
Library and Archives Canada: Recordkeeping and Appraisal in the Government of Canada

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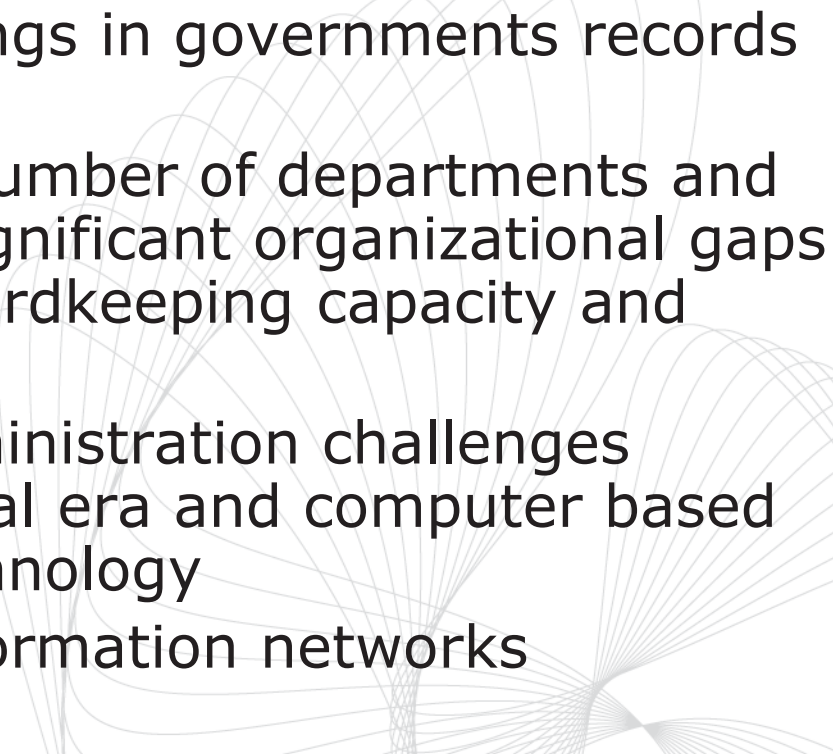
Canada

What is recordkeeping?

- Recordkeeping is a **framework of accountability and management** 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***
 - Essential for informing government decision making, the development of policy, and the delivery of programs and services to Canadians
 - Is at the core of **ministerial and managerial accountability**
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Why is recordkeeping important?

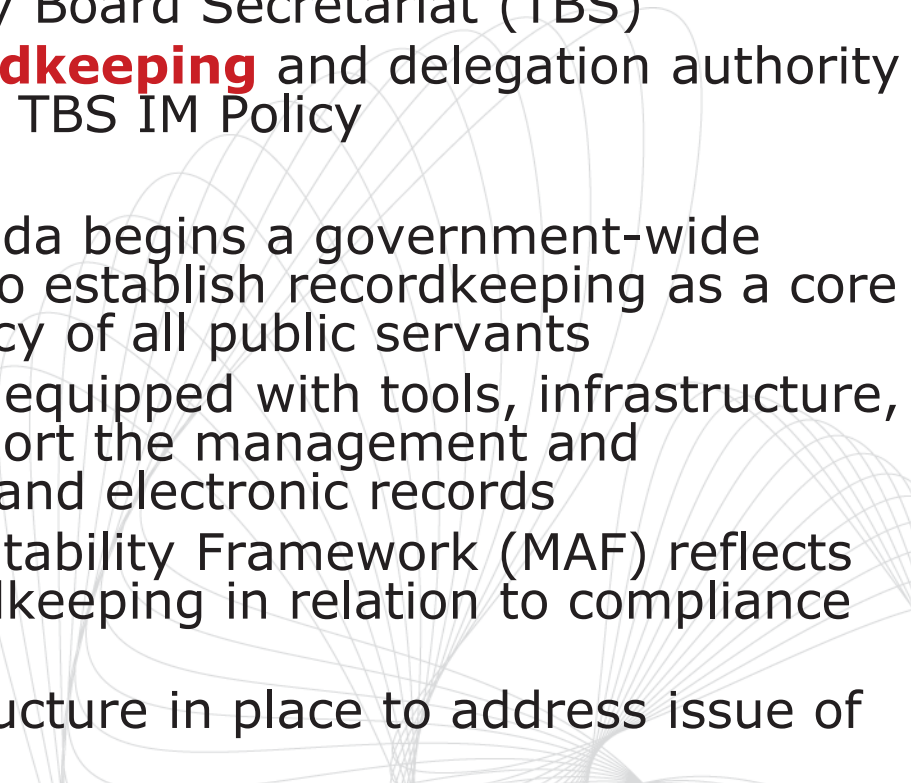
Auditor General's report (2003)

