

Developing Documentation Standards for Business Activity in the Government of Canada

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Library and Archives
Canada

Bibliothèque et Archives
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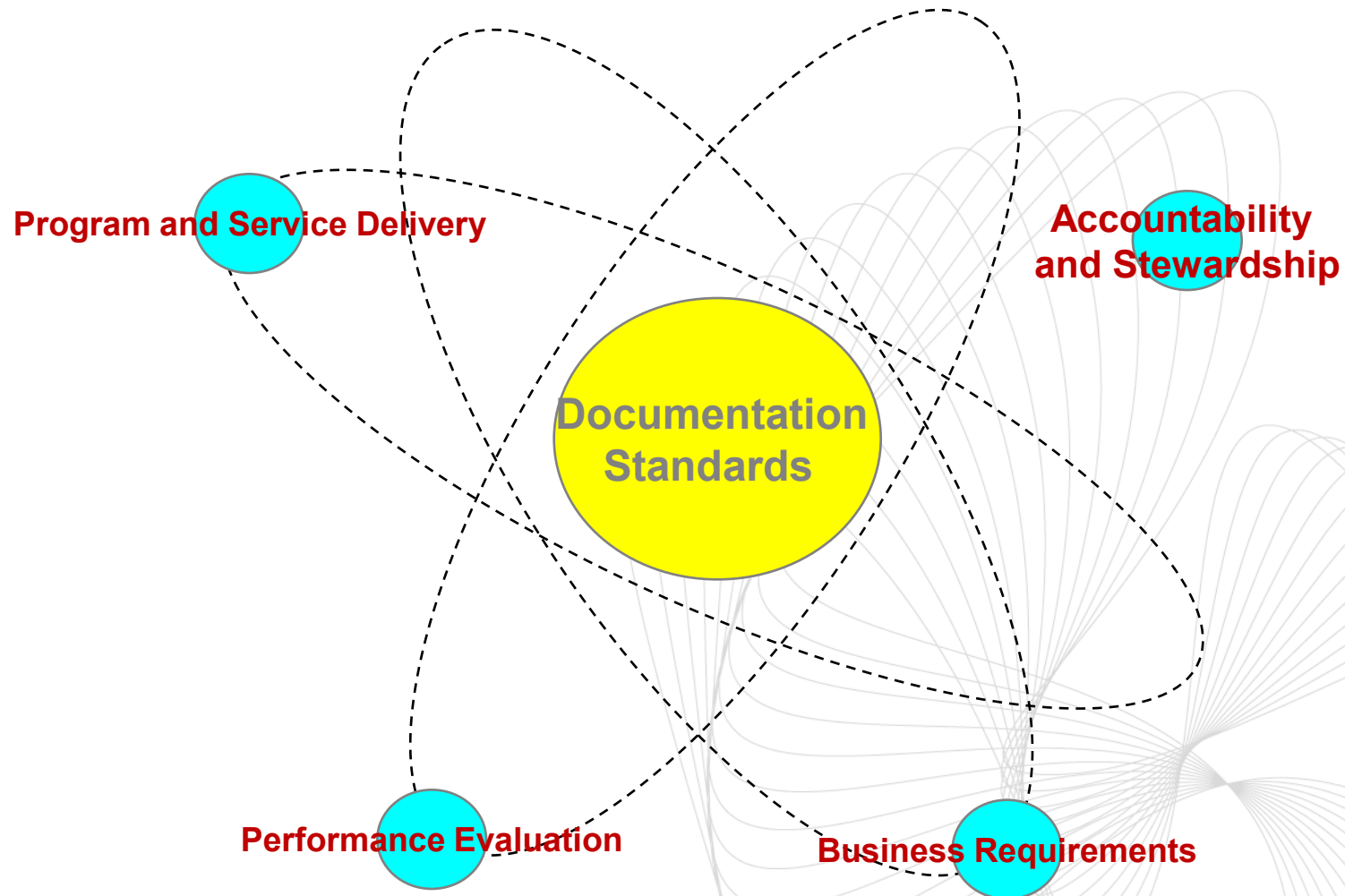
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Outline

- What are Documentation Standards?
- Integrating Recordkeeping with Business Activity
- The Components of a Documentation Standard
- Problematic: A Crisis in the Value and Significance of Information

