The Recordkeeping Regime: Overcoming RK Challenges in the Public Service

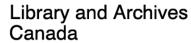
Jean-Stéphen Piché and Geneviève Allard Government Records Branch Library and Archives Canada

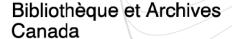
International Symposium:
Our Professional Identities in a World Gone Digital
The University of British Columbia
Vancouver, BC, Canada
13 February 2009

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









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, decisionmaking, 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	Winter 2006: Communication of Recordkeeping Crisis to New Government Winter 2006: Approval to Proceed with Government- wide RK Initiative Spring-Summer 2006: LAC and TBS Develop Approach for Government-wide RK and IM	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		Fall 2006: DM Roundtables on RK and IM – Co-Chaired by LAC and TBS • 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			3 Meetings of ADM Taskforce on Recordkeeping, chaired by LAC Deputy Head: Jan 2007, April 2007, Sept 2007 • 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	Canaga	Canada	5 Working Groups • Mandate to inform RK change • Representation across GC, with cochairs from departments and LAC • Rollup of results into recommendations to ADM Taskforce Other Stakeholders Consulted: Auditor General, Office of the Information Commissioner, Office of the Privacy Commissioner	Work with 25 departments and agencies to develop assessment projects and produce concrete results such as: 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.





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
- 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





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





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





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.



