

Alberta Records Management Committee

<b>Organization Name</b> Technology and Innovation ** All GoA **	<b>Org Code</b> TI **	Schedule Number/Status <b>2026/008</b> Approved
<b>Program/Service Name:</b> Risk Management		

**SCHEDULE ADMINISTRATION**

<b>Type:</b> Continuing Schedule	<b>Organization Chart:</b> <b>External Documents:</b> <b>Comments:</b> N
<b>Related Schedule(s):</b>	
<b>Cancel/Replaces Schedule(s):</b>	
<b>Amendment History</b> ----- None -----	
<b>Schedule Transfer History</b> ----- None -----	
<b>Schedule Cancellation History</b> ----- None -----	

**SCHEDULE APPROVALS**

<b>Senior Program Manager:</b> Signed by, Senior Program Manager	<b>Date:</b> Jan 13, 2026
<b>Senior Records Officer:</b> Johnson, Maurine	<b>Date:</b> Jan 13, 2026
<b>ARMC Committee:</b> Committee, ARMC	<b>Date:</b> May 08, 2026
APPROVED IN ACCORDANCE WITH RECORDS MANAGEMENT REGULATION (A.R. 224/2001) AND GOVERNMENT ORGANIZATION ACT (R.S.A. 2000, Chapter G-10, Schedule 11)	

**PROGRAM/SERVICE INFORMATION**

<p><b><u>Purpose/Function</u></b></p> <p>The function of identifying, analyzing, and mitigating risks that may affect the Government of Alberta’s (GoA) information, assets, and/or operations.</p> <p>Includes assessing internal and external uncertainties that could affect the achievement of the GoA’s strategic objectives.</p> <p>Includes developing, implementing, and monitoring strategies to reduce the likelihood or impact of negative events.</p> <p>Includes supporting decision-making through aggregated risk data and analysis.</p> <p>Includes managing GoA risks from financial and market uncertainties, legal liabilities, information system threats, emergencies, incidents, and natural disasters.</p> <p>Includes protecting critical assets and ensuring business continuity through planning, response, and recovery.</p>
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**Note:** Functional Records Retention and Disposition Schedules (functional schedules) are being developed collaboratively using an agile approach, meaning they may change as other functional schedules are approved or amended.

**Brief History**

**Mandate/Legal Authority**

*Emergency Management Act, RSA 2000, c. E-6.8*  
*Health Information Act, RSA 2000, c. H-5*  
Health Information Regulation, AR 70/2001  
Government Emergency Management Regulation, AR 248/2007  
*Protection of Privacy Act, RSA 2024, c P-28.5*  
Protection of Privacy (Ministerial) Regulation, AR 143/2025  
Occupational Health and Safety Code, AR 191/2021  
*Public Health Act, RSA 2000, c. P-37*  
Immunization Regulation, AR 182/2018  
Records Management Regulation, AR 224/2001

**OPINIONS**

No Opinions Requested.

**SCHEDULE ITEMS**

**01 Access Control and Monitoring**

Records created during the process of implementing and maintaining controls and monitoring mechanisms to prevent unauthorized access to GoA information, systems, facilities, and workspaces.

Includes:

- granting, modifying, and revoking access for individuals, like security clearances, identification tags, building access cards, and system permissions for applications, databases, networks, and sites.
- allocating and assigning software licenses and parking spaces to individuals.
- continuously monitoring physical and digital environments to detect unauthorized use, malicious activity, data breaches, and other security threats.
- tracking permissions granted to individuals, like sign-in sheets, access card assignments, and system audit trails.
- maintaining system and data access activity, like audit trails that track access to specific personal health or other sensitive information.
- ensuring access controls protect the confidentiality, integrity, availability, trustworthiness, sensitivity, and privacy of data and information.

See Item 04 for reporting and investigating physical, workplace, and information security incidents.

See INFORMATION MANAGEMENT AND TECHNOLOGY - Capture and Indexing (2026/002 Item 03) for tracking software licence assignments.

Excludes logs that do not monitor access to GoA information, systems, facilities, and workplaces and logs that are routinely overwritten.

**Note: Functional schedules are being developed collaboratively using an agile approach. Cross-references below will be updated as corresponding functional schedules are approved.**

Excludes:

- developing training that must be completed before being granted access to GoA systems, information, facilities, or workspaces. Upcoming EDUCATION AND LEARNING functional schedule.
- entering into software licence agreements. Upcoming LEGAL SERVICES functional schedule.

- maintaining GoA facilities and structures, like parking lots. Upcoming ASSET MANAGEMENT functional schedule.
- developing security classification standards. Upcoming GOVERNANCE functional schedule.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**FOIP Ref :**

<b>Closure Criteria:</b> Permissions granted, modified, or revoked OR rescinded, replaced, or business use ends	<b>Retention On-site:</b> 0 Year(s)	<b>Retention Off-site:</b> 11 Year(s)
<b>Concurrence Conditions:</b> Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding access to information requests	<b>Final Disposition:</b> Destroy	

**Items to be cancelled:**

None

## 02 Emergency and Continuity Planning

Records created during the process of developing, updating, and maintaining approved GoA emergency response and business continuity plans to ensure the uninterrupted delivery of services and safety of government workspaces in the event of an emergency, disaster, or disruption.

