administrator.

Does everyone get what this Principle is about? Do you want me to clarify anything before proceeding with the questions?"

Tip!

When a question is asked, the RIM Assessor could consider approaching the question as an opportunity for conversation. You may want to try the following to encourage your interviewees to open up to you in their responses:

- Ask open-ended questions wherever possible
 - "In your opinion ..."
 - "How would you describe ..."
- Ask staff to choose the option that they believe best describes the Department on average for one-on-one interviews or on average as a group for small group interviews

Keep in mind

The RIM Assessment can be more like an informal conversation than a formal survey of questions. You may simply use the RIM Assessment Toolkit Questionnaire as a guide or a starting point to discuss each question with the interviewees, taking cues from the interviewees on when to ask more questions.

Example: Interview Scenarios

Below are a few scenarios and options on how to handle these situations when the interview is not progressing as planned:

- If the staff member is confused by the terms 'records', 'information', 'documents', or 'files', the RIM Assessor might:
 - Explain that they are used to mean the same thing (documents in the physical or electronic form that the office generates or receives)
 - Show some examples to illustrate what the terms mean, such as paper or hard copy documents, email messages, PDF documents, digital photographs, digital sound or video recordings, and electronic documents saved to the network
- If the staff member says, "I don't understand the question," the RIM Assessor might:
 - Reframe the question rather than repeating it
 - Provide practical examples and context whenever possible
- If the staff member responds, "I don't know," the RIM Assessor might:
 - Note "don't know" where comments are being recorded, ask what the staff member is aware of, and ask who the best person to answer the question would be
 - Ask, "What would be your best guess?"
 - Follow up as needed
- If the staff member is not motivated to participate in the interview, the RIM Assessor might want to select another staff member who shows interest

Keep in Mind

Make sure the interviewees want to participate and are willing to give an hour of their time. Be very clear about the expectations beforehand so that they come prepared and ready to participate.

After the Interview

There are a few tips on what to do after the interview is completed:

- Thank the interviewees for their time
- Ask the interviewees if they have any questions
- Invite the interviewees to contact the RIM Assessor should they like to reach out to find out more or to clarify their responses

What has been covered so far

Module 2:

- RIM basics and key definitions
- Elements of a RIM program
- The 8 Principles
- The RIM Assessment Toolkit Questionnaire
- The Principles Maturity Model

Module 3:

- How to conduct interviews



FNS office



"I found the interviews to be incredibly helpful, both as a way to ground myself in terms of how the organization works and what is necessary for change moving forward. After doing all the interviews and looking at all the results, it's given me a much clearer idea of how to proceed with what the end goal should be. ... Everything about the interviews was totally helpful for me to have an understanding of both what everyone's individual workflow is, and then overall how the organization works, how departments talk to each other, that kind of thing."

– RIM Workshop participant,
Kwikwetlem First Nation

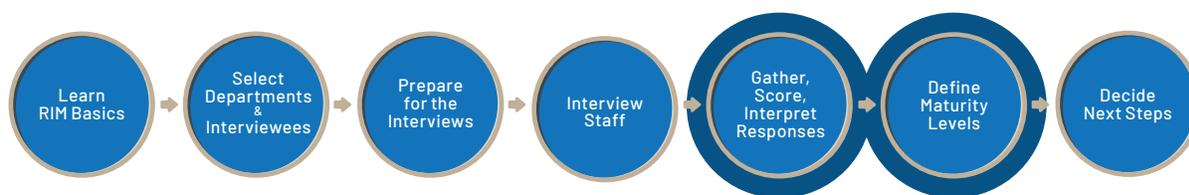
"The RIM Assessment Toolkit interviews were instructive in helping the interviewees realize where they have made progress and what areas they may have room for growth in terms of records management. It is a really great result to have interviewees start to think, "We need to push more in this particular direction," so that is definitely a strength of the Assessment Toolkit."

– RIM Workshop mentor

MODULE 4

GATHERING, SCORING AND INTERPRETING THE INTERVIEW RESPONSES

Gathering, scoring, and interpreting the interview responses, and then visualizing those responses, are important components of the RIM Assessment process. Reflecting back to [Module 2](#) where the Maturity Levels were defined, it is at this time that the RIM Assessor is able to assign Maturity Levels for each of the eight Principles.



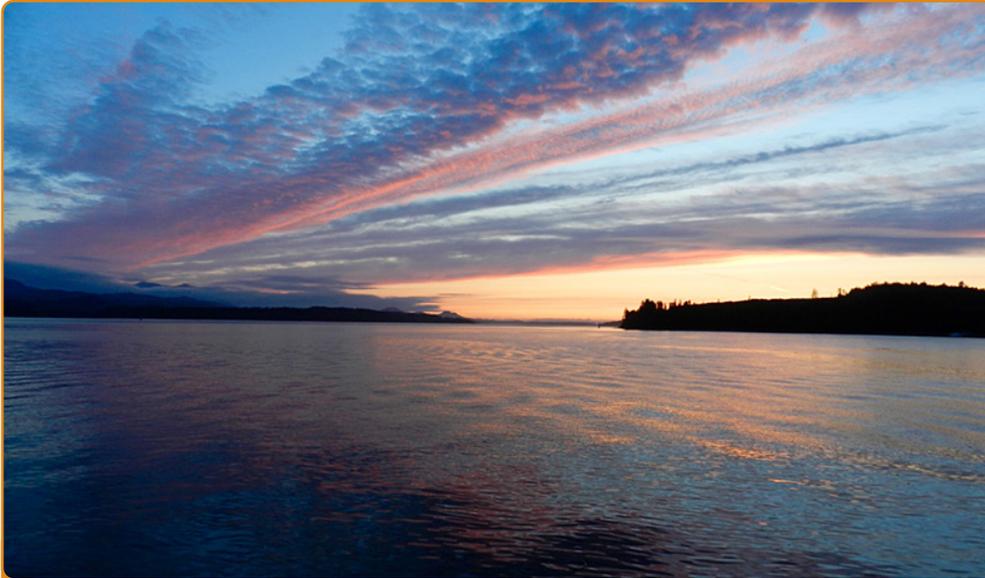
Select Options for Gathering and Calculating Results

There are two options provided in the RIM Assessment Toolkit for gathering the responses from the interviewees and then calculating the averages. The choice may depend on how comfortable the RIM Assessor is with using Word and Excel, and if a computer is available to use during the interviews.

Detailed instructions on using the options and completing the calculations are included in the files noted below (rather than here in the Toolkit).

Tip!

Choose which option you want to use, access the files, and read the instructions so that you understand the scoring process before conducting the interviews. Please keep in mind that you will calculate scores after completing the interviews.



FNS photo

Choose from 2 options

Option 1: Use a printed copy

If no computer is available during the interviews and if the RIM Assessor is comfortable working on a printed version, the RIM Assessment Toolkit Questionnaire Printed and the Summary of RIM Assessment Interview Scores can be printed out in advance, the responses noted manually, and the averages calculated using a calculator.

Download and print the RIM Assessment Toolkit Questionnaire Printed and the Summary of RIM Assessment Interview Scores.



Option 2: Using the printed or online version of the RIM Assessment Toolkit Questionnaire and the RIM Assessment Analysis Template in Excel

If the RIM Assessor is comfortable with using Excel and has access to a computer during the interview, the RIM Assessment Toolkit Questionnaire Online can either be printed out in advance or accessed online, and, where the Questionnaire asks the RIM Assessor to add in the responses and perform calculations, the responses and comments are noted in the RIM Assessment Analysis Template and the averages are calculated automatically using Excel's math functions.

Download and/or print the RIM Assessment Toolkit Questionnaire Online and download the RIM Assessment Analysis Template.



Gathering and Summarizing Responses

The steps for gathering and summarizing responses are the same regardless of which option (described on page 57) the RIM Assessor chooses.

Step 1. For each question in the RIM Assessment Toolkit Questionnaire, the RIM Assessor gathers the option chosen by the interviewee(s) (1, 2, or 3) and any additional comments the RIM Assessor feels may be helpful in assessing the Department's RIM practices.

Tip!

The more information you gather from additional comments, the more accurate the analysis will be.

Step 2: The RIM Assessor then calculates the average response for each Principle.