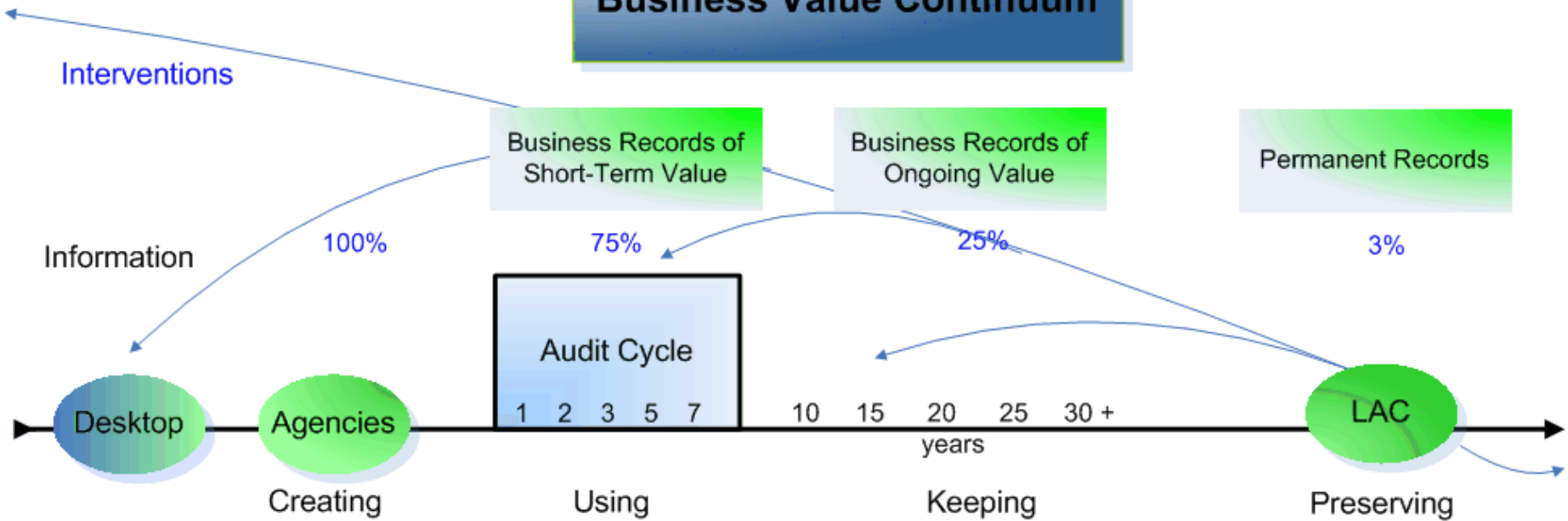


Documentation Standards and Public Administration





Business Value Continuum

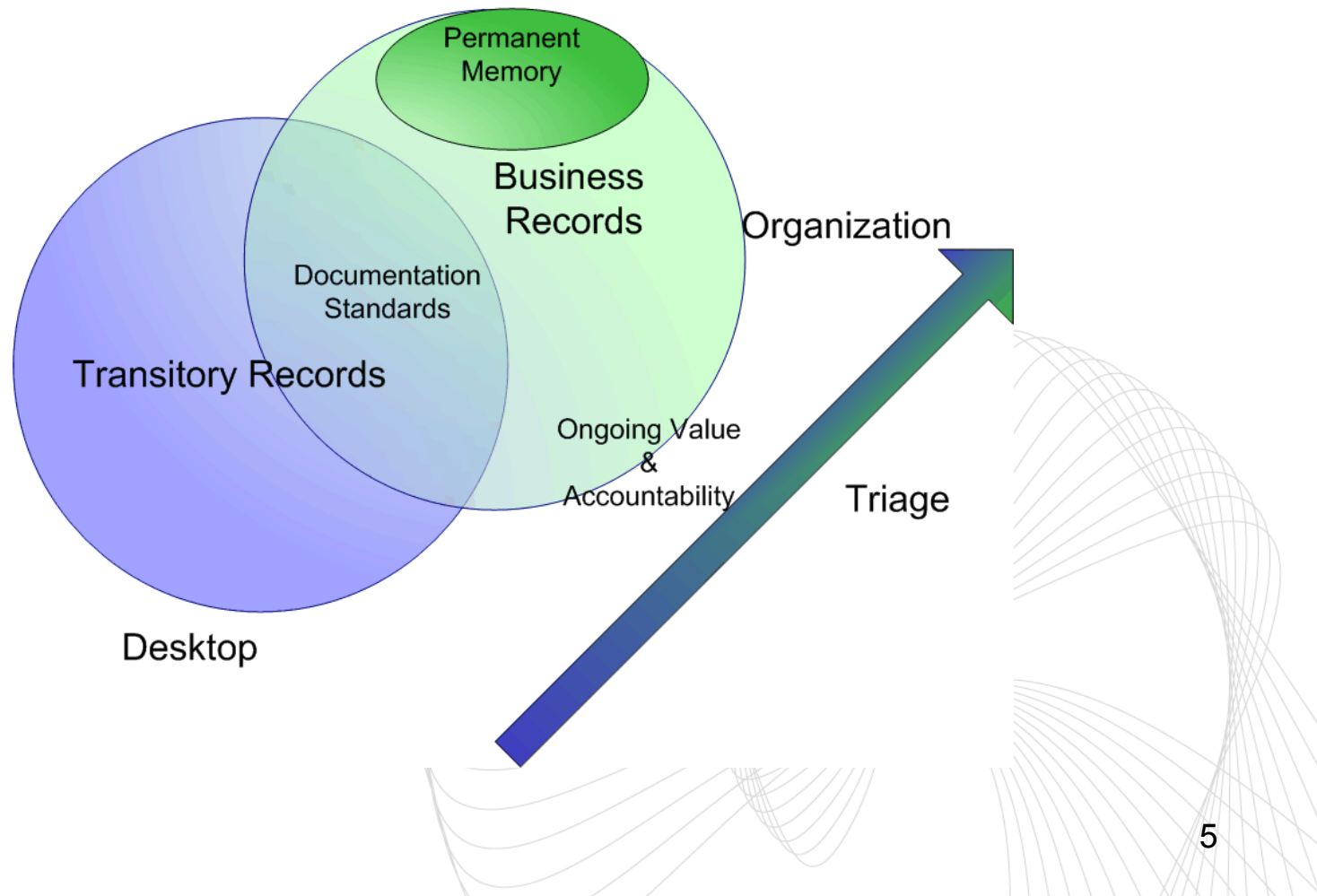


- Declaration of Business Value
- Documentation Standards
- Appraisal Methodology for Business Records
- Establish Recordness
- Apply RK Standards
- Transitory Records Authority





