# InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

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# Document Control

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# Case Study Report

## A. Overview

The Canadian Tourism Commission (CTC) was established by the Treasury Board's *Order in Council P.C. 1995-110* of January 31, 1995 as a Special Operating Agency. Bill C-5, *An Act to establish the Canadian Tourism Commission*, was tabled by the Minister of Industry and given First Reading in the House of Commons on 15 October 1999, which would make CTC into a Crown corporation under Schedule III (Part 1) of the *Financial Administration Act* and governed by Part X of that Act. The proposed change of legal status was intended to give the Commission "more flexibility and freedom to achieve its goal of partnering with the tourism industry and the federal government to sustain a vibrant and profitable national tourism industry." With the status of a Crown corporation, the CTC would enjoy greater administrative, financial and personnel independence.[1]

The CTC has its head office in Vancouver, BC. It also maintains a small corporate office in Ottawa, ON, and international offices in nine countries, located in Mexico City, London, Paris, Düsseldorf, Beijing, Seoul, Tokyo and Sidney, and nine U.S. offices, located in Seattle, Portland (Oregon), San Francisco, Los Angeles, Dallas, Atlanta, Washington D.C., Chicago, Detroit, New York and Boston.[2]

In September 2007, the CTC agreed to become an InterPARES 3 Project test-bed partner. The then records management program proposed three potential case studies, including the study of all business applications/databases in the organization, e-mail management, and Web records management.[3] This report discusses none of the original case study proposals but rather one that evolved during the course of conducting the CTC case study 04, a study that focused on the management and preservation of digital images.[4] The case study that is the focus of this report was proposed[5] in response to the CTC's senior management's plan of establishing a rudimentary records management program represented by an organization-wide records classification system. It was determined that the best approach was to focus first on building the foundations of the program, i.e., establishing policies, procedures, and tools, and utilizing the currently available technologies to implement the established policies, procedures, and tools. This study limited its scope to records generated in the CTC Headquarters since the technologies provided for the project, i.e., the shared drives, were not available to overseas offices. This case study was completed in April 2010.

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[1] Government of Canada. *Bill C-5: An Act to Establish the Canadian Tourism Commission*. Available at http://dsp-psd.pwgsc.gc.ca/Collection-R/LoPBdP/LS/362/c5-e.htm.
[2] CTC, *Annual Report, 2006*, 38. Available at http://www.corporate.canada.travel/docs/about_ctc/2006_Annual_Report_Eng.pdf; CTC, *Corporate Plan Summary, 2007-2011*, 6–7. Available at http://www.corporate.canada.travel/docs/about_ctc/CorpPlan_2007-2011_summary_eng.pdf; CTC Web site, *Careers*. Available at http://www.corporate.canada.travel/en/ca/about_ctc/careers/index.html.
[3] See http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ctc_research_proposals_1-3.pdf.
[4] See http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs04_final_report.pdf.
[5] See http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ctc_research_proposal_5.pdf.

## B. Statement of Methodology

The case study employed the method of document analysis to study the CTC's various contexts and on-site interviewing to answer questions regarding recordkeeping systems. Interviews conducted with the test bed partner used the interview templates designed for InterPARES 3, which was the Recordkeeping Systems Research Questions Report Template (v1.0).

## C. Description of Context

### ***Juridical-administrative***

The CTC is a parent crown corporation established by its enabling act in 2001. The legal environment in which it operates constitutes a number of laws additional to its enabling legislation such as the *Financial Administration Act* 1985, *Federal Accountability Act* 2006, *Official Languages Act* 1985, *Access to Information Act* 1985, *Privacy Act* 1985, etc.

The CTC is governed by a Board of Directors, which consists of twenty-six members and is operated in partnership with the public and private sectors. The Chairperson and President & CEO are appointed by the Governor in Council. The remaining directors are appointed by the Minister of Industry with the approval of the Governor in Council. The Deputy Minister of Industry Canada is an ex officio director. The CTC has an accountability framework that specifies accountability structure: the President & CEO is accountable to the Board of Directors; the Board of Directors is accountable to the Minister of Industry for the stewardship of the corporation; and the Minister of Industry is accountable to Parliament for all CTC activities.

### ***Provenancial***

The Commission's mandate is to work with the governments of the provinces and the territories and the Canadian tourism industry to promote the interests of that industry and to market Canada as a desirable tourist destination.

Under the President & CEO, who is aided by an Executive Services Manager and an Executive Assistant, five Vice Presents are responsible for Sales, Marketing, Planning & Evaluation, Corporate Affairs and Corporate Secretary, and Finance, respectively. These VPs oversee a varying number of departments or offices.

