The Guild of The Royal Canadian Dragoons

Records and Information

Management Policy

**(Chapter in the PGM?)**

## REVISION HISTORY

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **Issue Date** | **Author** | **Reason for Change** |
| Draft 1.0 | April 2024 | James Follwell, COS | Initial draft for comments |
| Draft 1.1 |  |  | Second draft comments |
| Draft 1.2 |  |  | Final draft for Approval |

## APPROVALS

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **Issue Date** | **Approving Authority** | **Comment** |
| 1.0 |  | Board of Directors |  |
| 2.0 |  |  |  |

## REFERENCES

1. *Electronic Transactions Act*
2. *Freedom of Information and Protection of Privacy Act (FOIP)*
3. *Canadian Anti-Spam Legislation (CASL)*
4. Canada Not for Profit Corporations Act (CNCA)
5. Ontario Archives and Recordkeeping Act
6. Office of the Public Guardian and Trustee (OPGT) for Ontario Guidelines for Charities
7. International Standards Organization (ISO) group of standards, technical reports and codes of best practice on Archives/records management - [ISO/TC 46/SC 11](https://www.iso.org/committee/48856/x/catalogue/)
8. *European Union General Data Protection Regulation (GDPR)*

**AUTHORITY**

This framework is issued under the authority of the Guild of The Royal Canadian Dragoons (hereafter referred to as “the Guild”) by-lawparagraph 5, which mandates the corporation to manage and have available the information pertaining to the organization’s operations.

**POLICY STATEMENT**

Records and information are key strategic assets of the corporation and are the evidence of corporate business. In the Guild, records and information help Directors manage programs and achieve both short-term and long-term outcomes that benefit entities of the Regimental Family and designated recipients.

# INTRODUCTION

Ensuring that evidence of the Guild’s business is created, captured and managed is not simply about legislative compliance. A well-managed information base is the foundation of a responsible, accountable corporation. It is also the underpinning capability of effective support, service transformation and innovation strategies such as data-driven evaluation and evidence-based decision-making.

In January 2024, the Guild’s Board of Directors issued guidance to establish a Working Group (WG) to study the establishment of a comprehensive Records and Information Management (RIM) framework for the corporation. To enhance understanding Annex A lists the terms, definitions and acronyms commonly used in the RIM community of practice.

The WG leveraged existing government regulations and current best practices from across the Records and Information Management/Technology (IM/IT) community, which determined that effective RIM shall:

* Provide the foundation for sustainable and effective programs, products and services.
* Support decision-making.
* Document responsibilities, rights and entitlements.
* Drive collaboration and communication.
* Facilitate and enable transformation, creativity and growth.
* Preserve public knowledge for discovery and reuse.
* Create the corporate memory of an effective organization.
* Support transparency and accountability.

# PURPOSE

This Guild RIM Policy provides a standardized framework for storing, managing, and sharing records and information by establishing a collaborative but secure environment in accordance with government regulations and industry best practices to support sound and integrated RIM across the corporation.

# SCOPE

This RIM Policy applies to all elements of the Regimental Family when working on GUILD corporate business or deal with GUILD property. It includes (not all-inclusive):

* All digital files, scans, emails and records held by the Corporation, by any Director of the Corporation and any volunteer to the Guild (including scans of original historical documents).
* All physical files and records (excluding original historical documents) held by the Corporation, any element of the Regimental Family, any Director and any volunteer.
* Copies of digital/physical records of ownership/loan of Guild physical property (i.e. Artifacts, museum display equipment…).

# GUILD RIM PRINCIPLES

The Guild’s RIM framework is based on three guiding principles, designed to help directors and programs/activities understand their responsibilities, increase collective efficiency and meet their obligations under *The Archives and Recordkeeping Act*.

# Principle 1: The Corporation is responsible for records and information management. To ensure records and information can support all corporate functions and operations, the organization must:

* Assign responsibilities and allocate resources.
* Develop business-specific strategies and priorities directing how records and information will be managed.
* Communicate responsibilities, strategies, and priorities throughout the organization.
* Monitor records and information management activities, systems, and processes.
* Maintained and disposed of in an authorized way.

# Principle 2: Recordkeeping and Information retention requirements are linked to business requirements. RIM is a corporate activity planned by management and linked to business requirements. It is designed to ensure the systematic creation, maintenance, usability, and sustainability of records and information needed for business operations. RIM considerations must:

* Valued as critical to business operations and similarly, be integrated into all corporate activities including risk management.

# Be an integral part of all corporate activities and program areas as they are developed, not as an afterthought.

* Identify key records and information requirements to ensure consistent corporate operations.
* Design and embed RIM requirements into all business processes and systems.
* Analyze and determine the requirement for retention, review and disposal

# Principle 3: Records and information are well managed. Effective RIM is based on trustworthy and reliable records and information that are accessible, reliable, and maintained for as long as they are needed to meet business requirements. This extends to all records formats, in all business environments, and in all types of systems. Key activities to meet this principle include:

# A well-designed library structure

# Retention and protection of corporate records and key documents as required by the Government of Canada for Charitable Corporations.

