

**INFORMATION ACCESS OPERATIONS
LIST OF CORE SERVICES TO MINISTRY CLIENTS**

NOTE: Reflects core services derived from *Target IAO Business Operations Design, May 2009*

FREEDOM OF INFORMATION

BUSINESS PROCESS	ACTIVITY	DESCRIPTION	CLIENT RESPONSIBILITIES	SERVICE LEVEL
FOI Access request and consultation processing:	Receive FOI requests and consultations	Receive incoming mail, including requests; monitor and manage corporate email and fax accounts; date stamp and distribute incoming requests	Identify and forward FOI requests without delay	As required
	Validate requests	Confirm and acknowledge valid requests for records; establish eligibility or authorization for access to personal records	Provide or make available all relevant validation/eligibility records/information	As required
	Triage Requests	Contact applicants to clarify requests; redirect or transfer requests to appropriate jurisdictions; liaise with client ministry to identify records available through routine release	Provide program specific information and assistance to IAO staff and/or applicants as required	As required
	Track requests	Log incoming requests and consultations into Corporate Request Tracking System (CRTS), or other approved tracking system; track requests through lifecycle.	N/A	As required
	Correspondence management	Manage all FOI related correspondence, including; acknowledgement, clarification, fee, extension and response letters	N/A	As required
	Coordinate Requests	Coordinate similar or identical requests received by multiple ministries for administrative efficiency	Advise IAO if aware of multiple public body requests	As required
	Assign requests and consultations	Ensure Ministry program areas have all relevant information, including; request/consultation number, description, due date, forms and contact information	Where practical or appropriate, designate a single point of contact for receipt of IAO records calls. Confirm primary responsibility areas for records; re-direct where appropriate	As required

	Manage FOI fees	Calculate and issue fee estimates; receive, process, track and deposit fees; process, track and issue refunds	Provide accurate and timely records search, volume and/or preparation for disclosure estimates.	As required
	Manage fee waiver requests	Receive, process and track fee waiver requests; review and analyze fee waiver requests and records or record samples in order to prepare fee waiver recommendations, or make fee waiver decisions if delegated to do so.	Provide program-specific information and/or records context to facilitate development of waiver recommendations; provide record samples as required	As required
	Manage time extensions	Issue and track public body extensions; prepare and submit requests to the Office of the Information and Privacy Commissioner (OIPC) for additional extensions; track all extensions	Provide any relevant information required to justify extensions	As required
	Receive responsive records	Define, clarify and/or narrow scope of requested records with program areas and/or applicants; receive records by mail, courier, fax or, preferably, electronic means; scan non-electronic records into digital format for processing, storage and retention	Make all reasonable efforts to identify, locate and retrieve responsive records; document all records searches; forward all responsive records in a timely manner; forward all records in electronic format wherever possible and practical	As required
	Review records for disclosure	Review records for scope and responsiveness; review program area disclosure recommendations and harms assessments; consult with program areas as required; identify records requiring consultation with other public bodies, organizations or third parties; issue and process consultations and/or formal third party notifications; review precedents; apply mandatory exceptions; prepare severing recommendations for discretionary exceptions; sever records	Provide program-specific information and records context to facilitate review and analysis; provide informed disclosure recommendations, including harms assessments where required	As required
	Prepare disclosure recommendations	Prepare disclosure recommendations for delegated sign-off authority; prepare electronic "red-line" draft of records for review; complete and forward approval form to single point of contact	Designate single point of contact for receipt of disclosure recommendations and approval forms; accept electronic sign-off packages wherever possible and practical	As required

	Process external consultations	Forward external consultation records to program area for review and recommendations; forward recommendations to external authority for decision	Provide disclosure recommendations	As required
	Release records	Prepare hard-copy or electronic release packages; mail or courier hard-copy records or discs; email electronic records	N/A	As required
Requests to Correct Personal Information	Requests to Correct Personal Information	Receive, track, document and provide recommendations, or make decisions where delegated to do so, regarding correction or annotation of personal information under s. 29.	Forward requests for correction to IAO and annotate or correct information when required.	As required
Manage Complaints, Reviews, Investigations, Inquiries and Judicial Reviews	Represent client ministries when applicant or third party complaints are submitted to OIPC	Receive, process and track complaints to OIPC; participate in OIPC mediation; work with applicants, OIPC and program areas to resolve complaints	Provide program-specific information and records context to facilitate mediation; Maintain accurate fee estimate and record search documentation	As required
	Represent client ministries when applicant or third party review requests are submitted to OIPC	Receive, process and track reviews with OIPC; participate in OIPC mediation; work with applicants, OIPC and program areas to resolve reviews	Provide program-specific information and records context to facilitate mediation; review decisions as required	As required
	Represent client ministries subject to OIPC investigation	Participate in OIPC investigations; assist program areas when and as required	Provide program-specific information and records context in response to investigations	As required
	Represent client ministries when applicant or third party complaints or reviews result in formal Inquiries	Work with program areas and Legal Services to prepare submissions for Inquiries; provide affidavits and/or other evidentiary materials as required; assist client ministries to comply with any Orders resulting from Inquiries.	Provide program-specific information and records context to support submissions; provide program area expertise and/or affidavits as required.	As required
	Represent client ministries in judicial review proceedings	Work with program areas and Legal Services to prepare submissions for judicial reviews; provide affidavits and/or other evidentiary materials as required; assist client ministries to comply with any judgments resulting from judicial reviews.	Provide program-specific information and records context to support submissions; provide program area expertise and/or affidavits as required	As required

