



**Government of Jamaica**  
**RECORDS AND INFORMATION**  
**MANAGEMENT POLICY**



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by:  
The Office of  
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## Executive Summary

The Government of Jamaica (GoJ) Records and Information Management (RIM) Policy is an output of the Records and Information Management Programme which is a component of the Integrated Information and Communication Technologies ethos of the Public Sector Transformation and Modernisation Programme (PSTMP). The primary purpose of the RIM Policy is “to provide a framework for the standardised management of official records in the Government of Jamaica (GoJ) and to ensure that all activities and decisions of the Government of Jamaica are fully and accurately documented, managed and monitored in accordance with the regulatory framework and the life cycle principles of records creation, maintenance, use and disposal.”

The Vision of the GoJ RIM Policy is for: *“An integrated, standardised and secure RIM system which facilitates access to Government information and archival material; preserves and leverages Jamaica’s historical, information and cultural assets; as well as enables efficient service delivery, enhanced decision making and overall attainment of national development goals.”*

The goal of the RIM Policy (the Policy) is to contribute to modernising and transforming the public service and the building of a knowledge society by:

- managing, securing and making accessible, the records of the GoJ in an efficient, effective and transparent manner, throughout their lifecycle; and
- acquiring and preserving archival material.

The Policy has three overarching outcomes.

**Policy Outcome 1:** *Accessible, efficient and effective service delivery that facilitates the citizenry; data sharing across MDAs; ease of doing business (local and international); research and attraction of investment.*

**Policy Outcome 2:** *Increased transparency and accountability through the creation, processing, maintenance, use and disposition of records in conformity with local policies and standards and international good practice.*

**Policy Outcome 3:** *Preserved national and cultural identity, leveraged cultural assets, informed citizenry and the overall attainment of national developmental goals.*

The benefits arising from the Policy include improved decision making; enhanced service delivery to citizens, businesses and other Government entities; improved and integrated communication in Government; reduced operating costs; compliance with the provisions of legislative and regulatory frameworks underpinning records and information management; efficiency and effectiveness in the management of public sector institutions; preservation of the national memory; monetised cultural assets; safeguarded vital information which is critical for business resumption/continuity in the

event of a disaster; and, an increase in qualified RIM practitioners in Jamaica and the Caribbean region.

The Policy applies to employees/public officials of MDAs (including local authorities and the judiciary) relative to the management of official records and archives held by MDAs, regardless of medium or format.

The Policy is guided by principles of accountability; integrity; protection of records; compliance with legislation; availability of records and information; retention and disposal; Government-wide RIM systems and transparency.

The Policy comprises five key result areas:

- Legislative and Regulatory Framework
- Organisational Structures and Human Resources for RIM
- Reform of JARD's Institutional Framework and Infrastructure
- RIM Systems
- Capacitation of Key Stakeholders.

Key issues regarding the policy, legislative and regulatory framework include the fragmented and outdated legislative and regulatory framework; lack of documented and standardised procedures for RIM and lack of compliance with and enforcement of existing provisions.

The policy statements and strategies for the legislative and regulatory framework include review and consolidation of legislation governing RIM; preparation and submission of MDA specific RIM policies and procedures; auditing of the RIM systems in MDAs by JARD and the Auditor General's Department; preparation and submission by JARD to OPM and the Parliament of an Annual Report on the state of RIM in the GoJ; and, sensitisation and implementation of MDA specific policies in support of public sector modernisation.

Issues identified on organisational structures and human resources for RIM include the inadequacy of provisions for RIM in organisational structures in MDAs; limited pool of qualified RIM professionals; lack of parity in posts across MDAs; and an inadequate career path. To overcome these challenges, the policy provides that it should be mandatory for RIM staff to have RIM qualifications; the Strategic Human Resource Management Division should review the career structures and pathways for RIM; the RIM job functions should be streamlined; the position of DDIAS should be no lower than the third tier; JARD should be restructured and should recruit and appoint staff with appropriate qualifications and experience; and current JARD staff without experience should be sent on attachments to MDAs.

The Policy recognises that JARD will play a critical role in its implementation and that at present JARD faces a myriad of challenges including fragmentation of its operations, inadequacy of the institutional framework, and inadequate infrastructure. To remedy these, the Policy proposes that JARD be reorganised as an autonomous entity; the Archives Advisory Committee be reconfigured; an initial capital outlay be made for the establishment of a modern National Archives and that a change management and communication programme be instituted within JARD.

The Policy then deals with issues and strategies related to the following RIM systems:

- Acquisition, access, use and preservation of official records and archives
- RIM Committees and other key supporting structures and mechanisms in MDAs
- Creation, capture and registration of records
- Storage and maintenance
- Security, use and tracking of records
- Records disposition
- E-mail management
- Information sharing
- ICT for RIM.

Key issues identified in the RIM systems include inadequate capacity of the Government Records Centre to receive records from MDAs; under-resourced MDA RIM functions; disparate records classification within and across MDAs; varying composition and functionality of RIM Committees in MDAs; absence of RIM policies in most MDAs and breakdown in registry procedures; weak security systems and controls; non-existence of records retention and disposal schedules; subjective records appraisal practices in those MDAs that have retention schedules; lack of clarity in how documents in Ministers' offices should be treated; lack of procedures for the management of e-mails; limited information sharing within and across MDAs; varied ICT RIM capabilities amongst MDAs; silo implementation of RIM ICT systems; lack of records management functionality in ICT systems; absence of RIM ICT policies and standards; inadequate internal information security; and, absence of the RIM ICT Architect function in MDAs.

The Policy proposes several interventions to address the challenges facing RIM systems including building the capacity of JARD and providing resources for the RIM function in MDAs; re-doubling efforts to acquire both public and private archives including audio visual archives; standardising the composition and functioning of MDA RIM committees; implementing procedures for the capture and registration of paper and electronic records; introducing Government-wide function based classification of records; aligning the retention and disposal of records to the classification schemes; introducing appropriate systems to regulate access to official records; controlling the disposition of official records while making it mandatory for MDAs to dispose of records within six months of the

designated disposal date; adopting the CAPSTONE approach for the retention of e-mail records of senior officials; encouraging information sharing within and across MDAs; encouraging standardisation of RIM ICT systems; mandating JARD to develop guidelines for records management functionality in ICT systems; and, providing for the involvement of JARD in the acquisition and development of ICT systems.

The Policy allocates responsibilities to various stakeholders. Overall responsibility for the Policy rests with the Office of the Prime Minister. JARD has responsibility for the coordination and implementation of the Policy. Within the MDAs, overall responsibility lies with the Accounting Officers through the RIM Committees while the DDIAS has direct responsibility for the RIM Policy roll out in the Ministry and its portfolio Departments and Agencies. Individual officers in the MDAs are responsible and accountable for the records that they create, use or manage regardless of their level and on leaving the MDA, are expected to handover their records. The ICT departments have responsibility for ensuring that the ICT systems have records management functionality.

A monitoring and evaluation framework is to be developed and put into place to facilitate the monitoring of the Policy and monitoring responsibilities are assigned to various stakeholders including JARD, the MDA RIM Committees, DDIASs, internal and external auditors. The Office of the Cabinet is expected to conduct periodic evaluations in line with the Public Sector Transformation and Modernisation Programme.



## 1. INTRODUCTION

### 1.1 Purpose

The purpose of the Records and Information Management Policy (the Policy) is to provide a framework for the standardised management of official records in the Government of Jamaica (GoJ) and to ensure that all activities and decisions of the GoJ are fully and accurately documented, managed and monitored in accordance with the regulatory framework and the life cycle principles of records creation, maintenance, use and disposal.

This Policy promotes the accessibility and timely sharing of information within and across government, while at the same time, protecting confidential information. It is also the objective of the Policy, to enhance the performance of business activities, decision making and service delivery by all government institutions, contribute towards the achievement of the National Development Plan and support government's obligation for transparency and accountability to its citizens and other stakeholders.

The Policy seeks to increase adherence to existing records and archives legislation and to promote the provision of the requisite infrastructure, as well as the provision of human and material resources, for the effective and efficient management of the records and information assets of the GoJ.

While this Policy is primarily focused on the management of records and archives of the GoJ, the Jamaica Archives and Records Department (JARD) has a responsibility to, among other things, acquire and preserve records created by non-public sector entities which have informational and historical value for the nation and as such, this Policy will also govern the preservation and management of acquired archival holdings.

This Policy is based on and is aligned to the international records management standard ISO 154891. The Policy however takes into cognition other related standards such as ISO14721, ISO 7002, ISO18492, ISO9001, ISO158362 and the General International Archival Descriptive Standard3 (ISAD (G)).

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1 ISO 15489 - Information and documentation-Records Management

2 ISO 14721: 2012 - Space data and information transfer systems - Open archival information system (OAIS) - Reference model  
ISO 27002:2013 - Information technology - Security techniques - Code of practice for information security management  
ISO/TRI 18492 - Long term preservation of electronic document - based information  
ISO 9001: 2015 - Quality Management System  
ISO 15836 - Information and documentation - the Dublin Core metadata element set

## 1.2 Policy Context and Rationale

This Policy provides the framework for the management of records and archives within the context of the Public Sector Transformation and Modernisation Programme (PSTMP), a programme administered by the Office of the Cabinet (OoC), the principal objective of which is to address public sector efficiency and ease of doing business. These are seen as critical in creating an enabling environment for growth and development to take place in Jamaica

Currently, the Office of the Prime Minister (OPM), through JARD, is responsible for the management of records and information of the GoJ. Under the Archives Act, 1983 (the Act), the Archivist has responsibility for, among other things, the custody, preservation, arrangement, repair and rehabilitation of official records as well as archival material and for facilitating the use of the archives. Subject to advice provided by JARD, each Ministry, Department and Agency (MDA) has responsibility for managing records in its care, custody and control until such time as the MDA transfers the records to JARD.

JARD operates from three locations in Kingston and St. Catherine and among other things:

- promotes the maintenance, storage, security and management of official records within Government in accordance with best practice, and authorises the disposal of official records which are no longer needed;
- protects and preserves from concealment or distortion, official records; and
- provides access to those records which have significantly affected the development of Jamaica, the function of the Government and the lives and liberty of citizens.

The Act defines **official records** as “all papers, documents, records, registers, printed material, maps, plans, drawings, photographs, microfilms, cinematograph films and sound recordings of any kind whatever, officially received or produced by a public organization for the conduct of its affairs or by any officer or employee of a public organization in the course of his official duties”.

In addition to the Act, the Access to Information Act, 2002 (the ATI Act) provides the core elements of the GoJ’s framework for accessing official documents and as such has implications for records management. The ATI regime is administered by the ATI Unit in the OPM. While the ATI Act does not specifically refer to the treatment of official records, the ATI Act grants to the public, a general right of access to **official documents** held by public authorities, subject to specified exemptions.

The ATI Act includes in the definition of **official document** “... a document in writing, any map, plan, graph or drawing, any photograph, any disc, tape, sound track or other device in which sounds or other

data (not being visual images) are embodied, whether electronically or otherwise, so as to be capable (with or without the aid of some other equipment) of being reproduced therefrom; any film (including microfilm), negative, tape or other device in which one or more visual images are embodied whether electronically or otherwise, so as to be capable (with or without the aid of some other equipment) of being reproduced therefrom". The ATI Act further defines an **official document** as a document held by a public authority in connection with its functions, whether or not it was created by that authority.

In keeping with the above-mentioned legislation, the GoJ has a legal obligation to effectively manage the country's records and information. It is therefore essential for the records and information held by GoJ (both archived and current) to be accurate and accessible, to enable the GoJ to meet its obligations. It is recognized however, that with increased volumes of information and multiple information formats, existing systems cannot adequately support the effective management of information assets. Recognising this, the GoJ has made a commitment to improve the management of records and information.

The OoC has collaborated with the OPM and JARD in a Records and Information Management (RIM) Project which targets Public Sector wide RIM reform, in keeping with the ethos and emphasis of the Government's PSTMP, on accessibility, good governance and transparency.

The PSTMP addresses the systemic issues that significantly affect public sector performance, and identifies ways to embed systems and behaviours within Government which can sustain the capacity for growth and efficiency. Improvement in the quality of government data and strengthened information sharing across Government are also critical factors to be addressed in the modernization programme, the success of which is also seen as dependent on having sound RIM policies and practices. Accordingly, the Public Sector Transformation and Modernisation's Five Year Plan, 2014/2019 recognizes RIM :

*"... as a first step in advancing the objectives of Government-wide data sharing, the Office of the Cabinet is working with the Jamaica Archives and Records Department (JARD) and the Office of the Prime Minister (OPM), which has the policy portfolio for Government Information Management, to develop an Integrated Records and Information Management Policy for the GoJ and provide necessary capacity for JARD to carry out its mandate." 4*

The PSTMP is aligned to the National Development Plan and the activities being executed under the programme have been prioritised, based on their potential impact on economic growth and their contribution to increasing Jamaica's standing in the Global Competitiveness and Doing Business Indices.

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4 The Public Sector and Modernization Programme, Five Year Plan 2014/2019, Office of the Cabinet, P 29.

The PSTMP views the robustness and security of an information management platform as being important to the effective operation of Government and seeks to place focus on establishing the proper architecture and governance systems, in addition to the use of agile and flexible technologies that are reliable, cost effective, scalable and interoperable.

The development of a GoJ RIM Programme, is part of the Integrated Information and Communication Technology component of PSTMP and the primary objective is:

*“to develop an Integrated Records and Information Management Policy for the GoJ and provide necessary digitising capacity to Jamaica Archives and Records Department (JARD) to ensure that records and information collected, is stored and managed in a consistent manner across the public sector to enhance accessibility of Government data and information for efficient service delivery.”* 5

Other aspects of this component of the PSTMP include implementation of a:

- framework for ICT governance;
- Data and Information Sharing Policy;
- National Identification System (NIDS); and
- government-wide communications network, GovNET.

It is expected that improving records and information management of MDAs will ultimately improve performance, enhance service delivery and promote openness and accountability. Further, it is anticipated that the records transferred to JARD will provide a prism through which future generations will understand and learn from the actions and decisions of Government.

### **1.3 Situational Analysis**

The GoJ has made a commitment to improve RIM and in the period 2013-2015, commissioned three RIM related assessments.

*Records and Information Management (RIM) Assessment Report of JARD (July/August 2013):*

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5 Ibid, P.29.

This assessment was undertaken in mid-2013 to assess the current operations and business requirements that could be satisfied by an automated solution in support of JARD's mandate. The assessment reviewed JARD's business processes and information management systems, identified inefficiencies in the operations and captured the- Information Communication Technology (ICT) requirements for records and archives management.

*Assessment of the Records Management Policies and Practices across the Civil Service (2014):*

The second RIM assessment was done in 2014 and covered a sample of 37 MDAs. Site visits were conducted at each MDA with meetings and interviews conducted, including focus group discussions.

*RIM Policy Options and Recommendations Report (2015):*

Taking into account the findings and recommendations of the RIM assessments conducted in 2013 and 2014, a situational analysis was prepared in 2015 leading to the development of a RIM Policy Options and Recommendations Report. The Report included a detailed review of Jamaica's RIM legislation, informed by comparisons to legislation of other countries such as the United States of America, United Kingdom, Australia, New Zealand, Botswana, Zimbabwe and South Africa. Further, an examination of the findings of the RIM Assessment Report was carried out. RIM policies and systems in MDAs were also perused, in conjunction with their organisational structures, physical environment and infrastructure. A comprehensive review of JARD was also undertaken.

The RIM assessments as above, found that there were a number of major challenges facing records and information management in JARD and the MDAs. To begin with, JARD's oversight of records management across MDAs, requires administering and interaction with multiple legislation, some of which are outdated and do not cover developments in information technology. This, among other things, has made it difficult for JARD to enforce compliance in the MDAs, what with JARD's limited resources and MDAs lack of awareness of RIM requirements and importance, as well as inadequate means.

RIM policies and practices in MDAs were found to be varied, with only some entities being at an advanced stage. Overall JARD and most MDAs were found to be in need of focused interventions to operate satisfactorily in the first instance and ultimately, optimally.

Most MDAs and JARD itself, do not have sufficient staff to undertake RIM activities, and many of the staff, including those in supervisory positions, do not have the requisite training and qualifications in RIM. The weaknesses found in JARD has a multiplied effect in that, gaps in JARD's capacity, not only impacts the local operation of JARD, but impairs its ability to execute its mandate relative to supporting the RIM systems in MDAs.

Other challenges identified as affecting most MDAs include the observation that whereas RIM Committees have been constituted in most MDAs and staff appointed to head the RIM function, the effective functioning of these Committees are invariably negatively affected by the fact that meetings are not regularly convened and the composition of the Committees were not sufficiently represented and did not benefit in all cases, from legally qualified officers. Unsatisfactorily, a significant number of MDAs are operating without written procedures for the management of records and information. The 2014 RIM Assessment reported that 58.33% of the MDAs surveyed, did not have written procedures for physical records while 86.11%, did not have documented procedures for electronic records.

Additionally, a number of different classification schemes are being used by MDAs, with varying degrees of filing accuracy and records retrieval. Electronic records in particular are not being filed in keeping with any documented guidelines or classification schemes and consequently, electronic records management is a function of individual officers' own preferences and practices.

It was also found that while most MDAs operate with centralised registry systems, most of them are grappling with the emergence and existence of unauthorized and (in some cases unrecognised) mini registries at department/unit/office levels, some of which are holding significant amounts of records, as these are generated, kept and used by individual officers without reference to the registries and documentation centres. As a result, entities are not fully aware of all the records and information that they have. This suggests that decision making does not consistently have the benefit of consideration of all the relevant information held by the organisation, as the existence of all pertinent records may not be known to critical players.

Records appraisal and disposition also pose major challenges. While the Records Management Handbook (which had been issued by JARD in 1981) provides a valuable platform for the appraisal, retention and disposal of records, and the Archives Act provides for an Archives Advisory Committee (AAC), major challenges are being experienced in the AAC's ability to effectively execute its mandate as set out in the Archives Act, to review and approve all records retention schedules.

The RIM Assessment conducted in 2014, shows that most MDAs are carrying large quantities of records which have not been appraised, and where they have been appraised, the retention periods have been exceeded without disposal taking place. This puts significant pressure on the MDAs to find storage space for the records and on JARD, which receive requests to accept and store records which no longer have administrative, historical or archival value. Extra space has had to be sought by both JARD and MDAs at additional cost, and in the case of some entities, trailers have been acquired and retrofitted with air conditioners to store some of these records. It was also observed that inappropriate storage of records, account for the deterioration of some of government's information assets. Overall, the environmental controls for records were assessed as being inadequate in JARD and most MDAs.

In terms of the ICT environment in JARD and the MDAs, organisations are at varied stages of ICT capability with systems that range from small installations to large and complex ones. Among the several challenges experienced with ICT is the deficit of RIM ICT skills in JARD and the MDAs; a lack of business continuity and disaster recovery planning; and inadequate provisions for the management of perimeter and internal information security.

There is also a need to harmonise and rationalise the adoption and implementation of ICT solutions so that the resultant ICT generated records will be standardised. This would among other things, facilitate archiving by JARD, without the acquisition and maintenance of multiple technology platforms or need for more physical space.

JARD has not been recognized as a key partner in influencing, as a matter of course, the various phases of establishing RIM ICT architecture or in the articulation of RIM requirements. At the local level, RIM managers in MDAs are not included in processes designed to establish or procure ICT systems.

Overall therefore, records and information management in the GoJ will have to undergo significant and sustainable reform. There are however, a number of existing mechanisms and positive developments which may be used as stepping stones in reforming the RIM systems in the GoJ.

As an example, Jamaica has taken major steps to base its RIM systems on established international standards and as early as 2005, undertook consultations at the national level, to adopt usage of the ISO 15489 standard. This national commitment to the use of the international standard was evident in the ISO 15489 based RIM procedures which are being used in some of the MDAs. JARD, for its archival collections, also uses the General International Standard for Archival Description, ISAD (G).

A Government Records and Information Management (G-RIM) network over the last twelve years, provides a useful platform for bringing together RIM stakeholders in the GoJ and for spearheading activities which augur well for the development of a new and effective records and information management paradigm in the GoJ.

A Steering Committee was established in March 2013 to provide oversight for the RIM Project and is comprised of policy, ICT and RIM practitioners across MDAs.

Further, as previously mentioned, ICT transformation initiatives are among the suite of projects with national impact which are supported by the OoC to strengthen the GoJ's ability to deliver efficient and effective public goods and services and is an important complement to the RIM Project. <sup>6</sup> The

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<sup>6</sup>[http://www.cabinet.gov.jm/areas\\_responsibility/public\\_sector\\_transformation\\_and\\_modernisation/integrated\\_information\\_and\\_comm\\_5](http://www.cabinet.gov.jm/areas_responsibility/public_sector_transformation_and_modernisation/integrated_information_and_comm_5)

OoC highlights that a Conceptual Framework, Methodology and Action Plan (vis the Inception report of the Chief Information Officer (CIO) who was appointed earlier this year) sets out the timelines, milestones and deliverables that need to be achieved to transform the Public Sector by increasing its capacity to make full use of ICT within the next five years. The report was done in consultation with e-Gov Jamaica Limited, the government's ICT services Agency.

The work being undertaken will be supported by co-opted ICT professionals drawn from the cadre of more than 700 ICT related officers of the Public Sector (including from JARD) to participate on working groups that will help to guide people, processes, policies and technologies for Jamaica's future ICT needs.

The Inception Report includes an initial set of strategic outcomes that will result from the transformation process including:

- an ICT Governance Framework that will guide priority setting for ICT projects and programmes and their alignment with Vision 2030;
- initiation of the GoJ Portal for a knowledge-based society, providing e-Government online services to citizens and businesses;
- development of an Open Data Policy to make GoJ data open and accessible;
- a Recommended concept for Unified Communication for GoJ for both voice and data communication (referred to as GovNET and GovTALK) ready for design and implementation;
- initiation of the Enterprise Architecture for Security, Data, Applications and Technology along with the development of the associated ICT Standards, Procedures & guidelines;
- a Recommended Shared Services Framework developed with emphasis on data centre operations and consolidation, hosting and cloud services; and
- a Recommended Disaster Recovery Strategy for Business Continuity.

It is apparent that the GoJ's bid to better serve its citizenry and meet the expectations of modern society, will be far advanced with the successful roll out of comprehensive initiatives and policies including: the Data and Information Sharing Policy; NIDS programme; infrastructure projects such as the GovNet and an overarching ICT Governance framework programme, all of which are underpinned by RIM.



## 2.0 POLICY FRAMEWORK

### 2.1 Vision Statement

An integrated, standardised, and secure RIM system, which facilitates access to Government information and archival material; preserves and leverages Jamaica's historical, information and cultural assets; as well as enables efficient service delivery, enhanced decision making and overall attainment of national developmental goals.

### 2.2 Policy Goal

To contribute to modernising and transforming the public service and the building of a knowledge society by:

- managing, securing and making accessible, the records of the GoJ in an efficient, effective and transparent manner, throughout their lifecycle; and
- acquiring and preserving archival material.

### 2.3 Overarching Policy Outcomes

#### Policy Outcome 1:

Accessible, efficient and effective service delivery that facilitates the citizenry; data sharing across MDAs; ease of doing business (local and international); research and attraction of investment.

#### Policy Objectives:

*The Policy aims to, in keeping with the GoJ's RIM Implementation Schedule have:*

- 80% of MDAs reflecting a reduction in time for retrieval of records integral to service delivery;
  - 80% of MDAs providing access to information in keeping with legislative timelines;
- 100% increase in the number of requests for paper, electronic and audiovisual archival material.

