Standard

Corporate Records Information Management Standard (CRIMS)

Governance

Authority:	The Office of the Chief Information Officer (OCIO)
Audience:	All departments within the Government of Newfoundland and Labrador.
Compliance Level:	Mandatory
Issuing Public Body:	Office of the Chief Information Officer
	Planning and Transformation Branch
	Information Management Division
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Notice:

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1.0   Overview

The Corporate Records Information Management Standard (CRIMS) is a standard classification plan originally designed to replace the Information Management System for Administrative Records (IMSAR) and offer standard nomenclature and classification rules, retention and disposition, for common corporate records in all departments. Since the release of IMSAR in 1999, the GNL has seen a significant increase in the ways and means of creating, managing, storing and disposing of records in a hybrid environment in which both physical and electronic records are used. Today, newly created records are primarily electronic, but remanence of physical records continue to exist. CRIMS can be used to assist in the management of these paper and/or electronic records.

CRIMS updated terminology and, where appropriate, retention and disposition for common corporate records found throughout GNL departments. As well, CRIMS captures changes in the role and mandate of various departments throughout the GNL. CRIMS has evolved to include special schedules which are common operational records retention and disposal schedules that may be used by all departments that have an approved CRIMS implementation agreement. CRIMS was created by the Planning and Transformation Branch of the Office of the Chief Information Officer (OCIO) in consultation with various stakeholders, and approval of the Government Records Committee. CRIMS is a key component of any departmental information management program.

2.0   Purpose

The purpose of this standard is to capture the common functions of the GNL departments and provide a tool for the classification of records, regardless of format, which are created in the performance of those functions. It is also a records retention and disposal schedule used for the management of common corporate records of the GNL. CRIMS is a disposition authority approved by the Government Records Committee.

The scope of the application of CRIMS is all departments within the GNL. Other public bodies may adopt the standard as a template for developing their own operational records retention and disposal schedule for their corporate records. The primary audience for this document is Information Management (IM) staff within the GNL.

3.0   Definitions and Acronyms

A complete listing of terms is located on the OCIO website - Information Management and Protection (IM&P) Glossary of Terms.

Active (ACT) - Identifies how long the records will be stored onsite to support operational requirements. Expressed using the acronyms CY, FY, ED or S/O (as explained below) plus the total number of years.

Calendar Year (CY) - A retention period acronym used to represent Calendar Year. The retention period is applied at the end of the calendar year, December 31st (e.g., CY+2 means that records will be retained for the current calendar year plus an additional 2 years for a total of 3 years).

Current Version + Previous Version - A retention period meaning retention of the current version of a record plus the previous version of a record.

Government OPR - The Government OPR is the department that is responsible for keeping a master record on behalf of the government. The Government OPR has a legislative or executive mandate for the record series. It is the Government OPR that creates the policy, directives, or legal requirements for the record series on behalf of Government.

Department OPR - Department OPR is the department that is responsible for keeping the master record of all records received or created in a record series. It is the Department OPR that is mandated with the administration of the function on behalf of Government and is the main point of contact for other Departments in the administration of the function.

Event Date (ED) - The retention period is applied when an event has occurred. The event is specified in the RRDS. An event date may be combined with a time, such as number of CY or FY. E.g., If an Event Date (ED) equals the date of competition completion, then an Active retention period may be written as ED + 2CY, meaning that the records must be retained active for 2 calendar years after a competition completes.

Fiscal Year (FY) - A retention period acronym used to represent Fiscal Year. The retention period is applied at the end of the fiscal year, March 31st (e.g., FY+2 means that records will be retained for the current fiscal year plus an additional 2 years for a total of 3 years).

Non-OPR - To facilitate the need to reduce duplication and ensure proper disposal, CRIMS has designated the retention and disposition schedules for each secondary level for all non-OPR parties. This will reinforce efforts to maintain the integrity of a record within the OPR as well as offer clear direction for non-OPR parties.

Office of Primary Responsibility (OPR) - A key component to any records and information management classification and retention system is knowing the OPR. The OPR is the organization and/or position within an organization that is responsible for maintaining the integrity of a particular record type. By knowing the OPR, it increases the certainty that all records in a records series are collected and managed as per the OPR requirements to ensure complete records and the consistent, secure disposition of additional records.

CRIMS has two approaches to OPRs: at the Government-wide level, and at the departmental level.

Note: In most instances the Government OPR and the Department OPR will be the same entity.