The score is equal to the selected response number:

- Score 1 if the interviewee selects option (1)
- Score 2 if the interviewee selects option (2)
- Score 3 if the interviewee selects option (3)

Example: Accountability

- What is elected leadership's level of awareness / endorsement of RIM (e.g., approves RIM policies and procedures)?
- The elected leadership is hardly aware of or does not support and practice RIM. (score 1)
- The elected leadership is aware of the need to manage records and information but does not fully support and practice RIM (e.g., no RIM program, budget or staffing). (score 2)
- The elected leadership is aware of, supports, and practices RIM. (score 3)

Question	Score
A	2
B	2
C	2
D	1
E	2
Average	1.8

The interviewee chooses '2' and then score 2. She then chooses 2 for Question B, 2 for Question C, 1 for Question D and 2 for Question E. The average is calculated $(2+2+2+1+2/5=1.8)$.

Step 3: Next, the RIM Assessor notes the average responses per Principle for each interviewee / group in the Summary of RIM Assessment Interview Scores table and calculates the Average Score for All Interviewees / Groups.

Step 4: Last, the RIM Assessor assigns each Principle a Maturity Level based on the Average Score, taking into account any comments the interviewees made (see below for more on the use of comments).

- Average Score of 1 to 1.9 = Maturity Level 1
- Average Score of 2 to 2.9 = Maturity Level 2
- Average Score of 3 to 3.9 = Maturity Level 3

	Step 3			Step 4	
	Average Score per Principle				
Principle	Interviewee/ Group	Interviewee 2	Interviewee 3	Average Score for All Interviewees / Group	Maturity Level
Example: Accountability	1.8	2.2	2.2	$1.8 + 2.2 + 2.2 = 6.2 / 3 \text{ interviewees} = 2.1$	2



Before scoring the results, it is important to note that the Maturity Level *might not* accurately reflect a Department’s performance, for various reasons. For example, if the results determine that a Department is at Maturity Level 1 for Accountability, it may be because the Department has been working on RIM in a different way than the Maturity Model suggests. Trusting and relying on your experience and corporate knowledge of the Department and its business processes provide you with insights when conducting the RIM Assessment and especially when analyzing the results of the interviews. You may decide to assign a Level 2 to Accountability even when the RIM Assessment results provide a Level 1.

Using Comments

The RIM Assessor can review the comments gathered from interviewees against the scores. The RIM Assessor can use the comments to adjust the results (higher or lower), realizing that some options provided in the RIM Assessment Toolkit Questionnaire (1, 2, or 3) may not capture all possible scenarios.

Example of Using Comments

The RIM Assessor interviewed two staff members in the Department and asked this Accountability question.

1.E. Is RIM training available for staff? Training can include the staff's responsibility for RIM and how to manage records and information in the Department / organization.

1. Training is not available.
2. Some staff have received RIM training.
3. All staff members have received RIM training and new staff are trained in RIM during orientation.

The first interviewee chose 2) as the response with the following comment:

- *RIM training is available, and many members have taken it, but not sure about new staff members and when they take it.*

The second interviewee selected 1) as the response with the following comment:

- *I was not aware of available RIM training.*

When analyzing the results, the RIM Assessor decided to keep the first interviewee's score at 2 (and not move it to 3) because even though she said the training was taken by staff, new staff may not be receiving the training.

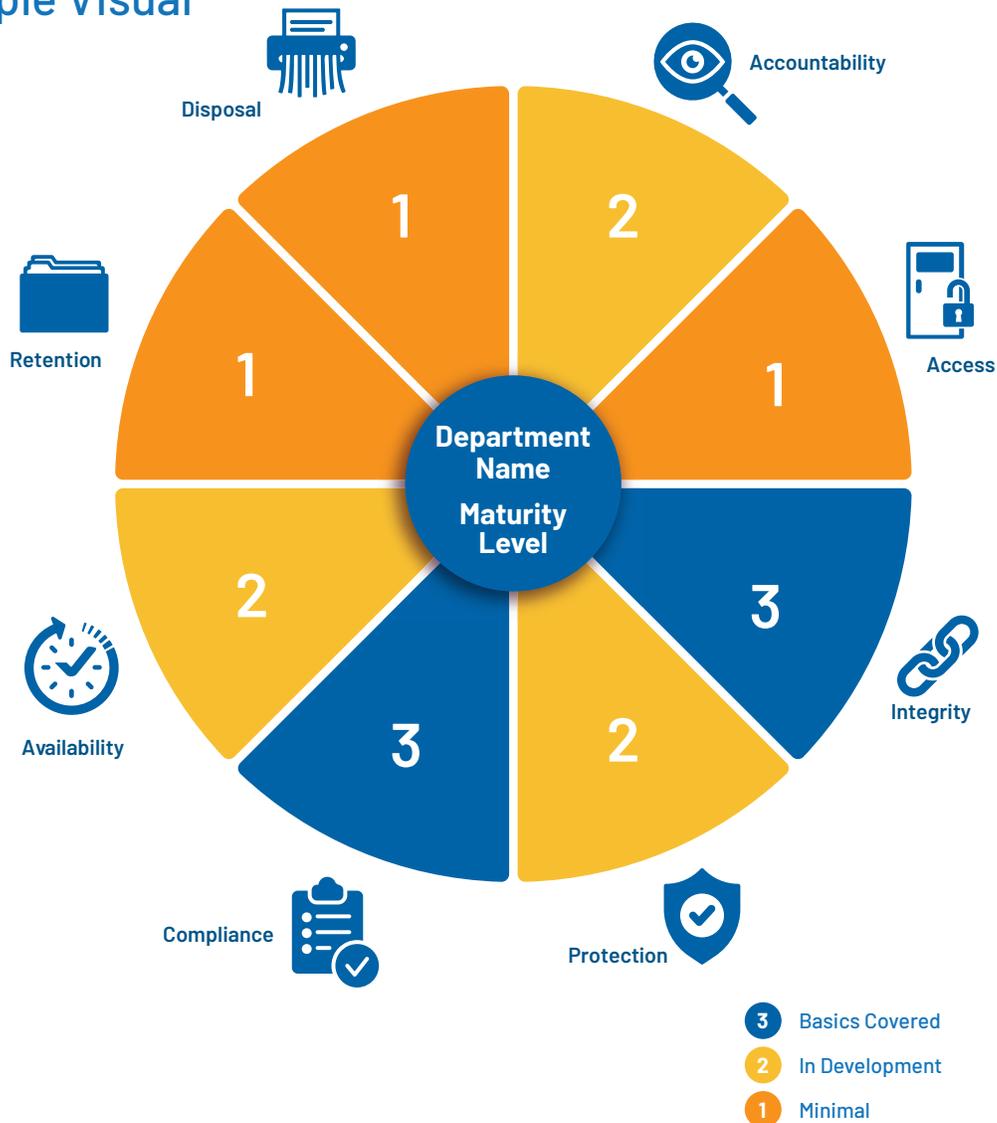
Tip!

Remember that the number scores (1, 2, and 3) that result from your analysis are not absolutes – they have to make sense to you and reflect your and the interviewees' understanding of the Department. Adjust as you see fit.

Visualizing the Results

Once each Principle's Maturity Level is identified, the results noted in the **Summary of RIM Assessment Interview Scores** can be used to create a visual. A visual can help describe the results to those who were not involved in the RIM Assessment process.

Sample Visual



Maturity	Level 3	Level 2	Level 1
	Basics Covered	In Development	Minimal
	Integrity Compliance	Accountability Protection Availability	Access Retention Disposition

Getting to Level 3

The results from the interviews can be used to establish a baseline against which a RIM program's progress can be measured and tracked.

A Department may decide that, based on best practice, its short-term objective is to achieve a Maturity Level 3 for each of the Principles. According to ARMA, a '3' is considered 'essential' for a RIM program as this level signifies that the basic components of a sound RIM program are in place and the program is minimally compliant with legal, operational, and other responsibilities.¹⁷

At this point in the RIM Assessment process, hopefully the RIM Assessor feels confident that the RIM program's strengths and weaknesses have been identified, which makes it easier to decide which projects could be undertaken in order to reach a Maturity Level 3 on each of the eight Principles.

Tip!

As a RIM Assessor, if you are not confident in the assessment's results, FNPSS can direct you to the [IGAC](#) for additional support.