### Policy Outcome 2:

Increased transparency and accountability through the creation, processing, maintenance, use and disposition of records in conformity with local policies and standards and international good practice.

### Policy Objectives:

*The Policy aims to, in keeping with the implementation strategy:*

- *increase the number of MDAs in compliance with RIM Policy and records and archives legislation;<sup>7</sup> and*
- *increase the number of MDAs compliant with the legislative timelines set for providing access to information to 80 - 100%.*

### Policy Outcome 3:

Preserved national and cultural identity, leveraged cultural assets, informed citizenry and the overall attainment of national developmental goals.

### Policy Objectives:

*The Policy aims to, in keeping with the Implementation Schedule:*

- *increase by 5% annually, the acquisition of non-government records of national importance;*
- *convert 25% of archival collections to digitized format for ease of access and revenue generation; and*
- *80% of MDAs meet the requirements for preservation.*

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<sup>7</sup> This Objective will also contribute to the attainment of Policy Outcome 3

## 2.4 Policy Benefits

This Policy is also intended to provide the following benefits to the GoJ:

- improved decision making where decision makers have the information they need when they need it;
- enhanced service delivery to citizens, businesses and other Government entities through greater responsiveness and delivery of requested services and reduced waiting times owing to readily available information;
- improved and integrated communication within and between Government institutions;
- reduced operating costs through the efficient and effective management of space, equipment and technology and through the application of records disposition procedures;
- compliance with the provisions of legislative and regulatory frameworks underpinning records and information management as well as legislation under which various public sector institutions operate;
- protection and support for the government through the management of risks associated with the existence or non-existence of evidence during litigations;
- efficiency and effectiveness in the management of public sector institutions through improved arrangement and storage of records, improved turn-around times and protection of confidential official information;
- assimilation of new records management technologies to leverage efficiency, economy and effectiveness and an e-governance framework in the GoJ;
- preservation of the national memory through documenting and preserving records and archives with historical value to the nation;
- monetized cultural assets;
- safeguarded vital information which is critical for business resumption/continuity in the event of a disaster; and
- increase in qualified RIM practitioners in Jamaica and the Caribbean region.

## 2.5 Policy Scope

This Policy applies to employees/public officials of MDAs (including local authorities and the judiciary) relative to the management of official records and archives held by MDAs, regardless of medium or format.

The Policy covers:

- the minimum requirements that must be met for the records created and/or received to be considered as authentic records of the business activities they represent;
- the scope of the systems, processes, infrastructure and resources required to ensure the capture, integrity, security, retrievability and usability of records;
- responsibilities for RIM at all levels; and
- provision for the review of the RIM Policy at regular intervals.

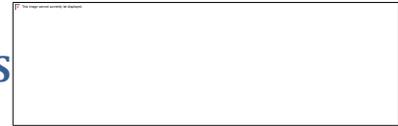
## 2.6 Policy Principles

The management of RIM across the Public Sector shall be guided by the following principles:

- **Accountability:** All MDAs of the GoJ shall be held accountable for the proper management of their records and information and shall appoint a senior officer to oversee the RIM system.
- **Integrity:** The institutions shall, for purposes of operationalising this policy, establish, adopt and maintain adequate records management policies and procedures to guarantee the integrity, authenticity and reliability of all official records whilst *fostering efficiency and effectiveness* in public service delivery.
- **Protection of Records:** Security classification shall be used to control access to public records; all users of official records shall accord them appropriate care, **confidentiality and protection** in order to safeguard their value as records whilst not violating legal or other requirements of privacy or confidentiality.
- **Compliance:** All MDAs shall create, capture, manage, use and dispose of records in accordance with this policy and in keeping with all other legislation governing or having implications for record keeping as may be promulgated from time to time by the GoJ.
- **Availability:** All records and information of the GoJ shall be maintained in a manner that facilitates their timely and efficient retrieval and usage.
- **Retention and Disposition:** All records and information of the GoJ shall be kept and maintained in accordance with applicable records retention/disposal schedules and shall be disposed of or transferred to the national archival depository as soon as they have served their operational purpose.

- **Government-wide RIM Systems:** Development of RIM systems used across MDAs shall be preferred over the development of similar or duplicative systems which are only provided to a particular MDA. Similarly, technological diversity shall be controlled to minimize the non-trivial cost of maintaining expertise in and connectivity between multiple processing environments across MDAs.
- **Transparency:** An organisation's business processes and activities including its information governance programme shall be documented in an open and verifiable manner and that documentation shall be available to all personnel, appropriate interested parties and the public at large.

## 3.0 POLICY ISSUES, OBJECTIVES AND STATEMENTS



### 3.1 Policy, Legislative and Regulatory Framework and Enforcement

#### 3.1.1 Issues

- *Fragmented and Outdated Legislative & Regulatory Framework*

The records and archives of the GoJ are governed by multiple legislation, a significant number of which are outdated. There are also inadequate provisions for the management of electronic and digital records and archives and the fees (such as reproduction fees) charged are not sufficient and sanctions for non-compliance are very low and do not serve as deterrents.

The RIM Assessment Report of 2014 notes:

*“the Archives Act (1982) and Regulations (1984) need significant amendments. These range from simple definitions (in keeping with modern terms and the infusion of technology), improved fees and fines, to greater precision with respect to the powers of the Government Archivist and JARD’s role in managing and giving oversight to electronic data.”*

#### ***Lack of documented and standardised procedures for RIM***

The RIM Assessment Report, 2014, showed that a significant number of MDAs (58.33%) did not have written procedures for physical records and that an even greater number (86.11%) did not have written procedures for electronic records. This resulted in varying RIM practices within entities and across the GOJ, personalised filing, limited information sharing, and a lack of institutional memory to support business continuity. For instance, the Report, showed that of the assessed organizations, none of the RIM managers could estimate the volume or categories of records that exist within their respective MDAs. Of note is that 88.89 per cent of the entities surveyed did not have vital records inventories.

#### ***Lack of Compliance with and Enforcement of Existing Provisions***

The fact of a fragmented and an outdated framework have made MDAs, apathetic to knowing and adhering to the various requirements and the oversight function of JARD (with respect to overseeing the management of the records of all MDAs) complex and challenging. The assessment highlighted that whilst there were weaknesses in the legislative framework, there are a number of provisions

which should have been consistently utilized to strengthen RIM systems of the MDAs, for instance:

- Section 7 of the Act provides for the Archivist to examine official records of public organizations and to advise as to their care, custody and control; and
- key provisions of the Archives (Official Records) Regulations, 1988 were not being enforced, including the following Regulations:
  3. **(1)** *The Records Officer, acting in accordance with the advice of the Archivist, shall establish and maintain a system for the proper care and control of official records within his custody and for this purpose the Archivist may issue guidelines to be followed from time to time.*
  - (2)** *The system established shall-*
    - (a) *make provision for the standards, procedures and techniques to be applied for the management of official records;*
    - (b) *promote the maintenance, storage and security of official records selected for preservation as archives until these are transferred to the Archives;*
    - (c) *facilitate the categorisation and segregation of official records; and*
    - (d) *provide a programme for the disposition of official records including their transfer to the Jamaica Archives, or such other place under the charge and control of the Archivist.*
  4. *The Records Officer shall establish safeguards against the unlawful removal or loss of official records within his custody.*
  5. *No official record shall be disposed of without the prior approval of the Committee.(i.e the Archives Advisory Committee).*
  9. **(1)** *The Records Officer shall prepare and keep up to date, under the guidance of the Archivist, an inventory of official records in its custody.*
    - (2)** *On the basis of this inventory, the Records Officer shall comply records showing in the form approved by the Archivist, their retention periods.*
    - (3)** *These schedules shall be submitted to the Archivist for the approval of the Committee*
    - (4)** *The Records Officer shall compile an annual summary of official records in its custody for submission to the Archivist no later than the 31<sup>st</sup> March each year*

### 3.1.2

#### Policy Objectives

- To support the review, consolidation and update of legislation governing records in the medium term, as well as to effectively enforce overarching and MDA specific RIM requirements.
- To ensure that all MDAs have detailed RIM Policies and procedures which are aligned to the GoJ RIM Policy and Procedures.

### 3.1.3

#### Policy Strategies and Statements

In keeping with the stated objectives, the Government will require the:

- preparation and submission, for approval by the Permanent Secretary or Head of Department/Agency, MDA specific RIM Policies and Procedures Manuals which will have been prepared in consultation with the Archivist and aligned to, among other things, the organizational planning framework and results chain as well as the GoJ RIM Policy and Procedures. MDA specific RIM Policy and Procedures Manuals shall preferably be separate documents and shall be revised at least once every five years;
- sensitization and implementation of overarching and MDA specific RIM policies in support of public sector modernization objectives and are aligned to relevant international good practices in the short term;
- adherence, by all MDAs, to existing legislative requirements, particularly the key provisions identified in paragraph 3.1.1 of this Policy;
- review and consolidation of governing RIM legislation in the medium term, with a view to overcoming legislative weaknesses and providing a modern framework for RIM;
- the auditing of records and information management systems of all MDAs, for efficiency and effectiveness by the Archivist and/or the Auditor General's Department at least once every two years; and
- preparation and submission of an Annual Report on the state of records in MDAs, by JARD, to the OPM and the Parliament; establishment of an effective system for monitoring of RIM in MDAs and the institution of rewards and recognition schemes as well as the application of appropriate sanctions.

## 3.2

## Organisational Structure & Human Resources for RIM (General)

### 3.2.1

#### Issues

The deployment of trained RIM staff is a fundamental requirement of ISO 15489 and should be supported by: (a) appropriate organizational structures (b) the availability of appropriately trained staff (c) appointment procedures that make records and archives qualifications mandatory and (d) a scheme of service or career path that encourages the staff so appointed, to progress through the ranks.

- *Inadequacy of provision for RIM in Organizational Structures in MDAs*

The provision for the RIM function (across MDAs) are assessed as being generally inadequate, both in terms of the number of posts provided for on the organizational structure and levels (in terms of seniority) for the DDIAS and supporting staff.

- *Limited pool of qualified RIM Professionals*

In the MDAs, the introduction of a combined library and records management function and creation of the posts of DDIAS, has significantly raised the profile of records management in Government entities and has been a very positive development. However, the combining of the library and archives functions, has served to blur the dividing line between the two professions especially in relation to the skills set required for managing the records management function. As shown by the RIM Assessment of 2014, a large number of the heads of the RIM function in MDAs had a library background while a sizeable number did not have any records management background at all.

The RIM function in JARD and the MDAs is also faced with inadequate human resources and staff do not possess the requisite skills to satisfactorily provide services and uphold RIM standards.

Ministries were also assessed as not having the capacity to provide adequate oversight to RIM systems of Departments and Agencies in support of this element of the modernization programme. JARD itself, urgently needs support to upgrade the technical capacities of its staff as well as short, medium and long term strategies to bridge the human resources and skills gaps that exist.

- *Lack of Parity in Posts across MDAs and Inadequate Career Path*

Officers carrying out similar functions across MDAs are not uniformly compensated; the need to review and possibly re-classify posts has therefore been signaled. Job Descriptions do not adequately reflect the competencies required for optimal service within the RIM and Archives functions, nor the work volume and complexity of managing the electronic and physical records. The assessment found that there was insufficient room to transition from the Public Information and Documentation Group series, to the Archives Series as desirable, to provide a clear career path within the RIM Profession. In MDAs It is also recognized that there is insufficient local opportunities for both general and specialized training.

### 3.2.2 Policy Objectives

1. To provide MDAs and JARD with the structures and human resources needed to discharge its functions and mandate.
2. To improve RIM practices in the GoJ through the training and capacity building of records management staff.
3. To ensure that the DDIAS/ heads of RIM in MDAs have adequate qualifications and experience in records and information management.
4. To provide equitable conditions of service for RIM staff in MDAs and JARD and to make provision for career pathways that will facilitate career progression and staff retention.
5. To employ appropriate strategies for RIM capacity building within GoJ.

### 3.2.3 Policy Strategies and Statements

- It shall be mandatory for RIM staff, including heads of RIM, to have formal qualifications in records and information management on recruitment and if already appointed, such qualifications to be obtained within a designated timeframe.
- The Strategic Human Resource Management Division of the GoJ will review and make adequate provision for career structures/ pathways, that provide entry levels into the records and archives profession at MDA levels and for progression through the ranks to higher positions, as competencies, volume and complexity dictates.
- The RIM job functions in the MDAs, including DDIAS positions, shall be streamlined in terms of job classification and pay scales and any existing anomalies are to be addressed to ensure occupiers of RIM related posts are in fact executing the appropriate functions.
- The position of DDIAS (or its equivalent) shall be no lower than the third tier in the organisational structure.
- Efficiency and effectiveness audits will be conducted in each institution to determine the number of staff required.
- RIM Committees to be activated to serve MDAs.

- JARD, as both a RIM service provider and (de facto) regulator with respect to MDAs, shall recruit and appoint employees at the professional level, who have records and/or archives qualifications and the appropriate years of experience in records, archives and library management.
- JARD shall be restructured and posts re-classified so that it can discharge its mandate as both a service provider and 'regulator' for MDAs.
- JARD shall provide input to the Strategic Human Resource Management Division as required, in the periodic training needs assessments conducted for RIM across the GoJ and shall systematically engage with stakeholders to ensure that facilities exist to provide training and capacity building for RIM.
- It will be necessary for current JARD staff without registry experience to be attached to registries to gain an appreciation of the actual systems in use and the relationship of the registries/documentation centres with the users.
- Efforts shall be made to ensure that the RIM enterprise has the resources and skills for the management of large volumes of digital records by either acquiring those critical skills or training existing internal resources to meet the requirements through a well-defined ICT learning program.

### 3.3 REFORM OF JARD'S INSTITUTIONAL FRAMEWORK AND INFRASTRUCTURE

The modernisation of the operations of JARD prompted an examination of its organisational structure and infrastructure. The results showed that JARD is not appropriately organised to respond to the expectations of MDAs and provide the services of a modern Archives. The modern construct, should make provision for integrated operation among the various Units and include functional and operational areas such as legal affairs, corporate affairs, strategic planning, logistics as well as outreach and public education.

#### 3.3.1 Issues

- *Fragmentation of JARD's Operations*

The segmentation of JARD into three units comprising the Government Records Centre, the Jamaica Archives Unit and the Audiovisual Unit promotes focused attention to the discrete areas of service delivery. It allows each Unit to develop specialised skills; however the location of these Units at three separate sites creates challenges, especially as it relates to the transfer of records from the MDAs to the Government Records Centre, with none being transferred to the Archives Unit for as long as sixty years. A range of other issues also arise relative to

logistics; the tendency for the Units to operate as silos; a lessening of synergies between functional and operational areas; difficulty in the delivery of shared services; and in general cost inefficiencies.

- *Inadequacy of JARD's Institutional Framework*

JARD is not structured to optimally perform their *current core responsibilities* and functions, specifically the:

- acquisition, preservation (including digitization) and providing access to paper based and audio visual records and archives;
- regulation of MDAs (through the establishment of RIM standards and guidelines, as well as the monitoring and audit of MDAs' RIM practices);
- provision of records management training for MDAs; and
- provision of administrative and technical support (to include legal support and facilities management) to the Archives Advisory Committee.

JARD is also not sufficiently resourced and organised to satisfactorily meet the demands of *a modern national archives*; or to provide services assessed as being of strategic benefit to JARD to widen access and generate income:

1. proactive acquisition of archival material held privately (locally and internationally);
2. structured access to and reproduction of rights cleared audio visual material;
3. online access to JARD's products and services;
4. marketing of archival products and services offered by JARD (e.g RIM training, digitization and restoration services);
5. public education with respect to the significance of the archival holdings of JARD; and
6. adequate research support.

The evidence suggests that in order to transition to a modern Archives, the following issues need to be addressed when the institutional structure of the national archives is being designed:

1. the inadequate and outdated organisational structure; this is not in keeping with good practices and current trends in archives and records management;
2. inadequate structures to facilitate service delivery and the limited access modes;
3. designation and authority of JARD to facilitate commercial exploitation of the archives and the build out of revenue generating services ;
4. outdated ICT infrastructure (software, hardware and networks); and
5. inadequate governance framework.

The institutional governance arrangements at JARD have been signaled as inadequate. For instance, the Archives Advisory Committee (AAC) has responsibility for, among other things, the approval of retention schedules and disposition of records. The work of the AAC is however hindered by ad hoc or

no meetings being convened for extended periods, occasioned by a lack of Secretariat support, that JARD should be resourced to provide.

Further, the composition of the AAC is outdated and no longer serves the purpose for which it was created, nor the needs of a modern society. Designated positions for membership on the AAC, no longer exist and in some instances the required expertise (e.g audiovisual and IT) for effective functioning of the AAC are not accommodated in the current composition. These deficiencies have had a deleterious effect on how records and information are managed across the GoJ.

- *Inadequacy of JARD's Infrastructure*

The Audio Visual Archives; Government Records Centre and Jamaica Archives Unit plants are all severely constrained by space. Further, the buildings are aged, not fit for purpose and in addition, they are located in highly populous areas of Jamaica, which increases the risk of exposure to pollution and in the case of the GRC, the proximity to the sea presents an additional risk to the preservation of records. As configured and equipped, stable environmental controls are not guaranteed.

In addition, as previously mentioned, having three separate offices militates against integrating the operations of JARD and effectively providing shared corporate services, as is desirable to realize efficiencies.

### 3.3.2 Policy Objectives

- To create the institutional framework for the establishment of a modern national archives.
- To reorganize the governance framework to support the strategic and operational functions of a national archives.
- To satisfactorily upgrade JARD's infrastructure in the short term and provide new infrastructure for a modern national archives in a consolidated location.

### 3.3.3 Policy Strategies and Statements

The GoJ shall:

- reorganize JARD as an autonomous public body with a formal Management Board, and empowered to earn income independently of the public purse;
- reconfigure the Archives Advisory Committee which will update and advise the Minister on matters of a technical nature relating to official records and access as well as major strategic policies related to RIM (such as disposition of official records);
- designate and resource JARD as the Secretariat for the Archives Advisory Committee;

- provide the initial capital outlay for the establishment of a modern National Archives over the medium term (2016-2021) and formulate a Road Map for implementation; and
- develop and implement a Change Management and Communication Programme within JARD.

### 3.4 Acquisition, Access, Use and Preservation of Official Records and Archives

#### 3.4.1 Issues

- *Stymied acquisition efforts due to limitations of space and human resources of the Government Record Centre and related (operational) challenge.*

The primary source of records and archives for JARD are the MDAs whose records are acquired through the Government Records Centre. The task for the Government Records Centre is, however, overwhelming, given the restricted facilities at its disposal, the disproportionate ratio of Analysts and the number of MDAs and the shortage of skilled and experienced Analysts among its staff. Without sufficient space and staff (both in terms of numbers as well as enhanced skills/experience), it will be very difficult for the Government Records Centre to fully underpin an acquisition policy for JARD.

- *Lack of notice to the Government Record Centre of closure or transfer of entity for purposes of records acquisition*

Operationally, the Government Record Centre is also negatively affected by a lack of notice from public institutions of the closure or transfer of the entity. This results in the records of closed or transferred entities, being left at the original site, unattended and perhaps unsecured.

- *Restricted growth of Audio Visual material acquired, post initial acquisition of the Jamaica Broadcasting Corporation Audio Visual Collection*

The acquisition of audio visual materials has partly been affected by the origins of the Audio Visual Unit of JARD. Established as a result of the divestment of the former Jamaica Broadcasting Corporation (JBC) by the GoJ, the holdings of the Audio Visual Unit of JARD consist primarily of the audio-visual materials of the now defunct JBC, with very little material from other Government entities. There is need to re-double efforts to acquire the audio-visual archival records generated by MDAs as well as by other entities in society.

- *Leveraging of Archival Material negatively affected by technological challenges for Archival Description*

While the Archives Unit of JARD continues to provide much needed services to researchers and the public, technological challenges have slowed service delivery in this area. Overcoming ICT challenges is a critical success factor also for the establishment of online purchase facilities so that copies of archival materials may be availed and to increase the revenue base.

- *Disparate Classification Schemes*

The previously mentioned silo operation of JARD's three Units has led to various systems of classification.

- Incomplete Indexes and Catalogues

In the Audio Visual Archives, the process of completing the catalogue of Audio Visual works has been negatively affected by limited access to Umatic machines needed to view the tapes of the JBC Collection. The pace of completing the attendant rights inventory has also been constrained by these factors.

- Current location of the Audio Visual Archives is unsuitable to provide access and preserve Audio Visual records and archives

The preservation and accessibility of records and archives, on the other hand, is predicated on the availability of suitable premises (in terms of space and lay out) as well as facilities for the preservation of the records and archives. These conditions are currently far from being satisfied.

- Legislative restriction on Access to Archives

The Act provides that official records in the Jamaica Archives shall not be available for public examination until they have been in existence for thirty years, or such longer or shorter period as the Committee, with the approval of the Minister may specify as respects any particular class of official records of any individual official record<sup>8</sup>. In the interest of providing access and consistent with provisions of the Act and some of the freedom of information regimes in other jurisdictions, a twenty year period of non-disclosure should be considered.

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<sup>8</sup> Section 10 of the Archives Act, 1983.

### 3.4.2 Policy Objectives

- To acquire and preserve records of national importance, including public and private records, as well as audio-visual and electronic records.
- To catalogue the public and private archives and provide for authorised public use.
- To institute a system for the treatment of records upon the closure or transfer of the entity.
- To promote leveraging ICT to enable exploitation of the Jamaica's archives.
- To promote a uniform and integrated classification system at JARD.
- To promote the review the non-disclosure provisions of the Act

### 3.4.3 Policy Strategies and Statements

JARD shall:

- re-double efforts to acquire both public and private archives (including audio visual archives), process, preserve and make them available for public use;
- prioritise the acquisition of MDA audio-visual records from MDAs over the next five years;
- ensure that the public and private archives are preserved, protected and secured (in keeping with international standards) against any potential hazards or threats, capable of damaging, manipulating or altering their structure or content, and that such preservation shall safeguard the integrity of the archives;
- develop and implement a public education campaign to encourage non-MDAs as well as citizens and other individuals to deposit records that have national significance and historical value. Each year, at least 5% of archives accessioned shall be from non-Government sources;
- require public sector institutions which are to be transferred or are due to close, to give reasonable notice to JARD of the records or archives being submitted to JARD, in advance of closure or transfer of the entity (i.e three month notice or where this is not feasible, as soon as practicable after the decision to close or transfer the entity is taken ) so that there may be a planned and systematic transfer and accommodation of these records or archives;
- develop and implement strategies to encourage use of the archives by the Jamaican public as well as regional and international clients.
- adequately utilize appropriate technologies, for the preservation of digital records to ensure long-term accessibility and availability.

## 3.5 RIM Committees and other key supporting structures and mechanisms in MDAs

According to ISO 15489, records management responsibility and authorities should be defined, assigned and promulgated throughout the organisation so that, where a specific need to create and capture records is identified, it should be clear who is responsible for taking the necessary action. These responsibilities should be assigned to all employees of the organisation, including records managers, allied information professionals, executives, business unit managers, systems administrators and others who create records as part of their work and should be reflected in job descriptions and similar statements. Specific leadership responsibility and accountability for RIM should be assigned to a person with appropriate authority within the organisation.