Permanent Retention by Department (PRD) - A retention period and final disposition meaning Permanent Retention by Department. Records appraised with PRD must be kept permanently.

Special Schedule - A common operational records retention and disposal schedule that may be used by all departments that have an approved CRIMS implementation agreement.

Superseded / Obsolete (S/O) - A superseded document is a document that has been replaced by a newer version of the same document, or by a suitable other document that contains the most current, reliable and/or valuable information. For example, an outdated version of a directive that is replaced by an updated version would be considered superseded. An obsolete document is a document that has lost relevance of any future use in that it is no longer appropriate for the purpose it was created for and is

out of date. For example, an old procedure that is no longer applicable to the current process due to advancements in technology would be considered obsolete.

The table below includes common abbreviations used by OCIO as well as acronyms found within this document.

Abbreviation	Description
ACT	Active Retention
CY	Calendar Year
ED	Event Date
FY	Fiscal Year
IM	Information Management
IM&P	Information Management and Protection
IP	Information Protection
MOIA	Management of Information Act
OCIO	Office of the Chief Information Officer
OPR	Office of Primary Responsibility
PRD	Permanent Retention by Department
S/O	Superseded / Obsolete

4.0   Requirements

4.1   CRIMS Classification Plan

CRIMS is a hierarchical classification plan that organizes records in a fashion that makes it easier to manage them through their life cycle. Like many classification plans, CRIMS supplies rules on how to categorize records in a meaningful and consistent manner. The approach taken with CRIMS is somewhat different than traditional records management classification plans. It focuses more towards capturing common functions found in a department, rather than common subjects, the labels used to describe each level of the hierarchy will be different. The following table details each level within the classification.

Levels

1 Corporate Function

2 Primary

3 Secondary

4 File
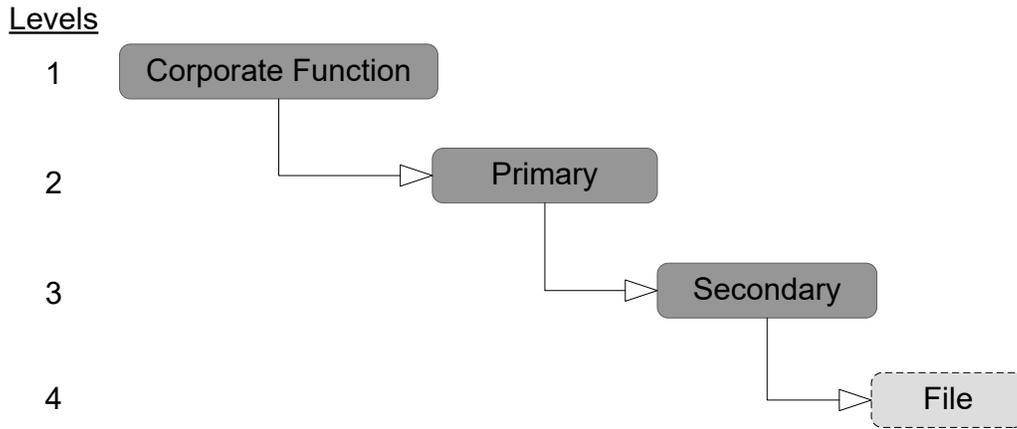
Classification Level	Title	Description
1	Corporate Function	The highest level on the classification plan, the Corporate Function is a cluster of primary levels that are similar in nature. It represents a grouping of activities required to meet a particular mandate.
2	Primary	The primary level represents a grouping of secondary level functions. At this point, the Office of Primary Responsibility is designated.
3	Secondary	The secondary level is a mixture of common record types and activities performed. Secondaries are broken into common and

		function specific categories. Common secondaries are found in all primaries (e.g., policy); however, function specific secondaries are specialized types of records and/ or activities that are unique to that primary (e.g. Building Plans under the Primary called Construction).
4	File	The lowest level of the classification plan, the File is where the document (or information object) exists.

4.2   Common Secondaries

Secondary numbers 00 to 40 are reserved for secondaries which are common across all Primaries in CRIMS. Gaps have been left in numbering for the addition of another Common Secondaries in the future.