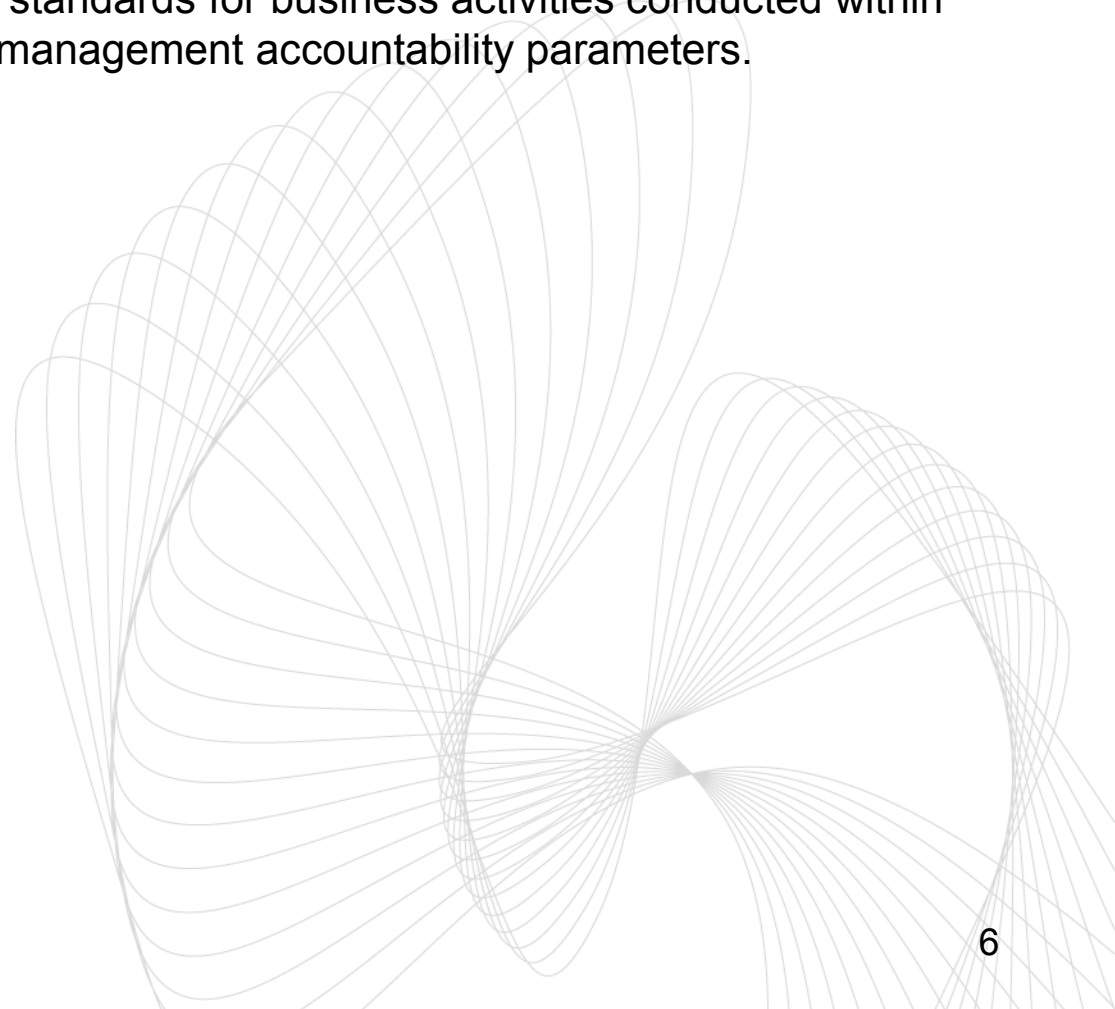
Recordkeeping Process





A New Business Requirement Within Government

- Business Managers within government institutions must develop documentation standards for business activities conducted within their assigned management accountability parameters.





A Little History and Background

- Idea of standards for information first raised by the Information Commissioner in 1999
- References and allusions to “duty to document” in Gomery Commission and Firearms Registry Inquiry 2004-2006 et al
- Duty to Document: FEDAA and Justice White Paper 2006
- Documentation Standards emerge as a developmental priority for government through the ADM TF on Recordkeeping
 - Request from ADMs for LAC to issue a new or revised Transitory Records Authority leads LAC to the proposition of Documentation Standards
 - Proposition based on research, analysis and expert advice
 - Logically responds to Duty to Document



A Little History and Background 2

- The concept of Documentation Standards is not entirely new
 - Documentation “requirements” in the form of standardized business information are a commonplace in many regulated industries: health care, nuclear safety, environmental protection, transportation, etc.
- However, they are practically non-existent within public administration unless part of de facto industrial standards related to a sub-set of corollary business functions
- Typically, current ideas or versions of documentation “standards” are not linked to declarative decision-making about the asset value and management of information resources, nor integrated either strategically or operationally with program or business administration