### 3.5.1 Issues

- Undefined minimum requirements for composition and responsibilities of RIM Committees

Centrally, RIM Committees ought to serve as MDAs' internal mechanism for achieving and maintaining full compliance with RIM policies, procedures and standards. RIM Committees should be the point of internal policy and procedure development and should be positioned to give advice with respect to issues concerning the management of the MDAs records; mechanisms for training and sensitization of RIM requirements and in general, monitoring the RIM programme of the entity. The DDIAS and where necessary, the RIM Committee should also be points of contact for JARD. However for there to be effective interface, RIM Committees need to have core skills available to it and of course, has to be active.

However, the composition and functionality of the RIM Committees in MDAs are varied. In terms of composition, at one end you have MDA RIM Committees that include representatives of each Division/Department within the MDA, while at the other end there are Committees that are much smaller and comprise representatives from select areas of the MDA. Key skills are sometimes absent from the varied models.

The Terms of Reference and responsibilities of RIM Committees also vary widely. In some MDAs the Terms of Reference are very brief, while at the other end, there are RIM Committees with very detailed and extensive Terms of Reference. It is important that core responsibilities are captured regardless of length.

- *Infrequent meetings of or defunct RIM Committees across MDAs*

The 2014 RIM Assessment noted that a number of the RIM Committees were non-functional (i.e meeting and carrying out their roles and responsibilities infrequently or not at all). A number of MDAs did not have RIM Committees and were not in fact aware of the requirement.

### 3.5.2 Policy Objectives

- To establish internal structures and mechanisms for achieving and maintaining full compliance with RIM policies, procedures and the requisite RIM standards
- To guide the composition of RIM Committees so that they include the key RIM stakeholders in the MDAs.
- To give guidance on the key essentials of the Terms of Reference of RIM Committees so as to ensure uniformity of purpose and operation and to prescribe minimum intervals for meetings of the RIM Committee

### 3.5.3 Policy Strategies and Statements

- The RIM Committees shall be constituted, at the Ministry level, and shall be chaired by a member of the Senior Management Team designated by the Permanent Secretary. The DDIAS of the Ministry shall perform the secretariat functions of the Committee.
- The RIM Committees shall include representatives from the legal and IT departments of the Ministry, one representative from the administrative department and one representative from the technical departments of the Ministry.
- The core Terms of Reference for RIM Committees shall be set out by Administrative Circular to be issued by JARD from time to time, in consultation with the MDAs, to include the following minimum functions:
  - ✚ development of internal RIM Policies and RIM procedural manuals (to include the treatment of e-RIM and audio visual records);
  - ✚ development of retention and disposal schedules;
  - ✚ development of internal classification protocols which are compatible with the established GoJ classification scheme as existing from time to time;
  - ✚ provision of advice, as needed, with respect to the provision of access to official records to the public in accordance with the ATI Act and any other law;
  - ✚ provision of advice on the roles and responsibilities to be ascribed various categories of staff;
  - ✚ oversight of MDA's compliance with GoJ and internal RIM policy and procedural manuals; and



serve as a point of contact for JARD on RIM matters, particularly, the implementation of the GoJ RIM Programme.

- Each Department and Agency in the Ministry shall have its own RIM Committee which shall liaise with the portfolio Ministry RIM Committee as needed and for reporting purposes.
- The RIM Committees shall meet at least twice a year and minutes of the RIM Committee meetings shall be compiled and maintained.
- Each year, a meeting shall be convened by the chair of the Ministry's RIM Committee and shall be attended by at least one representative from each Department and Agency of the Ministry.

## 3.6 **Creation, Capture and Registration of Records**

### 3.6.1 **Issues**

#### ○ *Breakdown in registry procedures*

Registries and documentation centres in MDAs are facing a number of challenges in capturing and registering paper, audio-visual and electronic records. In MDAs, the receipt and forwarding of incoming mail without same being opened in the registry, is compromising the role of the registries and documentation centres. This, as mail received in the registry, is no longer being opened, what now obtains in a number of MDAs is that mail received is logged in terms of the intended recipient and the noted sender, in these instances, mail once opened by Units, should be returned to the registry for record capture and registration to be done. This procedure should also obtain, if Units receive mail directly.

#### • *Absence of e-RIM policies, standard practices and procedures*

The sustainability of electronic records in the MDAs is also not being considered at the earliest possible stage in the lifecycle, giving rise to the need for expensive 'digital archaeology' later: investment in careful planning at creation can substantially reduce the subsequent costs of preservation.

Large quantities of electronic records are being generated either on computers in the office or through mobile communication devices. Existing MDA procedural manuals are largely silent on the handling of electronic documents and records with the result that the records are largely being handled outside the formal registry systems of the MDAs.

While some of the MDAs have tried to address the issue of electronic records by requiring, for instance, that relevant emails be printed so that they can be filed together with related documents, not many officers are conforming to this nor have the discipline to follow this instruction. The result is that a significant amount of records are not being handled by the registries and documentation centres and the latter end up with only partial records of the entity. This dysfunction needs to be

addressed and points to the urgent need for written e-RIM policies to be established, along with standard practices and procedures.

- *Absence of policies, standard practices and procedures for Audio Visual Records*

Audio visual records are also being generated and accumulated by the MDAs without being captured and registered as records. The audio visual records are either generated as part of other MDA activities or by MDAs whose specific mandates result in the production of large quantities of audio visual materials which are unaccounted for from a RIM perspective.

This Policy aims to improve the accountability mechanisms for registries and documentation centres and to give them enhanced control over all records created in the MDAs, including electronic and audio visual records.

### 3.6.2 **Policy Objectives**

1. To provide that all records created or received in the course of government business (regardless of format) are captured and registered into the record keeping system.
2. To provide for records which are authentic, accurate, complete, reliable and usable throughout the records' lifecycle and continuum.

### 3.6.3 **Policy Strategies and Statements**

- All records created or received in the normal course of business by any Government Institution or employee shall be the property of the GoJ and shall be captured and registered into a record keeping system. This shall include electronic and audio-visual records.
- All records' creators and users shall be aware of the distinction between records and non-records. Once captured and registered into the recordkeeping system, records shall not be altered.
- Officers shall be required to work on the network drives and save the information either in the shared folders or individual folders on the network as determined by MDA's e-RIM policies and procedural manuals.
- Document naming conventions shall be used for electronic records as per the guidelines that will be issued by JARD from time to time.
- Metadata, i.e data that provides information about the record, shall also be recorded as per guidelines that will be issued by JARD. When creating records, all officers shall ensure that they create records that are complete, accurate and contain sufficient information and details

to enable them to provide authoritative and authentic evidence of the transactions that they represent.

- The medium used when creating records shall be that which promotes long-term preservation, retrieval and usability of the records.
- JARD shall define standards and give guidance to ensure that sustainability issues are adequately addressed as part of the planning, creation, and active management of electronic records. These may include guidelines on such issues as file formats and other technology selection issues, metadata standards, and wider information management standards.
- All MDAs shall include RIM awareness in their staff induction programmes and the RIM procedural manuals shall be made available to all staff either through the intranet or on the shared drives of each department/section/unit.

## 3.7 Classification and Indexing

Records classification constitutes the centre-piece of any RIM system, whether paper or electronic records. An institution-wide and predictable classification structure will considerably improve the rate at which information can be retrieved and shared.

### 3.7.1 Issues

- *Lack of uniform file classification system for all forms of records*

There is no GoJ wide file classification system, although some MDAs are using a classification system for common classes of records that was developed by the G-RIM Network a few years ago (i.e. the Subject Classification Guide for Common and Administrative and Operational Records). Most MDAs, however, have their own MDA specific classification systems. This limits information sharing and these varied systems create a challenge when files are transferred to new MDAs.

In general, most of the file classification is limited to paper records and there is very little classification of electronic records which are mostly held in unorganized folders. There is no alignment between the paper and electronic records classification system and retrieval of electronic information and records, is largely dependent on the personal knowledge of the records creator.

- *Unsustainability of current classification scheme for common records*

The abovementioned classification system being utilized by some MDAs, is however unsustainable because it does not have the capacity to accommodate additional subject categories as will inevitably occur. New options will therefore have to be explored and a scheme adopted.

- *Need to align adopted classification system with retention and disposal schedules*

In the past, retention schedules were determined almost file by file. In this era, which is characterized by an individual's ability to generate records at an accelerated rate, it is necessary to design a system which treats with appraisal and retention, not at the micro level, but at the macro level (i.e at the records' series and sub-series level).

### 3.7.2 Policy Objectives

1. To provide for a Government wide classification system that standardizes filing (including electronic) across all MDAs and which provides platforms for such RIM processes as records appraisal.
2. To promote the adoption of an expandable classification system which allows flexibility at the sub-series level.
3. To promote the development and adoption of a compatible classification system for audio visual records.
4. To ensure that each MDA has its own institution specific file plan that is in accordance with the government-wide classification system.
5. To provide a basis for the development of retention and disposal schedules which are aligned to the classification scheme to be adopted.
6. To ensure that records are indexed so as to provide adequate data to facilitate search and retrieval.

### 3.7.3 Policy Strategies and Statements

- All MDAs shall adopt and use the GoJ Functional Based Classification Schemes based on the classification of the business activities of the entity. However, for purposes of uniformity, all MDAs will be required to start with the common types of functions before the institution specific functions.
- The classification schemes shall be used to develop institutional Master File Plans which shall apply to both paper and electronic records.
- The Master File Plans shall be prepared at records series and sub-series levels and shall mirror the main functions and sub-functions of the organization

- The Master File Plan in each institution shall be a controlled document which, after internal approval, shall be submitted for approval by the Government Archivist and which shall only be changed with the approval of the latter.
- Beyond the Master File Plan, there shall be flexibility in terms of which records, series and sub-series to expand and expound, depending on the detailed functions and activities of the particular department, unit or office.
- All officers that generate, receive and maintain records in their offices (paper and electronic) shall be required to classify the records as per the File Plan of the institution.
- JARD will issue guidelines for the treatment of classification of audio visual records having considered:
  - ✚ the outcome of the National Library’s deliberations relative to standardized cataloguing of AV materials; and
  - ✚ the standard(s) to be used and the automated platforms required to support them;
- Timelines for roll out of the Audio visual classification scheme will be specified in the RIM Policy Implementation Schedule.
- Records shall be indexed as per the guidelines provided in the RIM Procedures Manual of the GoJ and the MDA.
- Every MDA shall ensure that classification and indexing systems are managed and controlled by appropriately qualified records officers to ensure their effectiveness, accuracy and sustainability.
- All registries will maintain complete inventories of MDA records.

**Box 3.1**

**Special Note:**

The advantage of a function based classification system is that while there will be a uniform approach to the building of classification schemes, each classification scheme will be reflective and thus suited to the particular structures and functioning modalities of that entity. The classification schemes would still be easily auditable as, by merely looking at the organogram and function schedule of the institution, one will be able to determine what series and sub-series should be found in the MDA and it will still be possible to develop generic retention schedules for records series of commonly found records.

## 3.8 Storage and Maintenance

### 3.8.1 Issues

- *Lack of Critical Resources in MDAs*

The RIM Assessment Report, 2014, noted that:

- ✚ the typical registry audited had obsolete technology, furniture and equipment and that RIM areas in MDAs were normally given outdated IT equipment;
  - ✚ owing to considerable space challenges in the MDAs, some of the records were stored in a state which made efficient retrieval almost impossible and that there were issues with the quality of boxes used and with the shelving configurations; and
  - ✚ MDAs were experiencing severe shortages of space for records storage, a situation which was compounded by the inadequate storage space at JARD which resulted in the rejection of MDA requests to deposit records.
- *Resource constraints at JARD limiting its capacity to effectively deliver on its mandate*

As previously stated, JARD is operating from three locations, in premises that are unsuitable and with inadequate, as well as outdated ICT equipment. Many of the MDAs are in fact better equipped and resourced than JARD in terms of ICT and there is an urgent need for JARD to be provided with a new home and modern equipment that will enable it to fulfill its mandated functions and to lead and support the MDAs in the storage, maintenance, preservation and overall management of records and archives.

- *Lack of documented policies, procedures and adherence to standard practices for proper environmental control and business continuity*

The RIM Assessment Report, 2014, further noted that environmental controls were low and below required standards in MDAs and JARD. Notably, over 80% of respondents did not have a policy or procedural guideline for environmental control. Air quality testing was not being done and pest management control was not regular. Forty-seven percent of the records reviewed were exposed to either dust, sunlight or both and 86% did not have procedures/guidelines for disaster recovery or mitigation.

Part of the problem identified was the lack of awareness of the environmental requirements for records and archives and the steps that needed to be taken to provide a suitable environment for records.

### 3.8.2 Policy Objectives

1. To provide for the appropriate storage, preservation and protection of records and archives.
2. To set standards regarding the environmental requirements for records and archives.
3. To raise awareness of the environmental requirements for records and archives.

### 3.8.3 Policy Statements and Strategies

- MDAs shall be provided with the buildings, office space, records storage space, shelving, RIM supplies, reprographic and conservation equipment, information communication technologies and other resources necessary for the safekeeping of the records and archives in keeping with the goals and the objectives of the RIM Programme over the medium to long term and JARD, over the period 2016 - 2021.
- Records storage arrangements shall take into consideration the format, media, nature and use of the records, as well as migration requirements in the case of electronic and digital records.
- Adequate storage space and facilities shall be provided to cater for current records in the registries and operational areas in the short term.
- Each MDA shall provide appropriate storerooms and strongrooms, with appropriate shelving and other equipment for the storage and management of semi-current records.
- Non-current records, both paper and electronic, shall be transferred to the custody of the Government Records Centre, and, in the case of electronic non-current records, transferred to a designated repository under JARD's custodianship.
- JARD's ICT infrastructure shall be at a level equivalent to or higher than the MDAs and JARD shall maintain, or make arrangements to maintain, multiple redundant copies of electronically archived records, through appropriate replication and backup processes.
- At least one complete set of backup copies shall be maintained at a remote secure facility, located at least 100 kilometres from the main archive centre. The viability of backup copies, including the ability to restore from backups, shall be periodically tested.
- JARD shall issue guidelines on the storage and maintenance of paper, electronic, digital and audio visual records.
- Preservation requirements for records and archives shall be incorporated into JARD's and MDAs' Incident Management Framework and Business Continuity Planning process to ensure the continued availability or restoration of all stored records in the event of an incident or disaster. The relevant plans shall be periodically tested through appropriate types of disaster recovery exercises.
- All MDAs shall be required to have clearly articulated environmental standards and controls for records and archives.

- MDAs and JARD shall make provision for (on the establishment or by outsourcing) securing expert advice with respect to compliance with the relevant environmental standards and controls for RIM and for taking the appropriate steps recommended, after the conduct of environmental audits and other inspections .

## 3.9 Security Access, Use and Tracking of Records

### 3.9.1 Issues

- *Weak Security Systems & Control*

The 2014 RIM Assessment noted that the security levels for records in the GoJ institutions were low. Systems for regulating access to records were weak and there were instances of unlocked registries and other lapses in security, to include the practice of records with confidential information being placed within easy access of general staff.

In general, access authorization controls were weak and RIM Managers were not involved in monitoring the use and movement of records.

- *Unsatisfactory Retrieval Rates to Provide Access*

Poor record keeping (to include issues arising from ad hoc classification, indexing and cataloguing) impacts on records retrieval rates in providing prompt access to internal and external clients. In addition, the high volume of records in MDAs has led to the observation in the 2014 RIM Assessment that many entities have had to resort to storing records in trailers and other inappropriate facilities; some of these records have not been sorted in any logical way which would facilitate easy retrieval, access and use.

- *Inadequate mechanisms to track and record the movement of records*

Poor tracking controls, manifested in the passing on of records from office to office, without notifying the Registry of either their existence or their movement, has created a significant problem for RIM. The proliferation of records and limited use of ICT for RIM however, will not likely allow for a return to the traditional form of control that a (physical) central Registry offered in the first three post-independence decades; alternate modes need therefore to be identified.

Further, the 2014 RIM Assessment notes that the RIM function does not have full control in the monitoring of staff, with respect to records transmittal in the organization. RIM managers are not part of the management cadre that monitors movement and potential loss with respect to movers, joiners and leavers.

### 3.9.2 Policy Objectives

1. To ensure that all records are accessible and can be promptly availed for use.
2. To ensure that there are controls to regulate access to all records, including the security classification of records.
3. To ensure that the movement of all records is tracked and recorded.

### 3.9.3 Policy Strategies and Statements

- The design and acquisition of software which will enable the establishment of an electronic central registry will be pursued over the medium to long term.
- Procedures for access and use of all records shall be developed and enforced, and shall define access and authority controls, stipulating which officer can have access to what records and which access rights shall be enforced within the record keeping system.
- To facilitate granting of access rights, records shall be security classified and categorised according to their level of sensitivity. Records that are restricted shall be boldly stamped or watermarked to reflect their access status. JARD in consultation with the office of the CIO? will develop Guidelines for these purposes.
- Appropriate systems shall be developed and used for the tracking of paper and electronic documents and records. This shall include both action and location tracking.
- All e-RIM systems shall provide for audit trails and/or event logs to record all actions applied on e-records within the system, the time, dates and persons responsible for the actions.
- Public access to all government records shall be governed by the legislative regulations relating to access and provision of information to the public.

### 3.10 Records Disposition

Existing legislation governs the disposition of records and specifically directs that official records may not be disposed of without the approval and sanction of the AAC. Through the Records

Management Handbook, JARD has embraced the concept of records appraisal at the macro level (i.e. at series and sub-series levels) and has also adopted a two-step value based approach which assesses the “primary” and “secondary” values of records.

### 3.10.1 Issues

- *Non-Existence of Records Retention and Disposal Schedules*

The 2014 RIM Assessment concluded that a third of the MDAs examined did not have retention schedules and therefore had no guidance for the retention and disposal of records. Further, 75% of the respondents stated that records of no continuing value were not being destroyed in keeping with acceptable RIM standards. The current lack of this critical instrument contributes to the storage of a great number of records without archival value, beyond their useful life. The effect of doing so increases the cost of storage and results in a waste of limited financial resources.

- *MDA’s Subjective Approach to Appraisal of Records and Non-Compliance with Disposition Schedules*

While the existing framework provides a sound and commendable platform, at the moment, records appraisal for those institutions undertaking appraisals is largely being done by individual officers at the MDA and JARD levels. This means that appraisals are not done pursuant to a system, but instead, occurs at the instance of an individual, whose biases and judgment inform the process. Recommendations are then forwarded to the AAC. The RIM Assessment, 2014, reports that 25% of MDAs did not think the retention schedules were appropriate and another 27.7% did not think the schedules being utilized were in compliance with legislation. There are also further problems in implementation, in that, even for those categories of records that have been appraised, the MDAs are not necessarily disposing of the records when the set retention periods expire and disposal exercises are fettered by, among other things, the cost of safe disposal (e.g. incineration or shredding).

It is recognized that low levels of awareness of the functions of JARD and a lack of confidence in their capacity to securely store, conserve and preserve official records and archives, contributes to this failing. New approaches and implementation, will have to be predicated on environmentally compliant facilities being secured at JARD and other critical success factors effected.

- *Lack of clarity with respect to the definition of and procedures for the disposition of non-records.*

While the legislative definition of official documents and official records may be interpreted to suggest that anything created during the course of doing official business (on paper or electronically) is a record, practitioners make a distinction between records and non-records. This notwithstanding, there is no legislative definition of non-records, nor any express provision for the disposal of same. This results in the unnecessary retention of non-records.

- *No standards and procedures governing the retention and disposal of e-records*

There are no legislative or GoJ wide standards and procedures governing the retention and disposal of e-records, notwithstanding the fact that increasingly, critical matters are treated with via electronic means. A vast number of critical e-records therefore, have the potential to be lost, and in some instances have been lost to the GoJ where some individual users determines that it is convenient or otherwise beneficial to delete these records. Also, upon the closure of that individual's electronic sign-on and email account, transfer or other form of separation from the MDA or Unit/Division within the MDA, these records are invariably being lost. Policies, programmes and plans are being developed and decision being taken based on incomplete information.

- *Lack of clarity as to how documents in the Ministers' offices are to be maintained and disposed.*

By practice, records created in the Ministers' office but which relate solely to the party or their constituencies do not fall within the GoJ RIM regime. Additionally, there is need to specifically provide RIM standards and procedures for Cabinet documents and other MDA records which the Ministers' office possesses and which would fall under the government RIM policy.

### 3.10.2 Policy Objectives

1. To provide for the appraisal of official records (electronic, physical and audio-visual records) and preparation of records retention/disposal schedules through consultative processes.

2. To provide for the timely disposal of records in accordance with the set retention periods.
3. To provide for the timely transfer and preservation of records with archival value.
4. To provide a legislative and procedural framework for treating with non-records.
5. To strengthen the procedural framework for the treatment of official records held in Ministers' offices.
6. To build capacity and improve the infrastructure of JARD to allow for optimal delivery of their mandate relative to the receipt and storage of official records and archives; the maintenance and preservation of same and timely disposition of records.

### 3.10.3 Policy Strategies and Statements

- No official records shall be destroyed without the approval of the AAC.
- The appraisal of records and the preparation of records retention/disposal schedules shall be done at the macro-level, i.e. at records series and sub-series levels.
- Non-records shall be defined in the legislation to refer to *documents such as drafts, worksheets, routine memos, or extra copies created for convenience or distribution, that have no retention value and **no need for filing***. Disposal shall be in an appropriate and prescribed manner once that administrative, legal or fiscal use has expired. The requirements for retention should be sufficiently flexible so that retention is not a fixed period of time but may be event driven. JARD will issue circulars from time to time, regarding the treatment of non-records.
- The definition of official records, for purposes of RIM will be reviewed to embrace all documents, regardless of form or medium, once created or received in the course of doing the business of the MDA, specific reference to e-records will be considered;
- The GoJ will develop a Procedural Manual which will set out the criteria for determining whether an official record has a permanent or short-term value and will embed considerations such as:
  - ✚ continuing administrative, legal and financial value;
  - ✚ context, that is the organisational, functional, and operational circumstances surrounding the records' creation, receipt, storage, or use;
  - ✚ evidential value of an organisation's activity(s); and
  - ✚ historical and cultural value.
- Records retention/disposal schedules for categories of records that are common across the public service shall be prepared and issued by the AAC and shall be applied by all MDAs.
- MDAs shall develop institution specific records retention/disposal schedules in compliance with the GoJ Procedural Manual and through consultation with the RIM Committee and JARD.

- Records of transitory value shall be disposed of by the MDAs and by JARD in line with the retention/disposal schedules approved by the AAC. No record shall remain un-disposed of more than six months after its due date for disposition.
- Methods of disposal shall be appropriate to the type of record and medium, environmentally friendly and shall preserve the confidentiality of any information they contain. JARD, in keeping with decision of the AAC will provide guidance accordingly.
- All official records with archival value shall be transferred to the custody of JARD where, on maturation as public archives, they shall be made available for public consultation, in accordance with the Archives Act and any disclosure restrictions that may exist.
- All official records with archival value kept by any repository that may be sanctioned by JARD shall be maintained in accordance with guidelines and conditions that shall be set by JARD.

### 3.11 Email Management

#### 3.11.1 Issues

- *Lack of email management and control across MDAs*

The management of emails in Government institutions is unsatisfactory. The DDIAS or the head of records management does not know what information is held in the various email accounts and attempts to get officers to copy, print and have filed those emails deemed to be important, however this does not necessarily result in officers doing this diligently. In fact, officers tend to view emails as their personal information (even though created and received in Government time and on Government assignment), handover/takeover procedures for this medium of communication are virtually non-existent and in most cases, when an officer leaves office, that is the end of that email account without transfer to the organization or successor. This results in an information gap, which negatively affects business processes.