COMMON SECONDARIES			
No.	Common Secondaries	ACT	DIS
01	**Policy, Orders, Directives, Standards and Guidelines** Used to manage and store all records that provide the user with formal direction. These records may have an official number affixed to it by the originating OPR and this number is to be added to the naming convention, as applicable. Implementation: • Naming Convention = Type of document – Title – Approval # - Year Format • Version and/or Revision Control	S/O	D
02	**Legislation** *RESCINDED* *Rationale: Legislation is publicly available on the internet; any work being done by non-OPRs would be covered under common secondaries 10 and 11.*	N/A	N/A

COMMON SECONDARIES			
No.	Common Secondaries	ACT	DIS
03	**Agreements and Contracts** Used to manage and store all records associated with relevant agreements or contracts, including standing offers, MOU's etc. Implementation: • Naming Convention = Document Type – Title – Year format • Version Control and/or Revision Control	S/O	D
04	**Associations and Conferences** *RESCINDED* *Rationale: Associations and Conferences are highly improbable for non-OPRS.*	N/A	N/A
05	**Complaints** Used to manage and store all records associated with work involved in the receiving of a complaint against the function. Implementation: • Naming Convention = Complaint – Complainant (Last Name, First Name) – Year Format	S/O	D
06	**Planning** Used to manage and store all planning type records associated with the function: strategic planning, budgetary planning, etc. Implementation: • Naming Convention = Record Type – Year Format • Version Control and/or Revision Control	S/O	D
07	**Orders and Directives** *RESCINDED* *Rationale: Covered under common secondary # 01 Policy, Orders, Directives, Standards and Guidelines*	N/A	N/A
08	**Reports** Used to manage and store all reports received regarding the function. Implementation: • Naming Convention = Name of Report Version Control and/or Revision Control	S/O	D

09	**Forms and Templates**
	Used to manage and store all forms or templates associated with the function.
	Implementation:
	    • Naming Convention = Name of Form
	    • Version Control and/or Revision Control
		S/O	D

10	**Interdepartmental Committees** Used to manage and store all records associated with an Inter-Departmental Committee in which the membership is not in a chairperson or secretary role. Implementation: • Naming Convention = Type of Committee - Name of Committee	S/O	D
11	**Departmental Standing Committee /Steering Committee / Ad-Hoc Departmental Committee or Working Group** Used to manage and store all records associated with an Interdepartmental Committee or Working Group that the membership is not the Chairperson or secretary role. If the primary role is one of these then these records must be treated as operational and assigned an individual RRDS. Implementation: • Naming Convention = Type of Committee – Name of Committee	S/O	D
12	**Steering Committee** *RESCINDED* *Rationale: Covered under common secondary # 11 Departmental Standing Committee / Steering Committee / Ad-Hoc Departmental Committee or Working Group*	N/A	N/A
13	**Ad-Hoc Departmental Committee** *RESCINDED* *Rationale: Covered under common secondary # 11 Departmental Standing Committee / Steering Committee / Ad-Hoc Departmental Committee or Working Group*	N/A	N/A
14	**Working Group** *RESCINDED* *Rationale: Covered under common secondary # 11 Departmental Standing Committee / Steering Committee / Ad-Hoc Departmental Committee or Working Group*	N/A	N/A

4.2.1 Special Notes on the Records of Committees

Governance occurs at multiple levels within the GNL. The highest level of governance occurs within the Cabinet process; however, governance also includes the oversight of projects; decision-making within departments; and interaction with internal and external stakeholders who have an influence on decision-making (e.g., industry advisory committees or councils and cross departmental committees). With regards to the retention of Sub-Committee records, these records inherit the retention schedule(s) of the overseeing Committee.

Type of Committee	Office of Primary Responsibility (OPR)	Comments
Cabinet Committee	Cabinet Secretariat	As per Section 5.4 (1) *Management of Information Act* the use and management of Cabinet records is governed by Cabinet Secretariat.
Inter-departmental Committee	The lead Department chairing the committee should take responsibility for retaining the records of the committee.	Copies distributed to members of an inter-departmental committee can and should be securely disposed of in a timely manner when no longer required.
Departmental Standing Committee (e.g., Executive Committee)	Committee chair should be responsible for managing the records of the committee.	Committees of this nature meet regularly to deal with routine departmental matters.
Steering Committee (e.g., Project Steering Committee)	Committee chair should be responsible for managing the records of the committee.	Records of a project Steering Committee are the responsibility of the Project Manager, who should take the necessary measures to ensure they are properly managed.
Ad Hoc Departmental Committee (e.g.,	Committee chair should be responsible for managing the records of the committee.	According to the *Excellence in Governance* handbook (2005) by Cabinet Secretariat, an Ad Hoc

Committee established to address a specific topic or issue)		Committee is created on "occasions when issues of a time-limited and critical-nature necessitate the establishment of ad hoc committees. Once the time limit has been reached and the report submitted members should understand that the role of the committee is completed, and it is duly dissolved."
Working Group	The Working Group chair should be responsible for managing the records of the group.	Although Working Groups may seem like Ad Hoc Committees, they are more transient in nature and usually have a narrow scope of work to accomplish.