The Department's results may show a range of Level 1s and 2s. Don't worry if your Department has not attained Level 3s yet, as progression can take time. Once a Department determines it has a functioning RIM program (attaining Maturity Level 3), it may want to strive to achieve Levels 4 and then 5 as long-term objectives.

What has been covered so far

Module 2:

- RIM basics and key definitions
- Elements of a RIM program
- The 8 Principles
- The RIM Assessment Toolkit Questionnaire
- The Principles Maturity Model

Module 3:

- How to conduct interviews

Module 4:

- How to score the interview results
- How to interpret the interview results
- How to visualize the results

FAQs

Module 4's
Frequently
Asked
Questions

¹⁷The measurements for Levels 1, 2, and 3 described in this Assessment Toolkit may not address what a First Nation decides is needed for safeguarding and managing its cultural and traditional records. The RIM Assessor can adjust the Levels to better reflect the Nation's RIM program. For assistance on this important point, [contact FNPSS](#) so that we can connect you with an IGAC representative.



FNS photo

Conduct the RIM Assessment

As the RIM Assessor, you are now ready to conduct the RIM assessments within the selected Department. Interviews can be scheduled with the staff members.

Download the **RIM Assessment Toolkit Questionnaire, Summary** files and the **RIM Assessment Analysis Template**.

[Go to Downloadable Documents section](#)



When the interviews are complete, scoring calculated, Maturity Levels defined, and a visual report created, the information provided in What's Next? and Module 5 may be helpful in making decisions on projects that will assist in improving the Department's RIM program.



"I did two interviews. It was pretty good for our Council and our housing department. There is a lot of policy happening right now and it's my job to upload data onto a SharePoint, which has been a big learning curve. However, having that records information management mindset that I learned from the workshops and interviews really helped me find a good perspective for the work I am doing. Everyone I did the interviews with acknowledged that the system isn't perfect and there's a lot of work to do, but overall, it had a really good impact on just having that kind of mindset, like this is the thing that people do." – RIM Workshop participant from Klahoose First Nation

– RIM Workshop participant,
Klahoose First Nation

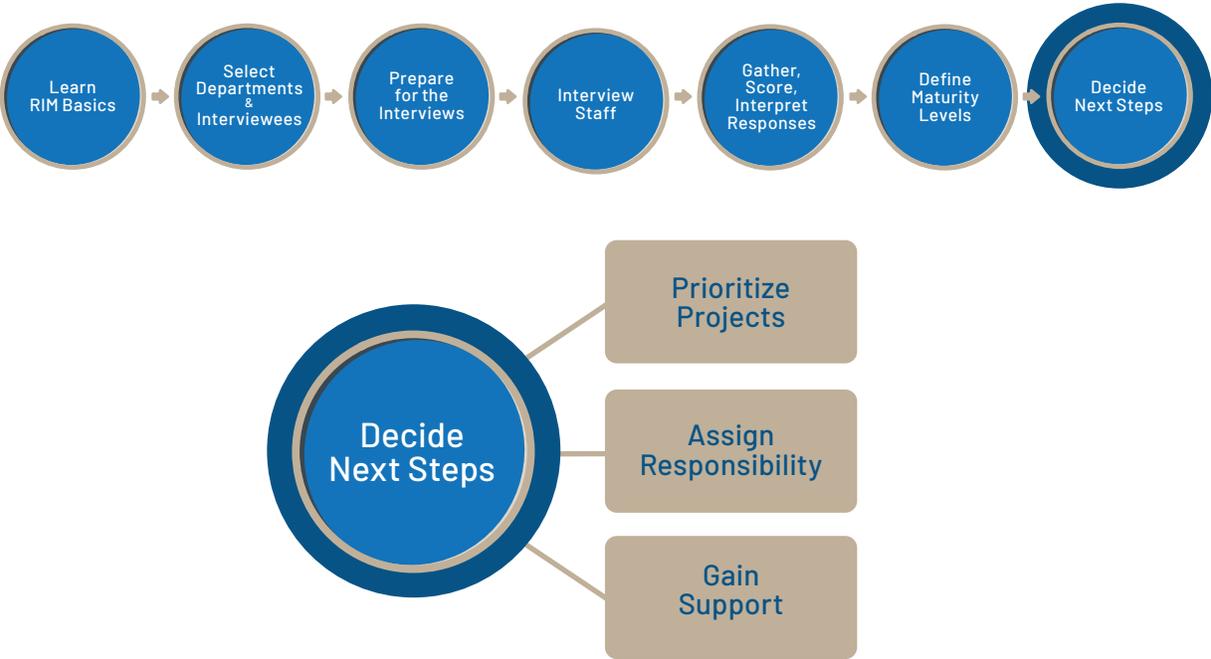
"It was very interesting because we did two areas, and each area had a different level of maturity and one was way more informed than the other area, so it gave us a good representation of how different staff information is."

– RIM Workshop participant,
K'ómoks First Nation

MODULE 5

POTENTIAL PROJECTS

Module 5 offers the RIM Assessor a list of projects that could be undertaken to achieve a Maturity Level 3 for each Principle. The RIM Assessor can choose projects, recommend responsibility for the projects, and create a project plan that can be used to gain support from decision makers (such as managers and elected leaders), or implemented right away to make improvements.



Prioritize Projects

The **Summary of RIM Assessment Interview Scores** (completed in Module 4) can be used to help make a decision about where to start building / improving the RIM program. The Potential Projects List on page 67 provides projects categorized by Principle.

Tip!

You might want to start with just a few projects to gain experience and confidence, as well to get everyone in the Department on board by showing progress and minimalizing extra work and interruptions.

Example Decision

My Department scored a Maturity Level 1 on Accountability.

- Project: Give a Monday morning team meeting presentation on RIM and this Assessment Toolkit so that the team understands what I have been doing and the results.

My Department scored a Maturity Level 2 on Access.

- Project: We are receiving more requests from the Band Administrator for information as a result of the new housing development. We need to establish a process for responding to information requests from management and internal staff.

Tip!

You can write down ideas and considerations to help prioritize possible projects in the Potential Projects Table on page 67. An Example Project Table is provided on page 68.

Potential Project Table

Prioritize your project ideas

Principle	Maturity Level	Possible Projects
 Accountability		
 Access		
 Integrity		
 Protection		
 Compliance		
 Availability		
 Retention		
 Disposition		



Download the Potential Project Table

available for download in the Downloadable Documents section

Project Table Example

Principle	Maturity Level	Possible Projects
 Accountability	2	Build a business case and submit it to Leadership to get support and budget allocation to manage the Department's records and information Provide training to staff in the Department
 Access	1	Create procedure manuals for the Department's key business processes
 Integrity	3	Establish data-breach responses and business continuity plans
 Protection	2	Move the physical files to low or medium-risk areas
 Compliance	3	Establish and document a legal discovery process
 Availability	2	Develop search guides
 Retention	1	Create a records classification and retention schedule
 Disposition	1	Establish and document a records disposition process for paper and electronic files

Assign Responsibility

Once the projects are prioritized, the RIM Assessor can plan out who might be responsible for these RIM projects, who needs to participate, and who just needs to be informed. Some of the projects may require the expertise of a RIM professional.

In the List of Potential Projects' "Who could be involved" column, the projects are marked as follows to provide suggestions on who can carry out the projects:

- **Staff** (employed in the Department)
- **Students** (enrolled in an archival studies, library and information studies, or records management program)
- **RIM Professionals** (an in-house Records Manager or a consultant)

Please note that where Students and/or RIM Professionals are indicated in the table, Staff should be involved in some capacity in all of the listed Potential Projects. For example, Students and/or RIM Professionals could be assigned to the "Implement the policies and procedures by providing training to *all* staff to manage information in the Department systematically" project and should work with Staff to assist with the implementation process.

Although you may wish to engage the services of a RIM professional (such as an in-house Records Manager or a consultant) to assist in this effort, you could consider hiring a graduate student enrolled in an archival studies, library and information studies, or records management program for a three- or four-month internship or co-op position. This option presents a great opportunity for students and could help your Department or Organization tackle some projects quickly. If your Department or Organization is located in BC, consider hiring a student from the University of British Columbia's (UBC) **School of Information**, which has one of the only **First Nations Curriculum Concentration** specializations in Canada focusing on Indigenous information initiatives and systems.¹⁸ For more information, contact UBC's Arts Co-op Program (arts.co-op@ubc.ca). The **program's website** has information on funding opportunities to assist with hiring students.