The CTC's operational functions include: marketing, sales, communications and public relations, research, planning and evaluation, and business development. Currently, the CTC's Strategy department is heavily involved in "business development and initiatives to leverage Canada's 2010 Olympic and Paralympic Games opportunities."[6]

[6] Canadian Tourism Commission, "About CTC - Strategy/Canada's 2010 Olympic and Paralympic Games." Available at http://www.corporate.canada.travel/en/ca/about_ctc/our_organization/.

***Procedural context***

The procedural context is not described here as pertinent to certain individual record-creating processes because the case study involves all records generated by the organization. The process of establishing the records classifications identified all business procedures employed by business units at that time.

***Documentary context***

Because of the former lack of a records management program at the CTC, there is at present time no clearly documented internal structure to the CTC fonds. This structure will be identified and developed in the near future.

***Technological***

i. Creation or input tools:
   - Software, camera, and various audio/video sources (i.e., CD, DVD, tape, etc.)
   - MS Outlook for e-mail[7]

ii. Processing tools - Software**:**
   - Teamsite—content management system used for building Web site and document management
   - MediaBin will be adopted as the digital asset management (DAM) program [Images previously managed using Cleanpix but Mediabin is better because it manages metadata as well as digital rights; is part of a Content Management System that can host all types of media]
   - Epiphany—a customer relationship management program—an e-marketing tool
   - JD Edwards - a procurement and financial database
   - MS SharePoint for increasing cooperation[8]

iii. Additional/detailed information:
   - Introduce new e-business systems to support better business decisions (sales force automation, e-marketing and customer analytic systems). In 2006, the CTC created an E-Marketing program responsible for executing a global e-business platform for the CTC. An important initiative currently underway is the implementation of the CTC's Epiphany database, a dynamic, powerful customer analysis and partner analysis tool.[9]
   - Make the travelcanada.ca Web site the CTC's call to action for all of its marketing activities globally: In essence, the model ensures the protection of place names in Canada, and then encouraging Canadian destinations to register and activate their dot travel domain name, enabling consumers to

[7] Test-bed interview, 29 January 2008.
[8] Ibidem.
[9] CTC, *Corporate Plan Summary*, op. cit., 23.

be able to find virtually any destination, heritage site, and attraction in Canada online by entering the destination name followed by dot travel – which will make Canada easier to access online by travelers worldwide.[10]

- Adopt a content distribution strategy to reach the customer at the right time, with the right partner, with the right message, reaching the customer repeatedly in his daily routine: With the formation of the E-Marketing team, an increased emphasis is being placed on using the Web as a primary communication tool. In moving Web activity from the periphery to the centre of a fully integrated marketing solution, strategy implementation is leveraging the CTC's services and tools and streamlining the way it interacts and communicates with consumers in a more effective way.[11]
- Implement better management information systems: In 2006, the CTC focused on upgrading information systems in Canada and in the CTC's global offices to ensure reliability and maximum performance. Specifically, and in addition to ongoing desk top and lap top replacement, all finance systems servers were replaced, and all file and print servers (nine) were replaced (with nine virtual servers on two physical boxes). The finance system (software) is also being upgraded to the latest version. On an operational level, Epiphany Sales and Campaign Manager, and Epiphany Analytics have been rolled-out. The sales application is being used by headquarters as the central repository for organizations and contacts information. This database is being accessed, and used to report operational project outcomes by the following in-market offices: US MCIT, US Media, US Leisure, Canada group, Mexico, United Kingdom, Australia, and Japan. The Campaign Manager is an outbound communications application allowing CTC marketing groups to communicate more effectively with travelers by segmenting their profile. This allows for more targeted messaging, which in-turn yields better consumer retention and campaign response.[12]

iv. Types of media:
   - Text, audio, still and moving images

v. Formats: Almost every common format known, a non-exhaustive list would include:
   - **Misc:** Word, Excel, PowerPoint, MS Project, Viso;
   - **Graphic:** ANI, CUR, AWD, B3D, BMP, DIB, CAM, CLP, CPT, CRW/CR2, DCM/ACR/IMA, DCX, DDS, DJVU, IW44, DXF, DWG, HPGL, CGM, SVG, ECW, EMF, EPS, PS, DF, FITS, FPX, FSH, G3, GIF, HDR, HDP, WDP, ICL, EXE, DLL, ICO, ICS, IFF, LBM, IMG, JP2, JPC, J2K, JPG, JPEG, JPM, KDC, LDF, LWF, Mac PICT, QTIF, MP4,

[10] Ibidem, 23.
[11] Ibidem.
[12] Ibidem, 24.