4.3   Secure Disposal of Records

CRIMS is a disposition authority approved by the Government Records Committee. Per the Disposition Directive issued by the OCIO, "Disposition is the range of processes associated with implementing the final stage in the life cycle of a record. Disposition could include destruction, transitory, transfer decisions (e.g., The Rooms Provincial Archives, etc.) and permanent retention by departments or other public bodies." Under the MOIA, individuals are authorized to dispose of records as per a disposition authority, when approved by the GRC.

CRIMS records are government records and must therefore be securely disposed of. Physical records must be disposed of in secure shred bins and through secure shredding services. Electronic records must be securely deleted from their electronic storage location.

The department or other public body must permanently retain all records of destructions including, but not limited to, the below information:

- a listing of what was destroyed
  - titles;

- o date range;
- o authority to destroy (i.e. the CRIMS schedule number(s)); and
- the certificate of destruction.

For more information regarding the secure disposal of records, refer to the OCIO Website, IM Policy Framework, Disposition.

5.0   Roles and Responsibilities

It is the responsibility of all Employees granted access to, or assigned management of, Government information assets in any format, to know their responsibilities as set out in this Standard and other IM&P policies, directives, standards and guidelines, and to conduct their activities accordingly. In addition, the following specific responsibilities apply:

Deputy Ministers (or Equivalent)
—— Enforce this Standard across their Department or Public Body
—— Support their department or other public body's compliance with the MOIA, the IM&P Policy and other policy instruments issued by OCIO, and other relevant organizational IM&P legal and regulatory requirements.
—— Support their department or other public body's compliance with the MOIA, the IM&P Policy and other policy instruments issued by OCIO, and other relevant organizational IM&P legal and regulatory requirements.

Executive, Director, Manager and other staff responsible for IM (Department or another Public Body)
—— Seek GRC approval for implementation of CRIMS
—— Issue direction on the disposition of department and other public body records.
—— Ensure that all individuals receive training in both OCIO-issued and organizational policy instruments regarding the disposition of government records.

Office of the Chief Information Officer (OCIO) As part of OCIO's administration of the Management of Information Act, the OCIO:
—— Recommends to Treasury Board policies for adoption.
—— Develops, manages, monitors, and communicates IM&P policy instruments and supporting materials to departments and other public bodies.
—— Provides direction on IM&P best practices, resource requirements, organizational structure, recordkeeping systems and IM Programs to departments and other public bodies.
—— Assists departments and other public bodies to improve their IM&P capacity
—— Provides IM&P advisory, training and awareness services and support to departments and other public bodies.

— Supports IM forums, committees, and other professional practice communities, consisting of IM representatives from departments and other public bodies.

— Manages the Provincial Records Centre (PRC).

— Provides administrative support to the Government Records Committee (GRC).

In addition, the OCIO will:

— Maintain the Disposition Directive and any associated supporting materials.

— Provide education and awareness on the implementation of records retention, destruction or transfer decisions documented in disposition authorities or other instruments.

Individuals

— Understanding of responsibilities as outlined in this Standard

— Adherence to this Standard and any related directives and guidelines

Government Records Committee

— Review and approval of this Standard

— Review and approval of department requests for CRIMS Implementation Agreement

6.0   Compliance and Enforcement

Contravention of this Standard may result in disciplinary action.

7.0   Supporting Materials and Version History

Supporting Materials

Below is a listing of supporting materials hyperlinked to the published location.

Management of Information Act
http://www.assembly.nl.ca/Legislation/sr/statutes/m01-01.htm

Information Management and Protection Policy, TBM 2018-111 (replaces TBM 2009-335)
https://www.ocio.gov.nl.ca/ocio/im/im_ip_policy.htm

Access to Information and Protection of Privacy Act, 2015
http://www.assembly.nl.ca/Legislation/sr/statutes/a01-2.htm

Rooms Act
https://assembly.nl.ca/legislation/sr/statutes/r15-1.htm

OCIO Website
https://www.ocio.gov.nl.ca

OCIO Help
https://ociohelp.psnl.ca

Version History

The following table highlights the version history of this document including date issued and version number.

Date (yyyy-mm-dd)	Version
2025-04-08	03
2016-04-12	02
2009-02-05	01