There is need to establish adequate supporting strategies to bring about the desired efficiency in the capture and management of emails.

#### 3.11.2 Policy Objectives

1. To provide a system for the management of email-based records as official records of the GoJ.

2. To introduce the CAPSTONE<sup>9</sup> approach under which emails of designated higher level officers in institutions will be archived and preserved.

### 3.11.3 Policy Strategies and Statements

- Emails that are used to conduct GoJ business are official records and shall be captured as records and managed in accordance with this Policy.
- All MDAs shall invest in email management systems that facilitate the capture and management of emails as official records of the GoJ. Such systems shall be deployed on government designated domains.
- All emails held in the official GoJ email domain(s) are the property of the GoJ therefore users of GoJ email systems shall not have any expectations of privacy.
- Use of personal email addresses by public officers for official business is prohibited. If, because of system constraints/crashes, public officers have to use alternate email addresses, these shall be in the name of the organization, not personal addresses.
- Personal emails shall not be considered as official records and shall not be captured into the recordkeeping system.
- E-mails that are deemed to have evidential value shall remain intact in terms of their *structure*, *content* and *context* to ensure they remain authentic and accurate for the entire duration they are serving business functions.
- RIM Committees in MDAs shall designate levels at which officer's e-mails are required to be archived and preserved as per the CAPSTONE approach.
- E-mails received by or initiated by public offices, including attachments, and which relate to the business activities of public offices of non-designated e-mail accounts, shall be retained in accordance with the established records retention/disposal schedules of the institution, as approved by the AAC.
- E-mails shall be subject to established access controls regulations to protect against unauthorized or inappropriate access.
- All MDAs shall define categories of information that may not be transmitted via e-mail.

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<sup>9</sup> The CAPSTONE approach was pioneered by the National Archives and Records Administration (NARA) of the United States of America and provides for the retention of emails according to the seniority of the officer conducting aspects of the job via email accounts. That is, emails of designated positions in the institution are archived and preserved.

## 3.12 Information Sharing

### 3.12.1 Issues

Advances in information technology have increased information sharing through such platforms as Facebook, Twitter and Instagram. However, in most MDAs and in offices, information sharing is limited by a number of factors including lack of common/organisational filing systems; individualised filing in which only the creator of the records knows what is stored where; limited use of shared network drives; and use of personal email addresses which results in the circumvention of the official mail system.

While there are limitations to the amount of information sharing that can take place within the MDAs, inter-MDA sharing of information is even much less with the result that certain work is commissioned anew without awareness that another MDA has already gathered most of the information required. This results in duplication of efforts and waste within the public sector.

### 3.12.2 Policy Objectives

- To provide for secure and confidential sharing of information within and between MDAs.
- To establish systems and processes which support the objective of the Access to Information legislation and the efficient management of information to facilitate ready access to official documents.
- To support and promote information sharing between MDAs, so that information and data sets available in one institution can, under specified conditions, be accessed and used by other MDAs.

### 3.12.3 Policy Strategies and Statements

- The flow of information and sharing of data within and across public institutions shall be encouraged to promote common understanding and knowledge, inform decision making and improve service delivery.
- All MDAs shall identify and classify their information in terms of what can be shared within the institution, what can be shared with other public institutions, what can be shared with non-public institutions, what can be shared with the public (public information) and what should not be shared.
- Provisions of various legislations governing disclosure of public information shall be complied with when sharing information with entities outside the MDA.

- Adequate technological infrastructure including ICTs shall be deployed to facilitate sharing of information, including but not limited to online sharing. Such technologies shall provide adequate security for information being shared.
- To promote information sharing and to enhance decision making within MDAs, a consolidated list of the file plans and titles of files in the Registry, departments and individual offices shall be compiled and published in keeping with the GoJ RIM Procedural Manual. Any information of public policy or other relevance or significance, collected through research or surveys and whose value has cross-cutting benefits across the public sector, shall be shared with relevant MDAs in keeping with this Policy and the provisions of a Data Sharing Policy to be developed.
- Procedures shall be developed and enforced for safeguarding confidential information shared across MDAs to prevent unauthorized access.

### 3.13

#### ICT for RIM

This Policy emphasizes the need to harmonize and rationalize the adoption and implementation of ICT solutions so that the resultant ICT generated records can be fairly standardised and can be archived by JARD without the need to acquire and maintain multiple technology platforms. Among other issues affecting the successful operation of RIM in the digital era, is the deficit of RIM ICT skills in JARD and some MDAs, the lack of business continuity and disaster recovery planning and e-RIM standards, as well as inadequate perimeter and internal information security.

The Policy takes account of the need for ICT policies to be established at the executive level of all enterprises; technology neutrality; and that ICT requirements must be integrated in all RIM projects in the GoJ. It is underscored that in these considerations, it is imperative that over-arching classification be developed and governed at the enterprise level for purposes of automating disposal and archiving.

JARD needs to be sufficiently equipped for its core role and involvement, throughout the various phases of the development of the RIM ICT architecture.

### 3.13.1 Issues

- *Varied ICT Capacity; Silo Implementation across MDAs & Cost Implications*

JARD and MDAs are at various stages of ICT RIM capability. There are those at the entry level, who are applying ICT technology in a basic and ad-hoc manner and those, at the other end, that have well developed ICT infrastructures and systems.

The systems in use range from small installations to large and complex ones. The existence of numerous silo implementations, has not only increased costs but made it much more difficult to define enterprise taxonomies that can support effective records management and process sharing between MDAs.

- *Relatively underdeveloped ICT maturity level of JARD & inherent risk to Policy Implementation*

JARD is expected to take a leadership role and provide expert guidance to MDAs on this subject matter, as well as provide custodial facilities for electronic and digital records and archives. However, JARD is functioning at an under-developed ICT maturity level, which poses an inherent risk for policy implementation. The size and mandate of the IT Department can only serve JARD as an (administrative) Department. There is need to close the existing gap so that there will be ICT applications and information management systems in offices (including email management, digitization and classification ) to support JARD's business processes and the wider range of functions and services in the new paradigm. The RIM Assessment estimated that US\$3,000,000.00 is required for capital equipment. It is worthy of note that a decision needs to be made with respect to the automated platform that is to be used in managing the Audio Visual Archives and Jamaica Archives Units, which would, among other things, automate the processing of new accessions, re-appraisal of the records, accrual of materials belonging to existing series, management of donors and deeds of gifts and importation of inputs to the processes. Such a system would also facilitate linkage from the catalogue to the digital library, track locations, provide statistical information, generate and print labels and provide online access to the collections.

Similarly, for the Records Centre, the procurement of an automated Records Management Solution which would automatically generate accession numbers, capture accession details and track records through each step of the request and recall process and provide automatic notifications by email is required. The system capability needed also spans management of the disposition process, updating clients' response, updating the final disposition in addition to a history of events and audit trail data as recorded by the system.. Electronic records would also be retrieved directly from the system.

JARD is mandated to articulate RIM requirements for ICT systems through the issuance, update and adaptation of guidelines. Prior to the initiation of the RIM project, JARD was unable to carry out this function, however in 2013, with the support of the Cabinet Office and e-Gov Jamaica (formerly Fiscal Services Limited) a functional requirements document for e-RIM was adapted to local needs and tested.

To further discharge its wide ranging responsibilities, it is necessary for JARD to build capacity (by increasing the staff complement, increasing ICT skills necessary for the management of electronic records and archives and ICT infrastructure acquisition), so that it is sufficiently au fait with the ICT development cycle and positioned to intervene at MDAs at relevant stages. Anticipated support to MDAs by way of guidance, range from records management and archival principles to registry practices, management of semi-current records stores and ICT applications in offices including email management, digitisation and classification.

If the deficits described in this section are not addressed, these gaps will represent a significant risk to policy implementation, particularly as the institution is expected to take a leadership role and provide expert guidance to the MDAs and provide custodial facilities for the electronic and digital records and archives.

- *Deficit of RIM ICT skills & systems in some MDAs*

ICT is not being adequately or satisfactorily leveraged across MDAs to undergird RIM programmes, processes and systems. Implementation of ICT systems do not sufficiently address RIM functionality. Skill set in the RIM documentation centres in MDAs were not found to be satisfactory nor were they accounted for in the related Job Descriptions.

The assessment carried out by K2-Techtop Consult (PVT) Ltd. found that multiple ICT systems implemented, do not have RIM functionality and where it does exist the RIM functionality is not utilised. In a sample of 10 MDAs visited, 20 systems (small and large/complex ones) were installed or being planned. There is a need to harmonise and rationalise the adoption of ICT solutions so that the resultant ICT generated records are fairly standardised and can be archived by JARD without the need to acquire and maintain multiple technology platforms.

It is highlighted that as it relates to Electronic Content Management Systems (ECMs) across the GoJ, a decision needs to be made in terms of whether the GoJ will adopt a particular ECM software or whether MDAs are given the liberty to choose that which they see as most suiting their needs. At present, there are a number of packages that are being procured or are already acquired; these acquisitions will represent one part of the ICT equation, the other being all the other MDA function specific ICT systems in use and which generate records. A policy decision is needed as to which

authority must carry out this function and also, whose responsibility it is to prescribe the minimum requirements for RIM functionality in ICT systems.

- *Lack of Funding and limited collaboration militating against realizing economies of scale*

Very few organisations visited have the funding needed to provide complete ICT systems to support an expanded RIM programme as part of their standard service delivery model and operating budget. Despite a common need, MDAs show little willingness to jointly fund a centrally managed service. The result is a series of silo implementation, which not only increases costs but makes it more difficult to define enterprise taxonomies that would support effective records management and process sharing between MDAs. It is therefore critical to determine whether a central e-RIM infrastructure is to be established, administered and supported, and if so, who should initiate and implement in this eventuality. Collaborative approaches need also to be explored such as a model where funding participation is provided by JARD's and MDA's purchase of licences and software maintenance fees. These could result in discounted costs through master contracts.

- *Lack of business continuity and disaster recovery planning*

More is required with respect to business continuity and disaster recovery planning in MDAs. 44% of the entities assessed did not have a business continuity plan and only 16% had a surrogacy programme for records. Several MDAs visited, had experienced some form of disaster such as fire or system crash or information loss (occasioned in many instances by the fact that systems that are more than 10 years old are still in use and their support periods long expired). There is need to consider the active deployment of governance systems at the enterprise level that authorises the disposal and migration of critical RIM systems. The integration of business continuity plans across the entire organization as a required managed process also appears a critical success factor.

- *Absence of ICT policies and standards*

ICT policies at the enterprise and MDA levels are also largely absent. Critical also standards need to be identified for the enterprise.

Importantly, at the level of the GoJ, a determination needs to be made as to whether the GoJ should adopt the International Archival Descriptive standard ISAD (G) and its associated standards. The ISAD (G) provides general guidance for preparation of archival descriptions, serves to identify and explain context and content of archival material to promote accessibility and contains general rules for archival description that may be applied irrespective of form or medium of the archival material. Usage of the standard also facilitates international exchange of information as some aspects of the standard are

linked to ISO standards (for instance, in citing published sources, users are encouraged to use the latest version of ISO 690: Documentation – Bibliographic References- Content, Form and Structure).

- *Inadequate perimeter and internal information security*

There is the concern that most MDAs and (JARd included) do not have the confidence that there is adequate security planning in the implementation of systems. Notably, there is a focus on 'perimeter security' generally, which involves making sure that intruders and un-authorized personnel cannot get in to record centres and registries without due attention to the bigger threat to information security posed by insider security breaches.

- *Absence of ICT RIM Architect and implications*

RIM ICT concerns are pervasive throughout JARD and MDAs and in all phases of the systems development. All groups of stakeholders in the enterprise have RIM ICT concerns but no expert to direct same to. A solution, may rest in providing for a RIM ICT architect.

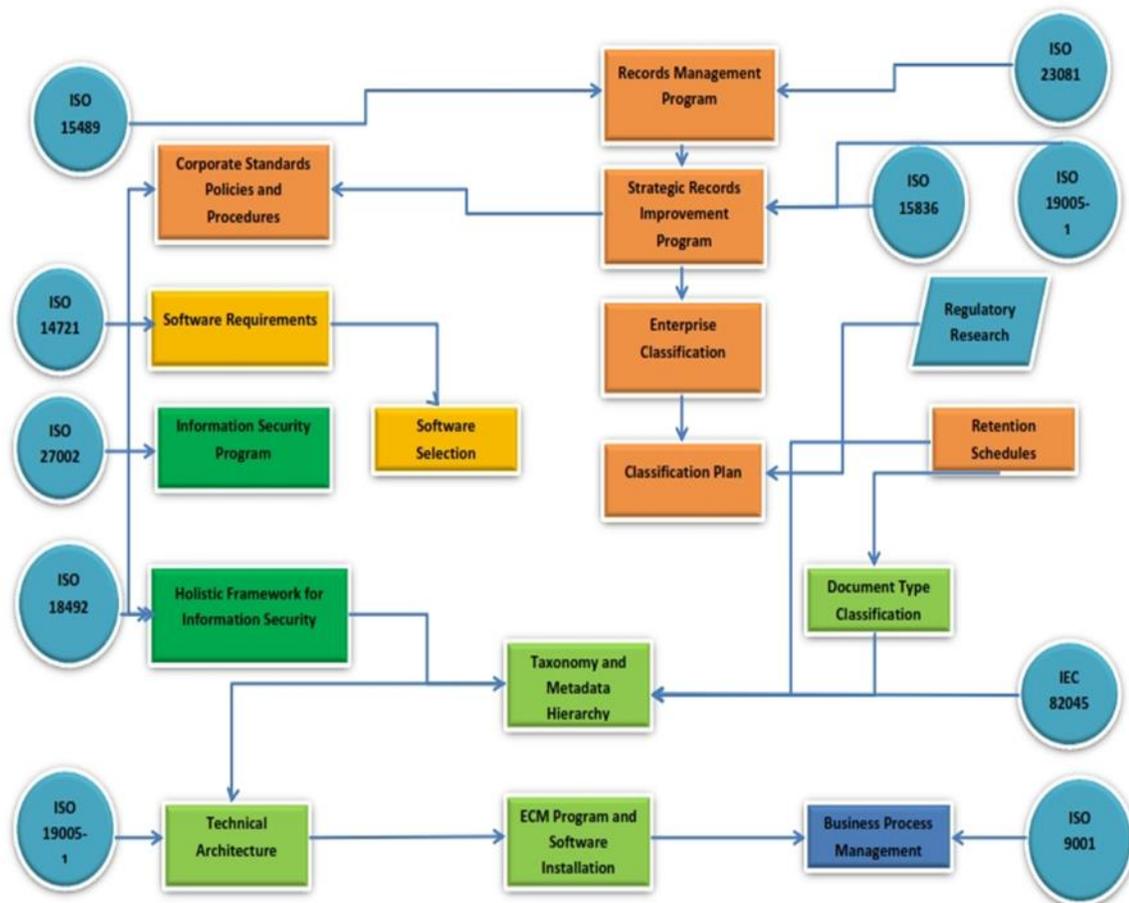
### 3.13.2 Policy Objectives

1. To support across the RIM enterprise which will consolidate the fragmented legacy of ICT solutions into an integrated environment that is responsive to change and supportive of the cost effective delivery of RIM objectives, customer related processes and online services.
2. To ensure the needs of JARD and MDAs for an integrated ICT strategy are met, permitting the closest possible synergy across the extended RIM enterprise
3. To provide a strategic and operational context for the evolution of ICT systems in response to the constantly changing needs of the RIM business environment.
4. To promote the establishment across MDAs, RIM business continuity and disaster recovery plans

### 3.13.3 Policy Strategies and Statements

The GoJ:

- requires that full specifications for an ECM be made available to all MDAs by e-Gov, with the indication that requirements are to be segmented in accordance with the ICT maturity level of each organization;
- requires that MDAs procuring ECM will select from designated software packages identified by e-Gove (e.g. three or four packages) for use by MDAs;
- mandates JARD to issue circulars/guidelines from time to time, on such issues as the minimum standards for records management functionality, having due regard to guidelines produced by the International Records Management Trust, the International Council on Archives and other authoritative sources on this issue;
- supports the acquisition of an automated Archival Management Solution to automate the processing of new accessions, re-appraisal of the records, accrual of materials belonging to existing series, management of donors and deeds of gifts, importation of inputs to the processes, as also the processing, arranging and collections descriptions automatically on entering the RIM system. It is acknowledged that this system would facilitate linkage from the catalogue to the digital library, track locations, provide statistical information, generate and print labels and provide online access to the collections;
- will adopt the ISAD(G) standard for archival description;
- will adopt standards complementary to the DoD 5012 for the ECM and ISO15489 for records management processes (see Figure 1 below)



**Figure 1: ISO Complementary RIM Standards Diagram**

- requires MDAs to deposit all audio visual materials, which are official records, to both JARD and the National Library, whether or not the works are published or non –published. This will promote having completeness in records, as required by ISO 15489;
- requires JARD to offer centralized archival services for e-RIM and for e-Gov to offer hosting services. This will obviate the need for JARD to undertake extensive expenditure investment in staff, software licenses, and infrastructure;
- requires JARD to develop an over-arching classification, to be governed at the enterprise level. The classification system should facilitate the appraisal of records and preparation of

retention/disposal schedules. The classification system should embed features supporting disposal and archival processes (e.g prompts when records are due for disposition);

- will deploy governance systems at the enterprise level that would authorise the disposal and migration of critical RIM ICT systems;
- recognises the five categories of skills required to run an optimal RIM enterprise, specifically: Registry, Records Centre, Paper Archive, Digital Archive and Audio Visual Archive. The figure 2 below tabulates the supporting skills for each and highlights those in blue as new skills required for e-RIM environments;

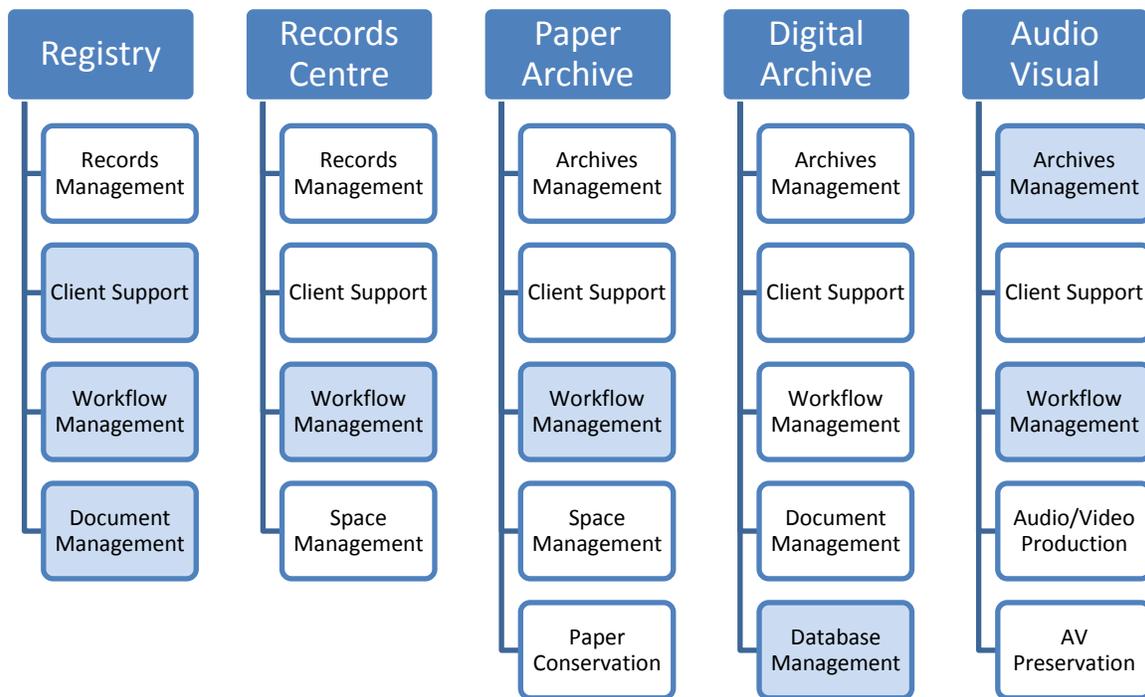


Figure 2: e-RIM Skills Matrix

- mandates that JARD shall develop guidelines and take the lead role in establishing standards governing RIM requirements in ICT systems and ensure that any changes to the requirements are handled through appropriate governance processes and shared with all MDAs;
- mandates that JARD shall develop a RIM Capability Maturity Model to provide an effective and objective method for MDAs to gradually gain control over and improve their RIM processes;

- requires changes to the RIM enterprise ICT environment shall be implemented in a timely manner;
- requires that recoverability, redundancy, continuity and sustainability of RIM in ICT systems be addressed at the time of design and must be fully integrated across the entire organisation as a required managed process;
- requires affected MDAs to employ Collaborative Case Management (CCM) approaches, which leverage the core components of RIM including online links to case documents for rapid retrieval and review;
- requires MDAs to complement perimeter security with a measured approach to managing internal information security by developing prescribed standards to manage and secure content using access controls and audit trails;
- mandates JARD to establish a sustainable ICT infrastructure for electronic and digital preservation and this shall be managed for as long as the electronic and digital records continue to exist;
- acknowledges that it is desirable to bring a RIM ICT architect function into the RIM programme as early as possible to offer guidance, throughout the phases of the RIM implementation, on RIM ICT-specific information which should be gathered, steps which should be taken, and procedures which should be created. Architecture decisions related to RIM ICT should be traceable to policy decisions and their risk management;

### Box 3.2: ICT Architect Functions

The generally accepted areas of concern for the RIM ICT architect are:

- Creation or receipt of information in the form of records
- Classification of the records or their information in some logical system
- Maintenance and use of the records, and
- Disposition through destruction or transfer to archives.

This is then followed by a second, archival phase consisting of:

- Selection/acquisition of the records by an archives,
- Description of the records in inventories, finding aids, and the like,
- Preservation of the records or, perhaps, the information in the records, and
- Reference and use of the information by researchers and scholars

Typical RIM ICT architecture policies and procedures would include:

- Business rules regarding handling of data/information assets
- Written and published RIM ICT policy
- Codified data/information asset ownership and custody
- Risk analysis documentation
- Data classification policy documentation.

- JARD shall be involved in the planning of ICT projects to ensure the new capability not only meets the business goals and strategic objectives but also addresses the RIM requirements. JARD is to be equipped at all times to intervene at any stage of the development cycle;

- RIM software and hardware shall conform to defined standards that promote interoperability for data, applications and technology; and
- RIM ICT initiatives shall be conducted in accordance with the enterprise plan promulgated by JARD. Individual MDAs shall pursue RIM ICT initiatives which conform to the blueprints and priorities established at the enterprise level.

## 4.0 POLICY IMPLEMENTATION

### 4.1 Approval and Implementation



This Policy shall take effect upon approval and promulgation by the GoJ.