FOI Advisory Services	Advise program staff and Ministry Executive on all FOI matters	Prepare briefing materials as required; advise staff on access and disclosure issues and/or FOI interpretations; provide operational policy and procedural advice; provide research and analysis to support ministry pro-active or routine disclosure initiatives.	N/A	As required
FOI Reporting	Executive FOI Reports	Provide weekly FOI reporting to all client ministries/agencies; provide ad-hoc reporting as capacity and data permit	Identify reporting requirements	As required
	OIPC Reports	Provide “report card” data and other FOI reporting to OIPC on behalf of client ministries/agencies	N/A	As required
	Annual and quarterly FOI reporting	Publicly post quarterly and annual FOI statistics on behalf of client ministries/agencies	N/A	As required

RECORDS MANAGEMENT

BUSINESS PROCESS	ACTIVITY	DESCRIPTION	CLIENT RESPONSIBILITIES	SERVICE LEVEL
Management/ Governance support	Legislative and Policy compliance	Provide direction, guidance and advice to support ministry compliance with corporate Records Management legislation and policy.	Comply with corporate records management policy	As required
	Policy development	Develop and communicate recorded information management policies procedures, standards and guidelines (RIM Manual and associated documents) in support of Core Policy.	Comply with corporate records management policy	As required
	Strategic IM/IT planning	Review and provide expert advice on draft ministry strategic IM/IT planning documents	Consult with Records Officer during plan development.	As resources permit
	Records Management (RM) strategic planning	Development of ministry strategic plan to set RM priorities in support of business objectives, identify resources and track progress.	Identify business needs, provide input and approval of plan, and resources as identified in plan.	As resources permit
	Records management reviews	Facilitate, lead or assist with information management compliance reviews and develop summaries and action plans.	Identify need and/or approve review; participate in consultation with Records Officer as required to ensure compliance with legislation and policy	As resources permit
	Project management	Manage or provide advice for records related projects (e.g., ORCS implementation projects, backlog projects)	Identify need for and approve project; provide resourcing for project.	As resources permit
	Document Disposal Act (DDA) administration	Advise ministry on appropriate application and interpretation of legislative requirements.	Manage information holdings in accordance with DDA requirements	As required

	DDA applicability	Obtain legal opinions regarding DDA applicability		As required
	Records sharing or custody agreements	Lead or assist with the development of records sharing or custody agreements with non-DDA clients, partners or outside organizations or agencies	Identify need, lead or assist in developing content, approve agreement	As required
Records Schedule Management:	Administrative Records Classification System (ARCS) Maintenance and Administration	Conduct ongoing research and analysis on classification and retention requirements (legal, fiscal, etc.) to maintain currency with business and legislative needs; appraise records to determine final disposition requirements (e.g. archival preservation, destruction)	Communicate program area classification and retention requirements; classify, file and retain or dispose of records in accordance with ARCS	As required
	ARCS amendment process	Administer ARCS amendment processes including Public Documents Committee (PDC) and Legislative review and approval;	Raise issues and refer classification and scheduling changes to Ministry Team as required.	As required
	Publish ARCS	Publish and maintain on-line ARCS manual		As required
	Special cross-government records schedule development, maintenance and administration	Conduct ongoing research and analysis on classification and retention requirements to maintain currency with business and legislative needs; appraise records to determine final disposition requirements; manage special schedule approval and amendment processes including PDC and Legislative review and approval	Apply or recommend special schedule application to Ministry Team as required.	As required
	Publish special schedules	Publish and maintain special schedules on-line		As required
	Operational Records Classification System (ORCS) development, maintenance and administration	Conduct (or coordinate where resourced by Ministry) ORCS development projects, including research and analysis on retention requirements and appraisal of records to determine final disposition requirements; for client ministry funded ORCS development projects, provide project management and/or advisory services and/or quality assurance review; lead or support ORCS implementation	Communicate program area classification and retention requirements; coordinate or lead ORCS implementation projects; file and retain or dispose of records in accordance with approved ORCS	ORCS development projects delivered per Plan; Plan based on internal capacity, ministry readiness and corporate priorities. Ministry may resource projects for earlier completion.
	ORCS approval process	Administer ORCS approval and amendment processes including PDC and Legislative review and approval; represent Ministry at PDC.	Work with ORCS Development team and Records Officer to meet project deadlines; provide program area/ministry representative for the ORCS at PDC.	As required
	Publish ORCS	Publish and maintain on-line ORCS manuals		As required