Includes:

- preparing for events that may affect GoA operations, like natural disasters, public health emergencies, infrastructure failures, critical cybersecurity events, labour disruptions, etc., with a focus on maintaining and restoring government services.
- planning for the preservation, continuation, or restoration of public services, operations, facilities, equipment, vital or essential information, and systems at the departmental, facility, and enterprise levels.
- conducting business impact analyses and performing risk assessments to inform planning.
- consulting with internal and external stakeholders to develop mitigation strategies.
- testing plans, conducting exercises, and evaluating results to ensure plans will work effectively and efficiently.
- reviewing and updating plans to ensure compliance with regulatory or policy requirements.

See Item 03 for activating and executing emergency response or business continuity plans.

**Note: Functional schedules are being developed collaboratively using an agile approach. Cross-references below will be updated as corresponding functional schedules are approved.**

Excludes:

- developing plans for the coordinated response to emergencies that pose serious risks to the safety, health, or welfare of Albertans, or that may cause damage to property or the environment, like consequence management plans. Upcoming LAW ENFORCEMENT functional schedule.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**FOIP Ref :**

<b>Closure Criteria:</b> Rescinded, replaced, or business use ends	<b>Retention On-site:</b> 0 Year(s)	<b>Retention Off-site:</b> 3 Year(s)
<b>Concurrence Conditions:</b> Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding access to information requests	<b>Final Disposition:</b> Destroy	

**Items to be cancelled:**

None

### 03 Emergency and Continuity Response

Records created during the process of executing and activating GoA emergency procedures and business continuity plans to ensure a safe response, support recovery efforts, and maintain or restore GoA services during or after an emergency, disaster, or disruption.

Includes:

- responding to events affecting GoA operations, like natural disasters, public health emergencies, infrastructure failures, critical cybersecurity events, labour disruptions, etc.
- using backup data and systems to support the continuation of services and recovery of information.
- coordinating between departments and/or internal stakeholders when a disaster or disruption requires a joint response or recovery effort within the GoA.

See Item 02 for developing emergency response and business continuity plans to maintain or restore GoA services in the event of an emergency, disaster, or disruption.

See Item 04 for responding to information, security, privacy, and facility incidents that affect the GoA and/or its assets that fall outside of established emergency and business continuity procedures.

**Note: Functional schedules are being developed collaboratively using an agile approach. Cross-references below will be updated as corresponding functional schedules are approved.**

Excludes:

- receiving applications for disaster financial assistance. Upcoming COMMUNICATIONS functional schedule.
- providing recovery support payments. Upcoming FINANCE functional schedule amendment.
- reporting occupational health and safety incidents that occur during emergencies involving GoA employees. Upcoming HUMAN RESOURCES functional schedule amendment.
- activating consequence management plans and coordinating response for emergencies that pose serious risks to the safety, health, or welfare of Albertans, or that may cause damage to property or the environment. Upcoming LAW ENFORCEMENT functional schedule.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**FOIP Ref :**

<b>Closure Criteria:</b> When response and recovery efforts have ended and/or final report is completed	<b>Retention On-site:</b> 0 Year(s)	<b>Retention Off-site:</b> 11 Year(s)
<b>Concurrence Conditions:</b> Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding access to information requests	<b>Final Disposition:</b> Destroy	

**Items to be cancelled:**

None

### 04 Incident Response

Records created during the process of responding to information, security, and facility incidents that impact GoA operations and/or its assets and fall outside of established emergency and business continuity procedures.

Includes:

- providing initial notification of incidents, conducting incident-specific investigations and risk assessments, identifying root causes, recommending corrective or preventative measures, and reporting on findings and response effectiveness.

- incidents resulting in damages to GoA property and assets, like those caused by the failure of environmental controls.
- information security and information privacy incidents, like non-critical cybersecurity events, misplaced or lost information, or unauthorized access, collection, use, or disclosure of information under GoA custody or control.

See Item 03 for responding to emergencies, disasters, and/or disruptions that impact GoA operations by activating and executing emergency response, business continuity, and disaster response plans.