The Impacts of Documentation Standards

- Critical to the integration of recordkeeping with public administration – establishes a new business culture all-inclusive of the foundational resources \$\$\$ people info
- Changes the fundamentals and dynamics of recordkeeping
 - Assigns accountability for recordkeeping to business managers
 - Delegates recordkeeping authority to executive levels
 - Establishes IM-IT specialists as enablers
 - Establishes the identification of information resources having asset value and persistent status as a business priority
 - Establishes new rules and parameters for information resource management as asset development



The Propositions of Documentation Standards: What are They? GC View

- Documentation Standards are prescriptions for organizational recordkeeping conceived as an information resource development function
- To be developed by government institutions within a codified framework of strategy, methodology and process variably linked to specific business requirements and needs analysis.
- Within defined and formal parameters of business function and process at the institutional or multi-institutional level, documentation standards
 - Identify the documentary evidence required by organizations to operate and account for business activity
 - Determine the nature, composition and extent of the documentation (regardless of form or format) that needs to be created and kept by organizations to satisfy these evidence requirements
 - Explain how institutions will capture, manage and preserve this evidence over time



The Propositions of Documentation Standards: What are they? GC View 2

- By identifying the nature, substance and sum of the documentary evidence required by organizations, and by prescribing the manner in which it will be continuously created, captured and managed as a business asset under institutional custody and control within a recordkeeping repository, documentation standards also
 - Enable the systematic and timely disposal of unnecessary or extraneous information through an accountable and documented records disposition process
 - Distinguish between information resources of incidental value or transitory status to be managed informally by individuals in lieu of organizations in temporary information stores, and
 - Information resources having asset value or persistent status to be formally managed as business records on a continuing basis within an authoritative and fully accessible recordkeeping repository according to institutional protocols



Links to GC Business Environment 1

- Management Resources, Results Structure Policy
 - Strategic Outcomes
 - Program Activity Architecture (PAA), Service Orientation Architecture (SOA)
 - Governance
- The functional objects of public administration in the Government of Canada are Programs and Services and their related Program and Service Activities
- Management Accountability Framework (MAF)



Links to GC Business Environment 2

- *The Management Resources and Results Structure established within government institutions will provide the organizational basis and framework for the development of documentation standards by departments and agencies under a GC Recordkeeping Directive or other instrument.*
- *All departments and agencies will be required to develop documentation standards for their Management Resources and Results Structure specifically in reference and application to Program Activities at the level of materiality and granularity identified under institutional Program Activity Architecture or government-wide Service Orientation Architecture.*

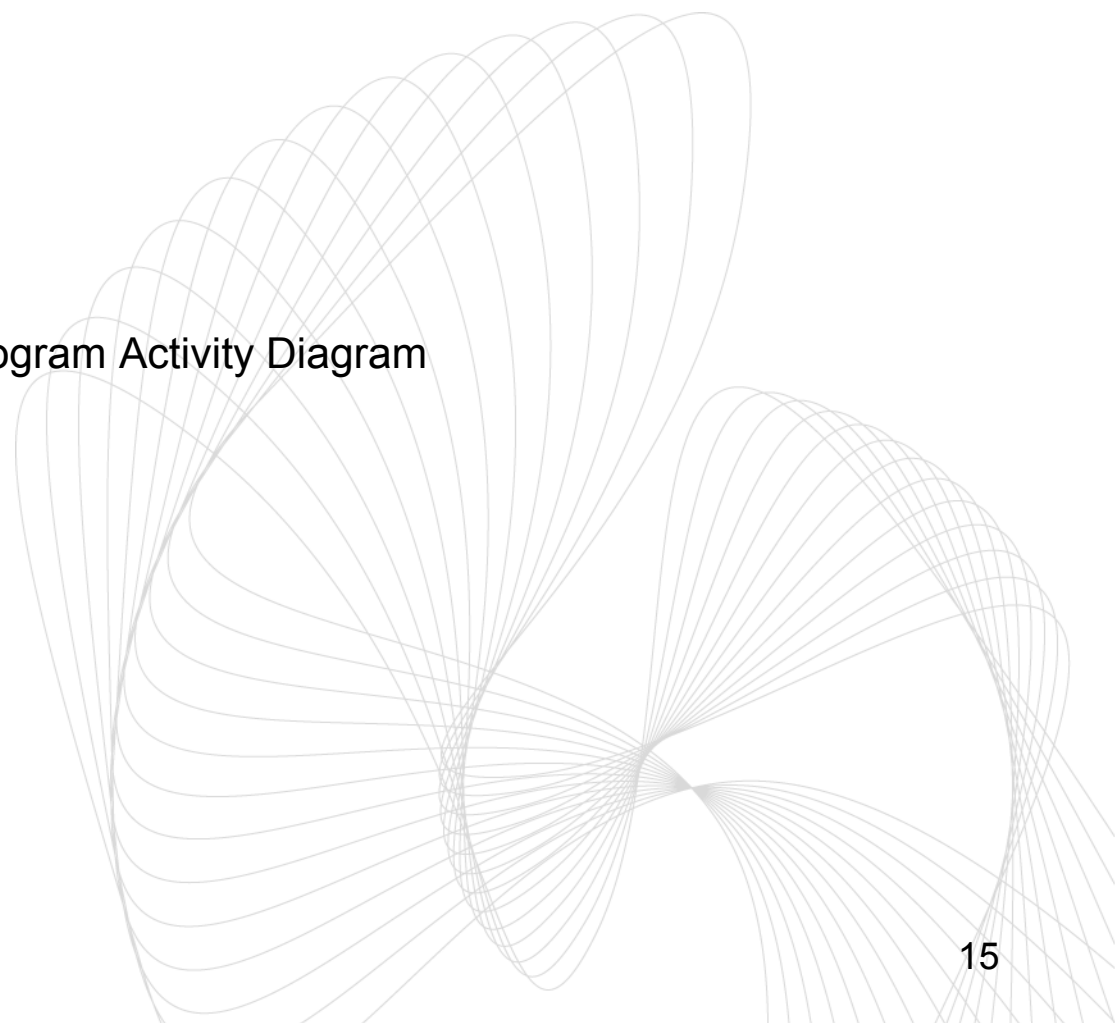
How are the Links Practically Established?