If the Department or Organization is located outside of BC, visit the **Association of Canadian Archivists' list of graduate archival education in Canada** as a starting point or look for graduate programs that focus on records management.

¹⁸University of British Columbia, School of Information, First Nations Curriculum Concentration. Retrieved from <https://ischool.ubc.ca/programs/specializations/fncc/>

Gain Support for the Project Plan

Once the projects are planned out and responsibility is assigned, it is a good idea to identify who can provide support for the project plan, especially if it needs any additional resources (e.g., to hire a consultant, buy a filing cabinet, or invest in a computer program). Support may be required from supervisors, managers, and/or elected leaders.

List of Potential Projects

The following projects on pages 72 to 91 are offered to assist with developing a Department's RIM program.

Potential Projects by Principle

The Potential Projects are presented in order of the Principle, from basic foundation building (Maturity Levels 1 and 2) through to implementation.

Keep in Mind

The Key Points for each Principle are noted to remind the RIM Assessor of what needs to be addressed. Several Key Points are repeated throughout, such as "Staff Training is available." To simplify the Project Tables, the replicated Key Points are only listed the first time they appear.

Tip!

Depending on the RIM Assessment results, Maturity Levels 1 and 2 projects may be best addressed at the Department level, while Maturity Level 3 projects can be addressed at the Department and Organization levels. If the RIM Assessment reveals a Maturity Level 1, RIM concepts may be quite new to everyone, so it is a good idea to start with smaller, easier projects and then work up towards the organization-level projects.

The Power of Networking

Question: “One of the projects we identified is to update the digital filing system. There is currently a numerical filing system in place, but it hasn’t been fully implemented. Does anyone have any recommendations around how to implement this –where to begin, how to make the workers in the department aware of the system etc.”

– RIM Workshop participant, KFN

Workshop Response: “As a starting place, I recommend focusing on understanding the current filing system (i.e., how is it designed, where has it been implemented, for how long it has been in use, challenges faced to date, etc.). This will involve engagement with staff to help you determine whether you will need to modify the existing structure or design a new filing system. Allow yourself adequate time for this process and communicate clearly with staff along the way. If staff don’t understand why the changes are occurring, or why they are being asked to do certain tasks, your RIM initiative will be met with resistance. Sharing information and providing one-on-one support for transitioning between current practices and a new structured process and providing guidance documentation is key. You may also find the FNPSS Information Management Toolkit helpful, as it contains a model records classification system for First Nations, related procedures, and a legal citation index (last updated in 2011). Here is the link for your convenience: fns.bc.ca/fnps”



List of Potential Projects

ACCOUNTABILITY

Authority, awareness, responsibility, RIM policy

Reminder: Projects need to address the following Key Points:

- Awareness of RIM exists at all levels
- Responsibility for RIM development is identified
- Documented policies and procedures exist
- Electronic records are included as part of the RIM program
- Staff training is available

Awareness of RIM exists at all levels (leadership, staff) / Responsibility for RIM development is identified

RIM programs are a resulting combination of people, processes, and technology. Appropriate levels of knowledge, skills, and abilities are required by staff in order to carry out the various roles and responsibilities for managing recorded information at any organization.

Leadership:

- Includes elected officials and senior management positions (e.g., Band Administrator, Chief Administrative Officer, and Directors)
- Formally authorizes policy, BCRs, or laws of the organization

If Leadership is not aware of, or does not support and practice, RIM

Level	Project / Activity	Who could be involved
1 & 2	Build a business case and submit it to Leadership to get support and budget allocation to manage the Department's records and information	Staff with the support from Students
1 & 2	Present the RIM Assessment results and the selected Principles on which to focus to Leadership	Staff with the support from Students
1 & 2	Request direction for initiatives that can link to the chosen Principles from Leadership	Staff with the support from Students

Records Manager:

- Responsible for performing RIM activities in the Department or across the Organization
- May be a dedicated position or shared responsibilities amongst administrative / clerical or other positions

If the Organization does not have a Records Manager

Level	Project / Activity	Who could be involved
1	Delegate existing staff to work on basic RIM tasks within the Department	Staff (e.g., senior management)
1	Approve at least one staff member to participate in RIM network groups (e.g., ARMA, FNPSS MTA RIM, and IGAC) during work hours for learning opportunities	Staff (e.g., senior management)
1	Consider hiring a student (internship / co-op) to work on projects	Staff (e.g., senior management)

If the Organization has a Records Manager with little authority

Level	Project / Activity	Who could be involved
2	Assign responsibility to the Records Manager for the established RIM program's practical operations on an organization-wide basis	Staff (e.g., senior management)
2	Consider hiring a student (internship / co-op) or a RIM professional to work on projects	Staff (e.g., senior management)

Documented policies and procedures exist

Documented policies and procedures are essential for any RIM program. The documentation acts as an “eye-witness” to how the RIM program operates and provides guidance to staff.

If the Department or Organization does not have a RIM Policy

Level	Project / Activity	Who could be involved
1	Develop a RIM policy that defines RIM functions and responsibilities: <ul style="list-style-type: none"> • Here is a sample policy that has been developed and is used in a BC First Nation: <ul style="list-style-type: none"> • Policy Template created by Tsleil-Waututh Nation in 2021 	Staff and RIM Professionals

If the Department or Organization has a draft RIM Policy

Level	Project / Activity	Who could be involved
2	Review and update the existing RIM policies and procedures	Students
2	Review and update the records classification and retention schedules (RCRS) to cover paper and electronic records	Students and/or RIM Professionals
2	Implement the policies and procedures by providing training to all staff to manage information in the Department systematically (See the 'Staff training is available' section below)	Students and/or RIM Professionals
2	Audit and review RIM programs, policies, and procedures regularly (e.g., once per fiscal year)	Staff with the support from Students or RIM Professionals

RIM Procedures

If the Department or Organization does not have documented RIM procedures

Level	Project / Activity	Who could be involved
1 & 2	<p>Create RIM procedures and make them available to staff. The procedures can include:</p> <ul style="list-style-type: none"> • Daily operations with active records • Filing cabinets, folders, and labels • File closing, storage, and destruction procedures • Transitory records • Managing electronic folders and documents: <ul style="list-style-type: none"> • Naming conventions, including version controls element (e.g., Ver02) • Records classification and retention schedule <p>See also the following sample RIM procedures on managing physical and electronic records and adjust them to the Department's needs:</p> <ul style="list-style-type: none"> • Information Management Toolkit Vol 2 created by the First Nations Summit in 2011¹⁹ • 2017 Records Management Manual for Local Government Organizations, Fifth Edition, created by Local Government Management Association of British Columbia (a cost of \$350 for the electronic version) • British Columbia Institute of Technology Records Management Procedure 	Students and/or RIM Professionals

¹⁹Please note that the Information Management Toolkit is outdated and will be updated in 2021/2022.

1 & 2	Once the RIM procedures are established, reorganize the Department's folders and subfolders of shared drives according to the Department's functions	Students
1 & 2	<p>Make the existing RIM documentation easily accessible and readable to staff:</p> <ul style="list-style-type: none"> • Identify where and in which format (e.g., physical and/or electronic) the RIM documentation is available • What is the best format to provide access – in print or electronic form? Decide depending on the Department's needs • If the Department has a dedicated shelf or folder to store RIM documentation, manage it there; if not, discuss what is the best way to provide access for the Department staff 	Staff and/or Students
1 & 2	Develop search guides (e.g., spreadsheets, inventory lists, or controlled vocabulary. Controlled vocabulary is "an established list of standardized terms used for both indexing and retrieval of information" ²⁰)	Students

²⁰Library and Archives Canada, Frequently Asked Questions – Implementing Controlled Vocabulary on Government of Canada Web Sites. Retrieved from <https://www.bac-lac.gc.ca/eng/services/government-information-resources/controlled-vocabularies/Pages/faqs.aspx#a>

Staff training is available

Meaningful and timely staff training is recommended throughout the development and implementation phases of RIM programs. Although staff training may be included under each Principle, it is placed under Accountability as part of the overarching responsibilities. The Department may consider hiring a RIM professional or a student to help develop and deliver the following training sessions and materials to staff or request that FNPSS deliver RIM Management Training Academies for staff. For more information or to request training, contact info@fnps.ca.

