Information Schedule Transformation Strategy Report and Recommendations

Government Records Service
Corporate Information and Records Management Office
Ministry of Citizens' Services
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BRITISH COLUMBIA | Ministry of Citizens' Services

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About this document

This future state map has been produced by Government Records Service (GRS) through a series of workshops and research with stakeholders across the public service, including Ministry Records Officers (MRO), stakeholders within ministries, and GRS staff. It contains **opportunities** and suggested **solutions** for a different way of managing the information schedule review and development services, based on the **needs** expressed by stakeholders and the **ideas** they have offered to help improve the services.

The future state of the services presented in this document highlight the **approaches that will have the greatest impact on increasing schedule coverage across government**. Each service approach impacts all phases of the schedule service journey. For each approach, each of the main stakeholders have needs. The new ideas proposed address these needs while focusing on the overall goal of increasing government's level of compliance with the *Information Management Act*, government policy, and records management best practices.

Acronyms used:

ARCS – Administrative Records Classification System
ARI – Archives and Records Initiatives
CIRMO – Corporate Information and Records Management Office
CRO – Chief Records Officer
CSA – Corporate Supply Arrangement
GRO – Government Records Officer
GRS – Government Records Service
IMA – *Information Management Act*
IMAC – Information Management Advisory Committee
IST – Information Solutions and Transformation
ORCS – Operational Records Classification System
RIMM – Recorded Information Management Manual
SR – Selective Retention

Opportunities Identified

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About the information schedule development process

Information schedules govern how records are organized and managed. Government and broader public sector organizations use information schedules to ensure records are kept for as long as required, identify records of enduring value for preservation and ensure that others are routinely destroyed when they are no longer needed. Information schedules enable ministries to meet their legislative responsibilities under the *Information Management Act*.

Information schedules are a product of an archivist (schedule developer) conducting functional archival appraisal. Appraisal supports:

- preparation of information schedules
- identification of government archival records for preservation
- integration of records management requirements into business systems
- development of metadata controls
- application of security measures
- protection of personal information
- effective access to information; and more

In an ideal state:

- All government functions and activities are covered by standard compliant, up-to-date information schedules;
- Government makes the most efficient use of its schedule development resources;
- All records of archival value are appraised and preserved;
- GRS seizes on opportunities to improve records management throughout government (i.e. information schedules, information systems, digital preservation, records management advice and services);
- GRS develops high quality services and products to support staff in the management of government records; and
- GRS anticipates trends and new developments in information management and their impacts across government.

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Government Digital Principles and Information schedules

The Digital Principles are meant to guide the work of individual public servants and vendor partners as the Province of British Columbia continues to evolve into a Digital Government. Information schedules should support and embody the government's digital principles in the following ways:

1. Deliver value for British Columbians & cultivate trust
Information schedules support government services and should ultimately improve people's lives. Information scheduling services should focus on outcomes rather than outputs, prioritizing according to the needs of government bodies. Information schedules should help build trust, allowing government to use data, information and records to make fair, ethical and evidence-based decisions and provide evidence of the work that government does.

2. Design with people & embed inclusion
Deliver simple, effective products and services. Information scheduling services should apply human-centered design practices, working directly with people who will use the product or service. Communicate in plain language. Strive to meet the highest standards of accessibility, inclusion and equity. Endeavour to create a seamless experience across government's various digital and physical records management environments.

3. Integrate ethics
Take an ethical approach to developing and amending information schedules. Evaluate the potential ethical, social, cultural and environmental implications of records management and archives.

4. Continuously learn & improve
Iterate and improve information schedule products and services. Use modern tools and approaches. Be flexible to change, even at the last minute. Seek and accept feedback on an ongoing basis. Test early and often. Try to "fail fast" and accept failures as learning opportunities.

5. Work in the open
Collaborate, co-design and co-create with product and service users transparently.

6. Take an ecosystem approach
Think holistically. Design and deliver forward-thinking, adaptable and scalable solutions. Support common components and enterprise approaches. Share work and learnings with the aim of contributing to the wider archival and records management community.

