

The Recordkeeping Regime: Overcoming RK Challenges in the Public Service

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Recordkeeping: *A framework of accountability and stewardship in which records are created, captured, and managed as a vital business asset and knowledge resource to support effective decision making and achieve results for Canadians.*

GC IM Policy, July 2007



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The Importance of Recordkeeping

- Establishes core-essential administrative and business coherence within government for:
 - **effective decision-making**
 - **development of policy**
 - **delivery of programs and services to Canadians**
 - **legal evidence of action**
- At the core of ministerial and managerial accountability – increased pressures with FedAA; increases trust in government
- “Records must be created, maintained and preserved in such a way that a contemporary democratic government can be held fully accountable to the public for its activities.” (J. Grant Glassco, *Report of the Royal Commission on Government Organization*, 1962)



The Recordkeeping Crisis

- “A crisis situation recognized but far from being resolved.”
Auditor General of Canada Report, April 2003
- Cannot effectively deliver business without proper recordkeeping
- Cannot keep up with growing challenges under current framework – paper mountain, electronic records
- Lack of understanding and knowledge of departmental legal and policy obligations – departments not managing records according to established Authorities
- Decentralized and embryonic recordkeeping culture in GC
- This results in high risks to: litigation, accountability, audit, decision-making, program/policy development, business continuity



How Government Has Responded: Consultations, Diagnostic, Proposals

	2005	2006	2007	2008
Clerk of Privy Council	Fall 2005: Letter Outlining State of Urgency in Recordkeeping from Deputy Head, LAC to Clerk	<p>Winter 2006: Communication of Recordkeeping Crisis to New Government</p> <p>Winter 2006: Approval to Proceed with Government-wide RK Initiative</p> <p>Spring-Summer 2006: LAC and TBS Develop Approach for Government-wide RK and IM</p>	2007: Regular Debriefs to Clerk on State of Recordkeeping in Government by LAC Deputy Head	2008: Regular Debriefs to Clerk on State of Recordkeeping in Government by LAC Deputy Head
Deputy Ministers		<p>Fall 2006: DM Roundtables on RK and IM – Co-Chaired by LAC and TBS</p> <ul style="list-style-type: none"> • Agreement on Need to Address RK Crisis • Focus on Business Value and Compliance • Outcomes-based Approach • Creation of ADM-level Taskforce on Recordkeeping 	2007: Ongoing Debriefs to TBPAC by LAC Deputy Head	2008: Ongoing Debriefs to TBPAC by LAC Deputy Head – Recordkeeping strategy approved by TBPAC in May 2008
Assistant Deputy Ministers			<p>3 Meetings of ADM Taskforce on Recordkeeping, chaired by LAC Deputy Head: Jan 2007, April 2007, Sept 2007</p> <ul style="list-style-type: none"> • Standardized, yet customizable approach • Based on emerging recordkeeping standards • Long term and sustainable • Accountability to Parliament • Contribute to improved business performance • Evaluation is required (but in future) • Early results: quick hits 	Regular meetings with Assistant Deputy Ministers to present the recordkeeping strategy and action plan.
Departments & Agencies			<p>5 Working Groups</p> <ul style="list-style-type: none"> • Mandate to inform RK change • Representation across GC, with co-chairs from departments and LAC • Rollup of results into recommendations to ADM Taskforce <p>Other Stakeholders Consulted: Auditor General, Office of the Information Commissioner, Office of the Privacy Commissioner</p>	<p>Work with 25 departments and agencies to develop assessment projects and produce concrete results such as:</p> <ul style="list-style-type: none"> • Recordkeeping directive • Documentation standards guide • Risk based disposition tool • New storage model • Competencies guide

GC-Wide Conclusion: A Recordkeeping Regime is Required

- A Recordkeeping Regime is at the core of change
 - **Parameters of the Regime:**
 - Based on government-wide results and outcomes (PAA, MRRS, MAF)
 - Departmental customization to unique needs
 - Long-term and sustainable change, but with quick hits
- The Recordkeeping Regime Elements:
 - **Recordkeeping directive or equivalent appropriate instruments**
 - **Documentation standards**
 - **Delegation instruments: Delegated Authorities; Records Disposition Authorities**
 - **Legacy management**
 - **Enablers: capacity; readiness; capture and creation tools**



What's In It for Departments

1. Ready access to the right records and evidence
 - **Capacity to lever information capital:**
 - Better decisions made
 - Better business results and outcomes
 - Better administrative and business coherence
2. Rational disposal of unnecessary records
3. Improved productivity and increased efficiencies
4. Satisfy accountability and stewardship requirements
5. Mitigate business risks – protection under audit, investigation and litigation
6. Leverage IT investments and rationalize costs



Change of focus

- From a professions-based agenda to a public administration based agenda
 - Who are we speaking to?
 - What have we learned?

***Integrating information resources
development into public administration***



Change of focus

Technology and social transformation - convergence of:

- Economics
- Technology
- Information
- Organizations
- People

Results in collaborative governance



Culture of recordkeeping

- We must re-instate a discipline and culture of recordkeeping in the federal government
- Recordkeeping as a discipline for the way we work today - with personal computers, shared drives, collaborative spaces, social technologies, etc.



The Recordkeeping Directive in that changing context

- Information resources managed as strategic assets
- Introduce the notion of value for operational records.
- Ensure the proper mechanisms for search, retrieval, re-use and preservation.



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1st Biggest change – challenge of the Recordkeeping Directive

- RK Directive assigns accountability for the management of information resources to business managers;
- Information professionals of all kinds become enablers;



2nd Biggest change - challenge of the Recordkeeping Directive

- The RK Directive requires institutions to define – through the concept of business value – what will be created for accountability, stewardship and governance purposes.
- Notion of a documentation standard



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What does this mean for information professionals?

- Evolution of the role of the information professional, librarian, archivist;
- From custodian to enabler, authenticator, and validator;
- We will intervene – not control;
- We will focus on questions of value.