Recognising that MDAs are at disparate stages of readiness, there will be a phased implementation (i.e over Three Phases, linked to the GoJ's Financial Years (FY)):

- *Phase 1: FY 2016/2017 - 2018/201910*
- *Phase 2: FY 2019/2020 - 2020/2021*
- *Phase 3: Post 2021.*

MDAs will, be ranked by class and placed in one of four categories (i.e Class 1, Class 2, Class 3 or Class 4 being the highest attainable rank) based on their RIM Maturity levels The GoJ RIM Policy Overarching Strategy and Implementation Plan (Annexure I (A) refers) assigns targets for the Classes into which MDAs will be divided, based on their ranking based on the outcome of their RIM Assessment Score Card (Annexure 1 (B) provides the template for same). The GoJ RIM Policy Overarching Strategy and Implementation Plan will match policy responsibilities with the appropriate category/class of MDA, relevant to each Phase.

The GoJ RIM Policy Overarching Strategy and Implementation Plan, shall guide the operationalisation of the Policy.

The GoJ RIM e-cords and Information Management Procedural Manuals for JARD will also support structured and effective implementation.

## 4.2 Key Stakeholders and their Roles and Responsibilities

### 4.2.1 Overall Responsibility

The overall responsibility for this policy shall rest with the Office of the Prime Minister.

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10 Phase 1 is planned to work in tandem with the Public Sector and Modernisation Programme Five Year Plan.

#### **4.2.2 Responsibilities of JARD**

The responsibility for the coordination and implementation of the Policy shall rest with JARD.

JARD shall exercise oversight on the management of current and semi-current records in MDAs and for the maintenance and preservation of the records and archives transferred to its custody.

JARD shall also be the responsible authority for the File Plans of MDAs and must approve all institutional File Plans before they can be deployed.

Control of the destruction/disposal of official records shall be the responsibility of JARD and official records may only be disposed of in terms of Records Retention/Disposal Schedules approved by the Archives Advisory Committee.

#### **4.2.3 Institutional Responsibility**

The implementation of this policy within all MDAs shall rest with the Accounting Officers of the Ministry/institution concerned (i.e Permanent Secretaries or Chief Executive Officers/Managing Directors of the institutions as may be applicable), through the RIM Committee.

In each Ministry, direct responsibility shall be vested with the DDIAS, who shall also be responsible for the Departments and Agencies of the Ministry for implementation of the RIM Programme.

In each Department and Agency, direct responsibility shall rest with the Records Manager or equivalent officer.

#### **4.2.4 Responsibility and Accountability of Individuals**

All employees shall be accountable for the records which they create, use or manage and, regardless of their level, must be aware of their responsibilities to manage the records created or used by them, or those under their control or custody.

All employees shall be responsible and accountable for maintaining adequate and complete records necessary to fully document the business functions, activities, transactions, decisions and operations.

All MDA employees leaving the service of the GoJ and its Departments and Agencies shall surrender all or any record in their custody, to their immediate supervisors.

#### **4.2.5 Responsibility of ICT Departments/Units**

ICT staff are responsible for ensuring that ICT systems have records management functionality and maintaining the technology including appropriate system accessibility, security and back up. ICT

staff shall ensure that any actions, such as removing data from systems or folders, are undertaken in accordance with this policy. ICT and records and information management staff have joint responsibility in ensuring that records generated by ICT systems are appropriately managed.

## **4.3 Policy Implementation Issues and Challenges**

### **4.3.1 Capacity of JARD**

JARD shall be the major player in the implementation of this RIM Policy. At present, however, the state of development as well as capacity of JARD is inadequate to fully implement the provisions of this policy.

Capacity shortfalls for JARD include inadequate/outdated:

1. legislation;
2. systems and technical capacity;

In addition, JARD has limited storage space to service the MDAs who are its clients as well as inadequate human resources.

The implementation of this policy hinges on JARD being capacitated extensively starting in the financial year 2016-2017, and legislative reform so that it can fulfill its role as a modern archives. However, the capacity requirements are many and delaying the identified modernisation strategies would pose a major risk to implementation of the policy.

### **4.3.2 Appreciation of Records Management**

In most MDAs in Jamaica, records management has been associated only with the handling of incoming and outgoing mail as well as archiving of old records. Raising the profile of records and information management, and seeking to impose controls on the creation, usage, management and preservation of electronic records will pose major challenges for this policy. It would be necessary to deploy appropriate change management strategies, as well as incentive and recognition programmes to alleviate resistance.

### **4.3.3 Adherence to Records Management System**

This policy imposes new requirements and obligations on all creators and users. The process of capturing documents as records as well as requirements for recording metadata may take time to be institutionalized and there may be challenges to increase the allocation of the requisite human and material resources.

### **4.3.4 Records Appraisal and Records Disposition**

While there is universal acknowledgement that records must be disposed of as soon as they have outlived their usefulness, the consultative process of appraising the records and developing the records retention/disposal schedules, including institution specific schedules, requires a significant investment of time, training, establishment of adequate disposal arrangements and a significant cultural shift.

In addition, the application of the records retention/disposal schedules requires constant reminders and interventions and the likelihood is that many records will be retained well beyond their specified time unless there is close supervision of the process by the MDAs and by JARD.

#### **4.4 Existing Legal Framework**

The Jamaica Archives and Records Department (JARD) is operating under the following principal legislations:

- The Record Office Act of 1879
- The Record Office (Archives) Rules, 1969
- The Record Office Rules, 1975
- The Archives Act, 1982
- The Archives (Official Records) Regulations, 1988.

#### **4.5 Linkages with Other Policies and Legislation**

There are several other policies and legislation which have records and archives related provisions or which impact the RIM modernization programme. These include the following:

- The Vision 2030, Jamaica National Development Plan
- The Public Sector Modernization Vision and Strategy 2002-2012
- The National Information and Communications Technology Strategy 2007-2012
- The ICT Policy 2011
- The GoJ Staff Orders
- The Evidence Act, 1843
- The Access to Information Act, 2002
- The Official Secrets Act, 1911
- The Electronic Transactions Act, 2007
- The National Library of Jamaica Act, 2010
- The Financial Administration and Audit Act, 1959.

## **4.6 Monitoring and Evaluation**

### **4.6.1 Commitment to Monitoring and Review**

The GoJ is committed to monitor at regular intervals the implementation of, and compliance with, this Policy. A Monitoring and Evaluation Framework with clearly articulated Key Performance Indicators (KPIs) shall be developed and linked to the Transformation and Modernisation Programme.

All staff of the MDAs whose duties involve creating, managing and/or receiving records have a direct responsibility to ensure compliance with this Policy. Measures will be instituted to ensure that all MDAs comply with the Policy and that objectively verifiable evidence is provided at regular intervals to show the level of compliance by the MDAs and remedial actions taken for non-compliance.

### **4.6.2 Monitoring Responsibilities of RIM Committees**

The duties of each MDA RIM Committee shall include monitoring and reviewing implementation of the RIM Policy within the MDA. The RIM Committee shall therefore:

- receive reports on the implementation of the RIM Policy by Divisions and Units within the Ministry, and Departments and Agencies of the Ministry and take appropriate actions based on the findings and recommendations of the reports; and
- receive and submit to JARD, as required by the Archives (Official Records) Regulations, 1988, an annual summary of official records in the custody of the MDA, not later than the 31st March each year.

### **4.6.3 Directors of Documentation, Information and Access and Services (DDIAS)**

In each Ministry, the DDIAS, shall have direct responsibility for monitoring implementation of the RIM Policy, and, in particular, gathering and maintaining monitoring information and statistics for compilation of the performance reports. The DDIAS shall include in its Quarterly reports to the Accounting Officer, status of implementation of the RIM Policy within the MDA, including corrective actions taken.

### **4.6.4 Internal and External Auditors**

Internal auditors within the MDAs shall be responsible for monitoring and reporting on their organisations' compliance with the policy as part of their audit processes and reporting on risk management, governance, effectiveness of internal control measures, and on compliance of the RIM systems with laws, policies and regulations. The Audit shall be conducted to assess compliance with the (phase based) RIM Implementation Strategy of the GoJ.

The external auditors shall also, as part of the institutional efficiency and effectiveness audits, include the auditing of the RIM systems in the MDAs.

#### **4.6.5 JARD Monitoring Function**

JARD shall be responsible for actively implementing the RIM Programme across MDAs and monitoring the overall compliance of the MDAs with the RIM Policy through use of standardised monitoring and reporting instruments. JARD shall maintain an ongoing awareness of the state of records management practices and controls across all government institutions.

JARD shall use the information from its compliance checks as well as information from other sources such as the Auditor General, DDIAS and also MDA's Internal Auditors, to compile and submit annual reports to the Office of the Prime Minister on overall compliance across the MDAs. The Report shall be tabled in the Houses of Parliament.

#### **4.6.6 Cabinet Office Evaluation Function**

The Cabinet Office shall conduct periodic evaluation of the RIM Programme to determine effectiveness, efficiency and overall impact on the service delivery to the public.

### **4.7 Policy Review**

This policy shall be reviewed and/or updated at least once every five years. This review shall be initiated by the Archivist as the professional head for RIM in the GoJ, through the parent Ministry.



## 5.0 CONSULTATION

The development of the RIM Policy was consultative and was guided by a Policy Steering Committee chaired by the OPM with representatives from the OoC, Ministry of Finance and Planning, Ministry of Education, Ministry of Water, Land, Environment and Climate Change, Ministry of Health, Ministry of Science, Technology, Energy and Mining, Office of the Chief Justice (Courts Management Services), JARD, National Land Agency, Registrar General’s Department, eGov. Jamaica Limited and the National Housing Trust. The Committee periodically engaged the Directors, Documentation, Information and Access Services in all Ministries throughout the Policy development process. Thirty-seven entities including all Ministries, one agency/department of each Ministry, Office of the Services Commissions and Houses of Parliament were engaged during the assessment phase of the policy.

Four consultations were held at the Ministry of Local Government and Community Development and the OoC with 163 (See Annexure II) representatives from over seventy government entities. Consensus was reached around the policy goals, objectives and principles. Ministries’ representatives included a Senior Management Team representative, Head of RIM and an IT representative. Overall, the participants were supportive of the policy elements however, there were concerns raised about the need to strengthen security of records as well as the ability to implement the policy. The policy was revised to strengthen the issues of security of records and the protection of personal records, as a result implementation of the Policy will be phased in accordance with the Policy Implementation Strategy.

Additionally, consultations were held with other important stakeholders. The Permanent Secretary’s Board was consulted and responded positively to the goals and intention of the policy. Efforts were also made to have individual discussion with the Office of the Chief Information Officer and eGov Jamaica Limited. Both entities are in support of the Policy goals and strategies. The main concern raised was in relation to the GoJ ability to implement the policy (given resource limitations) and the different RIM maturity levels of MDAs.

## 6.0 DEFINITIONS



Term	Definition
"Archives"	<ul style="list-style-type: none"> <li>• Documents created or received and accumulated by a person or organization in the course of the conduct of affairs, and preserved because of their continuing value.</li> </ul> <p>2. The building or part of a building where archival materials are located; also referred to as an archival repository.</p> <p>The Agency or programme responsible for selecting, acquiring, preserving and making available archival materials; also referred to as an archival agency, archival institution, or archival programme.</p>
"Authentic" Record	A record that can be proven to be what it purports to be. It is also a record that is considered by the creators to be their official record because it accurately reflects the business activities of the organization or institution and how they took place.
"Authoritative" Record	A record that is authentic, reliable, trustworthy, useable, complete and unaltered.
"Complete Record"	A record that is sufficient in content, context and structure to reconstruct the relevant activities and transactions that took place.
"Destruction"	The action of eliminating or removal of records or documents from the record keeping system through deletion, formatting of media, shredding, burning, pulping.
"Digital Archeology"	The practice of rescuing or recovering valuable digital information from obsolete formats, devices and operating systems collected over a long period of time.
"Disposal"	Actions taken to dispose of records or documents after expiry of the retention period. The action can lead to either archiving or destruction.
"Document"	A structured unit of information regardless of format or medium that is managed as a discreet unit or object. Some documents are records because they are by-products of business transactions that have been captured as evidence of those transactions. Conversely, not all documents are records simply because they do not serve as evidence of business transactions.

Term	Definition
“Electronic Record”	Information which is generated electronically that requires a combination of computer hardware and software to be read and understood.
“Enterprise”	The highest level(typically) of description of an organization and typically covers all missions and functions. An enterprise will often span multiple organizations e.g. JARD and MDAs.
“Enterprise taxonomies”	The organized collection and representation of a related set of concerns pertinent to the ICT architecture. They are used to demonstrate to stakeholders their areas of interest in the ICT architecture.
“File Plan”	A predetermined classification plan by which records are filed manually and/or electronically and indexed to facilitate efficient retrieval and disposal.
“ICT Architecture”	A formal description of an ICT system, or a detailed plan of the system at component level, to guide its implementation (source: ISO/IEC 42010: 2007).
“ICT maturity level”	A formal categorization of an organisation’s capability to conduct ICT projects in terms or design, governance, operational governance, skills,and organization structure.
“Metadata”	Data describing the context, content and structure of records and their management through time. Records metadata is thus structured or semi-structured information that describes or explains the creation, registration, classification, maintenance, access, use and disposal of records through time and across domains. Metadata is critical to record keeping as it is used to identify, authenticate and contextualize records and the people, processes and systems that create, manage, maintain and use records and the policies that govern them.
“Non-records”	Refers to documents such as drafts, worksheets, routine memos, or extra copies created for convenience or distribution, that have no retention value and no need for filing.
“Official Records”	“official records” means all papers, documents, records, registers, printed material, maps, plans, drawings, photographs, microfilms, cinematograph films and sound recordings of any kind whatever, officially received or produced by any public organization for the conduct of its affairs or by any officer or employee of a public organization in the course of his official

Term	Definition
	duties.(The Archives Act 1983).
“Perimeter Security”	Perimeter security is one of the first lines of defense for protecting internal systems and information in an organization. It often refers to policies and measures to control access to networks from outside sources.
“Public Record”	A record, regardless of format or medium, created or received by a governmental body in pursuance of its activities.
“Record”	Information in any medium, created, received and maintained as evidence by an organization or person, in pursuance of legal obligations or in the transaction of government business.
“Recordkeeping”	The process of making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
“Records Management”	The process of ensuring the proper creation, maintenance, use and disposition of records throughout their life cycle to achieve efficient, transparent and accountable governance.
“Scheduling”	The process of disposing of records in accordance with the retention period prescribed in the retention/disposal schedule.
“Transitory Records”	Records of short term value which are disposed of after they have served their operational purposes.





## ANNEXURE I (A)

### GoJ RIM Policy Overarching Strategy and Implementation Plan (Extract)

I/D	KRA & Policy Statements and Strategies	Activities	Measurable Outputs	Actors	Resources	Time Frame		
						2016-2019	2019-2021	Post 2021
	<b>KRA 1: Legislative and Regulatory Framework</b>							
	<b>Outcome:</b> Records being managed in accordance with applicable RIM legislation and regulations							
1.1	Review and consolidation of governing RIM legislation in the medium term, with a view to overcoming legislative weaknesses and providing a modern framework for RIM;	Establish Terms of Reference for Review Committee. Review Committee to identify legislative reform requirements, and commence review process. Contract consultant. Engage stakeholders including parliamentarians throughout the process. Table new legislation	Revised and consolidated Archives Act by FY 2019/2020.	OoC, OPM, JARD, & Office of the Parliamentary Counsel.	Resources for consultative meetings and activities as well as drafting of legislation.			
1.2	Preparation and submission, for approval by the Permanent Secretary or Head of Department/Agency, MDA specific RIM Policies and Procedures Manuals which will have been prepared in consultation with the Archivist and aligned to, among other things, the organisational planning framework and results	Prepare RIM Policy for Ministry. Department and Agencies to draft RIM Policies and Procedural Manuals for each Department and Agency in keeping with the GoJ RIM Policy and GoJ RIM Procedural	MDA specific RIM Policies and Procedural Manuals developed by FY 2017/2018.	MDAs, JARD	Resources for meetings and consultations to prepare RIM Policies and Procedural manuals	Preparation of MDA Policies & Manuals:		

	chain as well as the GoJ RIM Policy and Procedures.  MDA specific RIM Policy and Procedures Manuals shall preferably be separate documents	Manual.  Review and revise GoJ RIM Policy and Procedurals Manuals, at minimum, every five years.	Revised GOJ RIM policies and procedures, at minimum, every five years		Resources for meetings to review GoJ Policy and Procedural Manual, at minimum, every five years	JARD & All Classes		Review GoJ Policies & Procedures
1.3	Revise MDA policies and manuals at least once every five years.	Revise the MDA Policies and Procedures Manuals.	MDA specific RIM Policies and Procedural Manuals revised at least once every five years.	MDAs	Resources for meetings to review and revise MDA specific policies and manuals			JARD & Classes 1-4
1.4	Sensitisation and implementation of overarching and MDA specific RIM policies and legislation in support of public sector modernisation objectives and are aligned to relevant international good practices in the short term	JARD to circulate the applicable policies and legislation through its website. G-RIM Network to be used to disseminate legislation and regulations  Sensitisation programme across MDAs to be conducted according to a schedule.	JARD website updated with relevant policies and legislation commencing FY 2016/2017.  Sensitisation programme implemented.	JARD	No additional resources required.  Resources for sensitisation programme (venue, advertising and promotional material	JARD	JARD	JARD

					outreach etc.)				
1.5	Preparation and submission of an Annual Report on the state of records in MDAs, by JARD, to the OPM and the Parliament;	<ul style="list-style-type: none"> <li>• MDAs to conduct annual records stock taking</li> <li>• Storeroom records management systems to be installed</li> <li>• Train staff in records inventory</li> <li>• Preparation of Annual Reports by JARD and submission to OPM.</li> <li>• OPM to review and prepare for submission to Cabinet and ultimately the Parliament</li> </ul>	<p>Inventories submitted by Government institutions on or before 31<sup>st</sup> March of each year.</p> <p>JARD Annual Report tabled FY 2019/2020 &amp; ultimately, within legislated timeframe post 2021.</p> <p>Storeroom records management systems installed</p>	MDAs, JARD, OPM	Additional Officers needed to deal with backlog in inventory.	<p>Resources for acquisition and installation of records management system and training of staff.</p>	<p>Inventory: JARD, Classes 3 &amp; 4- FY 2017/2018</p>	<p>Inventory: JARD, Classes 1 &amp; 2 FY 2018/2019</p> <p>JARD Annual Report 019/2020</p> <p>JARD, Classes 1 &amp; 2 FY 2019/2020</p>	<p>Invent-ory JARD &amp; All Classes</p> <p>All Classes</p>



1.7	Establishment of an effective system for monitoring of RIM in MDAs and the institution of rewards and recognition schemes as well as the application of appropriate sanctions.	<ul style="list-style-type: none"> <li>JARD to conduct compliance visits.</li> <li>Public recognition to be given to conforming MDAs</li> <li>Appropriate administrative sanctions to be outlined (in legislation) and applied to deal with cases of non-compliance.</li> </ul>	<ul style="list-style-type: none"> <li>Compliance visits Reports submitted to OPM</li> <li>MDAs awards and recognition programmes implemented</li> <li>MDAs sanctioned for non-compliance</li> </ul>	JARD, OPM, OoC	Staff time to compile report and resources for rewards and recognition scheme	JARD & All Classes	JARD & All Classes	JARD & All Classes
1.8	The auditing of records and information management systems of all MDAs, for efficiency and effectiveness by the Archivist and/or the Auditor General's Department at least once every two years;	<ul style="list-style-type: none"> <li>AuGD to include assessment of RIM systems as part of audit processes.</li> <li>Training of AuGD staff to conduct audit of the efficiency and effectiveness of RIM systems.</li> </ul>	AuGD's Audit reports on RIM programme.	AuGD, JARD, OPM	Resources for training of AuGD staff	JARD & Classes 3 -4	JARD & All Classes	JARD & All Classes
<b>2.</b>	<b>KRA 2: Organisational Structures and Human Resources for RIM</b>							
	<b>Outcome: Efficient RIM services delivered by trained and experienced RIM professionals in JARD and the MDAs</b>							
2.1	It shall be mandatory for RIM staff, including heads of RIM, to have formal qualifications in records and information management on recruitment and if already appointed, such qualifications to be obtained within a designated timeframe.	<ul style="list-style-type: none"> <li>Review of recruitment requirements for RIM Staff and make it mandatory to have RIM qualification on entry</li> <li>Accommodate, where feasible, programmes of study for under-qualified appointed/temporary RIM staff</li> <li>Review civil service recruitment policies and procedures</li> </ul>	75-90% RIM staff operating within JARD & MDAs, qualified by FY 2020/2021  90-100% RIM qualified staff in MDAs post 2021	JARD, MFP, OPM, OoC, Office of the Services Commission, MDAs	Resources for bridging programmes for currently employed staff	Classes 3 -4	JARD & All Classes	JARD & All Classes

2.2	The Strategic Human Resource Management Division (SHRMD) of the GoJ will review and make adequate provision for career structures/pathways, that provide entry levels into the records and archives profession at MDA levels and for progression through the ranks to higher positions, as competencies, volume and complexity dictates.	<ul style="list-style-type: none"> <li>Review existing career pathways for RIM staff</li> <li>Develop and implement appropriate pathways for RIM staff</li> <li>JARD to coordinate with training institutions to provide training at para-professional and professional levels</li> </ul>	Career pathways in place for the RIM profession by FY 2018/2019	JARD, MFP, OPM, OoC	None			
2.3	The RIM job functions in the MDAs, including DDIAS positions, shall be streamlined in terms of job classification and pay scales and any existing anomalies are to be addressed to ensure occupiers of RIM related posts are in fact executing the appropriate functions.	<ul style="list-style-type: none"> <li>Review job descriptions of RIM positions, including DDIAS positions</li> <li>Standardise the job classification and pay scales</li> </ul>	Standardised job classification and pay structures in place by FY 2018/2019	JARD, OPM, OoC, MFP	Possible budgetary requirements arising from re-classified jobs			
2.4	The position of DDIAS (or its equivalent) shall be no lower than the third tier in the organisational structure.	Review the DDIAS positions and ensure that they are no lower than the third tier	All DDIAS positions no lower than the third tier as at 2018/2019	MDAs	Resources to re-design the structure.			
2.5	Capacity audits will be conducted in each institution to determine the number of staff and competencies required	<ul style="list-style-type: none"> <li>Conduct capacity audit in MDAs</li> <li>Structure MDAs in keeping with results of capacity audit.</li> </ul>	40% of MDAs with staff commensurate with their size and complexity by FY 2019/2020  90%-100% of MDAs with staff commensurate with their size and complexity by FY post 2021	MDAs	Resources for conducting the reviews and capacitating MDAs		Classes 3 & 4	All Classes