	One-time records schedule development, maintenance and administration	Conduct research and analysis on classification and retention requirements; appraise records to determine final disposition requirements; manage approval processes including PDC and Legislative review and approval	Apply one-time records schedule.	As resources permit
RM System Administration	Manage the administration of EDRMS TRIM (electronic records-keeping system for hardcopy and electronic records)	Provide help desk services; manage access control; maintain data integrity in accordance with approved standards	Enter data in accordance with approved standards; provide data for access control, including timely information on ministry organizational/staffing changes.	As required
	Update and maintain corporate EDRMS (TRIM) standards	Research and analysis; update and maintain standards; manage vendor and service provider relations;	N/A	As required
	Manage the administration of CRMS (legacy records management system for hardcopy files)	Provide help desk services; manage user access control; maintain data integrity in accordance with approved standards	Enter data in accordance with approved standards; provide data for access control, including timely information on ministry organizational/staffing changes.	As required
	Manage the administration of QRMS (legacy records management system for hardcopy files)	Provide help desk services and advice		Best efforts only; This legacy system is past End of Life and is no longer vendor supported
EDRMS TRIM Implementation	Manage TRIM Implementation Projects	Lead, coordinate and/or support TRIM implementation projects; business process analysis; naming standards; training; change management; communication management; initial desk-side support	Provide Ministry approval, commitment and resources required for project success.	Delivery per Plan; Plan based on internal capacity, ministry readiness/support and corporate priorities. Note: government does not support further implementations of CRMS or QRMS.

Records Storage and Destruction Management	Records transfers	Review, verify and approve offsite storage applications; provide clients with applications, accession numbers; manage schedule application and issue 60-day disposition notice; update TRIM.	Complete application forms in accordance with approved standards; classify and describe all records accurately; physically box and ship records using approved products and services	As required
	Access Authorizations	Update and maintain program area access authorizations in ARIS (access changes provided by client);	Provide authorized access contacts and notify IAO of any access changes in timely manner	As required
	Process records destructions	Review, verify and approve records destructions in accordance with approved records retention schedules; arrange for and ensure physical destruction of records (off-site records); update TRIM	Complete application forms in accordance with approved standards, ensure all records are listed and accurately classified and described, and submit to Records Officer for destruction approval; review 60 Day Notices and records destruction lists attached to ARS518 forms (e.g., for related known litigation); confirm physical destruction of records (onsite records)	As required
	Records storage, retrieval and destruction contract management	Procure and manage records storage, retrieval and destruction contracts; monitor service delivery; manage issues and escalations	Use approved corporate service offering for ministry shredding services and off-site records storage	As required
	Records ownership	Track the ownership (current legal custodian) of records over time, including maintaining the ARIS Indented Org Chart name authority.	Provide timely and accurate information on organizational changes.	As required
	Microfilm storage/duplication	Secure storage in archival conditions and retrieval of microfilmed records; coordination of duplication services	Identify microfilmed records requiring archival storage.	As required
RM Advisory Services	Advise program staff and Ministry Executive on all RM matters	Provide records management advice to ministry management and staff at all levels, including: <ol style="list-style-type: none"> 1. RM issues and/or DDA/policy interpretations 2. operational policy and procedural advice 3. research and analysis to support client ministry RM initiatives 4. business continuity planning and/or business or disaster recovery respecting records, including vital records 5. electronic records issues 6. records management requirements for program 	Identify the preferred communication channel for ministry distribution of RM information.	As required

		<p>area information systems</p> <ol style="list-style-type: none"> 7. change of administration 8. contract RM language 9. RM security 10. Records transfer agreements 11. Alternative Service Delivery (P3) RM issues 12. LAN structure best practices 13. Records classification 14. Cleanups of unscheduled records 		
	Draft legislation	Review draft Ministry legislation to ensure adherence to RM legislation and best practices.	Identify draft legislation requiring review	As required
	Information system/workflow processes	Provide advice and input relating to RM requirements for program area information systems, business process reviews, & workflow changes.	Identify system or process requiring input; fully responsible for practice standards as they relate to information management, file formats, and similar line-of-business detailed requirements	TBD (Best efforts only at this time)
	Records search and retrieval advice	Provide advice on ministry specific records search and retrieval projects (e.g., Audit, FOI, litigation)	Lead and conduct records search and retrieval	As required
	Online IM tools	Provide access to Information Access Operations online information management tools (e.g., ARCS Online)		As required

TRAINING

BUSINESS PROCESS	ACTIVITY	TASKS	CLIENT RESPONSIBILITIES	SERVICE LEVEL
Training Services	RM/FOI Training	Develop integrated as well as independent RM/FOI training modules and materials; deliver multi-level RM/FOI training using appropriate format (e.g., on-line, interactive or in-person sessions), for Executive, RM/FOI staff and records users.	Identify training needs; register for training as needed.	As resources permit
	RM/FOI Corporate Systems Training	Develop RM/FOI systems training modules and materials; deliver multi-level training using appropriate format for supported corporate systems, i.e., TRIM and the Corporate Records Management System (CRMS)	Identify training needs; register for training as needed	As resources permit; training and support for QRMS and other unsupported legacy systems will be on a best efforts basis only as resources permit