* Use of a streamlined, standardized collaboration tool and/or platform.
* Creation of a common formatting, filing and naming of documents.
* Provision of adequate training for Guild users.

# These principles will be further amplified into RIM instructions to create a comprehensive framework for appropriate management of our corporate records and information.

# AUTHORITIES AND RESPONSIBILITIES

To ensure consistent and universal application of corporate RIM, several authorities and responsibilities have been identified.

**All Directors and Volunteers.** All Directors and volunteers are responsible to understand and apply Guild RIM instructions within the scope of their responsibilities and duties whenever conducting GUILD business. Where there is a lack of understanding or confusion, they shall ask for support from the RIM Team (RIM-T) as soon as possible. Similarly, ideas/proposals to improve existing instructions can also be forwarded to the CIO and RIM-T.

**Chief Information Officer (CIO)**. The Board of Director assigns the Coordinator as the Guild’s CIO. He/she/them has three roles to enable business productivity: ensuring the corporation has the right tools, running an effective RIM activity, and driving technology innovation. Supported by the Secretary who is appointed the RIM deputy lead, the CIO is empowered to:

* Stand up and maintain a Records and Information Management Team (RIM-T).
* Implement this policy to meet the three corporate RIM principles.
* Manage and monitor the corporation’s RIM activity.
* Recruit outside support and professional advice as required and authorized.

**RIM-Team (RIM-T)**. The RIM-T is a small team, identified from across the GUILD, develops and manages implementation of the corporation’s RIM policy under the guidance of the CIO. Terms of Reference for this team will be produced and maintained that authorizes it to:

* Develop and manage RIM processes and instructions to implement this policy.
* Conduct monitoring and policing functions to ensure RIM application.
* Propose new capabilities/software, instructions, processes and instructions for implementation.

**Committee Leads**. Charitable Program and Corporate Committee Leads are responsible for:

* Being part of the RIM-T or assigning this responsibility to a committee member.
* The management and structure of their specific component within the Guild RIM structure.

**POLICY IMPLEMENTATION**

This Policy shall be further defined in amplifying Instructions developed by the RIM-T and shall apply to all elements and activities of the Guild*.* It should be read in conjunction with instructions, directions, and any other standards or guidance issued by the Board of Directors or their selected representative(s).

Anyone working with or on corporate records and information must be familiar with and apply Guild RIM instructions. To enable this, the RIM-T shall develop and maintain RIM training packages that all directors and volunteers must complete online training and orientation.

A set of RIM abbreviations and acronyms shall be developed and maintained that will complement the general Guild definitions, abbreviations and acronyms list. This will enable effective searching of and access to corporate records and information while enabling conciseness.

To be effective, the extensive use of a library/central registry shall be maintained. The use of links and sharing is to be the primary method of records and information sharing. Collaboration shall be leveraged to the maximum extent possible to reduce duplication as will the extensive use of links, particularly as references to approved documents.

Records and Information shall be managed throughout its lifecycle from drafting, approval, review and disposal. The author/owner of every document shall identify a lifecycle management during development (or on receipt) in concert with the RIM-T. The RIM-T shall manage the application of this lifecycle, thus ensuring records remain relevant and reliable.

Periodic reviews and monitoring of the libraries shall be conducted to ensure the spirit of this RIM policy and its instructions are applied universally.

# CONCLUSION

Through the implementation of this Policy, the Guild will:

* Create trustworthy, useful and accountable records and information in evolving business environments.
* Ensure that meaningful, accurate, reliable and useable records and information are available whenever required for business.
* Sustain and secure the records and information needed to support short and long-term business outcomes.
* Enable the reliable sharing of relevant records and information.
* Minimise records and information volumes, preventing unnecessary digital and physical storage and management costs.
* Proactively protect and manage the records and information that provide ongoing value to the business and to the public.
* Meet obligations and requirements of *The Archives and Recordkeeping Act.*

My Thoughts – not to be included in the policy.

**POTENTIAL OPERATING INSTRUCTIONS**

RIM TRAINING - Instruction on available RIM training, what is mandatory and what is optional. This training package is beyond the general orientation training but should be included as a part of it, perhaps as a component.

RIM ABBREVIATIONS AND ACRONYMS – a list of abbreviations and acronyms specifically for RIM use.

RIM LIBRARY STRUCTURE – detail the structure for the Guild Library (libraries) including who is responsible and authorized to make changes.

FILE NAMING CONVENTION – create a consistent naming convention with tags/metadata to enhance searching and finding documents.

GUILD ONLINE PRESENCE – instruction on the Guild presents itself online and general instructions for these platforms. It should also include how we will work collaboratively through common folders and sharing files for reviews (doing away with attachments).

RIM RISK & SECURITY – how we identify and manage risk to RIM, including reviews by the team

RIM LIFECYCLE MANAGEMENT, REVIEWS & DISPOSAL – how the Guild will manage records and info to ensure they remain current and relevant as well as identifying records to keep and how/who disposes of R&I that we no longer need.