2.6	RIM Committees to be activated to serve MDAs.	Create/activate RIM Committees in all MDAs	RIM Committees in all MDAs activated by FY 2016/2017	JARD, MDAs	No resources needed	JARD & All Classes		
2.7	JARD, as both a RIM service provider and (de facto) regulator with respect to MDAs, shall recruit and appoint employees at the professional level, who have records and/or archives qualifications and the appropriate years of experience in records, archives and library management.	<ul style="list-style-type: none"> <li>Assess the existing qualifications of the JARD staff and match with the job requirements</li> <li>Determine the skills gap and arrange for staff to acquire the requisite qualifications over the next five years</li> </ul>	Reduction of % of JARD Staff without qualifications and skills.	JARD, OPM, OoC, MFP	Resources for the training of JARD staff	JARD	JARD	
2.8	JARD shall be restructured and posts re-classified so that it can discharge its mandate as both a service provider and 'regulator' for MDAs.	<ul style="list-style-type: none"> <li>Review the organisational structures of JARD to transition to National Archives with capacity to lead in RIM and monetise cultural assets</li> <li>Implement new/revised organisational structure.</li> </ul>	Re-structured JARD by FY 2021	OPM, OoC, MFP, JARD	Financial implications arising from the restructuring and fit-for-purpose infrastructure (including new building) requirements.			
2.9	JARD shall provide input to the Strategic Human Resource Management Division as required, in the periodic training needs assessments conducted for RIM across the GoJ and shall systematically engage with stakeholders to ensure that facilities exist to provide training and capacity building for RIM.	JARD to provide input to the Strategic Human Resource Management Division (SHRMD) in designing Training Needs Analysis	RIM Training Needs Assessments conducted across Government every three years	SHRMD, JARD, MDAs	Resources required for research			
2.10	It will be necessary for current JARD staff without registry experience to be attached to registries to gain an appreciation of the actual systems in use and the relationship of the	<ul style="list-style-type: none"> <li>Identify JARD staff needing registry experience</li> <li>Arrange the attachments to registry accordingly</li> </ul>	Inexperienced JARD staff attached to MDAs registries commencing FY 2016/2017	JARD, MDAs	No additional resources required except in instance of acting arrangements			

	registries/documentation centres with the users.							
2.11	Efforts shall be made to ensure that the RIM enterprise has the resources and skills for the management of large volumes of digital records by either acquiring those critical skills or training existing internal resources to meet the requirements through a well-defined ICT learning program.	<ul style="list-style-type: none"> <li>Implement capacity building programme</li> </ul>	JARD & MDA RIM staff with core ICT RIM related skills by FY 2021.Ongoing capacity building.  Capacity building programme implemented in all JARD & MDAs.	MDAs, JARD	Resources for developing and administering the training programmes	JARD & 20% of All Classes	JARD & 40% of All Classes	JARD & 100% All Classes
<b>3.</b>	<b>KRA 3 REFORM OF JARD'S INSTITUTIONAL FRAMEWORK AND INFRASTRUCTURE</b>							
	<b>Outcome: A Modernised JARD with Capacity to Discharge its Mandate</b>							
3.1	Reorganise JARD as an autonomous public body with a formal Management Board, empowered to earn income independently of the public purse	<ul style="list-style-type: none"> <li>Conduct organisational review of JARD</li> <li>Re-constitute JARD as an autonomous public body and as a National Archives.</li> </ul>	JARD restructured as an autonomous entity by FY 2020/ 2021	JARD, OPM, OoC, MFP	Resources to re-organise JARD as a National Archives	New institutional framework in place	Full implementation by 2020/2021	
3.2	Reconfigure the Archives Advisory Committee which will update and advise the Responsible Minister on matters of a technical nature relating to official records and access as well as major strategic policies related to RIM (such as disposition of official records).	<ul style="list-style-type: none"> <li>Reconfigure composition of Archives Advisory Committee</li> <li>Appoint members of the Archives Advisory Committee according to new legislated requirements.</li> <li>Legislative amendments</li> </ul>	Reconfigured Archives Advisory Committee in keeping with legislative provisions	JARD, OPM, OoC	Resources required to amend legislation			
3.3	Resource JARD as the Secretariat for the Archives Advisory Committee;	<ul style="list-style-type: none"> <li>Provide budgetary support to JARD to convene meetings of the Committee.</li> </ul>	Resourced JARD able to service Archives Advisory Committee by FY	OPM, OoC, JARD	Financial resources to establish and operationalise the	JARD		

		<ul style="list-style-type: none"> <li>Ensure staff capacity is sufficient to carry out Secretariat functions of the Archives Advisory Committee.</li> </ul>	2018/2019		Secretariat and to the Archives Advisory Committee			
3.4	Provide the initial capital outlay for the establishment of a modern National Archives over the medium term (2016-2021) and formulate a Road Map for implementation	<ul style="list-style-type: none"> <li>Preparation of a costed detailed plan and Road Map spanning 2016 - 2021 for submission to MoFP and Cabinet</li> <li>Implement alternate funding strategies (e.g donor funds etc.)</li> <li>Procure relevant goods and services in keeping with Plan (e.g legal services to treat with land acquisition and engagement of other services (e.g architectural)</li> </ul>	<p>Road Map and Budget for establishment of National Archives prepared 2016/2017</p> <p>JARD's Road Map implemented</p>	OPM, OoC, JARD, MoFP, NLA, NWA	Initial capital outlay for JARD	1 <sup>st</sup> tranche of funding received FY 2017/2018	National Archives established	Full implementation
3.5	Develop and implement a Change Management and Communication Programme within JARD.	<p>Prepare Change Management and Communication strategy for JARD</p> <p>On-going implementation of Change Management and Communication programme in keeping with the change management and communication schedule.</p>	<p>JARD Change Management and Communication Strategy developed FY 2015/2016</p> <p>Change management and communication programme implemented FY2016/2017</p>	JARD, OoC, OPM	Resources for strategy development meetings and required materials for the change management programme.			

<b>4.</b>	<b>KRA 4 RIM Systems</b>							
	<b>Outcome: GoJ records managed in accordance with international standards including ISO15489</b>							
<b>4.1</b>	<b>Acquisition, Access, Use and Preservation of Official Records and Archives</b>							
4.1.1	Re-double efforts to acquire both public and private archives (including audio visual archives), process, preserve and make them available for public use	<ul style="list-style-type: none"> <li>Review JARD acquisition policy</li> <li>Map out parameters for proactive acquisition of archives and document in an Acquisition Policy</li> </ul>	<p>New Acquisition Policy in place by FY 2017/2018</p> <p>Parameters for acquisition of archives established FY 2016/2017</p>	JARD	<p>Resources needed for dedicated staff to focus attention on identifying potential archives</p> <p>Resources needed to acquire archives, negotiate terms and enter into contractual agreements</p>			
4.1.2	Prioritise the acquisition of audio-visual records from MDAs over the next five years	<p>Prepare and issue guidelines for the acquisition and transfer to JARD of MDA audio-visual records and the management thereof.</p> <p>Establish system/mechanism for the collection of MDA audio-visual archives.</p>	<p>Guidelines for the acquisition, transfer and management of MDAs' audio-visual records issued JARD by FY 2016/2017</p> <p>Mechanism for collection established 2017/2018</p>	JARD	Resources for interactions with MDAs			

4.1.3	Ensure that the public and private archives are preserved, protected and secured (in keeping with international standards) against any potential hazards or threats, capable of damaging, manipulating or altering their structure or content, and that such preservation shall safeguard the integrity of the archives	Attain and maintain ISO certification of the archives and its systems.	ISO certification attained by 2021	JARD	Resources for technical assistance, and conforming JARD to ISO standards			
4.1.4	Develop and implement a public education campaign to encourage non-MDAs as well as citizens and other individuals to deposit records that have national significance and historical value. Each year, at least 5% of archives accessioned shall be from non-Government sources;	<ul style="list-style-type: none"> <li>Develop and implement national awareness programme.</li> </ul>	Increase private collection annually by at least 5% commencing FY 2017/2018	JARD, OPM (Public Affairs and Communications Unit)	Resources for mounting and acquisition campaigns and space to house the private collections			
4.1.5	Require public sector institutions which are to be transferred or are due to close, to give reasonable notice to JARD of the records or archives being submitted to JARD, in advance of closure or transfer of the entity (i.e three months' notice or where this is not feasible, as soon as practicable after the decision to close or transfer the entity is taken ) so that there may be a planned and systematic transfer and accommodation of these records or archives;	<p>Incorporate into MDA RIM Procedural Manuals, requirement for advance notification to be given to JARD about closure or transfer of an MDA.</p> <p>Issue JARD circular to MDAs regarding requirement for advance notice in instances of change, transfer or closure of MDAs</p>	<p>RIM Procedures Manuals assigning responsibility for advance notification of JARD by FY 2016/2017</p> <p>Circular issued by FY 2016/2017</p>	JARD, OPM, MDAs	No additional resources required			
4.1.6	Develop and implement strategies to encourage use of the archives by the Jamaican public as well as regional and international clients.	<ul style="list-style-type: none"> <li>Develop business proposal to include:</li> <li>costed Communication Plan for encouraging use of archives by the public:</li> <li>embedded strategies for the</li> </ul>	Business proposal including implementation plan submitted by FY 2018/2019	JARD, OPM & OcC, OPM (Public Affairs and Communications Unit)	Resources for technical expertise and acquiring ICT requirements for online and other services.			

		<ul style="list-style-type: none"> <li>• utilisation of electronic access</li> <li>• revenue generation mechanisms and projected earnings from same, outlined.</li> <li>• Implement Plan</li> </ul>	<p>Awareness campaign launched FY 2016/2017</p> <p>Implementation of approved proposal by 2021</p>		<p>Other resources for mounting e campaigns and increasing public awareness via media etc.</p>			
4.1.7	Adequately utilise appropriate technologies, for the preservation of digital records to ensure long-term accessibility and availability.	<p>Develop migration policy for digital records and archives</p> <ul style="list-style-type: none"> <li>• Acquire technology required for the long-term preservation of digital records</li> </ul>	<p>Migration Policy for digital records and archives by FY 2016/2017</p> <p>Costed technology acquisition plan by FY 2016/2017</p> <p>Technology acquired as per aschedule/plan commencing FY 2017/2018</p>	JARD	<p>Resources required for periodic migration of the digital records and acquisition of relevant ICT</p>			

4.2	RIM Committees and other Key Supporting Structures and Mechanisms in MDAs								
4.2.1	The RIM Committees shall be constituted, at the Ministry level, and shall be chaired by a member of the Senior Management Team designated by the Permanent Secretary. The DDIAS of the Ministry shall perform the Secretariat functions of the Committee	<ul style="list-style-type: none"> <li>RIM Committees to be constituted in each Ministry with Senior officer appointed as Chairman.</li> <li>DDIAS to provide Secretariat services</li> </ul>	Functional RIM Committees in each Ministry by 2016/2017	MDAs, JARD, OPM, OoC,	Resources for JARD to support the setting up of RIM Committees and to provide oversight on their functioning	JARD & All Classes			
4.2.2	The RIM Committees shall include representatives from the legal and IT departments of the Ministry, one representative from the administrative department and one representative from the technical departments of the Ministry.	RIM Committee appointments done in keeping with stipulated representation (e.g. IT, legal etc.)	Representative RIM Committees by FY 2016/2017	MDAs	No additional resources required				
4.2.3	<p>The core Terms of Reference for RIM Committees shall be set out by Administrative Circular to be issued by JARD from time to time, in consultation with the MDAs, to include the following minimum functions:</p> <ul style="list-style-type: none"> <li>development of internal RIM Policies and RIM procedural manuals (to include the treatment of e-RIM and audio visual records);</li> <li>development of retention and disposal schedules;</li> <li>development of internal classification protocols which are compatible with the established GoJ classification scheme as existing from time to time;</li> <li>provision of advice, as needed, with respect to the provision of access to official records to the public in</li> </ul>	Prepare and issue the Administrative Circular with RIM Committee TORs.	Core RIM Committee TORs circulated by FY 2016/2017	JARD, OPM, MDAs	No additional resources needed				

	<p>accordance with the ATI Act and any other law;</p> <ul style="list-style-type: none"> <li>• provision of advice on the roles and responsibilities to be ascribed various categories of staff;</li> <li>• oversight of MDA's compliance with GoJ and internal RIM policy and procedural manuals; and</li> <li>• serve as a point of contact for JARD on RIM matters, particularly, the implementation of the GoJ RIM Programme.</li> </ul>							
4.2.4	Each Department and Agency in the Ministry shall have its own RIM Committee which shall liaise with the portfolio Ministry RIM Committee as needed and for reporting purposes.	Establish RIM Committees in Departments and Agencies in consultation the parent Ministry and provide for training.  Reports from Departments and Agencies submitted to the RIM Committee in the parent Ministry.	Functional RIM Committees in each Department and Agency and reporting commenced FY 2016/2017	DAs	Resources to set up and train the RIM Committee on RIM			
4.2.5	The RIM Committees shall meet at least twice a year and Minutes of the RIM Committee meetings shall be compiled and maintained.	DDIAS and Records Managers to prepare annual meeting schedules and ensure Minutes are kept	RIM Committee meetings being held regularly and minuted by FY 2016/2017	MDAs	Resources for hosting the meetings			
4.2.6	Each year, a meeting shall be convened by the Chair of the Ministry's RIM Committee which shall be attended by at least one representative from each Department and Agency of the Ministry.	DDIAS to organise the annual meeting to include Department and Agency representation	Annual general meetings held with representatives from Departments' and Agencies' RIM Committees commencing FY 2017/ 2018	MDAs	Resources for convening the meeting			
<b>4.3</b>	<b>Creation, Capture and Registration of Records</b>							
4.3.1	All records created or received in the normal course of business by any Government Institution or employee shall be the property of	• Staff apprised of responsibilities for records, to include creation, capture and registration.	Staff sensitised about RIM and handover/takeover schedules by FY	JARD, OPM, OoC, MDAs	Resources for sensitisation sessions			

	the GoJ and shall be captured and registered into a recordkeeping system. This shall include electronic and audio-visual records.	<ul style="list-style-type: none"> <li>Handover/takeover procedures to include schedule of paper and electronic records</li> </ul>	2016/2017		and required material			
4.3.2	All records' creators and users shall be aware of the distinction between records and non-records. Once captured and registered into the recordkeeping system, records shall not be altered.	RIM procedures detailing distinction to be issued to all staff (by way of RIM Procedural Manuals)	All staff of MDAs provided access to relevant RIM Procedural Manuals by FY 2016/2017	JARD, MDAs	Resources needed for distributing the RIM Procedural Manual			
4.3.3	Officers shall be required to work on the network drives and save the information either in the shared folders or individual folders on the network as determined by MDAs' e-RIM policies and procedural manuals.	<ul style="list-style-type: none"> <li>MDAs to develop and circulate e-RIM policies and procedural manuals to guide officers on utilising network drives and shared folders and to acquire/improve IT systems.</li> </ul>	MDAs' e-RIM policies developed in 2016 -2019  All GoJ e-records created and stored on network drives over the period post 2021.	JARD, OPM, OoC, MDAs (IT Units)	Resources to increase network capacity	Classes 3 & 4	Classes 2-4	All Classes

4.3.4	Document naming conventions shall be used for electronic records as per the guidelines that will be issued by JARD from time to time.	<ul style="list-style-type: none"> <li>• GoJ RIM Procedural Manuals specifying document naming conventions, to be developed and issued to creators.</li> <li>• Periodic inspections conducted by DDIAS/Records Managers</li> </ul>	60 – 80% increased compliance with naming conventions by FY 2019/2020  Inspections conducted by DDIAS/Records Managers on an on-going basis from FY 2017/2018	MDAs (DDIAS) & JARD	Resources needed for distributing Procedural Manuals and staff time to conduct inspections.	Classes 3 and 4	All Classes	
4.3.5	All officers creating records, shall ensure that they create records that are complete, accurate and contain sufficient information and details to enable them to provide authoritative and authentic evidence of the transactions that they represent (i.e Metadata).	<ul style="list-style-type: none"> <li>• RIM Procedural Manuals to specify metadata recording procedures.</li> <li>• Training regarding recording metadata.</li> <li>• Periodic inspections to be conducted</li> </ul>	Adherence to meta data recording requirements increased by 60 - 80% by FY 2019/ 2020 & by 81% - 100% post 2021.  Inspections conducted in keeping with schedule.  Training of staff by FY 2018/2019	MDAs	Resources for training	JARD and Classes 3 & 4	All Classes	All Classes
4.3.6	The medium used when creating records shall be that which promotes long-term preservation, retrieval and usability of the records.	JARD to periodically issue guidelines to MDAs regarding long-term preservation medium.	Guidelines issued to MDAs by FY 2016/2017 and as needed thereafter.	JARD	Resources for research			
4.3.7	JARD shall define standards and give guidance to ensure that sustainability issues are adequately addressed as part of the planning,	JARD to periodically issue guidelines to MDAs regarding sustainability issues.	Guidelines issued to MDAs on management of electronic records by FY	JARD	Resources required for enforcement of practices inclusive of			

	creation, and active management of electronic records. These may include guidelines on such issues as file formats and other technology selection issues, metadata standards, and wider information management standards	Conduct compliance assessment visit	2016/2017 and from time to time thereafter.  Compliance visits conducted and report prepared in keeping with schedule.		compliance visits to monitor adherence to guidelines			
4.3.8	All MDAs shall include RIM awareness in their staff induction programmes and the RIM Procedural Manuals shall be made available to all staff either through the intranet or on the shared drives of each department/section/unit.	RIM awareness/sensitisation is part of MDAs induction programme.	Induction programmes revised by 2017/2018 and implemented on an on-going basis.	MDAs, JARD	Print and electronic version of RIM manual and other sensitisation material	All classes	All classes	All classes
<b>4.4</b>	<b>Classification and Indexing</b>							
4.4.1	All MDAs shall adopt and use the GoJ Functional Based Classification Schemes based on the classification of the business activities of the entity. However, for purposes of uniformity, all MDAs will be required to start with the common types of functions before the institution specific functions.	DDIAS and Records Managers in each entity shall create, control and manage the Master classification schemes and institution specific functions.	Function based Master Classification Schemes developed by JARD in FY 2015/2016  Institution specific functions adapted from GoJ Master Classification scheme by MDAs by FY 2016/2017.	JARD, MDAs	Resources needed for training to be provided to JARD and MDAs on function based classification scheme	JARD & All Classes		
4.4.2	The classification schemes shall be used to develop institutional Master File Plans which shall apply to both paper and electronic	• Records surveys to be conducted, registries and offices to be decongested and records to be re-structured and	Records restructured and classified as per the new functional based classification scheme by	MDAs	Resources for training on records surveys and restructuring of the	Classes 3 - 4	All classes	

	records.	classified thereafter	FY 2019/2020 and as per schedule		classification schemes			
4.4.3	The Master File Plans shall be prepared at records series and sub-series levels and shall mirror the main functions and sub-functions of the organisation	Develop Master File Plan in keeping with classification schemes for paper and electronic records	Master File Plan developed by FY 2016/2017	MDAs	See 4.4.2 above			
4.4.4	The Master File Plan in each institution shall be a controlled document which, after internal approval, shall be submitted for approval by the Government Archivist and which shall only be changed with the approval of the latter.	<ul style="list-style-type: none"> <li>• Submit the draft Master File Plans for internal approval</li> <li>• Submit the plans to JARD for review and approval</li> </ul>	Approved Master File Plans by FY 2017/2018	MDAs, JARD	No additional resources needed			
4.4.5	Beyond the Master File Plan, there shall be flexibility in terms of which records, series and sub-series to expand and expound, depending on the detailed functions and activities of the particular department, unit or office.	See 4.4.3 above	See 4.4.3 above	See 4.4.3 above	See 4.4.3 above			
4.4.6	All officers that generate, receive and maintain records in their offices (paper and electronic) shall be required to classify the records as per the File Plan of the institution.	All registries and offices shall be converted to the function based classification scheme	Function based classification being utilised in all registries and offices of MDAs	MDAs	Resources will be required for training and compliance enforcement			
4.4.7	JARD will issue guidelines for the treatment of classification of audio visual records having considered: <ul style="list-style-type: none"> <li>• the outcome of the National Library's deliberations relative to standardised cataloguing of AV materials; and</li> </ul>	<ul style="list-style-type: none"> <li>• JARD to prepare and issue guidelines for the classification of audio visual records in MDAs</li> <li>• JARD to issue standards for arrangement and description of audio visual records</li> <li>• Schedule roll out of the Audio visual</li> </ul>	Guidelines and standards for classification of audio visual records issued to MDAs by FY 2017/2018	JARD	Resources for developing the guidelines and standards			

	<ul style="list-style-type: none"> <li>the standard(s) to be used and the automated platforms required to support them.</li> </ul>	classification scheme						
4.4.8	Records shall be indexed as per the guidelines provided in the RIM Procedural Manual of the GoJ and the MDA.	Preparation of MDAs indexes for use by the institutions	File Lists in registries indexed to facilitate retrieval by FY 2019/20	MDAs	Resources will be required for training	4	Classes 3 & All Classes	
4.4.9	All registries will maintain complete inventories of MDA records.	MDAs to prepare and maintain inventory lists of all electronic, paper and audio-visual records	Paper and electronic files with inventory lists by FY 2019/2020	MDAs	No additional resources needed	4	Classes 3 & All Classes	
<b>4.5</b>	<b>Storage and Maintenance</b>							
4.5.1	JARD and MDAs shall be provided with the buildings, office space, records storage space, shelving, RIM supplies, reprographic and conservation equipment, information communication technologies and other resources necessary for the safekeeping of the records and archives in keeping with the goals and the objectives of the RIM Programme over the medium to long term and JARD, over the period 2016 – 2021	<ul style="list-style-type: none"> <li>Needs assessment to be conducted to quantify and cost RIM infrastructure and other resource needs for each MDA</li> <li>JARD and MDAs' needs are integrated into yearly capital budgets</li> </ul>	Requisite infrastructure and resources provided for the RIM function over FYs 2016 - 2021	MOFP, MDAs, JARD, OPM, OoC	Resources needed to overcome deficits identified during the RIM Assessments conducted in 2010 and 2012  Retrofitted Building to house Gvt. Records Centre, Audio-visual Unit and Archives Unit.			
4.5.2	Records storage arrangements shall take into consideration the format, media, nature and use of the records, as well as migration requirements in the case of electronic and digital records.	JARD to continuously research changing technology for electronic and digital records and provide periodic guidelines for migration of records.	Guidelines on migration of records prepared and issued, the first no later than FY 2017/2018.	JARD	Resources for research and migrating records.			