Level	Project / Activity	Who could be involved
1 & 2	<p>Provide training to staff in the Department and/or to all new staff during orientation about:</p> <ul style="list-style-type: none"> • Basic RIM training, including staff's responsibility for RIM or how to manage records and information: <ul style="list-style-type: none"> • Have any staff attended the MTA RIM Workshop that FNPSS provides? Ask them to share what they learned with staff responsible for RIM in other departments • The concepts of transitory and official records • Information protection (e.g., management of regular and confidential information, and the need to report data breaches) • The requirements for keeping or disposing of the records and information staff create and receive • Accommodating internal and external information requests 	Staff and/or Students



List of Potential Projects

ACCESS

Documented processes, accessibility

Reminder: Projects need to address the following Key Points:

- Information about RIM and business processes is documented and readily available (e.g., manuals)
- Routine access is available to non-sensitive records
- Ability to locate records and information quickly
- Ability to accommodate information requests (internal and external)
- Staff training is available

Information about RIM and business processes is documented and readily available (e.g., manuals)

Business Processes

A business process is a series of actions performed by the Department's staff to carry out organizational goals (e.g., onboarding and offboarding process, and responding to referrals).

Level	Project / Activity	Who could be involved
1 & 2	<p>Create procedure manuals for the Department's key business processes:</p> <ul style="list-style-type: none">• First identify the Department's key business processes. Return to the workflow questions of the RIM Assessment Toolkit Questionnaire. What activities is the Department responsible for? What records does the Department staff create?• Which procedure manuals are useful for performing the Department's key business processes?• Document the identified business processes step by step	Staff and/or Students

Ability to accommodate information requests (internal and external)

A Department may receive internal and/or external requests for information.

Level	Project / Activity	Who could be involved
1 & 2	Establish a process for responding to external requests for access to information <ul style="list-style-type: none"> • Identify position(s) responsible for receiving and processing requests • Identify timeframes and fees associated with responding to requests • Develop an access to information policy or procedure and a request form 	RIM Professionals



List of Potential Projects

INTEGRITY

Authenticity, reliability, trustworthiness

Reminder: Projects need to address the following Key Points:

- Chain of custody can be demonstrated (physical and electronic records)
- Recorded information can be trusted (it is not altered or erroneous)(e.g., metadata (used to fully understand the meaning of records and information – who, what, where, when and why) and audit trails (the complete history of any activity performed on a document, including creating, modifying, copying, moving and deleting))
- Scanning program meets CAN/CGSB-72.34-2017 guidelines
- Documented policies, procedures, and guidelines
- Staff training is available

Chain of custody can be demonstrated (physical and electronic records) / Recorded information can be trusted (is not altered or erroneous)

Level	Project / Activity	Who could be involved
1 & 2	Establish file circulation controls (e.g., sign out / sign in, and authorized access)	Staff and/or Students
1 & 2	Create an inventory guide and inventory the physical files: <ul style="list-style-type: none"> • An Excel spreadsheet is a great starting place • See the Information Management Toolkit Vol 2 about filing physical files (Section 4. Filing Cabinets, folders and labels and Section 5. Filing Closing, Storage & Destruction Procedures)²¹ 	Staff and/or Students
1 & 2	Develop structured network shared drives to store and manage electronic records (department specific, work groups, and organization-wide)(this will likely require IT involvement): <ul style="list-style-type: none"> • Assign appropriate security permissions to the folder structure to prevent unauthorized document creation, edits, or deletions 	RIM Professionals

²¹Please note that the Information Management Toolkit is outdated and will be updated in 2021/2022.

2	<p>Identify and include all records and information in all formats to the existing information security guideline or policy</p> <ul style="list-style-type: none"> • See the Data Governance and Management Toolkit for Self-Governing Indigenous Governments created by NVision Insight Group Inc.²² in 2020 for using and managing identified information (data) in ways that reflect the Organization’s cultural traditions 	Students and/or RIM Professionals
2	<p>Consider implementing a file management system to track files (e.g., an electronic records audit trail) (this may require a Records Manager’s or an external consultant’s assistance):</p> <ul style="list-style-type: none"> • See the Information management service providers: A Service comparison chart, provided by First Nations Technology Council in 2015, as a starting point 	RIM Professionals
3	<p>Consider purchasing and implementing an electronic document and records management system (EDRMS):</p> <ul style="list-style-type: none"> • Develop a business case as a first step • Requires significant resources to be successful (people, funding, time, and executive support) 	RIM Professionals
3	<p>Establish data-breach responses and business continuity plans</p>	RIM Professionals
3	<p>Establish metadata standards</p>	Students and/or RIM Professionals

²²NVision Insight Group Inc., on behalf of the SGIG DSC members.

Scanning program meets CAN/CGSB-72.34-2017

In order to rely upon digitized records as documentary evidence, a scanning project or program must satisfy the Canadian General Standards Board Electronic Records as Documentary Evidence CAN/CGSB-72.34-2017, which can be found here: www.publications.gc.ca/site/eng/9.839939/publication.html.

The Department needs to be extremely cautious when deciding which hard copy records to destroy after scanning. It is recommended that long-term, permanent records of the Department continue to be retained.

Level	Project / Activity	Who could be involved
1&2	<p>If there are key files that should be digitized and kept as archives:</p> <ul style="list-style-type: none"> Consider contacting the Indigitization Program at the University of British Columbia. They will assist the Department in planning a digitization project, providing training and a toolkit, and finding funding Indigitization Toolkit Contact in.digitization@ubc.ca for more information 	Students
1&2	<p>Develop official scanning procedures and provide training:</p> <ul style="list-style-type: none"> Quality controls are key See the following scanning procedure sample: <ul style="list-style-type: none"> University of British Columbia, Records Management Program's Digitization Standard 	Students and/or RIM Professionals



List of Potential Projects

PROTECTION

Centralized access controls, information security

Reminder: Projects need to address the following Key Points:

- Appropriate storage and centralized access controls are in place for protecting physical and electronic records
- Physical and electronic security measures (e.g., fire-resistant vault and security permissions set in network file shares)
- Privacy policy and procedures
- Information security guidelines / policies
- Staff training is available

Appropriate storage and centralized access controls are in place for protecting physical and electronic records

Level	Project / Activity	Who could be involved
1 & 2	<p>Move the physical files to low (e.g., file rooms, vaults, and off-site records storage facilities) or medium-risk areas (e.g., closets, offices, and hallways):</p> <ul style="list-style-type: none">• First, check the damage level of physical files (e.g., water and/or mould damage)• The Preservation Self-Assessment Program (University of Illinois) is a free online tool to assist with physical material assessments	Staff and/or Students
1 & 2	<p>Start controlling access to information and records at the file level:</p> <ul style="list-style-type: none">• Insert a watermark (e.g., “Confidential” or “Do not copy”) for confidential files• Use footers for documenting file paths when staff print electronic files and circulate them – the footers help staff locate those files	Staff

1 & 2	<p>Create an access protocol within the Department (e.g., full control, read and write, and read only). If the Organization has a Records Manager, the Records Manager can set and manage access controls. If the Organization has an IT staff member or department, contact IT to identify who has access to which folders:</p> <ul style="list-style-type: none"> • The first step is to identify who has access to which folders or files • Then discuss how to control access to sensitive information and records (for example, only Department directors can see personnel files) • Document folders or files, access groups or persons, and rights (e.g., read only, read, and edit) as the Department's access protocol <p>As well, consider using footers for documenting file paths when staff print electronic files and circulate them as the footers help staff locate those files.</p>	Students and/or RIM Professionals
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Physical and electronic security measures (e.g., fire-resistant vault, security permissions set in network file shares)

Level	Project / Activity	Who could be involved
1 & 2	Choose a strong password for the Department's devices and change it frequently	Staff
1 & 2	<p>Regularly back up the Department's primary electronic files, or store electronic files in a shared drive with a back-up system:</p> <ul style="list-style-type: none"> • First, document the responses to the following questions in the information security guideline. What form of secure storage does the Organization use to store information and records? How does the Organization back up information? • If the Organization uses: <ul style="list-style-type: none"> • External service providers to store its electronic files, contact them to check the best backup solution for the Organization's systems • A backup system, change the frequency to regular • External hard drives, back up the information more frequently 	Staff with the support from Students