**Note: Functional schedules are being developed collaboratively using an agile approach. Cross-references below will be updated as corresponding functional schedules are approved.**

Excludes:

- occupational health and safety incidents for GoA employees, like near misses, minor injuries requiring first aid or resulting in lost time, serious injuries, illnesses, fatalities, workplace violence, and harassment. Upcoming HUMAN RESOURCES functional schedule amendment.
- activating consequence management plans and coordinating response for emergencies that pose serious risks to the safety, health, or welfare of Albertans, or that may cause damage to property or the environment. Upcoming LAW ENFORCEMENT functional schedule.
- reporting on incident trends to inform decision making. Upcoming GOVERNANCE functional schedule.
- receiving statements of concern from Albertans regarding potential violations to regulations. Upcoming MONITORING AND COMPLIANCE functional schedule.
- conducting investigations to evaluate compliance with GoA regulations, standards, and/or best practices. Upcoming MONITORING AND COMPLIANCE functional schedule.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**FOIP Ref :**

<b>Closure Criteria:</b> When investigation and/or final report are completed	<b>Retention On-site:</b> 0 Year(s)	<b>Retention Off-site:</b> 11 Year(s)
<b>Concurrence Conditions:</b> Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding access to information requests	<b>Final Disposition:</b> Destroy	

**Items to be cancelled:**

None

## 05 Insurance Coverage

Records created during the process of coordinating and/or providing coverage to protect GoA assets and liabilities against loss.

Includes:

- compiling lists of GoA assets to determine appropriate coverage, purchasing additional coverage from external insurance entities as required, and renewing insurance.
- evaluating adequacy of existing coverage.

See FINANCE - Accounts Payable (2022/015 Item 01) for paying insurance premiums to a third party.

See HUMAN RESOURCES - Employee Benefits Selection (2025/001 Item 03) for selecting individual GoA employee-benefit options.

**Note: Functional schedules are being developed collaboratively using an agile approach. Cross-references below will be updated as corresponding functional schedules are approved.**

Excludes:

- entering into insurance contracts and agreements with third parties. Upcoming LEGAL SERVICES functional schedule.
- registering eligible Albertans for public health care insurance plans. Upcoming HEALTH functional schedule.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**FOIP Ref :**

<b>Closure Criteria:</b> Policy expired and all applicable limitation periods have passed	<b>Retention On-site:</b> 0 Year(s)	<b>Retention Off-site:</b> 7 Year(s)
<b>Concurrence Conditions:</b> Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding access to information requests	<b>Final Disposition:</b> Destroy	

**Items to be cancelled:**

None

## 06 Risk Identification

Records created during the process of identifying ministry-level risks to support the development and maintenance of the enterprise risk register.

Includes:

- identifying, analyzing, and evaluating risks that may impact the GoA's ability to achieve its strategic objectives.
- engaging with internal stakeholders to assess risk likelihood and impact and prioritize risks.
- preparing and maintaining a ministry risk register and submitting it to leadership, internal stakeholders, and external oversight bodies as required.
- compiling and analyzing risk data to inform executive decision-making.

Excludes:

- risk assessments conducted for a specific project, task, or purpose.
- risks to individual Albertans.

**Note: Functional schedules are being developed collaboratively using an agile approach. Cross-references below will be updated as corresponding functional schedules are approved.**

Excludes:

- consolidating ministry risk register submissions and maintaining the enterprise-wide risk register. Upcoming GOVERNANCE functional schedule.
- developing frameworks, policies, and procedures. Upcoming GOVERNANCE functional schedule
- providing advice to mitigate risk. Upcoming GOVERNANCE functional schedule.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**FOIP Ref :**

<b>Closure Criteria:</b> Rescinded, replaced, or business use ends	<b>Retention On-site:</b> 0 Year(s)	<b>Retention Off-site:</b> 11 Year(s)
<b>Concurrence Conditions:</b> Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding access to information requests	<b>Final Disposition:</b> Destroy	

**Items to be cancelled:**

None

## 99 Source Documents

Includes the source documents that have been successfully captured:

- electronically by scanning or imaging into an electronic records management repository, and/or
- scanned and stored on microfilm, microfiche or aperture cards (microform)

The process used to scan, image, and microfilm source records complies with an applicable standard as determined through a business risk assessment. Adherence to a standard is determined by the level of risk associated with the record series being scanned. The application of a specific standard (GoA Standard, and/or CAN/CGSB-72.34-2024) is implemented prior to commencement of scanning activities. A predetermined ratio of scanned/imaged documents will be verified against the original source document as part of the required quality assurance procedures under the selected standard, to ensure that the image quality and scanning process are correct. The verified electronic or microform image is designated the master version and the original document constitutes a copy. All processes, including creation, capture, receipt, identification, management and protection of records through their lifecycle have been documented in a procedures manual as required by the selected standard.

If applicable, the requirements under the Canadian e-evidence standard CAN/CGSB-72.34-2024 have been implemented to ensure the legal admissibility of records in court.

This item applies to source documents for all items in this schedule.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**FOIP Ref :** PIB

<b>Closure Criteria:</b> After verification of image	<b>Retention On-site:</b> 30 Day(s)	<b>Retention Off-site:</b> 0 Day(s)
<b>Concurrence Conditions:</b> Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding access to information requests	<b>Final Disposition:</b> Destroy	

**Items to be cancelled:**

None

## COMMENTS