



Managing Information During a Government Reorganization

Introduction

This checklist is designed to assist Senior Records Officers (SRO) with identifying and fulfilling information management (IM) requirements before, during and after:

- government reorganization, including general elections; and
- changes in ministers or deputy ministers.

The activities included in this checklist will support ministry IM compliance with:

- Government of Alberta (GoA) legislative and regulatory requirements (including the [Records Management Regulation](#)); and
- national and international standards (e.g. ISO: 15489 Information and Documentation – Records Management).

As government reorganization may not affect all ministries in the same way, not every activity included in this checklist will be required by all ministries in every scenario.

Many of the resources identified below are available on the [Government of Alberta Enterprise Information Management website](#).

Address Ministers' Executive and Support Services Records		Resources
<input type="checkbox"/>	Arrange disposition of government records in the outgoing minister's office. Government records: <ul style="list-style-type: none">• department (return to the appropriate department)• Cabinet (send to Executive Council). Minister's records: <ul style="list-style-type: none">• Constituency (up to the minister)• personal (up to the minister).	<ul style="list-style-type: none">• Managing Records in Ministers' Offices• ARMC Circulars: 2006-12, 2006-01, and 96/97-004• Ministers' Office Schedule (in RSS Schedule No. 2002/041)
<input type="checkbox"/>	Arrange disposition of the former deputy minister's records if the ministry no longer exists.	<ul style="list-style-type: none">• Executive Records Schedule (in RSS Schedule No. 2007/020-A001)
<input type="checkbox"/>	Arrange disposition of the administrative records of support areas if the ministry no longer exists.	<ul style="list-style-type: none">• Administrative Records Disposition Authority (ARDA)
<input type="checkbox"/>	Work with the new minister's and deputy ministers' offices to establish and/or maintain an IM program.	<ul style="list-style-type: none">• Managing Records in Ministers' Offices

Address SRO Designation		Resources
<input type="checkbox"/>	Identify and confirm SRO responsibilities.	<ul style="list-style-type: none"> • ARMC Circular 2016-002
<input type="checkbox"/>	Determine any affiliated agencies, boards and commissions and whether the SRO is remaining the same or one is being designated.	<ul style="list-style-type: none"> • FOIP Regulation (Schedule 1)
<input type="checkbox"/>	Coordinate with deputy ministers' offices to send appointment memos to the ARMC Chair.	<ul style="list-style-type: none"> • ARMC Circular 2016-002 • ARMC Terms of Reference

Update/Revise Records Retention and Disposition Schedules		Resources
<input type="checkbox"/>	Review the list of schedules for the department. Identify schedules that no longer belong to the department and take appropriate action.	<ul style="list-style-type: none"> • Records Schedule Reconciliation Instructions
<input type="checkbox"/>	Using the Records Scheduling System (RSS) : <ul style="list-style-type: none"> • transfer schedules to the department that now owns them including approved, expired, cancelled and draft schedules, as well as schedules in the archival appraisal or ARMC Secretariat review stages; and • delete or withdraw any draft schedules that are no longer relevant. 	<ul style="list-style-type: none"> • RSS User Guide • RSS SRO Summary Sheet • Records Schedule Reconciliation Instructions
<input type="checkbox"/>	Verify that all schedules were appropriately transferred to the appropriate department. Resolve any issues with the appropriate SROs or IMPDs.	<ul style="list-style-type: none"> • Information Management Portfolio Director (IMPD) • Senior Records Officers
<input type="checkbox"/>	For draft schedules, use RSS to: <ul style="list-style-type: none"> • update the organization name/code and all other relevant information. 	<ul style="list-style-type: none"> • RSS User Guide • Records Schedule Reconciliation Instructions
<input type="checkbox"/>	Review litigation holds to: <ul style="list-style-type: none"> • inform receiving ministry of any existing or potential litigation and outstanding FOIP requests; and • obtain information on litigation transferred. 	<ul style="list-style-type: none"> • RSS Hold Feature

Reconcile Inactive Records Storage and Disposition		Resources
<input type="checkbox"/>	Work with the Transfers, Storage and Disposition (TSD) team to ensure all associated records in storage that were transferred now reflect the correct department name and code in the Inactive Records Information System (IRIS).	<ul style="list-style-type: none"> • SA.DispositionServices@gov.ab.ca
<input type="checkbox"/>	Work with TSD to ensure all concurrences are initiated and those records eligible for final disposition are disposed of upon receipt of business users' sign-off.	
<input type="checkbox"/>	Work with TSD to ensure all requests for storage, concurrences and dispositions reflect the correct organization name and code.	
<input type="checkbox"/>	Obtain copies of all records destruction documentation associated with the schedules.	
<input type="checkbox"/>	Review and update the list of individuals eligible to access records stored at the Alberta Record Centre (ARC). Ensure that the ARC is notified of any changes.	
<input type="checkbox"/>	With legal counsel and FOIP Coordinator, determine if any legal holds have been placed on the records.	<ul style="list-style-type: none"> • FOIP Coordinators • RSS Hold Feature

Confirm Technology and Innovation – IM Program Arrangements		Resources
<input type="checkbox"/>	Meet with Information Management Portfolio Directors to confirm service delivery contacts, staffing arrangements, etc.	<ul style="list-style-type: none"> • IM Programs Contact List
<input type="checkbox"/>	Review IM requirements to determine if changes to service delivery are required.	

Support Any New Business Units Transferred to Your Ministry		Resources
<input type="checkbox"/>	Identify business unit IM contacts.	
<input type="checkbox"/>	Coordinated with the appropriate resources to identify opportunities for IM training and orientation.	<ul style="list-style-type: none"> • Information Management Education
<input type="checkbox"/>	Review inactive records stored at the ARC and schedules associated with the business unit.	<ul style="list-style-type: none"> • RSS User Guide
<input type="checkbox"/>	Ensure that records and records inventories relating to the new business unit's schedules have been transferred.	

Support Any New Business Units Transferred to Your Ministry		Resources
<input type="checkbox"/>	Ensure litigation hold documentation related to the business unit's records have been transferred.	<ul style="list-style-type: none"> • Litigation Response and Information Discovery Directive

Vital Information Management		Resources
<input type="checkbox"/>	Confirm the ministry's Vital Records Coordinator by contacting the department's Business Continuity Planning group.	
<input type="checkbox"/>	Confirm vital records contact information for all business units.	
<input type="checkbox"/>	Update/revise list of vital records.	<ul style="list-style-type: none"> • Vital Records Guidance

Program Planning and Development		Resources
<input type="checkbox"/>	With the Chief Information Officer and FOIP Coordinator, establish or revise the IM component of the department's strategy and establish operational priorities.	<ul style="list-style-type: none"> • IM Planning Guide • FOIP Coordinators
<input type="checkbox"/>	Review the department's IM program to assess current state and potential avenues for enhancement.	
<input type="checkbox"/>	Establish projects to revise the ministry's records classification system and records retention and disposition schedules where required.	
<input type="checkbox"/>	Confirm/establish IM policies and procedures and update related forms to reflect the new ministry.	<ul style="list-style-type: none"> • Alberta Form Repository (secure site)
<input type="checkbox"/>	Work with your Chief Information Officer and FOIP Coordinator to plan and implement information management training for ministry staff.	<ul style="list-style-type: none"> • FOIP Coordinators • Information Management Education