7. Take care of records, information & data
Act as leaders in the management of records, information and data. Help ministries to treat records as a public asset in accordance with its value. Strive to improve the quality of records management across government.

8. Manage risks proportionately
Promote a risk-balanced approach. Design clear and flexible risk-mitigation strategies.

9. Build diverse teams & internal capacity
Create and support teams with diverse skillsets and backgrounds. Enable teams to use technology to manage government information. Encourage innovation and controlled experimentation. Build an organizational culture and structure to support constant learning and engagement.

10. Express cultural & historical awareness & respect
Acknowledge the historical relationships, inequity, trauma, and discrimination created by government. Work in the spirit of reconciliation and B.C.'s Draft Principles guiding our relationship with Indigenous peoples.

Roles

Information schedule development overview for ministries:

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Client Ministries

Ministry Records Officers

Information scheduling process

Education, advice, guidance and RM services

ARI Role (Archival and Records Initiatives Team)

1. Own corporate processes related to the creation and amendment of information schedules:
   a. Develop and review information schedules to facilitate the management of government information
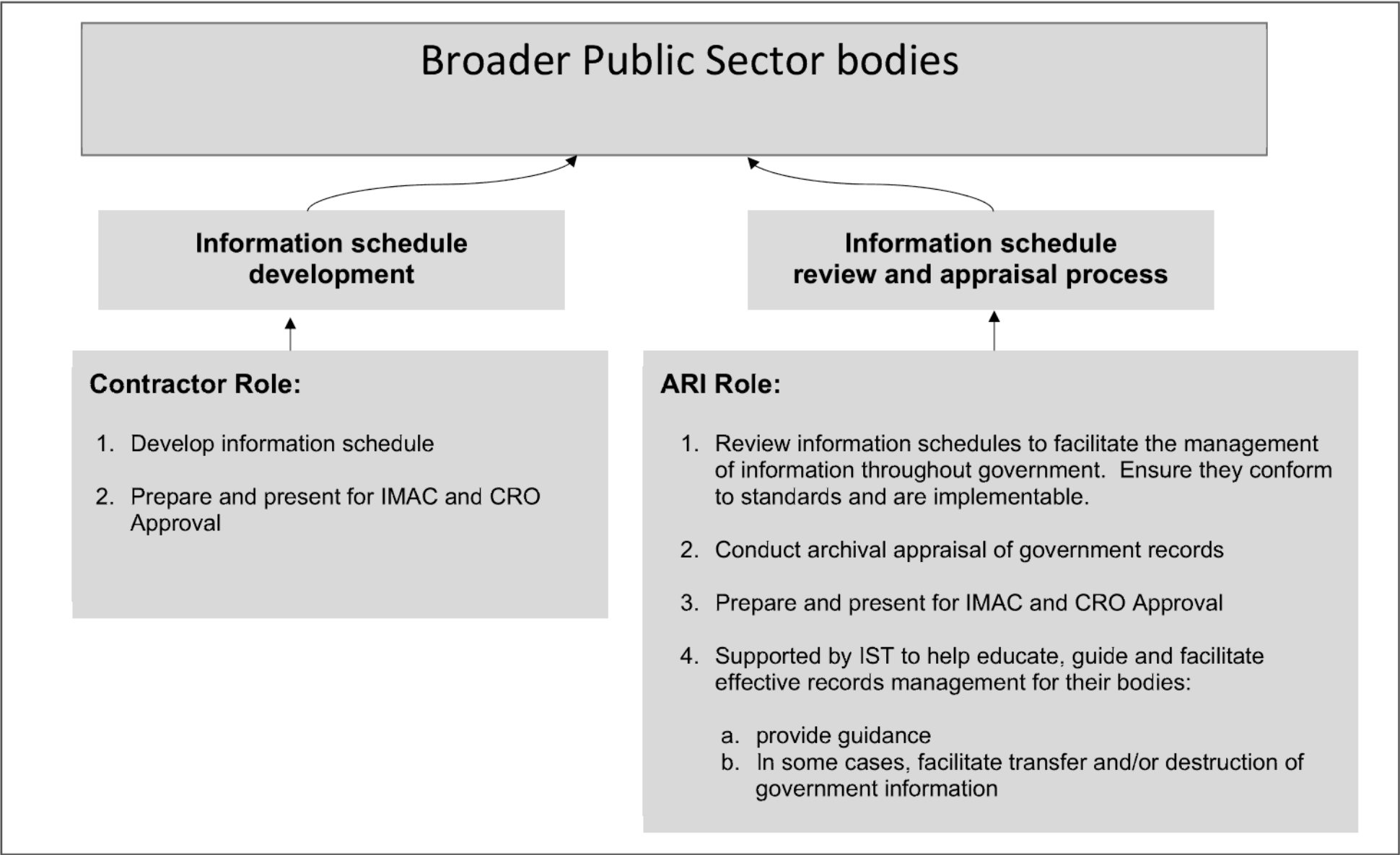   b. Conduct archival appraisal of government records
   c. Complete public consultation, prepare for IMAC and CRO approval
   d. Publish ORCS