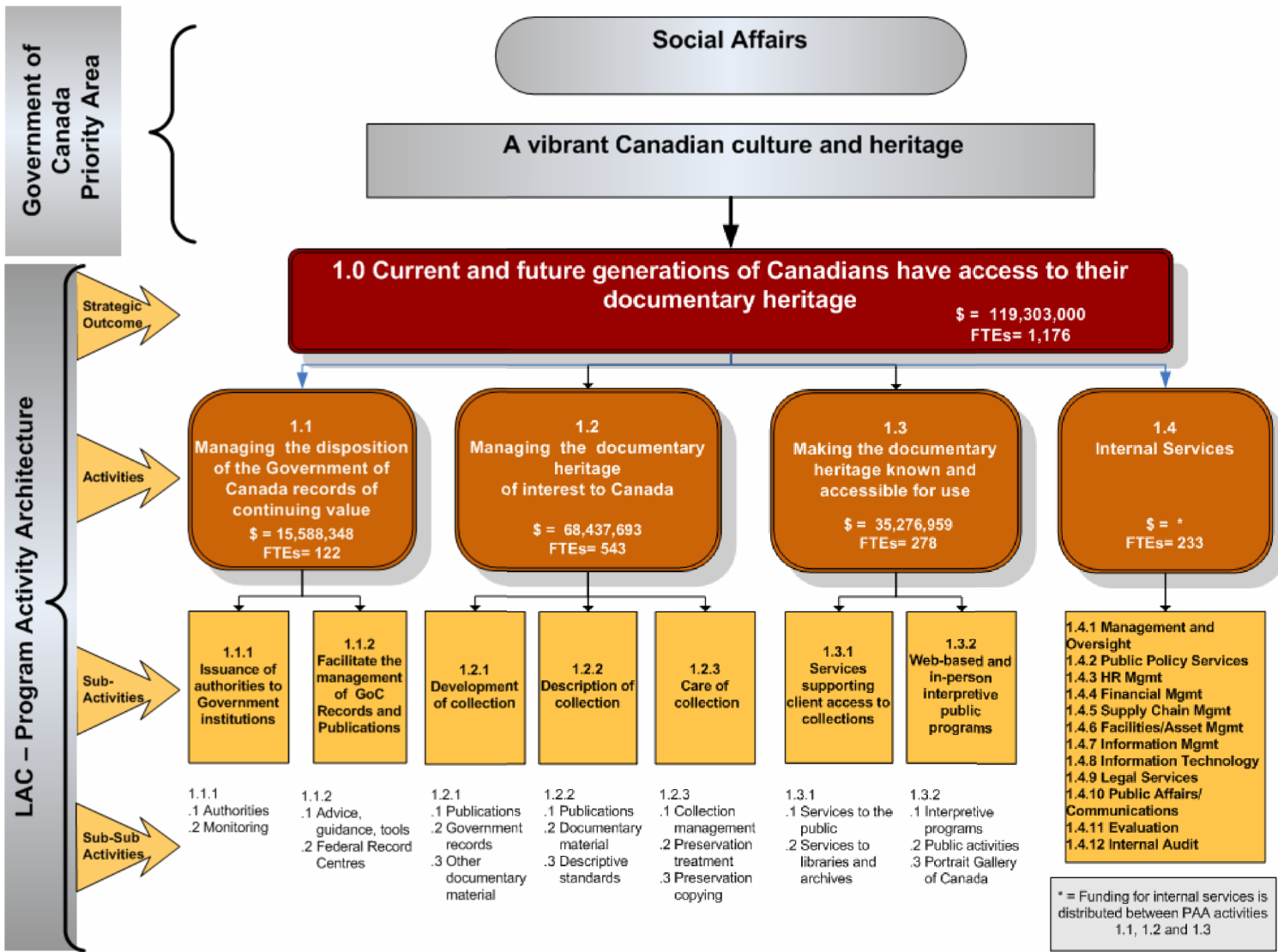
- The integration of recordkeeping with business activity is achieved through the decision-making and contextual information required to develop a documentation standard for a Program Activity identified under institutional PAA.
- A GC Documentation Standard is composed of three decision-making and documentation modules, each having a number of requirements expressed as elements



Module 1: Establishing the Business Contexts for Recordkeeping

- Program Activity or Sub-Activity
- Legislative Context
- GC Business Context
- Institutional Business Context
- Program Activity Architecture
- Office of Primary Interest
- Business Process Model and Program Activity Diagram