MNG, JNG, MRC, SID, DNG, EEF, NEF, MRW, ORF, RAF, DCR, SRF/ARW, PEF, X3F, NLM, NOL, NGG, PBM, PCD, PCX, PDF, PGM, PIC, PNG, PPM, PSD, PSP, PVR, RAS, SUN, RAW, YUV, RLE, SFF, SFW, SGI, RGB, SIF, SWF, FLV, TGA, TIF, IFF, TTF, TXT, VTF, WAD, WAL, WBMP, WMF, XBM, XPM;
- **Video/Audio:** AIF, AU, SND, MED, MID, MP3, OGG, RA, WAV, ASF, AVI, MOV, MP4, MPG, MPEG, WMA, WMV.

vi. Impact on policies and procedures:
- According to the IT department, "From a global perspective we do have some technological limitations due to a lack of secure access to a shared repository for our foreign offices. If we were to go to a more "universal" access (everything in one place) approach, we would also suffer from a lack of drive space."
- The international operations create a preference for Web-delivered technology.[13]

vii. Impact upon the creation, form, content, identity integrity, organization and preservation of the records resulting from them:
- "We have a lot of ability to handle records in JDE and most of the other applications we use. Those applications like JDE have integrity checking and verification built in and do allow us to track changes, lock records so that they cannot be changed, retrieve with relative ease. Again it comes down to a lack of universal approach, or each application may be able to do that but there isn't any "one" application that can look at all the data. We currently do not have a way to determine retention periods with purging when documents are no longer required."[14]

viii. Architecture:
- See Appendix 1 - CTC Network Drawing.

## D. Narrative Answers to the Project's Applicable Research Questions

The CTC has a partial recordkeeping system. It is partial because, while there is a disposition authority (which is dated 1969) issued by the then National Archives, the recordkeeping system was not fully functional. There seemed to be no systematic control over paper records in the past. Due to the CTC's move from Ottawa to Vancouver and to its recruitment of new staff as a consequence, many paper records can no longer be located. New staff members have no clue about some of the paper records contained in the cabinets in their office and the newly hired records coordinator has no idea what are inside the boxes transferred to Library and Archives Canada (LAC) at the time of moving. Individual employees in the headquarters, however, all have certain ways of organizing paper records that are under their

[13] Test-bed interview, 29 January 2008.
[14] CTC, *IT Overview*, op. cit.

control. To the full connotation of "integrated and centralized digital recordkeeping system," the answer is not in the near future. The CTC system will have a certain degree of centralized management in the sense that a CTC-wide classification schema with retention schedules will soon be implemented. The classification schema is planned to be mounted on the CTC's shared drive covering all business units and functions. However, whether the classes on the shared drive will contain records or simply pointers will be decided on a case-by-case basis.

Although it is not in place yet, the (long-term) plan is to have a centralized system.

There are quite a number of systems/applications in the CTC that contain records. These include the Ticketing system, Customer Relation System (CRM), Web content management system, and MediaBin. The Ticketing system is a kind of workflow software in that it is capable of capturing transactions step-by-step. This system is currently used for four activities — IT Help, Publishing, Transaction, and E-Marketing — and will be expanded to cover more business unites such as Brand in the near future. See Interview Nos. 1, 2, 3, 4 and 10 in Appendix 1 for the use of the Ticketing system in business activities. The CRM is a database containing information about both customers and partners. The database is hosted by Deloitte in Ontario and the CTC uses two Web-based applications to design and conduct Web campaigns. See Interview Nos. 5 and 6 in Appendix 1 for the use of CRM in the CTC.

The Web content management system, TEAMSite, is used by E-marketing to maintain and update the CTC's consumer sites and by publishing to maintain and update its corporate Web site. See Interview Nos. 1 and 4 in Appendix 1 for the use of TEAMSite in the CTC.

MediaBin is a system that is still under development and, in its full capacity, will be a digital repository (using 20% of its functionalities) and a Web application for services delivery (using 80% of its functionality).[15] See Interview Nos. 2, 3, 4, 6, 8, 9 and 11 in Appendix 1 for the use of MediaBin in the CTC.[16]

There are also specialized systems such as those used by Finance and Procurement. All records created in the above system are currently kept in their respective applications/systems and there is no plan (at least in the near future) to transfer these records to a recordkeeping system. For other unstructured records, the shared drives are the "recordkeeping system." The reasons why employees move their records to the shared drives are mainly because shared drives are backed up by IT and sometimes they realize that there is a need for departmental information sharing (in case somebody cannot come to work). Currently unstructured records are being filed and transferred to the newly developed records classification system. The system was developed based on functional analysis.