- Identified shortcomings in governments records disposition program
 - IM checks within a number of departments and agencies revealed significant organizational gaps and shortfalls in recordkeeping capacity and infrastructure
 - Identified public administration challenges associated with digital era and computer based communications technology
 - Integration of information networks
 - User expectations
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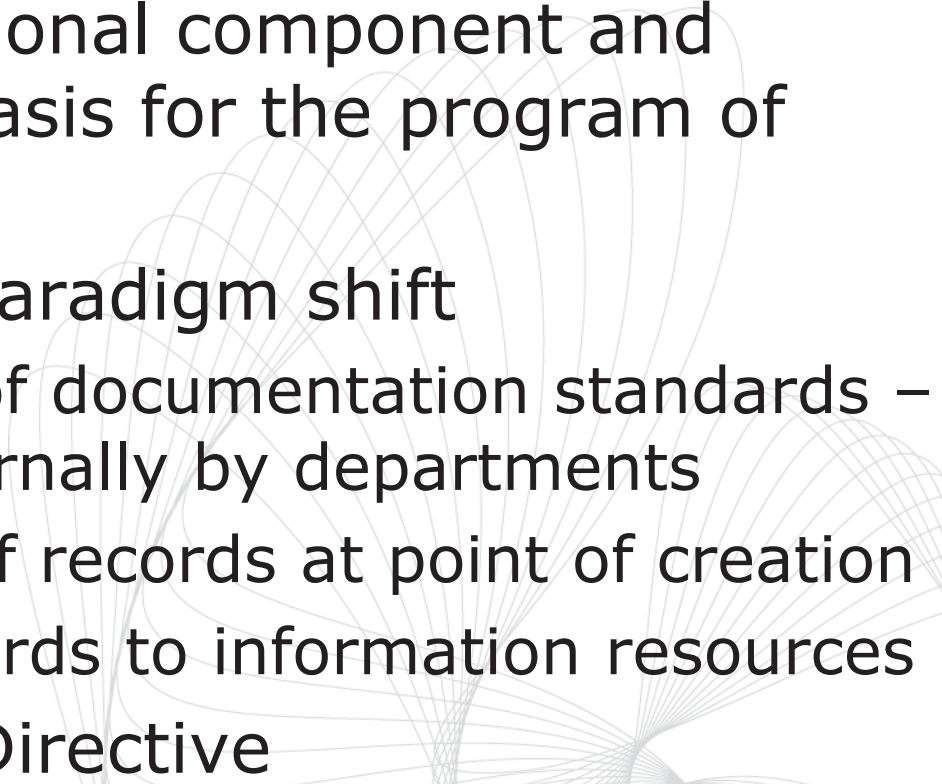
The Recordkeeping Initiative