1 & 2	<p>Install antivirus software. If the Organization does not have an IT staff member, see the following potential free options:²³</p> <ul style="list-style-type: none"> • If the Organization uses Windows computers, Microsoft Security Essentials for Windows 7 & 8 and Windows Defender for Windows 10 are free options • If the Organization uses Mac computers, Avira is a free option • Alternatively, if the Organization has an IT staff member or department, discuss with IT backing up records and information and antivirus software 	Staff with the support from Students
1 & 2	<p>Implement firewalls. If the Organization does not have an IT staff member, see the following potential free options that Microsoft and Apple provide:²⁴</p> <ul style="list-style-type: none"> • Windows: Windows Firewall Instructions • Macs: OS X Firewall Instructions 	Staff with the support from Students

Information security guidelines / policies

Level	Project / Activity	Who could be involved
1 & 2	<p>Develop an information security guideline or a policy to protect all information and records, with extra protection for sensitive or confidential information. If the Organization has an IT staff member or department, consult with IT:</p> <ul style="list-style-type: none"> • See the following sample information security guidelines, standards, and policies, and adjust to the Department’s needs: <ul style="list-style-type: none"> • University of British Columbia’s Acceptable Use and Security of UBC Electronic Information and Systems • University of British Columbia’s Information Security Standards 	RIM Professionals

²³Consult with an IT professional before installing antivirus software.

²⁴Consult with an IT professional before implementing firewalls.



List of Potential Projects

COMPLIANCE

Satisfy legislation, policies and guidelines

Reminder: Projects need to address the following Key Points:

- Laws and regulations
- Records classification system and retention schedule
- Documented RIM and privacy policies, procedures, and guidelines
- Review and audit process
- Staff training is available

Laws and regulations

In order to create a strong foundation for the RIM program, the Department / Organization needs to understand the legislative and regulatory operating environments that pertain to the Department.

Level	Project / Activity	Who could be involved
1	Identify existing laws and regulations that have been created and adopted by the Organization. For example: <ul style="list-style-type: none"> • Self-governing legislation • Information management and privacy laws 	Students with the support from Staff
1	Identify key external compliance laws and regulations that influence the Organization's operations. A sample of federal and provincial legislation, regulations, and declarations that specifically affect RIM in BC First Nations are listed below: ²⁵ <ul style="list-style-type: none"> • United Nations Declaration on the Rights of Indigenous Peoples (A/RES/61/295) • Declaration on the Rights of Indigenous Peoples Act (SBC 2019, c. 44) • An Act respecting first nations goods and services tax (SC 2003, c. 15, s. 67) • An Act respecting First Nations, Inuit and Métis children, youth and families (SC 2019, c. 24) • First Nations Commercial and Industrial Development Act (SC 2005, c. 53) • First Nations Financial Transparency Act (SC 2013, c. 7) • First Nations Jurisdiction over Education in British Columbia Act (SC 2006, c. 10) 	RIM Professionals

²⁵Please note that the legislation and regulations listed are not comprehensive. Consult with a RIM professional and a legal department or a lawyer to identify key legislation and regulations that apply to the Organization.

	<ul style="list-style-type: none"> • First Nations Elections Act (SC 2014, c. 5) • First Nations Elections Regulations (SOR 2015-86) • First Nations Fiscal Management Act (SC 2005 c. 9) <ul style="list-style-type: none"> • Financing Secured by Other Revenues Regulations (SOR 2011-201) • Revenue Management Implementation Regulations (SOR 2007-245) • First Nations Land Management Act (SC 1999, c. 24) <ul style="list-style-type: none"> • First Nations Lands Registry Regulations (SOR 2007-231) • Indian Act (RSC 1985, c. I-5) <ul style="list-style-type: none"> • Indian Band Election Regulations (CRC, c. 952) • Indian Bands Council Elections Order (SOR/97-138) • Indian Band Council Procedure Regulations (CRC, c. 950) • Indian Bands Revenue Moneys Regulations (CRC, c. 953) • Indian Mining Regulations (CRC, c. 956) • Indian Timber Harvesting Regulations (SOR/2002-109) • Indian Timber Regulations (CRC, c. 961) • Indian Reserve Waste Disposal Regulations (CRC, c. 960) • Property Assessment and Taxation (Railway Right-of-Way) Regulations (SOR 2001-493) • The British Columbia Indian Lands Settlement Act (SC 1920, c. 51) 	RIM Professionals
2	Identify <i>all</i> key compliance laws and regulations: <ul style="list-style-type: none"> • A list of Canada legislation impacting First Nations can be found at www.rcaanc-cirnac.gc.ca/eng/1100100032317/1544710152570 	RIM Professionals
2	Schedule regular reviews and audits to ensure laws and regulations are “up to date”	Staff and/or Students

Legal Processes

Level	Project / Activity	Who could be involved
3	Establish and document a legal discovery process: <ul style="list-style-type: none"> First, consult with a legal department or a lawyer about how the Organization responds to a request for a legal discovery 	RIM Professionals
3	Establish legal hold processes and create a legal hold policy and associated procedures: <ul style="list-style-type: none"> First, consult with a legal department or a lawyer about how the Organization responds to a request for a legal hold 	RIM Professionals

Documented RIM and privacy policies, procedures, and guidelines

Level	Project / Activity	Who could be involved
1 & 2	Create a written privacy guideline or policy: <ul style="list-style-type: none"> See the following sample privacy policies and adjust them to the Organization's needs: <ul style="list-style-type: none"> British Columbia Assembly of First Nations Privacy Policy FNIGC Online Privacy Policy 	RIM Professionals
1 & 2	Review and update the existing privacy guidelines and/or policies	Students



List of Potential Projects

AVAILABILITY

Efficient and accurate retrieval of records

Reminder: Projects need to address the following Key Points:

- Ability to search and locate records at the time they are needed
- Records classification system and retention schedule
 - Applies to physical and electronic records of the Department / Organization
- File tracking system, inventory lists
- Document naming convention (version controls)
- Standards for where and how recorded information is stored, protected, and made available (e.g., routinely available documents on the website)
- Staff training is available

Ability to search and locate records at the time they are needed / Applies to physical and electronic records of the organization

Level	Project / Activity	Who could be involved
1&2	Develop search guides (e.g., spreadsheets, inventory lists, and/or controlled vocabulary. Controlled vocabulary is “an established list of standardized terms used for both indexing and retrieval of information” ²⁶)	Students
1&2	Once the Department establishes the RIM procedure, reorganize its folders and subfolders of shared drives according to the Department’s functions	Students

²⁶Library and Archives Canada, Frequently Asked Questions – Implementing Controlled Vocabulary on Government of Canada Web Sites. Retrieved from <https://www.bac-lac.gc.ca/eng/services/government-information-resources/controlled-vocabularies/Pages/faqs.aspx#a>



List of Potential Projects

RETENTION

Appropriate time to maintain records

Reminder: Projects need to address the following Key Points:

- Ability to meet legal, regulatory, fiscal, operational, and historical requirements
- Records classification system and retention schedule
 - Applies to physical and electronic records
- Records Decision Matrix
- Staff training is available

If the Department or Organization is at Level 1, it is recommended that it first works on Potential Projects (Level 1) for Accountability, Access, and Integrity to lay a RIM foundation before moving on to Retention.

Records classification system and retention schedule / Applies to physical and electronic records / Records Decision Matrix

Level	Project / Activity	Who could be involved
1	Create a records classification and retention schedule (RCRS): <ul style="list-style-type: none"> • The FNPSS Information Management Toolkit Appendix 1 (2011) provides a template RCRS²⁷ 	RIM Professionals
1	If the Organization does not have an RCRS: <ul style="list-style-type: none"> • First, work on (See Access Principle) Business processes to identify and document the Department's key business processes • Then start with identifying what qualifies as a "transitory record" in the Organization and create a guideline: <ul style="list-style-type: none"> • The FNPSS Information Management Vol 2 (2011; pages 52-53) defines transitory records and examples²⁸ • Then develop and deliver training on what a transitory record is • Start disposing of transitory records 	Students

^{27,28}Please note that the Information Management Toolkit is outdated and will be updated in 2021/2022.

