

Duplicate Records Retention and Disposition Schedules Directive

Data, Information and Privacy Services Division, Data, Information and Records Services Branch

Version: 1.0

Approved by: ADM IMT/ARMC	Owner: Executive Director, Data, Information and Records Services Branch	
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Directive Statement

This directive clarifies operational roles and responsibilities for the identification and cancellation of duplicate records retention and disposition schedules (“schedules”) and/or items within a schedule (“schedule items”).

Authority

This directive is issued under the authority of the [Government Organization Act](#) and the [Records Management Regulation](#).

Application and Scope

This directive applies to all departments defined under section 14 of Schedule 11 of the *Government Organization Act* and agencies, boards, and commissions as defined in Schedule 1 of the [Freedom of Information and Protection of Privacy Regulation](#).

Agencies, boards, and commissions that are not contained within Schedule 1 of the Freedom of Information and Protection of Privacy Regulation are encouraged to align with this directive.

Definitions

Cancelled Schedule: A schedule status that identifies that it is no longer required to manage the lifecycle of records. This may be a result of a program that is no longer operational (no records remain in the ministries that require future final disposition action) or that the schedule has been replaced by another more relevant schedule. Cancellation can also occur at the item level. Cancelled schedules and/or schedule items cannot be used to complete the records disposition process.

Disposition: Disposition is the final activity for records that have met their full records retention period. Disposition can be identified as Archives or Destroy. The Government of Alberta (GoA) may routinely dispose of records in any format in accordance with an approved records retention and disposition schedule providing those records are not responsive to active and/or reasonably anticipated litigation and/or access to information requests made under the *Freedom of Information and Protection of Privacy (FOIP) Act*.

Expired Schedule: A schedule status that identifies a schedule for cancellation in the future because there are still records in the custody of the GoA that have not met its full retention period before disposition activities can begin. Once final disposition has occurred, the schedule status will be changed to cancelled.

Records Retention and Disposition Schedule: A records retention and disposition schedule is a legal authority that describes the records under the control of a government organization, specifies how long and where they must be kept as they progress through the phases of their life cycle, the format in which the records must be stored and what their final disposition will be (destruction or archival preservation) at the end of their life cycle. (Source: Developing Records Retention and Disposition Schedules)

Directive Description

This directive reinforces and clarifies the authority of the Alberta Records Management Committee (ARMC) to cancel duplicate schedules and schedule items. The use of enterprise schedules enables the consistent management of information across the GoA.

DUPLICATE RECORDS RETENTION AND DISPOSITION SCHEDULES DIRECTIVE

To expedite the implementation of function-based schedules and ensure consistent disposition of records, it is imperative that:

- duplicate schedules and/or schedule items are identified and cancelled; and
- where applicable, departments use enterprise schedules.

Directive Specification

1. The GoA's information is legally the property of the Crown in right of Alberta, with some exceptions (e.g., licensed intellectual property).
2. The ARMC is the legislated body responsible for evaluating the GoA records management program and providing advice to the Minister of Service Alberta regarding policies, standards and procedures for managing content.
 - 2.1 All schedules (and any subsequent amendments to a schedule) must be approved by ARMC.
 - 2.2 The ARMC, or the secretary of the ARMC, may approve the cancellation or expiration of schedules and/or schedule item when it is no longer required (e.g., duplicate schedules).
3. IM Portfolio Directors and/or SROs serve an enterprise advisory role, and support the implementation and operation of content management requirements in a department (or departments).

Roles and Responsibilities

NOTE: The responsibilities detailed in this directive are not comprehensive, and may be expanded in other policy instruments.

ARMC

The ARMC or ARMC Secretary is responsible for:

- maintaining an inventory of potential duplicate schedules and schedule items; and
- where deemed appropriate after review, approving the cancellation of a schedule or schedule item upon notification by an IM Portfolio Director or SRO.

IM Portfolio Directors and SROs

IM Portfolio Directors and SROs are responsible for:

- using existing enterprise schedules where applicable;
- identifying duplicate schedules and/or duplicate schedule items in a department (or departments) and communicating findings to ARMC; and
- submitting a request for cancellation of duplicate schedules and/or schedule items to the ARMC or ARMC Secretary.

Transfers, Storage and Disposition (TSD)

The TSD team is responsible for:

- identifying potential duplicate schedules and/or items and communicating findings to ARMC.

Compliance

Consequences of non-compliance with this directive could result in the loss of information, damage to GoA's reputation, exposure of Albertans to harm and/or incurrence of unnecessary costs (including the risk of not being able to respond appropriately to a claim in court).

Depending on the severity of non-compliance:

- either informal or formal requests and/or follow-ups may be made by Data, Information and Privacy Services Division, Corporate Internal Audit Services, Cybersecurity Services, Office of the Information Privacy Commissioner, Office of the Auditor General and/or Public Service Commission, and
- legislated disciplinary action (i.e., *Public Service Act*) may be taken.

References and Supporting Resources

- [Identifying Official and Transitory Records Guideline](#)
- [Retention and Disposition of Official and Transitory Records Guideline](#)
- [ARMC Circular #: 2016-003 ARMC Secretary Delegation of Responsibility](#)
- [Checklist for Cancellation of Duplicate Records Retention and Disposition Schedules](#)

Contact

For information management support, please contact the appropriate [IM Portfolio Director](#), [Senior Records Officer](#), [Transfers, Storage and Disposition](#) or [Data, Information and Records Services Branch](#).