4.5.3	Adequate storage space and facilities shall be provided to cater for current records in the registries and operational areas in the short term.	All MDAs to conduct assessment of storage requirements for current records and to develop strategies to meet the needs/requirements.	Assessments completed and strategies implemented for storage of current records by FY 2018/2019	MDAs	Resources for records storage facilities	All Classes		
4.5.4	Each MDA shall provide appropriate storerooms and strongrooms, with appropriate shelving and other equipment for the storage and management of semi-current records.	<ul style="list-style-type: none"> <li>All MDAs to conduct assessments of storage requirements for semi-current records and develop strategies to meet the needs</li> <li>Storerooms to be put in place</li> </ul>	See 4.5.3 above	MDAs	Resources for records storage facilities	All Classes		
4.5.5	Non-current records, both paper and electronic, shall be transferred to the custody of the Government Records Centre, and, in the case of electronic non-current records, transferred to a designated repository under JARD's custodianship.	<ul style="list-style-type: none"> <li>JARD to make arrangements for the receipt and storage of electronic records</li> <li>JARD to develop its capacity to manage paper and electronic records transferred to its custody</li> </ul>	JARD in-house/out-sourced facilities for storing electronic and paper records and archives by FY 2018/2019	MOFP/JARD	Resources for the facilities for storage and maintenance of records and archives			
4.5.6	JARD's ICT infrastructure shall be at a level equivalent to or higher than the MDAs and JARD shall maintain, or make arrangements to maintain, multiple redundant copies of electronically archived records, through appropriate replication and backup processes.	Source/build and improve JARD's ICT infrastructure so that it is equivalent to or better than that in the MDAs.	see 4.5.5	MOFP/JARD	Resources, including storage facilities for electronic records, are required to be able to provide this service			
4.5.7	At least one complete set of backup copies shall be maintained at a remote secure facility, located at least 100 kilometres from the main archive centre. The viability of backup copies, including the ability to restore from backups, shall be periodically tested.	Build or utilise a Data Recovery Centre (DRC) away from Kingston	Disaster Recovery Centre established according to standard by FY 2018/2019	MOFP/JARD	Resources required for contracting, setting up and maintaining the Disaster Recovery Centre			
4.5.8	Preservation requirements for records and archives shall be incorporated into JARD's and MDAs' Incident Management Framework and	<ul style="list-style-type: none"> <li>JARD to prepare Incident Management Framework and Business Continuity Plans</li> </ul>	Incident Management Framework and Business Continuity Plans	JARD	Resources for planning and preparing the required framework and	JARD & Classes 3 &	Classes 1 & 2	

	Business Continuity Planning process to ensure the continued availability or restoration of all stored records in the event of an incident or disaster. The relevant plans shall be periodically tested through appropriate types of disaster recovery exercises.	<ul style="list-style-type: none"> <li>• Periodic testing of the disaster recovery systems</li> </ul>	developed and implemented by FY 2020/2021		plan. Resources to implement			
4.5.9	MDAs shall be required to have clearly articulated environmental standards and controls for records and archives.	<ul style="list-style-type: none"> <li>• JARD to prepare and issue standards for environmental controls for records and archives</li> <li>• Each MDA to extract and prepare its own environmental standards for records and archives</li> </ul>	Environmental standards for records and archives FY 2017/2018.	JARD, MDAs	Resources required to ensure the RIM infrastructure and working conditions meet the environmental requirements			
4.5.10	MDAs and JARD shall make provision for (on the establishment or by outsourcing) securing expert advice with respect to compliance with the relevant environmental standards and controls for RIM and for taking the appropriate steps recommended, after the conduct of environmental audits and other inspections .	<ul style="list-style-type: none"> <li>• Procurement of RIM environmental services</li> <li>• Implementation of recommendations made by environmental expert</li> </ul>	Proposal made and recommendations implemented FY 2019/2020	JARD, MDAs	Resources for contracting the expert and implementing the recommendations	JARD	All classes	
<b>4.6</b>	<b>Security, Access, Use and Tracking of Records</b>							
4.6.1	The design and acquisition of software which will enable the establishment of an electronic central registry will be pursued over the medium to long term.	<ul style="list-style-type: none"> <li>• Discussions with stakeholders to be held and various options explored</li> <li>• Requirements specifications to be developed</li> <li>• Central e-archive (in-house/outourced) established</li> </ul>	GoJ e-archive facility established by FY 2020/2021	JARD, OPM, OoC, MDAs	Resources for initiating the process, acquiring and establishing the facility		JARD	
4.6.2	Procedures for access and use of all records shall be developed and enforced, and shall define access and authority controls, stipulating	<ul style="list-style-type: none"> <li>• Develop MDA Policy and Procedural Manuals which include procedures for controlling access to records</li> </ul>	Procedures for access control developed and implemented in all MDAs	JARD, MDAs	No additional resources needed	JARD & All Classes		

	which officer can have access to what records and which access rights shall be enforced within the recordkeeping system.	•Implementation of access control standards	commencing FY 2016/2017 (on-going thereafter)					
4.6.3	To facilitate granting of access rights, records shall be security classified and categorised according to their level of sensitivity. Records that are restricted shall be boldly stamped or watermarked to reflect their access status. JARD in consultation with the office of the CIO will develop Guidelines for these purposes.	MDAs to implement GoJ's security classification rules and procedures to categorise records and determine access permissions	Security classification and categorisation of records determined, made widely available and utilised throughout the GoJ by FY 2017/2018	JARD,MDAs	Resources for circulating rules and procedures.	JARD and All Classes		
4.6.4	Appropriate systems shall be developed and used for the tracking of paper and electronic documents and records. This shall include both action and location tracking.	Develop RIM systems for action and location tracking	Action and location tracking systems established and implemented by FY 2018/2019.	JARD, MDAs	No additional resources required	JARD & All Classes		
4.6.5	All e-RIM systems shall provide for audit trails and/or event logs to record all actions applied on e-records within the system, the time, dates and persons responsible for the actions.	MDAs to include RIM ICT systems which provide audit trails	ICT systems in MDAs compliant with standard for audit trails by FY 2017/2018.	JARD, MDAs	No additional resources required	FY 17/18 Class 4  FY 18/19 - JARD & all classes with ICT system.	All classes	
4.6.6	Public access to all government records shall be governed by the legislative regulations relating to access and provision of information to the	Archives legislation to be reviewed and aligned to Access to Information legislation	Archives Act aligned with Access to Information	JARD, OPM	Resources required to contract experts to review and align			

	public.		legislation FY 2020/2021.		legislation			
<b>4.7</b>	<b>Records Disposition</b>							
4.7.1	No official records shall be destroyed without the approval of the Archives Advisory Committee (AAC).	<ul style="list-style-type: none"> <li>• AAC to be re-activated and to meet regularly</li> <li>• A sub-committee of the AAC to be constituted to conduct the appraisal of records and make recommendations to the AAC</li> </ul>	Functional Archives Advisory Committee working with a sub-committee for records appraisal FY 2016/2017	JARD	Resources for convening meetings of the Archives Advisory Committee and its sub-committee			
4.7.2	The appraisal of records and the preparation of records retention/disposal schedules shall be done at the macro-level, i.e. at records series and sub-series levels.	MDA Classification schemes to identify records series and sub-series which will be the basis of the records appraisal process	Records appraisal process done at records series and sub-series levels by FY 2018/2019	JARD, MDAs	Resources for training MDAs RIM Staff and RIM Committees in macro-appraisal techniques			
4.7.3	Non-records shall be defined in the legislation to refer to <i>documents such as drafts, worksheets, routine memos, or extra copies created for convenience or distribution, that have no retention value and no need for filing</i> . Disposal shall be in an appropriate and prescribed manner once that administrative, legal or fiscal use has expired. The requirements for retention should be sufficiently flexible so that retention is not a fixed period of time but may be event driven. and JARD will issue circulars from time to time,	Non-records to be included and defined in the proposed new legislation.  JARD to issue circular to guide MDAs in implementing the legislation (regarding identification and separation of records and non-records etc)	Non-records defined in new legislation by FY 2020/2021.  Circular to prepare/guide MDAs for the separation of records and non-records to be issued and widely disseminated FY 2016/2017...	OPM, JARD, OoC	Resources for guiding MDAs to comply with the legislation and for distribution of circular			

	regarding the treatment of non-records.							
4.7.4	The definition of official records, for purposes of RIM will be reviewed to embrace all documents, regardless of form or medium, once created or received in the course of doing the business of the MDA, specific reference to e-records will be considered.	Official records to be re-defined in the proposed new legislation.  JARD to issue circular to guide MDAs in the definition and treatment of official documents pending legislative.  JARD to monitor full implementation upon promulgation of legislation.	Official records re-defined in legislation by FY 2020/2021  Circular to sensitise MDAs regarding the definition and treatment of official documents pending legislative provisions by FY 2017/2018.  JARD monitoring full implementation upon promulgation of legislation.	JARD, MDAs	No additional resources required			
4.7.5	The GoJ will develop a Procedural Manual which will set out the criteria for determining whether an official record has a permanent or short-term value and will embed considerations such as:  <ul style="list-style-type: none"> <li>continuing administrative, legal and financial value;</li> <li>context, that is the organisational, functional, and operational circumstances surrounding the records' creation, receipt, storage, or use;</li> </ul>	<ul style="list-style-type: none"> <li>Develop GoJ RIM Procedural Manual to guide MDAs in managing their records</li> <li>MDAs to derive their institution specific RIM Procedural Manuals from the GoJ RIM Procedurals Manual</li> </ul>	GoJ Procedural Manual & institution specific manuals developed and made available to all staff by FY 2016/2017 & 2017/2018 respectively.	JARD, OoC, OPM	Resources for development of the GoJ Procedural Manual	JARD & All Classes		

	<ul style="list-style-type: none"> <li>evidential value of an organisation's activity(s); and</li> <li>historical and cultural value.</li> </ul>							
4.7.6	Records retention/disposal schedules for categories of records that are common across the public service shall be prepared and issued by the AAC and shall be applied by all MDAs.	<ul style="list-style-type: none"> <li>JARD to identify common records across the GOJ, prepare schedules and submit for appraisal by the AAC</li> <li>Retention/Disposal Schedule for common records to be issued to MDAs</li> </ul>	Retention/Disposal Schedules for common records by FY 2017/2018.	JARD, AAC	Resources for meetings of the sub-committee of the Archives Advisory Committee			
4.7.7	MDAs shall develop institution specific records retention/disposal schedules in compliance with the GoJ Procedural Manual and through consultation with the RIM Committee and JARD.	<ul style="list-style-type: none"> <li>MDAs RIM Committees conduct initial appraisal and submit the retention recommendations to the AAC</li> <li>Appraisal and preparation of institution specific retention and disposal schedules through consultation with, at the first stage, the RIM Committee of the MDA.</li> <li>Recommendations from the MDA regarding records retention/disposal schedule, submitted to JARD and placed before a Records Appraisal Committee (a sub-committee of the AAC).</li> </ul> <p>Final approval by the AACs mandated by the legislation.</p>	MDA specific records retention/disposal schedules approved by the Archives Advisory Committee by 2019/2020.	MDAs, JARD	Resources for appraising MDAs records and for convening meetings of the AAC and its sub-committee	Classes 3 & 4	All Classes	
4.7.8	Records of transitory value shall be disposed of by the MDAs and by JARD in line with the retention/disposal schedules approved by the AAC. No record shall remain un-disposed of more	<ul style="list-style-type: none"> <li>Conduct records disposition in keeping with Approved Retention Schedules and GoJ Policy (to include AAC approval)</li> <li>Internal Audi to check that records due</li> </ul>	Records disposed of in keeping with schedule and not exceeding six (6) months post due date by	MDAs, JARD	Resources required for conducting disposal exercise and compliance monitoring by JARD	Classes 3 & 4	All Classes	

	than six months after its due date for disposition.	<ul style="list-style-type: none"> <li>for destruction are being disposed of as scheduled</li> <li>External audits to be conducted.</li> <li>JARD to conduct compliance audits.</li> </ul>	FY 2019/2020					
4.7.9	Methods of disposal shall be appropriate to the type of record and medium, environmentally friendly and shall preserve the confidentiality of any information they contain. JARD, in keeping with decision of the AAC will provide guidance accordingly.	JARD to issue guidelines on records disposal	Records being disposed of in accordance with established procedures by FY 2019/2020	JARD, MDAs	Resources for disposal of records  Resources for compliance monitoring by JARD	Classes 3 & 4	All Classes	
4.7.10	All official records with archival value shall be transferred to the custody of JARD where, on maturation as public archives, they shall be made available for public consultation, in accordance with the Archives Act and any disclosure restrictions that may exist.	<ul style="list-style-type: none"> <li>Conduct annual records inventories to identify records which should be transferred to JARD.</li> <li>Identification of Confidential records to be protected from public disclosure</li> </ul>	Increased number of archives transferred to JARD or held in the MDA under authorisation by JARD by FY 2020/2021	JARD/MDAs	Resources for the transportation of archives to the National Archives	Classes 3 & 4	All Classes	
4.7.11	All official records with archival value kept by any repository that may be sanctioned by JARD shall be maintained in accordance with guidelines and conditions that shall be set by JARD.	<ul style="list-style-type: none"> <li>JARD to set guidelines and conditions for designated repositories of archival material</li> <li>Review MDA annual inventory lists to identify records due /overdue for transfer to JARD.</li> <li>Custodial conditions to be imposed on records that have matured as archives but remain under the MDAs' jurisdiction</li> </ul>	Records of archival value being kept by MDAs/repositories in keeping with Guidelines and conditions set by JARD by FY 2020/2021.	MDAs, JARD	see 4.7.10	Classes 3 & 4	All Classes	
4.8	<b>E-Mail Management</b>							

4.8.1	E-mails that are used to conduct GoJ business are official records and shall be captured as records and managed in accordance with this Policy.	MDAs to raise awareness, among staff, about treating and capturing e-mails as records	Notices issued to staff regarding the treatment of e-mails as corporate records in accordance with the RIM Policy & Procedural Manuals by FY 2018/2019.  E-mails managed as corporate records in accordance with the RIM Policy and Procedural Manuals by FY 2018 - 2019	JARD, MDAs	Resources for training/sensitisation of employees around email management	All Classes		
4.8.2	MDAs shall invest in e-mail management systems that facilitate the capture and management of e-mails as official records of the GoJ. Such systems shall be deployed on government designated domains.	MDAs to review the capacity of their ICT to manage e-mails as records and investments to be made to upgrade the ICT as necessary to manage e-mails as records	ICT systems with capacity to manage e-mails as records by FY 2018/ 2019	JARD, MDAs	Resources required for accessing &/or upgrading of the ICT systems	All Classes		
4.8.3	All e-mails held in the official GoJ e-mail domain(s) are the property of the GoJ therefore users of GoJ e-mail systems shall not have any expectations of privacy.	MDAs to issue notices to staff on an ongoing basis.	80-100% of MDAs' emails containing only GoJ information by FY 2018/20189	JARD, MDAs, MSTEM	Resources for raising awareness	All Classes		
4.8.4	Use of personal e-mail addresses by public officers for official business is prohibited where owing to MDAs' system constraints/crashes, public officers have to use alternate e-mail addresses, these shall be in the name of the organisation, not personal addresses.	MDAs to prepare and issue guidelines about e-mail communication.	E-Mail guidelines regarding use of personal e-mail issued to MDA staff by FY 2017/2018	JARD, MDAs	No additional resources required	All Classes		

4.8.5	Personal e-mails shall not be considered as official records and shall not be captured into the recordkeeping system.	MDAs to issue notices to staff with respect to the treatment of personal emails	Notices to staff regarding personal emails issued by FY 2017/2018.  GoJ ICT systems which contain only GoJ information by FY 2017/2018 in keeping with widely disseminated notices..	JARD, MDA, MSTEM	Resources for raising awareness	All Classes		
4.8.6	E-mails that are deemed to have evidential value shall remain intact in terms of their <i>structure</i> , <i>content</i> and <i>context</i> to ensure they remain authentic and accurate for the entire duration they are serving business functions.	JARD to prepare and issue guidelines for use by MDAs, with respect to e-mails containing evidential material.	GoJ E-mails kept in a manner that preserve their structure, content and context by FY 2017/2018 in keeping with widely disseminated guidelines.	JARD, MDAs	Resources for raising awareness	All Classes		
4.8.7	RIM Committees in MDAs shall designate levels at which officer's e-mails are required to be archived and preserved as per the CAPSTONE approach.	CAPSTONE approach to email archival to be utilised in MDAs.  Each MDA, through its RIM Committee and the Management Team to designate and list e-mail accounts that must be archived in totality as per CAPSTONE approach (subject to disposal of e-mails of transient value)	CAPSTONE approach to email archiving deployed in MDAs and e-mail accounts to which same apply, designated by FY 2018/2019	MDAs, OoC	Resources are required to provide ICTs necessary, to support the CAPSTONE approach (storage capacity and inventory thereof inclusive).	All Classes		
4.8.8	E-mails received by or initiated by public offices, including attachments, and which relate to the	Records retention/disposal schedules for e-mails of non-designated accounts to be	E-mails retained or disposed of in accordance	JARD, MSTEM	No additional resources	All Classes		

	business activities of public offices of non-designated e-mail accounts, shall be retained in accordance with the established records retention/disposal schedules of the institution, as approved by the AAC.	developed and implemented	with the MDA's retention/disposal schedules by FY 2018/2019	MDAs	required			
4.8.9	E-mails shall be subject to established access controls and regulations to protect against unauthorised or inappropriate access.	Guidelines to be issued by each MDA regarding access to records	General access guidelines, issued to staff of MDAs, inclusive of e-mails by FY 2018/2019	JARD & MDAs	Resources required for production of guidelines for the institution of systems control.	All Classes		
4.8.10	MDAs shall define categories of information that may not be transmitted via e-mail.	MDAs to list and provide a schedule of information that may not be transmitted via e-mail	List of information that may not be transmitted by e-mail circulated by FY 2018/2019	MDAs, JARD	No additional resources required	All Classes		
<b>4.9</b>	<b>Information Sharing</b>							
4.9.1	The flow of information and sharing of data within and across public institutions shall be encouraged to promote common understanding and knowledge, inform decision making and improve service delivery.	The information/data handling/storage points of MDAs shall be identified and schedules prepared and distributed to encourage information sharing pursuant to the Data Sharing Policy to come.	MDA schedules of information/data collection, handling and storage points identified by FY 2018/2019.  Sharing to take effect when Data Sharing Policy comes into force and in keeping with related Implementation Plan and disclosure requirements	MDAs	No additional resources required	All Classes		

4.9.2	All MDAs shall identify and classify their information in terms of what can be shared within the institution, what can be shared with other public institutions, what can be shared with non-public institutions, what can be shared with the public (public information) and what should not be shared.	<ul style="list-style-type: none"> <li>Information to be classified in terms of what can be shared and with whom.</li> <li>Schedules of the relevant legislation to be compiled and distributed in the MDAs to increase awareness and compliance</li> </ul>	As at 4.9.1 above.	MDAs	No additional resources needed	All Classes TBD		
4.9.3	Provisions of various legislation governing disclosure of public information shall be complied with when sharing information with entities outside the MDA.	Each MDA to be made aware of disclosure requirements through compilation of a schedule of relevant legislation	MDAs complying with relevant information disclosure legislation in terms specified at 4.9.1 above	MDAs	No additional resources needed	All Classes TBD		
4.9.4	Adequate technological infrastructure including ICTs shall be deployed to facilitate sharing of information, including but not limited to online sharing. Such technologies shall provide adequate security for information being shared.	Installed ICT systems to facilitate information sharing	Requisite ICT infrastructure by FY 2020/2021	JARD & MDAs	Resources to acquire the requisite ICTs to operationalise sharing information.	JARD, Class 3 and 4	Classes 1 & 2	
4.9.5	To promote information sharing and to enhance decision making within MDAs, a consolidated list of the file plans and titles of files in the Registry, departments and individual offices shall be compiled and published in keeping with the GoJ RIM Procedural Manual. Any information of	Information sharing within the MDA shall be promoted through compilation of organisation wide filing schedules that reflect the totality of records held in the MDA and can be accessed as per the access	MDA-wide schedules of records as at 4.9.1 above	MDAs	No additional resources required	All Classes		

	public policy or other relevance or significance, collected through research or surveys and whose value has cross-cutting benefits across the public sector, shall be shared with relevant MDAs in keeping with this Policy and the provisions of a Data Sharing Policy to be developed.	regulations of the MDA						
4.9.6	Procedures shall be developed and enforced for safeguarding confidential information shared across MDAs to prevent unauthorised access.	JARD to develop procedures to protect confidential information which are to be adopted/adapted and implemented in JARD & MDAS	Procedural Manuals detailing treatment of confidential information in place and widely disseminated to staff FY 2017/2018  No unauthorised access to confidential information in keeping with established safeguards by FY 2018/2019.	JARD & MDAs	No additional resources required	JARD & All MDAs		
<b>4.10</b>	<b>ICT for RIM</b>							
4.10.1	Full specifications for ECMs to be made available to all MDAs by JARD and e-Gov, with the indication that requirements are to be segmented in accordance with the ICT maturity level of each organization	JARD and E-Gov to issue guidelines for the RIM software that meets defined ECM standards	Guidelines and standards for software that meets RIM ECM requirements developed and issued to MDAs by FY 2016/2017	JARD, E-Gov	Resources to build the required capability for JARD			
4.10.2	MDAs procuring ECM to select from designated software packages identified by e-Gov and JARD (e.g. three or four packages) for use by MDAs	JARD and E-Gov to identify suitable software packages and issue guidelines to MDAs	List of designated ECM software developed and issued to MDAs by FY 2016/2017	JARD, E-Gov & MDAs	Resources for selecting suitable software	JARD & All Classes	JARD & All Classes	

			MDAs selecting ECM software packages by FY 2020/2021 in keeping with JARD/e-Gov list and according to maturity level.				
4.10.3	JARD to issue circulars/guidelines from time to time, on such issues as the minimum standards for records management functionality, having due regard to guidelines produced by the International Records Management Trust, the International Council on Archives and other authoritative sources on this issue	<ul style="list-style-type: none"> <li>JARD shall take the lead role in establishing standards governing the records management functionality in ICT systems, reviewing and revising them periodically.</li> <li>All information systems shall be designed and developed, by MDAs, in a way that addresses the records functionality in the ICT systems.</li> </ul>	Standards for RIM functionality in ICT Systems developed and guidelines issued to MDAs by FY 2016/2017 for records management functionality in ICT systems	JARD, MDAs	Resources for building the capacity of JARD to develop the guidelines that will ensure that RIM requirements in ICT systems are considered		
4.10.4	JARD to be supported to acquire an automated Archival Management Solution to automate the processing of new accessions, re-appraisal of the records, accrual of materials belonging to existing series, management of donors and deeds of gifts, importation of inputs to the processes, as also the processing, arranging and collections descriptions automatically on entering the RIM system. It is acknowledged that this system would facilitate linkage from the catalogue to the digital library, track locations, provide statistical information, generate and print labels and provide online access to the collections	JARD to identify the suitable automated solution for archival management  Selected software to be installed and operationalised	Archival Management System identified and software system installed by FY 2020/2021	JARD, OPM	Resources for identifying, selecting and installing automated system		

4.10.5	GoJ to adopt the ISAD(G) standard for archival description	ISAD(G) in use in the GoJ for archival description	JARD using ISAD(G) for archival description by FY 2016/2017	JARD	Resources for software to automate ISAD(G)			
4.10.6	GoJ to adopt standards complementary to the DoD 5012 for the ECM and ISO15489 for records management processes	Standards complementary to DoD 5012 for the ECM and ISO15489 for records management to be identified and used as applicable	MDAs using complementary standards to DoD 5012 and ISO 15489 by FY 2016/2017	JARD, MDAs	Resources to address implication for adopting of complementary standards	JARD & All Classes		
4.10.7	MDAs to deposit all audio visual materials, which are official records, to both JARD and the National Library, whether or not the works are published or non-published. This will ensure completeness of MDA records, as required by ISO 15489	MDAs to ensure that complete records are deposited with JARD, inclusive of audio-visual records	Complete MDA records deposited with JARD in accordance with ISO 15489 as of FY 2016/2017 (on-going)	MDAs	Resources for making copies of the records for the National Library			
4.10.8	JARD to offer centralized archival services for e-RIM and for e-Gov to offer hosting services. This will obviate the need for JARD to undertake extensive expenditure and investment in staff, software licenses, and infrastructure	JARD and E-Gov to collaborate to provide the infrastructure for centralised archiving of e-records	Centrally archived e-records by FY 2018/2019	JARD, E-Gov	Resources for setting up the central archives for e-records			
4.10.9	JARD to develop an over-arching classification, to be governed at the enterprise level. The classification system should facilitate the appraisal of records and preparation of retention/disposal schedules. The classification system should embed features supporting disposal and archival processes (e.g prompts when records are due for disposition)	Development of overarching classification to be used to facilitate notification for retention and disposal of records	Records disposition being enabled by overarching classification system developed by FY 2016/2017	JARD, MDAs	Resources for developing and implementing the system	JARD & All Classes		
4.10.10	MDAs to deploy governance systems at the enterprise level that would authorise the disposal and migration of critical RIM ICT systems	MDAs to develop the requisite systems for disposal and migration of critical RIM ICT systems	Governance systems at enterprise level that authorise disposal and migration of critical RIM	MDAs	Resources to develop the systems			