RECORDS DISPOSITION ADMINISTRATION PHASES - RDAP - WORKFLOW

**PHASE 1
LaunchRDAP, Develop
and sign MOU
F#6155**

(1.1)
Launch Letter sent to
institution
3 dys
F#6155

(1.2)*
Launch Meeting
F#6155

(1.3)*
Develop and sign MOU
F#6155

**PHASE 2
Research docs F#6160,
Appraisal F#6243, and
T&C's F#6240**

(2.1)
Archival Research F# 6243
and Draft T&C's F# 6240

(2.2)
CH reviews and approves
appraisal package 5 dys

(2.3)
CH returns approved
appraisal package to GABC

(2.4)
DIR approves and signs
archival package from
GABC 2 wks
F# 6243

(2.5)
Draft T&C's translated
10 dys
F# 6240

(2.6)
CH reviews and approves
Draft T&C's sent with
DIR letter
5 dys

(2.7)*
Draft T&C's sent to int. and
Inst. approves them F# 6240
40 dys

**PHASE 3
Approve T&C's, and Sign
Transfer agreement
F#6240**

(3.1)
Prepare Agreement and
T&C's 5 dys
F# 6240

(3.2)
CH reviews the agreement
and T&C's
5 dys

(3.3)
Agreement and T&C's sent
with DIR letter
5 dys
F#6240

(3.4)
Agreement and T&C's sent
to inst.

(3.5)*
Inst. signs agreement and
T&C's
20 dys

(3.6)
DIR signs Agreement and
T&C's
5 dys
F# 6240

(3.7)
Send RDA package to ADM

**PHASE 4
Librarian and Archivist
signs and issues RDA
F#6237, 6240 & 6243**

(4.1)
ADM approves RDA
package and returns to
GABC 5 dys

(4.2)
RDA Package sent to LA
5 dys

(4.3)
LA approves and signs
authority package
6 wks
F#6240 & 6243

(4.4)²
Possible question (s) from
the LA answered
5 dys
F#6240

(4.5)
Send full RDA Package
to inst. with DIR letter
5 dys
F#6240 & 6243

(4.6)
Enter RDA into RDACS

(4.7)³
LA Congratulatory letter
sent
F#6237

**PHASE 5
RDA maintenance**

(5.1)
Monitoring
(annual)

(5.2)
RDA
Maintenance

(5.3)¹
RDACS III
notifications

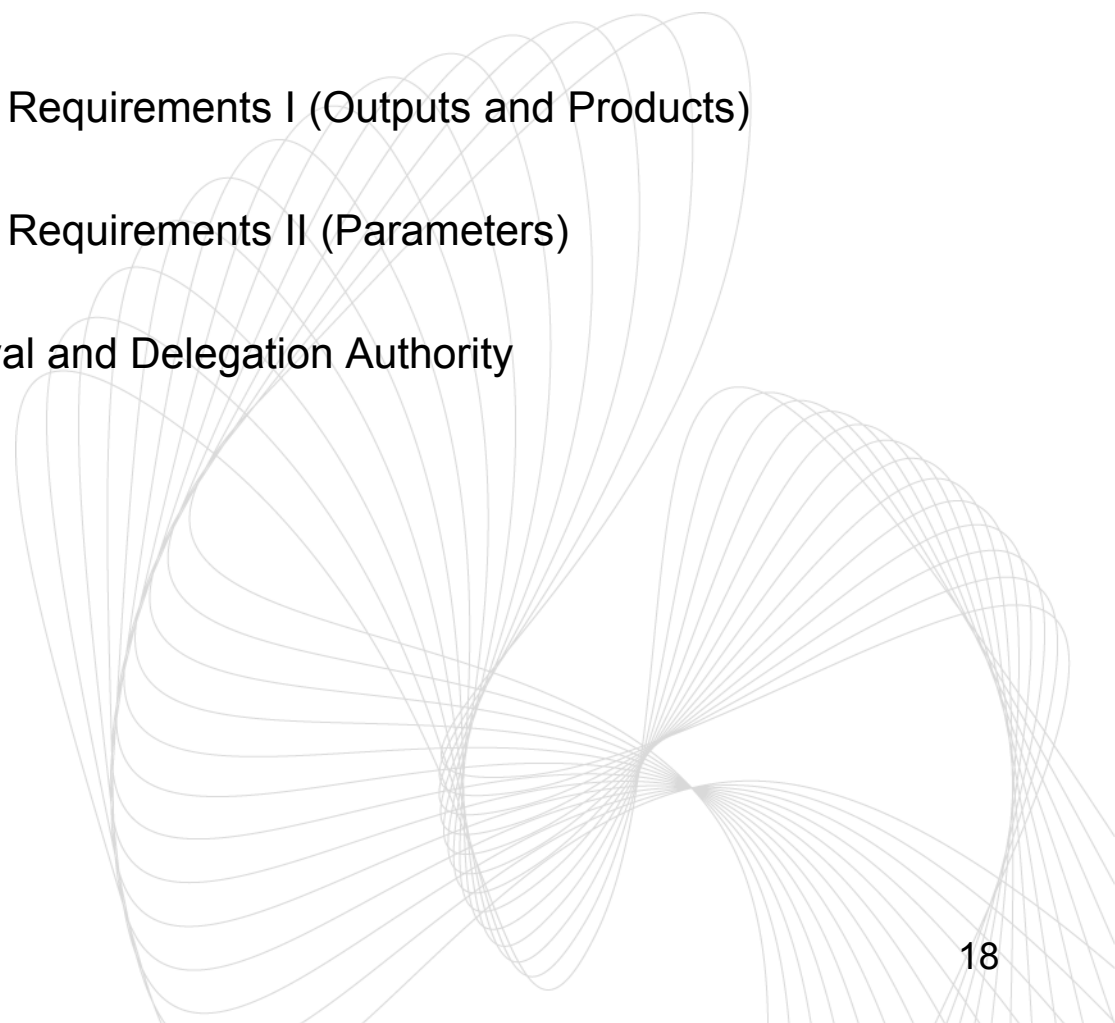
Refer to
Modifying
Authorities
and
Agreements
February
1995