IST Role (Information Solutions and Transformation Team)

1. Help educate, advise, guide and facilitate effective records management for government ministries:
   a. Initiation of Information Schedule requests for development and implementations
   b. Facilitate transfer and/or destruction of government information
   b. Create and deliver guidance, training, relating to records management

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Information schedule development and review overview for Broader Public Sector:

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Broader Public Sector bodies

Information schedule development

Information schedule review and appraisal process

Contractor Role:

1. Develop information schedule

2. Prepare and present for IMAC and CRO Approval

ARI Role:

1. Review information schedules to facilitate the management of information throughout government. Ensure they conform to standards and are implementable.

2. Conduct archival appraisal of government records

3. Prepare and present for IMAC and CRO Approval

4. Supported by IST to help educate, guide and facilitate effective records management for their bodies:

   a. provide guidance
   b. In some cases, facilitate transfer and/or destruction of government information

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Practices and improvement already in place:

Over the past several years, GRS has already implemented numerous improvements to the information scheduling process. The opportunities identified in this report build on these early successes and lessons learned from implementing these changes.

- Defining selective retention criteria so the need for archivist SR appraisal process is nil or significantly reduced. All new or amended information schedules will ensure SR retentions have a straightforward clear description to assist clients in determining how SR is applied, which allows Archivist more of an oversight role to ensure consistency in the application of the criteria.
- Document started for common ORCS wording and retention periods (i.e. contracts). Developers establish similar retention periods to assist with facilitating off-site records transfers. Over time, this will continue to increase as more common ORCS are identified so less time is required to determine precise, custom retention lengths, benefiting from the listing for Common ORCS with the associated business rationale.
- Project Management application following agile principles is currently piloted in one large schedule development. Lessons from this pilot is shared with the team as a suggested approach in development. Prioritization Committee established and evaluating proposals based on scope, complexity and urgency of a schedule. Approved requests are tracked and awaiting assignment of a developer.
- CiviX phase 2 is complete. Updates to the ORCS development and publishing tool will make ORCS more accessible.

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1 Opportunity: Government-wide Schedules

GOAL Expand ARCS and establish common schedules applicable to multiple program areas across government, as well as reduce scope of ORCS development projects.

Strategies	Description
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Needs

Client Needs	MRO Needs	GRS Needs
I need more schedules available to know how long to keep records: 1. Need to know how long I need to keep files in my recordkeeping system 2. Need to know when I can destroy records 3. Need to know when I can transfer records to the archives	I need schedules that cover my program area so that we can destroy or transfer records	I need an update to ARCS so that: 1. ORCS contain fewer similar functions 2. Focus on unique operational functions
I need to have classifications to file records: . Classifications so that I can file my records easily . Organization so that I can find the records I need in future	I need classifications that can be applied across my program area so I can create filing plans	I need an update to special schedules
I need intuitive classifications that align with my role and responsibilities		
I need clear SR criteria so that I know which records I can destroy		
I need simple SO retention triggers		

What's changed?