			ICT systems					
4.10.11	MDAs to recognise the five categories of skills required to run an optimal RIM enterprise and to make provision for same. The five categories of skills are as follows: Registry, Records Centre, Paper Archive, Digital Archive and Audio Visual Archive.	Operationalise optimal RIM Enterprise within MDAs in keeping with the required categories of skills  JARD's ICT staff complement to be increased and provided with requisite training to cater for RIM requirements in ICT systems	MDA RIM Staff with skills in keeping with the identified 5 categories by FY 2017/2018.  Larger and appropriately trained ICT staff complement in JARD by FY 2017/2018	JARD/OPM	Resources for bolstering JARD's ICT department and enhancing the skills of the staff			
4.10.12	JARD shall develop guidelines and take the lead role in establishing standards governing RIM requirements in ICT systems and ensure that any changes to the requirements are handled through appropriate governance processes and shared with all MDAs	JARD to develop and establish standards governing RIM requirements in ICT systems	Standards and guidelines for RIM functionality in ICT systems by FY 2016/2017	JARD, MSTEM & E-Gov	Resources for development of the standards			
4.10.13	JARD to develop a RIM Capability Maturity Model to provide an effective and objective method for MDAs to gradually gain control over and improve their RIM processes	RIM ICT Capability Maturity Model to be developed and used to assess the RIM ICT maturity levels of MDAs	RIM ICT Capability Maturity Assessment Model by FY 2016/2017	JARD	Resources are required for training and introducing use of the maturity assessment model			
4.10.14	Changes to the RIM enterprise ICT environment	Heads of RIM to ensure that changes are	MDAs implementation of changes to RIM enterprise	MDAs	Resources required to			

	shall be implemented in a timely manner	implemented in a timely manner	ICT environment in accordance with developed schedule and at intervals of no less than 5 years.		implement the changes			
4.10.15	Recoverability, redundancy, continuity and sustainability of RIM in ICT systems to be addressed at the time of design and must be fully integrated across the entire organisation as a required managed process	RIM function to be involved in ICT system designs/acquisitions to ensure that RIM needs are addressed	ICT systems that address RIM needs and are fully integrated across the entire organisation by FY 2020/2021	MSTEM, JARD, MDAs	Resources for integrating RIM requirements in ICT systems			
4.10.16	Affected MDAs to employ Collaborative Case Management (CCM) approaches, which leverage the core components of RIM including online links to case documents for rapid retrieval and review	JARD to support affected MDAs to employ Collaborative Case Management (CCM) approaches	MDAs using Collaborative Case Management (CCM) approaches by FY 2019/2020	JARD, MDAs	Resources for developing the collaborative approaches			
4.10.17	MDAs to complement perimeter security with a measured approach to managing internal information security by developing prescribed standards to manage and secure content using access controls and audit trails	MDAs to also focus attention on internal information security and develop prescribed standards	MDAs with prescribed standards to manage and secure content using access controls and audit trails	MDAs, MSTEM, JARD	Resources for securing the internal information security			
4.10.18	JARD will establish a sustainable ICT infrastructure for electronic and digital preservation and this shall be managed for as long as the electronic and digital records continue to exist	Physical and human capacity of JARD to provide leadership as well as facilities (in-house or out-sourced) for the management of digital and electronic records to be enhanced	JARD with requisite infrastructure and facilities for the preservation of electronic and digital records	JARD	Resources and funding required to provide the infrastructure for electronic and digital records			
4.10.19	RIM ICT architect function to be introduced into the RIM programme as early as possible to offer guidance, throughout the phases of the RIM implementation, on RIM ICT-specific information which should be gathered, steps	JARD to identify and scope RIM architect function	ICT architect engaged by FY 2017/2018.	JARD, MOFP, OPM, OoC	Resources for scoping and engagement of the RIM ICT Architect			

	which should be taken, and procedures which should be created. Architecture decisions related to RIM ICT should be traceable to policy decisions and their risk management							
4.10.20	JARD shall be involved in the planning of ICT projects to ensure the new capability not only meets the business goals and strategic objectives but also addresses the RIM requirements. JARD is to be equipped at all times to intervene at any stage of the development cycle	Dialogue to be held with MSTEM to incorporate consultations with JARD in ICT project planning processes	Memorandum of Understanding between JARD and MSTEM by FY 2016/2017.	JARD/MSTEM	Human resources to participate in ICT planning processes			
4.10.21	RIM software and hardware shall conform to defined standards that promote interoperability for data, applications and technology	Defined standards for software and hardware developed	Standards for hardware and software that promote interoperability for data, applications and technology by FY 2017/2018.	MSTEM, JARD, MDAs	Resources for developing the standards			
4.10.22	RIM ICT initiatives shall be conducted in accordance with the enterprise plan promulgated by JARD. Individual MDAs shall pursue RIM ICT initiatives which conform to the blueprints and priorities established at the enterprise level	JARD to develop the enterprise plan	Enterprise plan developed by JARD by FY 2017/2018.	JARD	Resources to develop the enterprise plan			
<b>5.</b>	<b>Capacitation of Key Stakeholders</b>							
	<b>Outcome: Key stakeholders with capacity to implement RIM Policy</b>							
<b>5.1</b>	<b>JARD</b>							
5.1.1	The responsibility for the coordination and capacity to discharge mandate to	JARD to build its human and physical capacity to discharge mandate to	A modernised, empowered and	JARD, OPM, OoC,	Resources required for JARD, including suitable			

	implementation of the Policy shall rest with JARD.	implement the Policy	adequately resourced JARD as per Plan by FY 2020/2021.	MOFP	premises, staff complement and training, and operational expenses to administer the RIM Policy			
5.1.2	JARD shall exercise oversight on the management of current and semi-current records in MDAs and for the maintenance and preservation of the records and archives transferred to its custody.	<ul style="list-style-type: none"> <li>JARD will hold MDA workshops in MDAs to raise the awareness of MDAs regarding its role as mandated by The Archives (Official Records) Regulations, 1988.</li> <li>JARD shall carry out compliance monitoring visits to the MDAS</li> </ul>	Awareness workshops held in MDAs annually by FY 2018/2019 and MDAs are in compliance with regulations	JARD	Human and material resources to reach out to all MDAs			
5.1.3	JARD shall also be the responsible authority for the File Plans of MDAs and must approve all institutional File Plans before they can be deployed.	<ul style="list-style-type: none"> <li>JARD to build internal capacity and expertise to oversee and approve MDA file Plans</li> <li>JARD analysts without first-hand experience to be seconded to acquire first-hand experience of function based file classification schemes</li> </ul>	JARD with staff capable of overseeing the MDA file classification schemes by FY 2017/2018  Secondment of JARD staff to registries commencing FY 2017/2018	JARD, OPM, OoC,	Resources to train JARD staff. Human resources to oversee the classification schemes			
5.1.4	Control of the destruction/disposal of official records shall be the responsibility of JARD and official records may only be disposed of in terms of Records Retention/Disposal Schedules approved by the Archives Advisory Committee.	<ul style="list-style-type: none"> <li>Archives Advisory Committee re-activated and sub-committee for records appraisal created</li> <li>JARD staff trained in records appraisal</li> </ul>	An active Archives Advisory Committee supported by trained JARD staff by FY 2017/2018	JARD, OoC, OPM	Resources to train staff and AAC members on records appraisal			

<b>5.2</b>	<b>Institutional Responsibility</b>							
5.2.1	The implementation of this policy within all MDAs shall rest with the Accounting Officers of the MDAs concerned (i.e Permanent Secretaries or Chief Executive Officers/Managing Directors of the institutions as may be applicable), through the RIM Committee.	Training on the requirements of the RIM Policy provided to Senior Officers in MDAs around the requirements of the RIM Policy  Train MDAs RIM Committee members to implement the requirements of the RIM Policy	MDA Accounting Officers sensitised and responsible officers trained in RIM and conscious of the RIM requirements by FY 2018/2019	JARD, MDAs, OPM, OoC	Resources to train senior officials of the GoJ	All Classes		
5.2.2	In each Ministry, direct responsibility shall be vested with DDIAS, who shall also be responsible for the Departments and Agencies of the Ministry.	RIM capacity of DDIAS to be enhanced with JARD and tertiary training institutions providing training opportunities	Trained and qualified DDIAS in MDAs by FY 2020/2021	JARD, MDAs, tertiary training institutions	Resources to train DDIAS	Classes & 4	All Classes	
5.2.3	In each Department and Agency, direct responsibility shall rest with the Records Manager or equivalent officer	RIM capacity of Records Managers in departments and agencies to be enhanced with JARD and tertiary training institutions providing training opportunities	Trained and qualified Records Managers in MDAs by FY 2020/2021	JARD, MDAS, tertiary training institutions	Resources to train Records Managers	Classes 3 & 4	All Classes	
<b>5.3</b>	<b>Responsibility and Accountability of Individuals</b>							

5.3.1	All employees shall be accountable for the records which they create, use or manage and, regardless of their level, must be aware of their responsibilities to manage the records created or used by them, or under their control or custody.	Training of Trainer approach to be established and used so that MDA registry staff can train employees in the management of records, especially electronic records.  Develop schedule for Train the Training Programme	MDA Registry Staff trained to train employees in MDAs in RIM by FY 2017/2018	MDAs, JARD	Resources for training MDA staff	All Classes		
5.3.2	All employees shall be responsible and accountable for maintaining adequate and complete records necessary to fully document the business functions, activities, transactions, decisions and operations.	See 5.3.1	MDA employees trained/sensitised in RIM and practising principles by FY 2018/2019	MDAs, JARD	Resources for training/sensitisation MDA staff			
5.3.3	All MDA employees leaving the service of the Government and its Departments and Agencies shall surrender all or any record in their custody to their immediate supervisors.	Records to be included in asset schedules of employees and accounted for on separation from MDA	Exit interviews conducted and include hand over of records in employee custody commencing by FY 2016/2017 (on-going)	MDAs	No additional resources needed	All Classes	All Classes	All Classes
<b>5.4</b>	<b>Responsibility of ICT Departments/Units</b>							
5.4.1	ICT staff are responsible for ensuring that ICT systems have records management functionality and maintaining the technology including appropriate system accessibility, security and back up. ICT staff shall ensure that any actions, such as removing data from systems or folders, are undertaken in accordance with this policy. ICT and records and information management staff have joint responsibility in ensuring that records generated by ICT systems are appropriately managed.	<ul style="list-style-type: none"> <li>ICT Departments to provide the hardware and software to enable the RIM function to operate efficiently and effectively</li> <li>Constant dialogue (a minimum of quarterly interface) to be maintained between MDA RIM units and IT Departments to acquire and maintain RIM equipped ICT Systems.</li> <li>ICT Departments to provide the hardware and software to enable</li> </ul>	Requisite ICT infrastructure and systems in place for management of RIM by 2019 - 2020	JARD, MSTEM, MDAs	Resources required to provide the required ICT infrastructure	JARD Classes 3-4	All Classes	

		the RIM function to operate efficiently and effectively						
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**ANNEXURE I (B)**

**RIM ASSESSMENT Score Card**

	Good	Adequate	Inadequate	Poor	Score	Comments
<b>Governance Framework</b>						
RIM Policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
RIM Procedural Manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
RIM Committee: Existence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
RIM Committee: Functionality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
RIM Organizational Structure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>Human Resources</b>						
Rim Staff Complement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

	Good	Adequate	Inadequate	Poor	Score	Comments
RIM Qualifications of Staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
RIM Career Pathways	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
RIM Training Opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>RIM Systems</b>						
Classification and Indexing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Access Controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Records Tracking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Records Retention/Disposal Schedules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Records Disposition Practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Storage of Paper Records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Storage of Electronic Records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Information Sharing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Environmental Controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

	Good	Adequate	Inadequate	Poor	Score	Comments
<b>Facilities &amp; Maintenance</b>						
Paper Records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Electronic Records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Vital Records Programme	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Disaster Recovery Programme	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>ICT RIM Maturity Level</b>						
Assessment Score	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>Monitoring and Compliance</b>						
Annual Inventory	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>TOTAL</b>						

	<b>Good</b>	<b>Adequate</b>	<b>Inadequate</b>	<b>Poor</b>
Points Designation	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
<b>Maximum Score: 96</b>				

**RATINGS:**

-  Score 1 – 25: Starters
-  Score 26 – 50 Aware
-  Score 51– 75 Defined
-  Score 76 – 96: Align

## NOTATIONS:

### **Class 1 MDA:**

**“Starters” are high risk** entities that are *lacking* systems for the management of records and information, with complete neglect of RIM. The entities are at risk of significant loss of information, litigation, loss of vital information, and damage to the entity’s corporate image.

### **Class 2 MDA:**

**“Aware” are moderate risk** entities that have some systems but there is a general neglect of records and information management and the entities are operating below acceptable standards.

### **Class 3 MDA:**

**“Defined” are low risk** entities that have demonstrated or have implemented the trappings of a RIM programme and are operating close to acceptable standards, with some requisite documentation, resource support and infrastructure.

### **Class 4 MDA:**

**“Aligned” are no risk** entities that have attained or exceeded full compliance with the ISO 15489 Standard through a composite RIM programme bolstered by the full panoply of requisite documentation, management support and infrastructure.

## ANNEXURE II

### Consultation – List of Attendees

July 27, 2015:	Name	Ministry/Department/Agency
	<b>Patricia Lindsay</b>	<b>Office of the Cabinet</b>
	<b>Peter Mazikana</b>	<b>K2-Techtop Consult</b>
	Tracey Stanley	Ministry of Education - Region 3
	Annmarie Davidson	North East Regional Health Authority
	Oral Newman	Western Regional Health Authority
	Colin Ebanks	Administrator General's Department
	Amal George Duval	Jamaica Tourist Board
	Cheree P.A. D'Oyley	Family Court Kgn.
	Julieth Sewell	MoE - Region 3
	Yvonne Gardenor	Tourism Product Development Company
	Shaun McIntosh	MoE- Region.6
	Jamie Bryan	Ministry of Health
	Vinnese Dias	Ministry of Health – DDIAS
	Launa Binns Watson	Western Regional Health Authority
	Jemilia Davis	Office of the Chief Justice - Supreme Court
	Joan Dennis	Spanish Town Hospital
	Dahlea Bernard	MoE - Region 2
	Venise Beaustock- Murray	St Catherine Resident Magistrate - Clerk of Court
	Vivienne Wallace	Southern Regional Health Authority
	Veronica Millen Richards	Southern Regional Health Authority
	Leovia Fishley-Taylor	Registration General Department
	Margaret N. Harris	Overseas Examination Commission
	Claudette Jackson	Ministry of Health - Planning & Evaluation
	Jennifer Henry Martin	St Catherine Health Department
	Brenda Smith	Minister of Justice – DDIAS
	<b>Claudette Thomas</b>	<b>Office of the Prime Minister/ JARD</b>
	Otis Newland	Ministry of Health
	Dalton Lewis	Office of the Director of Public Prosecution
	Tyrone Anderson	MoE – IT
	Samantha Edwards	Heart Trust/ NTA
	Denise Fray	Western Regional Health Authority
	D. Stewart Amore	SERHA - Kingston Public Hospital

<b>July 27, 2015:</b>	<b>Name</b>	<b>Ministry/Department/Agency</b>
	Sharon Gabriel	MoE
	Marlene Hines	MoE – DDIAS
	Delia Craige	MoE - Region 4
	<b>K Simpson</b>	<b>JARD</b>
	Yvonne Bryan	Ministry of Health - Health Records
	Rahsaan Tyrell	SERHA - IT
	Nicolia McDonald	Ministry of Tourism and Entertainment - DDIAS
	Marlon Palmer	College of Agriculture, Science and Education
	<b>Jo-Anne Archibald</b>	<b>Office of the Prime Minister</b>
	<b>Dwayne Cargill</b>	<b>Office of the Cabinet</b>

<b>July 28, 2015</b>	<b>Name</b>	<b>Ministry/Department/Agency</b>
	Bobette Morgan	Jamaica Constabulary Force - Dpty. Superintendent
	Kerrian Virtue	Ministry of Finance and Planning – DDIAS
	Lelieth Farquharson	MoFP
	Valencia Carter	Ministry of Labour and Social Security
	Kaldren Edwards	MLSS
	Lisa-Ann Grant	MLSS -Work Permit
	Dennees Treleven	Child Development Agency
	Andrew Hutchinson	Ministry of Youth and Culture – IT
	Yanique Peynado	MoFP - IT
	Claudette McPherson	Ministry of National Security – DDIAS
	Donnette Jones	Department of Correctional Services
	<b>Karl Simpson</b>	<b>JARD</b>
	Shauna Scott	MNS
	Lorna Livingston	Financial Services Commission
	Odean Cole-Phoenix	Planning Institute of Jamaica
	Nataskie Bennett	Accountant General's Department
	Elfred Simpson	MLSS – Manchester
	Janet Coombs	MoYC – DDIAS
	Edgar Thomas	St. Catherine Adult Correctional Centre
	Maureen Brady	Bank of Jamaica
	Nadine Stewart	MNS – IT

<b>July 28, 2015</b>	<b>Name</b>	<b>Ministry/Department/Agency</b>
	Peivna Manboard	MLSS - M&E PATHE
	Paula Cobourne	Tax Administration of Jamaica
	Amin Fagan	MLSS - National Insurance Scheme KSA
	Samantha Allen	Ministry of National Security
	Elizabeth Smith	Jamaica Cultural Development Corporation
	Carla Clarke	Statistical Institute of Jamaica
	Micheal Bailey	JCF - Senior Superintendent of Police
	<b>Peter Mazikana</b>	<b>K2- Techtop</b>
	<b>Dwayne Cargill</b>	<b>Office of the Cabinet</b>
	<b>Jo-Anne Archibald</b>	<b>Office of the Prime Minister</b>
	<b>Patricia Lindsey</b>	<b>Office of the Cabinet</b>
	<b>Claudette Thomas</b>	<b>JARD</b>
	Muriel Heaven	MLSS – IT
	Allyson Rent	Maxfield Park Children's Homes
	Mark Clarke	Tax Administration of Jamaica
	Stephen Case	MNS

<b>July 30, 2015</b>	<b>Name</b>	<b>Ministry/Department/Agency</b>
	Lennox Bartlett	Rural Agriculture Development Authority, St. Elizabeth
	Delores Osbourne	RADA St. Thomas
	Stephanie Matthews	Social Development Commission
	Colin Moody	Office of the Services Commissions
	Isoline C. Blair	Manchester Parish Council
	Pave Gordon	Coffee Industry Board
	Chez Thomas	Ministry of Local Govt & Community Development
	Nicholee Henry Downie	St. Catherine Parish Council
	Michelle Sinclair Brown	Jamaica Fire Brigade
	Dwayne Bailey	Office of Disaster Preparedness & Emergency Mgmt.
	Debbie Pryce	St. Mary Parish Council
	Kavell Clarke	Portmore Municipal Council
	Hyacinth Morris	Hanover Parish Council
	Kadia Wedderburn	RADA Head Office
	Douglas Webster	Ministry of Industry, Investment & Commerce - SD, Policy

<b>July 30, 2015</b>	<b>Name</b>	<b>Ministry/Department/Agency</b>
	Charmaine Williams	Clarendon Parish Council
	Amalea Jones	JAMPRO
	Camille Ashman	Houses of Parliament
	Wayne Robertson	MLG&CD - SD, Corporate Service
	Karelle McCormack	Jamaica 4-H clubs
	<b>Karl Simpson</b>	<b>JARD</b>
	Tracey Reynolds	St. Elizabeth Parish Council
	Sandra Brooks Malcolm	RADA, St. Elizabeth
	Gerald Lee	St. James Parish Council
	Suzette Byran	St. Thomas Parish Council
	Steve Anderson	MLG&CD – IT
	Rick Harris	MIIC – IT
	<b>Dwayne Cargill</b>	<b>Office of the Cabinet</b>
	<b>Claudette Thomas</b>	<b>JARD</b>
	<b>Patricia Lindsay</b>	<b>Office of the Cabinet</b>
	<b>Peter Mazikana</b>	<b>RIM Expert</b>
	<b>Dionne Blair</b>	<b>Office of the Prime Minister</b>
	Claudette Allen	Ministry of Agriculture & Fishery – DDIAS
	O'brian Nelson	Trelawny Parish Council
	Diana Sutheford	St. Elizabeth Parish Council
	Paul Scarlett	National Solid Waste Mgmt. Authority
	Hugh Jones	Companies Office of Jamaica
	Rolecia Kennedy	Westmoreland Parish Council
	Shaunakay Stirling Reader	Ministry of Agriculture & Fishery – IT
	Marvalyn Pitter	Portland Parish Council
	Ketanya Laig	MIIC – DDIAS
	Violet Haughen	Kingston & St. Andrew Corporation

July 31, 2015	Name	Ministry/Department/Agency
	Tracey-Ann Darmand Dunn	Post and Telecommunications Department
	Sharon Dunkley	Water Resources Authority
	Nova McLeod	MIND
	Kadian Reid	Ministry of Water, Land, Environment & Climate Change
	Owen McKnight	Auditor General's Department
	Dorothy Hansel	Forestry Department
	Carol Duncan	Jamaica Defence Force
	Jerome Mckenzie	MWLECC – IT
	Ceila Stephens	Port Authority of Jamaica
	<b>Peter Mazikana</b>	<b>K2- Techtop</b>
	Kay-Ann Miller	National Environment and Planning Agency
	Rose Thomas	Ministry of Transport, Housing & Works - DDIAS
	Sandra Braimbridge	Office of the Prime Minister – DDIAS
	Annmarie Dobson	Ministry of Labour & Social Security - DDIAS
	Renardo White	MLSS
	Annmarie Jordan	Transport Authority of Jamaica
	<b>Karl Simpson</b>	<b>JARD</b>
	Pepeta Heslop	Jamaica Bauxite Institute
	Devon Sterling	MTWH – IT
	Lisa Richards	Women's Centre of Jamaica Foundation
	Kadian Chin	MWLECC
	Shernett Roberts	Office of the Cabinet
	<b>Claudette Thomas</b>	<b>JARD</b>
	Franklin Rodgers	Ministry of Science, Technology, Energy & Mining – IT
	Susan Gongasingh	Island Traffic Authority
	Jacqueline McGibbon	Office of the Cabinet – DDIAS
	Desmond Montgomery	Office of the Prime Minister – IT
	Leshne Mae	Ministry of Foreign Affairs & Foreign Trade - IT
	Marion Edward	MFAFT – DDIAS
	Anelrey Villiers	Institute Of Sports
	Kathy Chambers Adman	MSTEM - Senior Director, HRM
	Anette Reid	MSTEM - DDIAS

July 31, 2015	Name	Ministry/Department/Agency
	Sandra Wight	Office Of the Cabinet - Senior Director, Corporate Affairs
	Johanthan Innerarity	Office of the Cabinet – IT
	<b>Dwayne Cargill</b>	<b>Office of the Cabinet</b>
	<b>Dionne Blair</b>	<b>Office of the Prime Minister</b>
	Patricia Lindsay	Office of the Cabinet
	Paulette Smith	Public Broadcasting Corporation of Jamaica
	Johanthan Gilzeane	E-Learning Jamaica Co. Limited
	Stephen Innerarity	Jamaica Archives
	Rohan McCalla	Office of Utilities Regulation
	Henquia White	Office of the Cabinet
	Jacqueline Lynch-Stewart	Office of the Prime Minister - SD, Administration