1. Obligations to set retention periods, transfer records, monitoring visits fulfilled.
2. File number refer to Appendix 3.
3. Shaded boxes reflect events which may happen.
4. Shaded ovals reflect activities by institutions.
Revised 13 April 2005

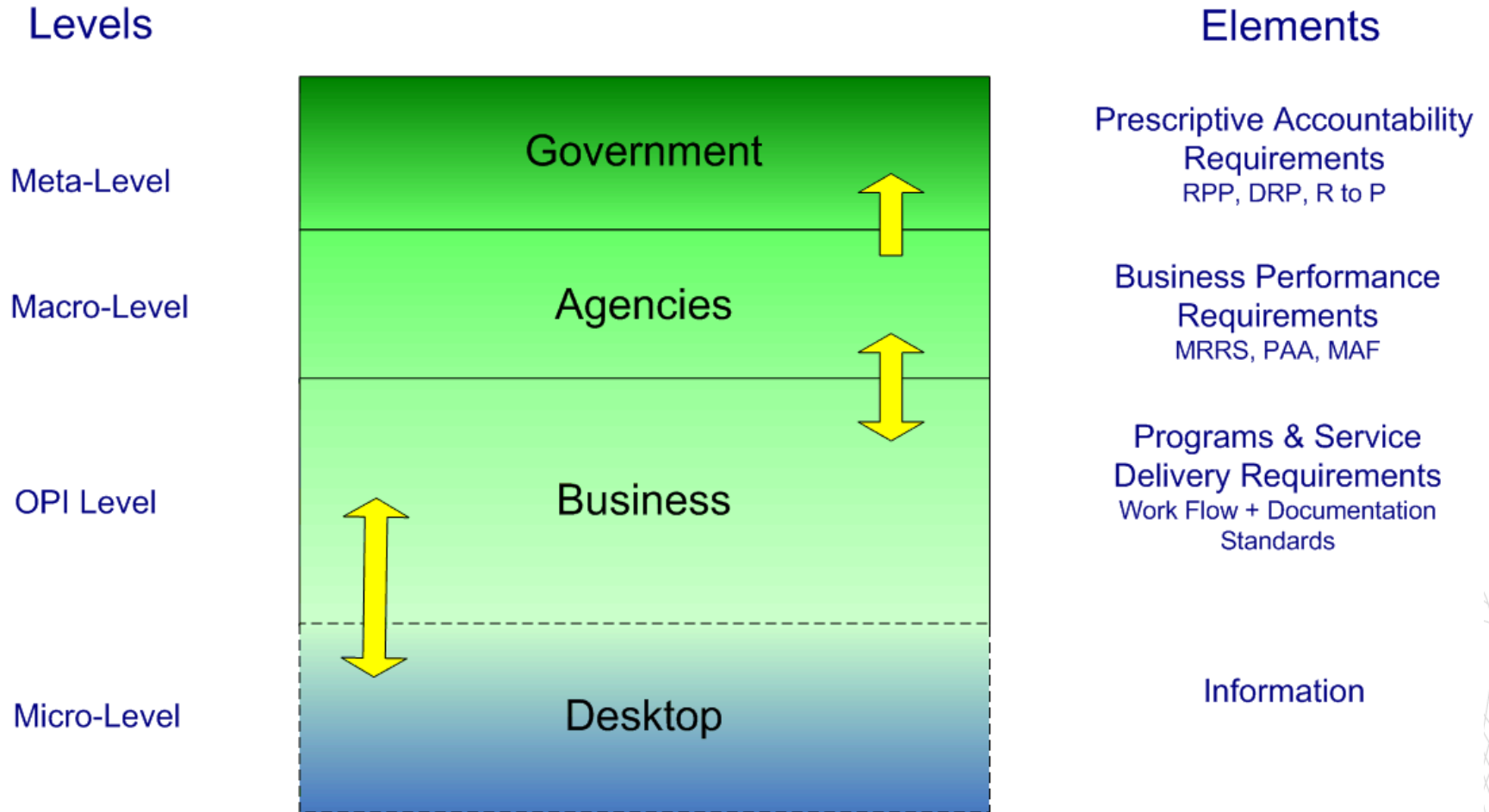


Module 2: Analyzing Business Needs and Specifying Documentation Requirements

- Program Activity Business Requirements
- Program Activity Documentation Requirements I (Outputs and Products)
- Program Activity Documentation Requirements II (Parameters)
- Levels of Documentation Approval and Delegation Authority