1	[Physical Records] Once the Department establishes the disposition procedures, consider transferring inactive records to a low-risk area (e.g., file rooms or off-site storage)	Staff and/or Students
1	[Electronic Records] Once the Department establishes the RIM procedure, reorganize its folders and subfolders according to the Department's functions	Students
2	[Physical Records] Classify and inventory physical files according to an RCRS: <ul style="list-style-type: none"> • The FNPSS Information Management Toolkit Vol 2 (2011; page 41) provides a label template²⁹ 	Staff and/or Students
2	[Electronic Records] Classify electronic files according to an RCRS	Staff and/or Students

Ability to meet legal, regulatory, fiscal, operational, and historical requirements

Level	Project / Activity	Who could be involved
2	Regularly apply retention schedules to records according to the RCRS	Staff

²⁹Please note that the Information Management Toolkit is outdated and will be updated in 2021/2022.



List of Potential Projects

DISPOSITION

Secure and appropriate disposal, transfers

Reminder: Projects need to address the following Key Points:

- Destroy or permanently retain records at the end of their life cycle
- Authorized destruction process
- Records classification system and retention schedule
- Applies to physical and electronic records
- Documented records transfer process (to archives or storage)
- Staff training is available

If the Department or Organization is at Level 1, it is recommended that it first works on Potential Projects (Level 1) for Accountability, Access, and Integrity to lay a RIM foundation before moving on to Disposition.

Destroy or permanently retain records at the end of their life cycle / Authorized destruction process / Documented records transfer process (to archives or storage)

Level	Project / Activity	Who could be involved
1	Establish and document a records disposition process for paper and electronic files <ul style="list-style-type: none">• Begin with addressing retention of physical files that have been inventoried	RIM Professionals
2	Create and apply Organization-wide official physical and electronic file disposition procedures	RIM Professionals

What has been covered in this RIM Assessment Toolkit

Module 2:

- RIM basics and key definitions
- Elements of a RIM program
- The 8 Principles
- The RIM Assessment Toolkit Questionnaire
- The Principles Maturity Model

Module 3:

- How to conduct interviews

Module 4:

- How to score the interview results
- How to interpret the interview results
- How to visualize / communicate the results

Module 5:

- Potential Projects to help achieve a Maturity Level 3 for each Principle





FNPSS staff member at the office

Congratulations on completing the RIM Assessment Toolkit!

Please take a few minutes to complete the evaluation form so that we can continually improve the Toolkit for future learners.

[Access it here](#)

Once you have completed and submitted the evaluation, you will receive a Letter of Participation from FNPSS (in the form of an email) indicating you have completed the RIM Assessment Toolkit.

Please feel free to email us directly at info@fnps.ca with any comments.

RESOURCES

Organizations Involved in RIM

- [First Nations Public Service Secretariat \(FNPSS\)](#)
- [ARMA International \(Association of Records Managers and Administrators\)](#)
- [British Columbia First Nations' Data Governance Initiative](#)
- [First Nations Information Governance Centre](#)
- [UBC Indigitization Program](#)

FNPSS RIM Training Opportunities

- [FNPSS Management Training Academy Records and Information Management](#)
- [FNPSS RIM Coaching Circles](#)

Internship / Co-op Opportunities

If your Department or Organization is located in BC:

- [UBC Arts Co-op Program](#)
- [UBC School of Information](#)

If your Department or Organization is located outside of BC, see the [Association of Canadian Archivists'](#) list of graduate archival education programs in Canada as a starting point

- [Graduate Archival Education in Canada](#)

Legislation and Regulations

Examples that specifically affect RIM programs in Departments and Organizations in BC First Nations³⁰

- [United Nations Declaration on the Rights of Indigenous Peoples](#) (A/RES/61/295)
- [Declaration on the Rights of Indigenous Peoples Act](#) (SBC 2019, c. 44)
- [An Act respecting first nations goods and services tax](#) (SC 2003, c. 15, s. 67)
- [An Act respecting First Nations, Inuit and Métis children, youth and families](#) (SC 2019, c. 24)
- [First Nations Commercial and Industrial Development Act](#) (SC 2005, c. 53)
- [First Nations Financial Transparency Act](#) (SC 2013, c. 7)
- [First Nations Jurisdiction over Education in British Columbia Act](#) (SC 2006, c. 10)
- [First Nations Elections Act](#) (SC 2014, c. 5)
 - [First Nations Elections Regulations](#) (SOR 2015-86)

³⁰Please note that the legislation and regulations listed are not comprehensive. Consult with a RIM professional and a legal department or a lawyer to identify key legislation and regulations that apply to the Organization.

- **First Nations Fiscal Management Act** (SC 2005 c. 9)
 - **Financing Secured by Other Revenues Regulations** (SOR 2011-201)
 - **Revenue Management Implementation Regulations** (SOR 2007-245)
- **First Nations Land Management Act** (SC 1999, c. 24)
 - **First Nations Lands Registry Regulations** (SOR 2007-231)
- **Indian Act** (RSC 1985, c. I-5)
 - **Indian Band Election Regulations** (CRC, c. 952)
 - **Indian Bands Council Elections Order** (SOR/97-138)
 - **Indian Band Council Procedure Regulations** (CRC, c. 950)
 - **Indian Bands Revenue Moneys Regulations** (CRC, c. 953)
 - **Indian Mining Regulations** (CRC, c. 956)
 - **Indian Timber Harvesting Regulations** (SOR/2002-109)
 - **Indian Timber Regulations** (CRC, c. 961)
 - **Indian Reserve Waste Disposal Regulations** (CRC, c. 960)
 - **Property Assessment and Taxation (Railway Right-of-Way) Regulations** (SOR 2001-493)
- **The British Columbia Indian Lands Settlement Act** (SC 1920, c. 51)

Samples, Templates, and Toolkits

(Most are external links and are available for free online)

RIM Policy and Procedures

- [2017 Records Management Manual for Local Government Organizations, Fifth Edition](#) (Local Government Management Association of British Columbia)(cost of \$350 for purchasing the electronic version)
- [British Columbia Institute of Technology Records Management Procedure](#) (2011)
- [RIM Policy Template](#) (Tsleil-Waututh Nation, 2021)

Preservation Resources

- [Preservation Self-Assessment Program](#) (University of Illinois)

Privacy Policy and Procedures

- [British Columbia Assembly of First Nations Privacy Policy](#)
- [FNIGC Online Privacy Policy](#)
- [Information Management Service Providers: A Service Comparison Chart](#) (First Nations Technology Council, 2015)

Information Security Policy and Procedures

- [University of British Columbia Acceptable Use and Security of UBC Electronic Information and Systems](#) (2019)
- [University of British Columbia Information Security Standards](#) (Last revised 2021)

Scanning Policy, Procedures, Standards, and Toolkits

- [Documentary Evidence CAN/CGSB-72.34-2017](#) (Canadian General Standards Board Electronic Records, 2017)
- [Indigitization Toolkit](#) (University of British Columbia, Indigitization Program)
- [University of British Columbia, Records Management Program's Digitization Standard](#) (Last revised 2021)

ARMA International Resources

- [Implementing the Generally Accepted Recordkeeping Principles®](#) (ARMA International TR 30-2017)(cost to purchase)



DOWNLOADABLE DOCUMENTS

Downloadable documents are located in the online RIM Toolkit in the Downloadable Documents section.

- [Interviewee Checklist \(Word\)\(PDF\)](#)
- [Interview Sample Email \(Word\)](#)
- [RIM Assessment Analysis Template \(Excel\)](#)
- [RIM Assessment Toolkit Questionnaire Printed \(PDF\)](#)
- [RIM Assessment Toolkit Questionnaire Online \(PDF\)](#)
- [Summary of RIM Assessment Interview Scores \(Word\)\(PDF\)](#)
- [Potential Project Table \(Word\)\(PDF\)](#)

Archives

- [First Nations Information Management Toolkit Volume 1](#)
- [First Nations Information Management Toolkit Volume 2](#)

* The Toolkit is outdated and will be updated in 2021-2022.

