

# Transitioning Records to Another Organization

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# Introduction

- Process of relocating fully operational records is complex
- Transferring responsibilities within organizations is usually done with the hope of better service delivery
- Change Management - how records are processed always a challenge
- Demands meticulous planning

# Things to Keep in Mind

## Executive Support

- Get noticed
- Identify the importance of IM function
- Identify the consequences of ignoring IM function
- Identify public relations implications

Be Proactive Not Reactive!

# Things to Keep in Mind

## IM Coordination

- Ensure you have a good relationship with coordinating IM branch of other organization
- Will need to work closely towards common goal
- Transfer of knowledge critical to success of relocation of records

# Things to Keep in Mind

## Legislative Compliance

- ATIPP, IM, legal

## Paper vs Hardcopy

- all record mediums must be considered

## Human Resources

- will positions transfer
- is there knowledge available in-house

# When Transferring Custody of Records

- Minimize or eliminate downtime and loss of functionality during the transition
- Get a thorough audit of data currently in your custody and control
- Inventory functions and processes may need to be inherited

# When Transferring Custody of Records

- No records should be transferred from the custody of one department or agency to another without the proper written approval.
- A concise description of the record(s) transferred, including index of file #, date of file(s), overview of the file
- A statement of the restrictions that were imposed on the use of records when they were in your custody
- A statement of the departments/branches & people using the records and the purpose of their use should be transferred too.

# When Transferring Custody of Records

- A statement of the current and proposed transfer locations of the records; and
- A statement for the transfer including an explanation of why the records are being transferred and who is accepting responsibility for the records needs to be established.


# Case Study

## Department of Natural Resources


Transfer of Wildlife  
Responsibilities to Justice



# Introduction

- In April 2011 the Wildlife Enforcement function of the Department of Natural Resources was transferred to the Department of Justice.
  - This transfer of responsibilities involved critical IM planning
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- The bottom right corner of the slide features a decorative graphic of several concentric, light blue circles that resemble ripples on water, set against the dark blue background.

# Considerations

- Wildlife Enforcement head office located in Corner Brook
  - 3-4 Regional Offices
  - Several satellite offices around NL
  - Each one generating/retaining records
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# Challenges

- The Enforcement Division of NR was responsible for the enforcement of provincial and federal laws and regulations relating to our wildlife and forestry management
- matters involving illegal big game hunting such as black bears, polar bears, coyotes, caribou, moose and beavers as well as illegal logging were investigated and documented.

# Challenges

- Due to the geographical wide-spread offices organizing records for transfer was an onerous task
- Records had combined wildlife/forestry violations in one file
- Due to investigative nature of records, continuity of evidence during transfer – a necessary concern
- Attached to records were: big game meat, boats, ATV's, sidearm's, etc

# Next Steps

- NR - IM staff canvassed the province on how many records needed to be transferred
- How long it would take to disassemble the relevant information to transfer (based on legislative compliance)
- How is the transfer process to happen
  - Who will have signing authority to transfer/receive records
  - Ensure once records signed and received no longer your IM responsibility

# Creating the IM Plan



IM Committee will need to take the good, bad and ugly, devise a plan not only for the long term but from day one of the shift in responsibilities.

# Step 1 – IM Plan

## Record Assessment:

- Gathering – collecting all files relating to Wildlife Enforcement from regional and satellite offices within Department of Natural Resources.
- Separate Files by Category Type – manually divide records that are regular active files from those that are undercover operations.
- Separate Files by Responsibility – manually divide records have both Forestry and Wildlife material contained in preparation for transfer.
- Application of Privacy Provisions – ensure that legislative requirements are not compromised.
- Timeframe for Transfer – will be dependant upon volume of records

# Step 2 – IM Plan

- Emergency Requirements (safety issues)
- Priority files will be addressed in a case of emergency or pending investigatory/legal requirements

# Step 3 – IM Plan

Expedited Record Transfer Will Occur Where:

- No privacy implications are identified
- Information contained in files strictly Wildlife focused
- Minimal separation of information required in files
- Undercover files that have not yet started

# Step 4 – IM Plan

Further Analysis required on:

- Records Requiring Further Assessment:
- Undercover Operations
- Files severely integrated with Forestry operations

# Step 5 – IM Plan

Records last to be transferred is:

- Concluded/Archived Wildlife Investigation Files
- Archived information will be assessed as resources allow
- Should relevancy increase, specific transfers will be accommodated on a priority basis.



DEPARTMENT OF NATURAL RESOURCES  
INFORMATION MANAGEMENT DIVISION

RECORDS TRANSFER AUTHORIZATION

DEPARTMENT REQUESTING RECORDS TRANSFER

DATE OF TRANSFER

DIVISION or SECTION

DEPARTMENT ADDRESS

NAME DEPARTMENT CONTACT

PHONE NUMBER OF DEPARTMENT CONTACT

AUTHORIZED SIGNATORY and TITLE of NR CONTACT RELEASING RECORDS



HARD COPY RECORDS



ELECTRONIC



MICROFICHE



MAPS



OTHER

FILE  
NUMBER

TITLE/CONTENTS OF FILE

DATE OF FILE  
CONTENT

PERSONAL  
INFORMATION  
CONTAINED

AUTHORIZED DISPOSITION

# Conclusion

A good IM plan when transferring records will have the following short-term, long term goals:

- Records will be easily accessible & retrievable
- Integrity and completeness of records created and retrieved will be implicitly trusted by all stakeholders
- Improved accountability by the public
- Improved integrity and preservation of the the corporate memory

# Questions ?

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