Establishing Organizational Reach and Capture





Module 3: Creating, Capturing and Managing Business Records

- Records Management Requirements
- Recordkeeping Repository
- Records Disposition Authority
- *Access to Information Act* Assessment
- *Privacy Act* Assessment
- Litigation Readiness
- Security Assessment
- Records Destruction Process
- Monitoring
- Audit Status
- Documentation Standard Approval

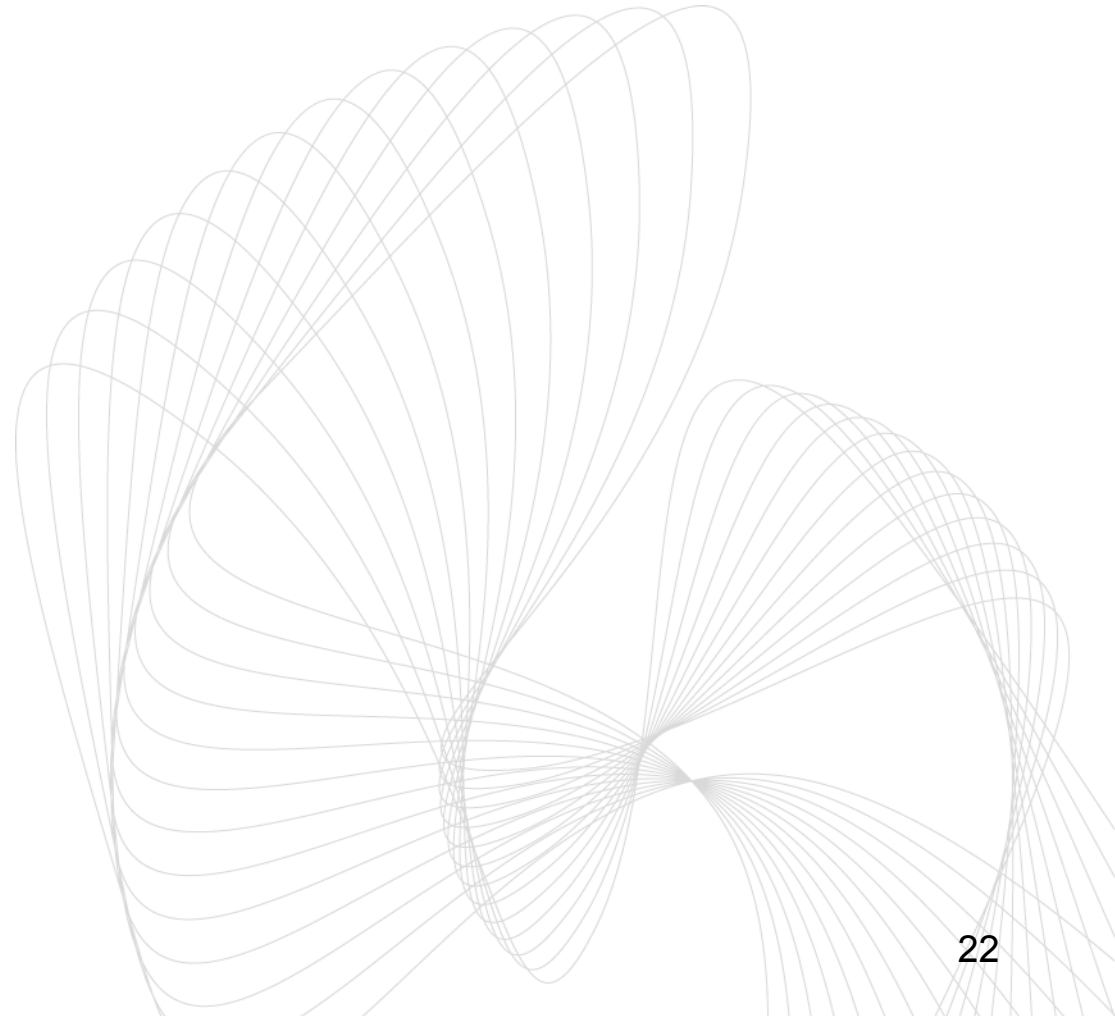
Assessment Projects and Status – Early Findings

- Policy Research Function – Human Resources and Social Development Canada (HRSDC)
- Human Resources Function – Canadian Public Service Agency (CPSA)
- All Program Activities – Office of the Information Commissioner (OIC)
- Litigation Readiness – Justice Canada, AAFC, CIC, HC, and others.



A Crisis in the Value and Significance of Information

- Volume and Productivity
- Control and Accessibility
- Organization and Arrangement
- Functionality and Use
- WeschWorld:
 - Ubiquitous networks
 - Ubiquitous computing
 - Ubiquitous information
 - At unlimited speed
 - About everything
 - Everywhere
 - From anywhere
 - On all kinds of devices





Social Transformation

- A profound and unprecedented convergence of technology, economics, information, organizations and people likely to continue well into the foreseeable or imaginable future.
 - continuous advance in information and communications technologies are fundamentally changing the way people think about and understand, interpret, assign meaning to, create, use, produce, exchange, receive, store and provide information.
 - changing the way people gain access to each other and to an enormous variety of information, services and technologies offered by business, government and communities.
 - enabling the opening and closing of new forms of personal, social and economic capacities, relationships and powers.
- Orthodoxy is challenged. Standing still is the equivalent of moving backwards.