- **2005:** LAC Deputy Head raises RK crisis; Clerk of the Privy Office commitment
 - **2006:** Deputy Minister Roundtables
 - Recordkeeping initiative
 - Assistant Deputy Minister taskforce on recordkeeping
 - Treasury Board Portfolio Advisory Committee (TBPAC)
 - **2007:** Assistant Deputy Minister Taskforce
 - Departmental working groups
 - RK Regime Validation
 - **2007:** Treasury Board Portfolio Advisory Committee (TBPAC)
 - **Recordkeeping Regime approval**
 - Approval to proceed with assessment projects
 - **2008:** LAC and Departments
 - Assessment projects and TBPAC reporting
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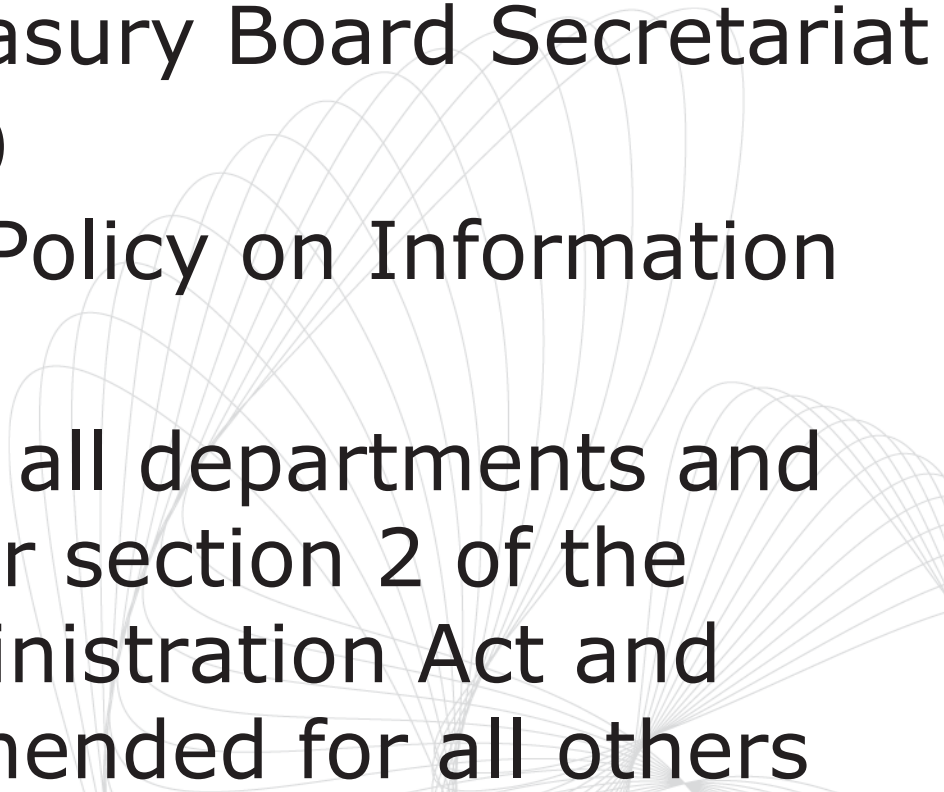
The Recordkeeping Initiative

- **2009:** LAC and Treasury Board Secretariat (TBS)
 - **Directive on Recordkeeping** and delegation authority are developed under TBS IM Policy
 - **2010-2012:**
 - Government of Canada begins a government-wide program of change to establish recordkeeping as a core value and competency of all public servants
 - Departments will be equipped with tools, infrastructure, and capacity to support the management and disposition of paper and electronic records
 - Management Accountability Framework (MAF) reflects importance of recordkeeping in relation to compliance and business value
 - GoC has the infrastructure in place to address issue of legacy records
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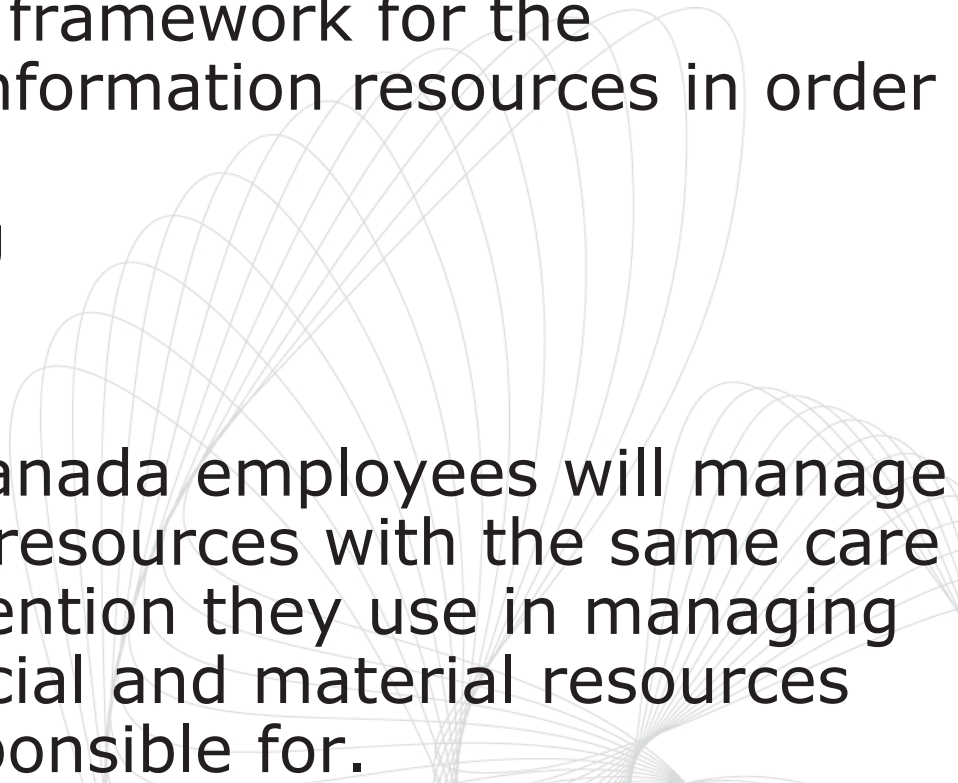
Recordkeeping Regime

