

## **Canadian Tourism Commission's Participation in InterPARES 3 Research: *Theoretical Elaboration into Archival Management: Implementing the Theory of Preservation of Authentic Records in Electronic Systems in Small and Medium Sized Organizations.***

### **1.0 CTC background and context**

#### **Organizational mandate**

A federal crown corporation, CTC is Canada's national tourism marketing organization. It supports the Canadian tourism sector in marketing Canada as a premium tourism destination through collaboration and partnerships with the private sector, the Government of Canada, the provinces and the territories. CTC is currently focusing on those global markets where there is the highest potential for return on investment. Currently, CTC has a presence in the United States, United Kingdom, Germany, France, Mexico, Japan, China, South Korea and Australia.

**Vision:** to compel the world to explore Canada

**Mission:** harness Canada's collective voice to grow tourism revenues

#### **Challenges**

- CTC is funded to carry out marketing activities which largely include sponsoring marketing creative work such as still and moving images. In addition to managing records for operational requirements, CTC is obliged to preserve evidence that they are carrying out their mandate of presenting Canada to the world – especially with the upcoming Vancouver 2010 Olympic Winter games. CTC currently lacks a strategy to do so. On a few occasions, auditors have requested for audit trails that link funds to the creative work generated – and this is a significant driver behind the need for better record-keeping.
- As a crown corporation, CTC is subject to federal legislation acts such as Library and Archives Act, Privacy Act, Access to Information Act and other Treasury Board requirements. Due to poor life cycle management of records and lack of a records management program, most business units typically transfer poorly identified boxes of material to Library and Archives Canada in response to space constraints rather than proactively appraising those records of archival value. Consequently, CTC has not been complying fully with the requirement to identify and transfer records of archival value to Library and Archives Canada – particularly operational records. Needless to say, CTC is not proactively maintaining in-house archives but since most records are born digital, it is a priority to formulate a strategy for managing and preserving electronic records. Tools are required to ensure access, e.g., Taxonomies and metadata
- Over the last few years, CTC has vigorously embraced the web medium as a marketing tool to reach its global market. This has meant that a great deal of the operational functions and activities are taking place electronically (led by e-marketing department) via databases and web-enabled tools. As this shift has taken place, the administrative side of the business (particularly corporate affairs, legal and purchasing) continues to work in the paper format to ensure authenticity and reliability of their records. There is therefore a digital divide that is gradually emerging and that needs to be bridged by implementing the mechanisms that ensure the authenticity and reliability of electronic records.
- The large files generated from creative work are exerting a burden on the limited server infrastructure
- Some business processes require collaboration between CTC business units and external parties (e.g., Provincial tourism partners) and vendors (e.g., Advertising agencies). This has implications for access considerations and archiving procedures for records that may end up in the custody or control of a third party.

- Operating in 9 countries, CTC is subject to multiple juridical contexts such as the privacy and freedom of information legislation. To address this need, legal counsel is currently undertaking a privacy audit across all the offices in order to identify personal information banks and formulate a policy.
- As a Crown corporation operating in Vancouver, CTC is isolated from the Ottawa based Library and Archives Canada Information Management units that is responsible for guiding crown corporations in best practices as well as ensuring compliance with LAC requirements.
- As a records management program is developed at the headquarters, there is concern about the field offices and what tools and procedures can be realistically implemented within a resource constrained environment. In particular, there is need for policies, guidelines and tools to manage records created in multiple enterprise-wide business applications, provide access to them and preserve them over time. What tools (metadata, taxonomy, search functionality) would support a federated search solution that would support access across different applications?

## 2.0 Problems for analysis in InterPARES research

Case Studies	Key Issues	Records	Rationale/Drivers	Timeline/Milestones
<p>CS1: databases (enterprise-wide business applications)</p>	<p>Little control over current digital Record Keeping environment; lack ability to establish reliability and authenticity; maintenance of dual system – both paper and electronic because of the lack of suitable approval mechanisms for electronic legal records. For example, although existing electronically and maintained in the shared drive, contracts are printed off, signed and filed in order to provide evidence if requested by auditors. Significant signed contracts are scanned into PDFs but lack of convenient scanning technology and set-up precludes wider usage.</p> <p>Multiple departmental and enterprise-wide business applications used for various functions including financial and procurement functions, customer relationship management, web content management system, digital asset management system (for handling images, sound and video files). These systems contain records but they are not record keeping systems with classification and retention management tools.</p>	<p>databases, digital assets (photographs, sound and video files)</p>	<p>Auditor general's criticism of CTC's poor record keeping practices and inability to furnish audit trails that provide evidence of transactions and activities. As a result, the organization is currently implementing a basic records and information management program (policy, retention and disposition schedule and, classification structure). However, it currently lacks the resources and know how to adequately address the record keeping implications of the business application programs. IT is looking into a federated search solution for searching across all the repositories. At the same time, CTC is planning on acquiring an EDRMS and is concerned about how</p>	<ul style="list-style-type: none"> <li>- A policy and procedural guidelines governing the management of electronic records (databases, e-mail and websites) is a priority (6 months).</li> <li>- Identification of business applications that contain/are records (6 months -1 year)</li> <li>- Functional requirements for an EDRMS that can capture records from these business applications (6 months -1 year)</li> <li>- Strategy for preserving websites, applications and e-mail records (1-2 years)</li> <li>- Metadata and taxonomy tools for ensuring access over time – in particular, taxonomy tools can be the key to supporting federated searching across different repositories where records reside</li> </ul>

			existing business applications would interface with an EDRMS to capture and preserve the records. The priority is to identify which of these database applications are or contain records of archival value.	(1-2 years)
CS2: e-mail	Few policy tools in place for managing e-mail records; increasing volume of business across all functions conducted via e-mail; not currently captured in RK systems; many business records received/maintained as e-mail attachments and not captured in RK systems; no preservation strategies in place; CTC is considering the interim strategy of transferring e-mails into the shared drive but there is concern over the huge burden on the shared drive servers	e-mail, including attachments made or received	Increased exposure to liability, hence need effective mgmt of e-mail records for ongoing admin, operational, legal and governance purposes; archival retention and access; long-term preservation of authentic and reliable email records; appraisal; Need for procedures and best practices on the management and handling of e-mail on day-to-day basis and integrating it into other record-keeping functions	
CS3: websites	As a marketing organization, CTC maintains 13 websites in different countries as the primary means of targeting both partners (business to business) and end-consumers.	various Web site-related records and digital entities	Inability to preserve records associated with the ever-changing Web sites; As an active	

	Main problem involves preserving the large and frequently changing Web site and providing continued access to legacy versions;		participant and stakeholder keen on leveraging the 2010 Olympics, CTC is concerned about identifying, capturing and preserving websites of enduring value documenting CTC's association with this event – particularly through media sponsorship and other partnerships	
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