FREQUENTLY ASKED QUESTIONS

Module 1 [Go to Module 1](#)

Q. I have minimal experience with records and information management and am new to the department. Am I the right person to be completing the Assessment?

A. Yes, previous RIM Assessment participants with minimal experience, or those who were new to their role, found the RIM Assessment process valuable because it allowed them to understand how office systems worked, and provided an opportunity to get to know colleagues through the interviews. The RIM Assessment Toolkit provides RIM Assessors with the basics so that they can confidently conduct an assessment, and then hopefully get inspired to take on more RIM projects and can register for more RIM training (through FNPSS and our ARMA partners).

Q. Do I get interviewed along with my colleagues? Do I need to ask my department's supervisor to conduct the interviews? Is that what you mean getting my supervisor's support?

A. The interview process is clarified in Module 3. The RIM Assessor conducts the interviews and is the one working through the Modules to assess at what level the Department is at. It is recommended that the Department's supervisor be on board because it takes between 10 and 20 hours of time and when the RIM Assessment is completed, the supervisor will be receiving recommendations on a few activities be undertaken. If the support is present early on in the process, there would likely be more support when the recommendations are presented.

Q. I proposed to my Band Administrator that I work through the Assessment Toolkit because I want to learn more about RIM and how to improve our RIM program. He asked me for some concrete reasons why I wanted to take the time to do this? Any suggestions?

A. It is suggested that the RIM Assessor have a thorough read of the RIM Assessment Toolkit first, before putting forward reasons for conducting the Assessment, so that the reasons reflect the Toolkit's processes. For example, if the RIM program is minimal, the response could be centred on budgetary and operational efficiencies. If the Organization is strategizing about pursuing a [Financial Management Board Certification](#), a mature RIM program is a requisite.

Q. What is the IGAC?

A. The IGAC (Information Governance Advisory Committee), briefly introduced in the Background section, is a committee of RIM experts who are volunteering to support RIM capacity in BC First Nations and organizations. Find more information about the IGAC by visiting [FNPSS' website](#).

Module 2 [Go to Module 2](#)

Q. What do you mean by "sensitivities in First Nations contexts with respect to the term 'Transparency'?" I would like to understand that better, and why you chose the term 'Access'.

"Transparency" has been renamed "Access" in the RIM Assessment Toolkit because "Access" better reflects the statement and purpose of this Principle that focuses on access to organizational business processes and documentation. It is different from the ARMA use of "transparency," which is associated with the level of honesty and openness to citizens.

Q. I had no idea people specialize in RIM. I definitely want to learn more. How do I go about doing that?

A. The 'Additional Resources' section at the end of the RIM Assessment Toolkit has a list of resources. There are many options available, both online / in person and accredited / non-accredited. RIM experts in BC are a connected group, so once a RIM Assessor starts learning and participating in the available training and networks, a dedicated and knowledgeable group of professionals will most likely be ready and willing to provide assistance.

Module 3 [Go to Module 3](#)

Q. I am a bit confused about who I am asking to participate in interviews. Can you clarify that?

A. Decide if the Department (e.g., Finance) or the Organization is going to be assessed. Starting at the Department level is a good place if the RIM Assessor is relatively new to RIM.

At the Department level, interview a cross-section of colleagues who want to assist and who know about how the RIM program works in the Department. Having at least three colleagues participate is ideal.

Q. Can I have each person complete the RIM Assessment Toolkit Questionnaire on their own time?

A. A RIM Assessor learns more about the RIM program as colleagues answer the questions during the interview because as they think about the response, they may talk out loud, query the question itself, and perhaps pose some solutions to problems they have been encountering. The interview is an ideal moment to focus on RIM and its Principles. That focus or dialogue will not be achieved if completed independently.

Module 4 [Go to Module 4](#)

Q. You ask me to identify the Maturity Level per Principle. Do I also need to define it overall for the Department?

A. An average Maturity Level for the Department can be calculated so that it has an overall baseline. The reason a calculation is done by Principle is so the RIM Assessor can create a plan of activities (possibly chosen from the Potential Projects List in Module 5) to assist the Department move to the next Maturity Level (e.g., from Level 1 to Level 2) for each Principle that scored less than a Level 3.

Module 5 [Go to Module 5](#)

Q. That is a pretty long list of Potential Projects. Just wondering though, is there a longer list? I wouldn't mind seeing more options.

A. The Potential Projects List provides a sample of projects and is meant to inspire the RIM Assessor to brainstorm new ones or revise some of those presented.

FNPS is updating the Information Management Toolkit in 2021/22, and part of that update will be a review of the Potential Projects.

Q. We haven't hired a RIM co-op student before, but that is great idea to help us jumpstart this project. Can you remind me who I should contact?

A. If your Department or Organization is located in BC, consider hiring a student from the University of British Columbia's (UBC) [School of Information](#), which has one of the only [First Nations Curriculum Concentration](#) specializations in Canada focusing on Indigenous information initiatives and systems.³¹ For more information, contact UBC's Arts Co-op Program (arts.co-op@ubc.ca). The [program's website](#) has information on funding opportunities to assist with hiring students.

If the Department or Organization is located outside of BC, visit the [Association of Canadian Archivists' list of graduate archival education in Canada](#) as a starting point or look for graduate programs that focus on records management.

Q. Two recommendations we want to put forward is the use of a EDRMS software and contracting with a RIM Professional. Can FNPSS help with these?

A. FNPSS does not recommend specific software applications or consultants. The content and resource links referenced in this Toolkit are intended to provide a variety of options for next steps and additional supports the reader could consider. FNPSS does, however, provide other RIM training and networking opportunities throughout the year and can direct you to the [IGAC](#) for additional support. For IGAC support and more information about our RIM training email info@fnps.ca. Also consider [signing up for our newsletter](#) to stay informed.



³¹University of British Columbia, School of Information, First Nations Curriculum Concentration. Retrieved from <https://ischool.ubc.ca/programs/specializations/fncc/>

GLOSSARY OF TERMS

This Glossary of Terms accompanies the RIM Program (RIM, Record, Information, Policy, Procedure, and Guideline), Principles and Maturity Level definitions listed in [Module 2](#).

Access control: A method of restricting access to sensitive information and records

Audit trail: A complete history of any activity performed on a document, including creating, modifying, copying, moving, and deleting

Business process: A series of actions performed by a department or an organization to carry out organizational goals

Disposition: To either destroy records or preserve them permanently (e.g., transfer to archives) according to the RCRS (defined below)

External requests: Requests from outside of the organization (e.g., requests from provincial and federal governments, Freedom of Information, regulators, the courts, potential business partners, investors, buyers, and other entities)

Generally Accepted Recordkeeping Principles® (Principles): Fundamental attributes or characteristics of effective RIM processes

Information Governance Advisory Committee (IGAC): A committee of RIM experts who are volunteering to support RIM capacity in BC First Nations and organizations

Information security guideline (or policy): A set of rules designed to ensure all staff and networks in an organization meet minimum IT security and data security protection standards

Legal discovery process: A formal process of identifying, protecting, and providing court admissible records and information during a litigation

Legal hold: A suspension of a regular disposition (i.e., destruction or transfer) of information and records in the event of an investigation or litigation

Naming conventions: Rules that support the consistent filing of documents (e.g., standard date formats and common abbreviations)

Non-sensitive records: Those that exclude any personal or confidential records (e.g., routine working files, records about an issue or a project, and operational and administrative documents that are neither personal nor confidential)

Official records: Records related to an organization's business, decisions, or programs

Organization: A First Nation Band Administration, an Indigenous Government, a First Nation Institution or a First Nation Organization or other Indigenous Organization in Canada

Principles Maturity Model: Describes differing levels of maturity, completeness, and effectiveness of RIM programs

Privacy guideline: Establishes how an organization collects, uses, and discloses personal information

Records classification and retention schedule (RCRS): A tool used to arrange business functions, activities, and/or records into categories (i.e., classifications); the classifications are then associated with a retention schedule that meets or exceeds the time periods required by legal and business needs

RIM Assessor: An employee tasked with completing the RIM Assessment

Transitory records: Records that do not provide evidence of a decision, activity, or transaction and are required only for a limited time (e.g., copies and duplicates, drafts, notes, and supporting materials for final documents)



FNS photo