- Primary foundational component and organizational basis for the program of change
 - Administrative paradigm shift
 - Development of documentation standards – developed internally by departments
 - Management of records at point of creation
 - Shift from records to information resources
 - Recordkeeping Directive
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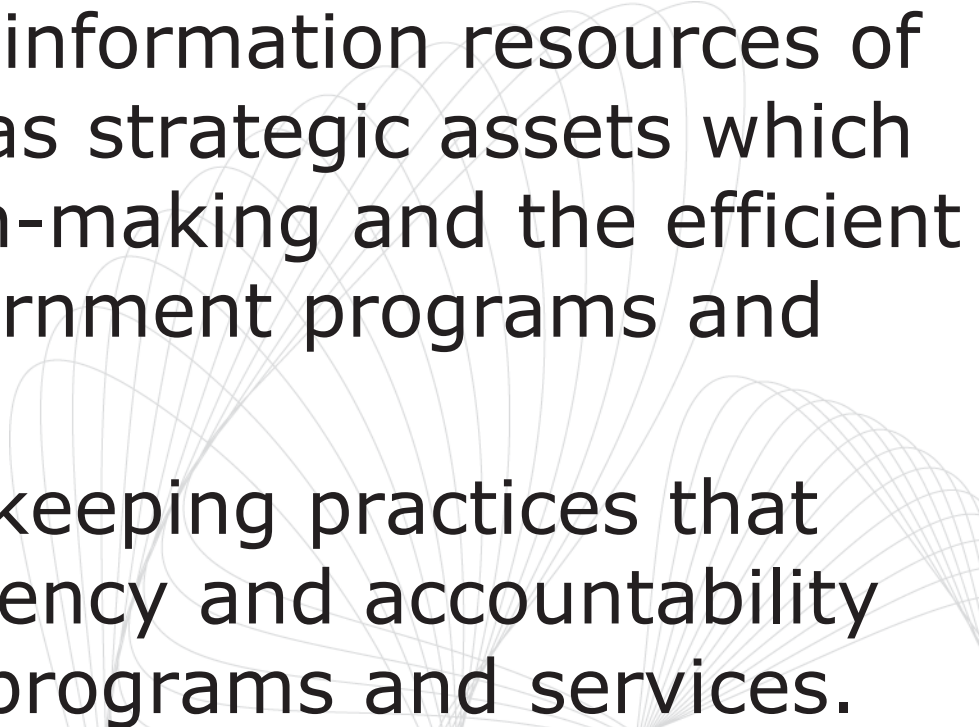
Directive on Recordkeeping