With respect to MediaBin, images are organized temporarily by the supplier before they arrive at MediaBin. This organization will be transferred into the naming convention as the element of "collection," which refers to a batch of assets acquired from the same photographer or the same purpose (i.e., photographs that were commissioned for a specific marketing

[15] More details about MediaBin are provided in the case study 04 diplomatic analysis (see Appendix 1 in the CS04 Records Research Questions report).
[16] More information needs to be collected now because there are new developments done after this document was written.

campaign).[17] Each department has a shared drive (sometimes more than one), which is only accessible to the department in most cases. The Records Coordinator has limited access to these shared drives. No comprehensive metadata scheme is place except the classification system and system-generated ones. The classification system is under the Records Coordinator's control.

With respect to MediaBin, a number of broad categories of access can be identified:

- CTC staff and ad agencies, who can access the records with few restrictions;
- CTC partners (such as tourism operators, industry and marketing organizations) who will have "access to materials based on their level of trust and closeness with the CTC;"
- members of the media who "have access to images and are gatekept;" and
- members of the general public "such as school kids looking for images to illustrate a report will get the lowest level of access."

The only individual with need to access the metadata is the Digital Asset Manager. The defined intellectual components are the classification schema and retention schedules. No technological components have been decided yet. The CTC is planning to deploy SharePoint 2010 but the discussion on its RM capacity has just started. With respect to MediaBin, there is a metadata schema in place. The elements in this schema have been compiled from similar organizations (such as provincial tourism organizations), metadata created specifically by the CTC product and marketing units, Exchangeable Image File format (EXIF) and ITMPC, and from industry standards.

Information about the financial resources for MediaBin needs to be collected. MediaBin was bought as an off-the-shelf product and then has been going through significantly customization.

The CTC maintains an in-house IT unit and an E-Marketing unit, which is also technology-driven. However, heavy IT tasks are all undertaken by outside IT service providers such as IBM Canada and Deloitte. For further information about IBM Canada's involvement in the CTC, see the case study 04 diplomatic analysis (Appendix 1 in the CS04 Records Research Questions report). See Interview Nos. 5, 6, and 10 in Appendix 1 for Deloitte's involvement in the CTC.

Access to records on the shared drive is generally limited to members of the creating units, which creates the number one issue for employees whose job needs information sharing. Records with personal or sensitive information are generally identified and managed by business units or individuals, and the way of managing them is to either restrict access to the folders containing such information on the shared drive or save it on their personal drives.

Access to Information and Privacy requests are handled by the CTC's Ottawa office. Due to the existing recordkeeping system, there were problems locating certain records but not enough to cause serious attention.

[17] See Note 2.

All the sub-activities of A3 - Manage Records in a Recordkeeping System in the InterPARES 2 Chain of Preservation (COP) model (i.e., A3.1 - Monitor Performance of Recordkeeping System, A3.2 - Manage Maintenance of Kept Records, A3.3 - Manage Access to Kept Records and A3.4 - Manage Disposition of Kept Records) are needed. Because currently there is not a centralized recordkeeping system in place and records are maintained in their respective originating systems, the level of complexity may exceed what is represented in the COP model. To exercise control over the dispersed systems, management activities will have to be repeatedly conducted for each of the systems.

## E. Bibliography of Relevant Material

Xie, Sherry and Romkey, Sarah (May 2008), "Case Study 04 Contextual Analysis: Canadian Tourism Commission, v1.0", InterPARES 3 Project, TEAM Canada.

Xie, Sherry (May 2010), "Case Study 04 Contextual Analysis: Canadian Tourism Commission, v2.0", InterPARES 3 Project, TEAM Canada.

Xie, Sherry and Romkey, Sarah (May 2008), "Canadian Tourism Commission (CTC): Recordkeeping Systems Research Questions, v1.0.", InterPARES 3 Project, TEAM Canada.

Xie, Sherry (May 2010), "Canadian Tourism Commission (CTC): Recordkeeping Systems Research Questions, v2.0.", InterPARES 3 Project, TEAM Canada.

## F. Findings, Recommendations and Products

The development of the CTC-wide records classification system was completed in December 2009 and implemented on the CTC's shared drive during January to April, 2010. The organization considered this development was sufficient for its management of records with unstructured content and decided not to proceed with any electronic document and record management system in the near future. The plan for implementing an electronic document and record management system had being discussed since 2007 and the development of an organization-wide records classification system was considered one of the pre-conditions of introducing an electronic document and record management system into the organization. The decision of not to proceed with the plan of purchasing an electronic document and record management system mainly due to first, its budget cut and its consideration that the CTC was a low-risk organization.

# Appendix 1: CTC Network Drawing