Current	Future
ARCS	ARCS 2.0: 1. Additional classifications and thus records covered 2. Defined SR criteria
Special schedules	1. Special schedules reviewed, updated proactively and changed to "common schedules" as appropriate 2. New common schedules introduced for common operational records
1. ARCS online as web pages 2. ORCS online as pdfs in the ORCS e-library 3. Special Schedules online as web pages with unique format (non-searchable)	1. ORCS and common schedules available online and searchable in new html library 2. Common schedules format standardized 3. Ministries aware and use expanded ARCS and Common Schedules, and have approved ORCS for functions not found in either ARCS or Common Schedules.

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2 Opportunity: Client Collaboration, Partnership & Education

GOAL Define roles and responsibilities for schedule development, including client collaboration and ownership. Improve guidance and training by updating client-facing resources and ensuring that training is widely available.

Strategies	Description
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Needs

Client Needs	MRO Needs	GRS Needs
To know what ARCS and ORCS are before a schedule project starts	To know exactly how the schedule development process works and what the goals, deliverables are	Time to focus on developing ORCS
To know before the project starts, exactly what my role is and what is expected of me during the development process	To have input on what the project will involve at all stages	To have commitment from all parties before the development process begins. Particularly: 1. Client executive 2. MRO and RM staff 3. Subject matter experts
To know exactly how the schedule development process works and what the goals, deliverables are	To be able to communicate to executive on: 1. Timelines 2. Deliverables 3. Costs 4. Resources 5. Stages of the process	Updated training and orientation for schedule developers
Time to dedicate to the project	To understand the implications of the schedule on ministry RM processes	Key contacts to engage within the ministry
Guidance on where the project is at all stages	The ability to hire contractors who can develop schedules to the government standard	Information about ministry functions and records
Someone to keep me on track with: attending meetings following up with information approve drafts	The ability to provide contractors with education and guidance on how to write an ORCS to GRS standard	Toolkit for GROs to guide clients on requesting a schedule, providing guidance on client commitment required in having a schedule developed, and on expectations for client to implement schedule once CRO approves schedule.
Guidance on how to implement and use a schedule after approval		

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What's changed?

Current	Future
Inconsistent project management	Rigorous project management oversight at all stages of the process
Varying levels of commitment	Full commitment from all parties
Varying levels of support from the client	Dedicated project manager/change manager on the client side
Indeterminate timelines	Clear project schedule broken out into sprints
Drafts and information being sent back and forth via email	Online collaboration space for the developer and the client where they can share information, drafts, ask questions, conduct approvals, etc.
Developers spending a significant amount of time educating clients	Clients receive training prior to the development phase of the project.
Training for archivists is out of date	Standards, procedures, training and orientation for GRS schedule developers is up to date and well-communicated
Training for contractors is not comprehensive	Standards, procedures, training and orientation for contracted developers is up to date and well-communicated
No or minimal project management	Agile approach to development used for all schedule development within GRS.
No listing of outside developers available to ministries.	Established CSA of qualified developers

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③ Opportunity: Organizational structure and alternative models

GOAL   **Review current organizational structure of GRS to determine how to best position the role of information schedule development.**

Strategies	Description
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Needs

Client Needs	MRO Needs	GRS Needs
Clear point of contact through schedule initiation, development, and implementation	Clear point of contact through schedule initiation, development, and implementation	
The ability to have admin amendments completed quickly		

What's changed?