- Issued by Treasury Board Secretariat
 - (1 June 2009)
 - Linked to the Policy on Information Management
 - Mandatory for all departments and agencies under section 2 of the Financial Administration Act and highly recommended for all others
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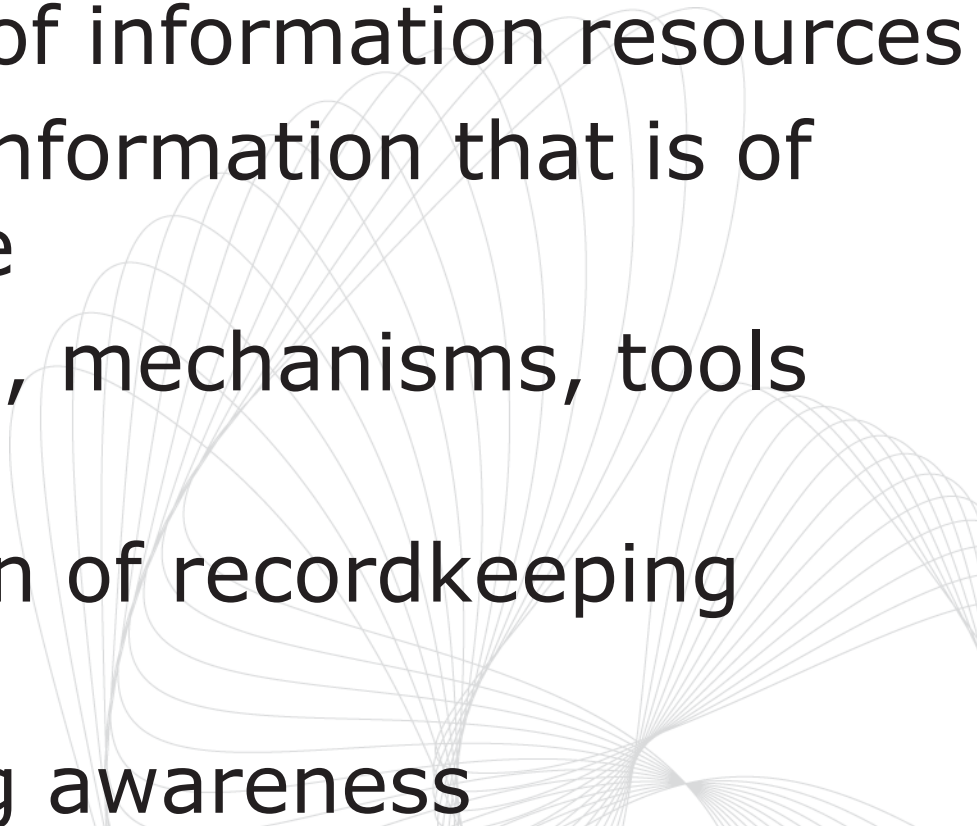
Directive on Recordkeeping: Basic Principles

- The Directive is a framework for the management of information resources in order to support:
 - Decision-making
 - Accountability
 - Governance
 - Government of Canada employees will manage their information resources with the same care and the same attention they use in managing the human, financial and material resources that they are responsible for.
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Directive on Recordkeeping: Expected Results

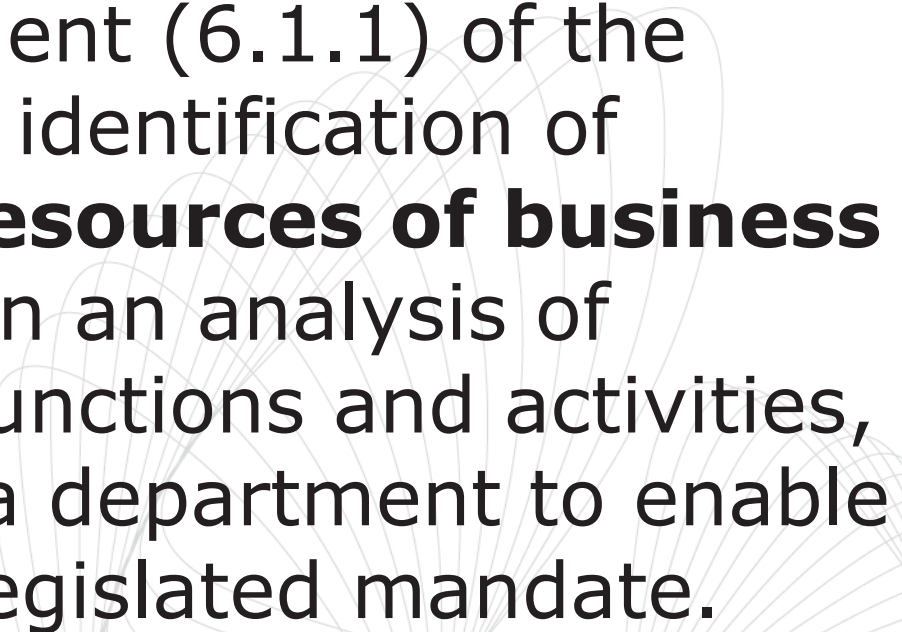
- ❑ Effective use of information resources of business value as strategic assets which support decision-making and the efficient delivery of government programs and services.
 - ❑ Effective recordkeeping practices that ensure transparency and accountability of government programs and services.
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Directive on Recordkeeping: Requirements

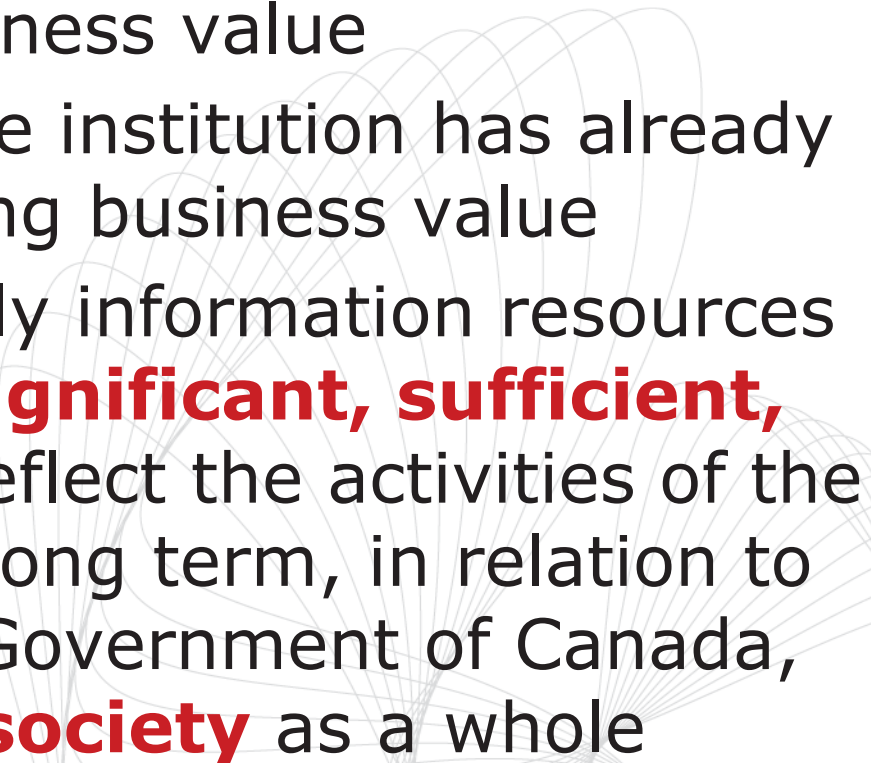
- ❑ Identification of information resources
 - ❑ Protection of information that is of business value
 - ❑ Methodologies, mechanisms, tools and practices
 - ❑ Documentation of recordkeeping practices
 - ❑ Recordkeeping awareness
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Identification of Business Value

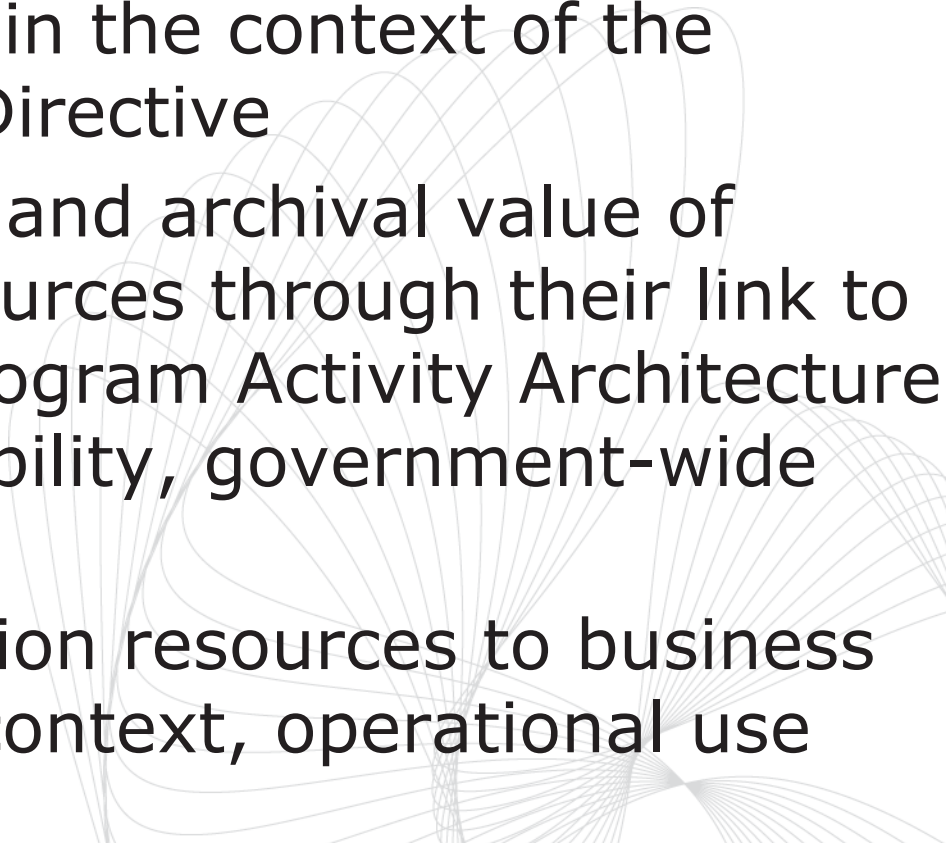
The first requirement (6.1.1) of the Directive is the identification of **information resources of business value**, based on an analysis of departmental functions and activities, carried out by a department to enable or support its legislated mandate.