Current	Future
ORCS developers move on to the next project assigned to them depending on need	ORCS developers have a portfolio of clients with similar types of functions so that they can apply their knowledge across sectors
Lack of continuity between schedule development approval and schedule implementation	Clear continuity between schedule development approval and schedule implementation
No CSA of qualified schedule developers	CSA for pre-qualified developers.
No succession plan for GRS staff	Clear succession plan for GRS staff
Lack of administrative support	Administrative support for developers
Lack of partnership with GRO	Clearly defined roles and responsibilities and partnership between the GRO and the ORCS developer
Communication, education and training of clients rests with developer	Communication, education and training of clients rests with other GRS staff so developers have time to focus on developing

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④ Opportunity: Strategy for Schedule Coverage

GOAL — **Champion culture change across government, increase understanding of the state of RIM, and improve compliance with the IMA.**

Strategies	Description
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Needs

Client Needs	MRO Needs	GRS Needs
I need more schedule coverage	I need details around how schedules are prioritized	A comprehensive ORCS development plan that: • Approaches branches with little to no coverage • Aims for 80% coverage, focusing on critical records across branches • Focuses on related functions across government
I need schedules that cover data in my systems	I need to know when I can expect to get an archivist assigned to the program area	Prioritize schedule development to maximize resources
		Manageable sized and scoped ORCS
		Less subject-based classification, more broad functional classification
		Focus on at-risk / critical records and ensure they are appraised appropriately
		Update related functions across ORCS at the same time so that there is consistency across schedules
My schedule approved as quickly as possible	The ability to make administrative amendments to the ORCS	A more streamlined approval process
To be able to amend or revise schedules myself	A schedule amendment toolkit	More time to dedicate to ORCS development

What's changed?

Current	Future
ORCS prioritized in response to client requests (reactive)	Promote ministries have assigned RM resources in place to support development and implementation of schedules
Older schedules containing subject based classification	Revised schedules with increased functional classification
Large ministry-wide ORCS	Smaller, more manageable development projects with defined timelines and scope
Scheduling of systems data completed retroactively	Systems designed to include data retention functionality. Proactive scheduling of records during system development/implementation
Schedule projects assigned to the client who is "loudest" – the squeaky wheel	Provide ministries with autonomy to complete lighter amendments or schedules with the support of GRS Create schedule development tool kit, training, and resources for ministries wishing to develop schedules in-house
No reporting	Provide annual gap analysis report on information schedule coverage by ministry to ministries so they are aware of their level of coverage.

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5 Opportunity: Internal Procedures

GOAL   Ensure Schedule Developers have clearly defined procedures and tools

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Strategies	Description
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Needs

Client Needs	MRO Needs	GRS Needs
Developers to focus exclusively (or predominately) on my schedule project	Developers to focus exclusively (or predominately) on our schedule project	Time to dedicate to ORCS development
		Access to records and people when I need them
		Access to custom ARIS reports
		Updated training and orientation
		Clear definition of roles and responsibilities

What's changed?

Current	Future
ORCS developers move on to the next project assigned to them depending on need	ORCS developers have a portfolio of clients with similar types of functions so that they can apply their knowledge across sectors
Developers sometimes have trouble accessing sensitive records	Ensure that developers have access to all records prior to the initiation of the project.
Public consultation	No public consultation. Schedule published to the online library – the public can comment if they wish
IMAC meet in-person when necessary	IMAC meets in an online collaboration space with a couple of weeks to review, ask questions etc. Endorsement thereafter.
Administrative amendments completed by GRS	Clients able to complete straightforward amendments with little or no oversight from GRS
Centralized ORCS development	Increased distributed ORCS development depending on project size/scope and new development model/s approved

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Conclusion

This report suggests opportunities and actions that could be taken to increase schedule coverage across government and transform GRS's information schedule development and review services. Some of these suggestions can be interpreted as "core", i.e. foundational to the service and could be implemented quicker, whereas some opportunities should empower a greater transformational change but will take longer to implement and require planning, time and significant investment by CIRMO to come to fruition.

Recommendations presented in this report will be further expanded upon pending review of this report by the Chief Records Officer and CIRMO Executive, and their decisions about priorities for future direction. If approved, the next step will be completion of an Information Schedule Resource Strategy containing:

- Action plan
- Detailed timeline
- Deliverables
- Budget

This strategy will include the creation of plans for change management, communication, and implementation. The plans will support the recommended actions outlined above and ensure GRS and CIRMO create real and lasting change to the schedule program. Change to information schedule coverage leads to the ultimate goal of increased compliance with the IMA and satisfaction from clients and GRS staff.

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