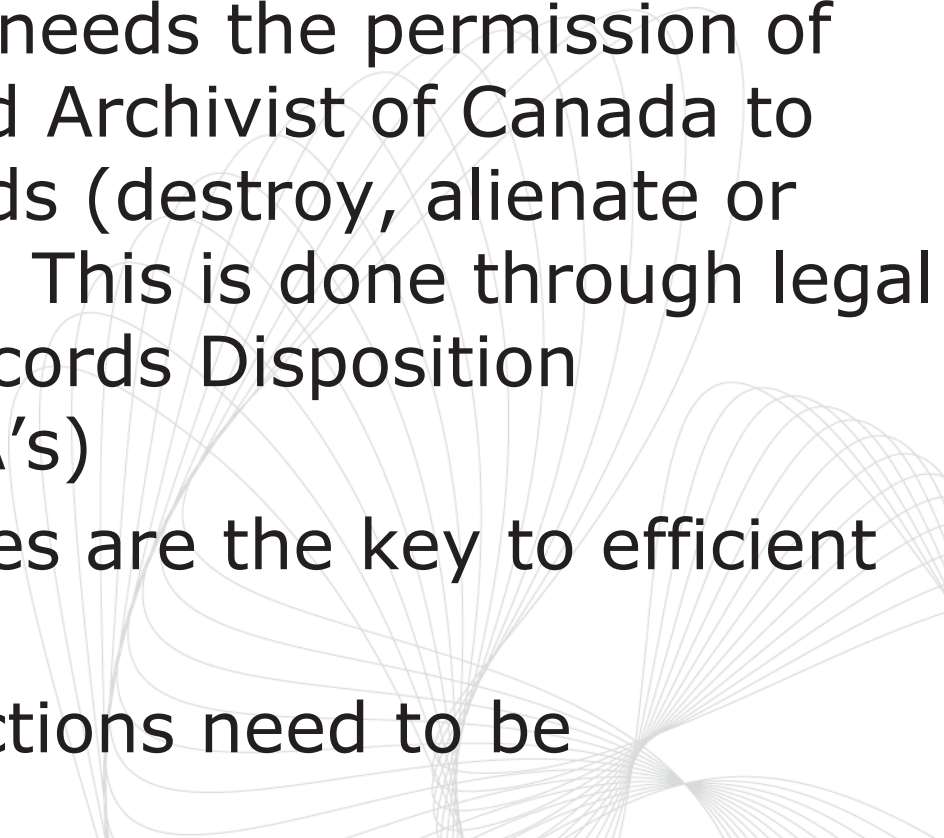
Information Resources of Archival Value

- ❑ Distinct from business value
 - ❑ Based on what the institution has already identified as having business value
 - ❑ LAC will select only information resources which are most **significant, sufficient, sustainable** to reflect the activities of the institution in the long term, in relation to other aspects of Government of Canada, and of Canadian **society** as a whole
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Appraisal: Assessing Value

- ❑ Macro-appraisal in the context of the Recordkeeping Directive
 - ❑ Assess business and archival value of information resources through their link to departmental Program Activity Architecture (PAA), accountability, government-wide initiatives
 - ❑ Linking information resources to business processes, risk context, operational use over time, etc.
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Disposition Principles

- ❑ A GC institution needs the permission of the Librarian and Archivist of Canada to dispose of records (destroy, alienate or transfer to LAC). This is done through legal instruments: Records Disposition Authorities (RDA's)
 - ❑ Good RK practices are the key to efficient disposition
 - ❑ All disposition actions need to be documented
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□ Questions?

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