



# Recordkeeping

*(Note: This cover page will be removed once approved by CIO)*

## **Submission for Approval - Recordkeeping Directive**

The *Directive – Recordkeeping* outlines requirements for the registration, organization, and preservation of information required as final proof of strategies, policies, decisions and business transactions completed in support of departmental operations including the establishment of plans for emergency recovery and business continuity.

This Directive addresses all elements presented in the new *Treasury Board Recordkeeping Directive* and supersedes instruction with AANDC's current *Records Management Policy (1999)*.

This Directive introduces new elements associated with the electronic work environment, the monitoring and compliance reporting and the presentation of staff responsibilities relative to the management of information they create.

New elements in the *Directive - Recordkeeping*:

- A recordkeeping requirement analysis must be part of all proposals (Opportunities to Outcome);
- Inventory of information holdings, regardless of media, must be compiled and maintained;
- Information must be stored in Canadian jurisdiction (critical to application of privacy legislation);
- Records should be retained in their original format whenever possible (promotion of electronic document as the information resource of business value).



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**Issued by** Information Management Branch

**Effective Date**

**Authorization** Chief Information Officer

**Note** This Directive supersedes the *AANDC Records Management Policy (1999)*

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## 1 Application

This Directive applies to all information created or collected in the performance of Aboriginal Affairs and Northern Development Canada (AANDC) operations.

This Directive does not apply to information already in the public domain.

## 2 Context

Effective use of departmental records is dependant on the ability to identify, locate, and retrieve relevant information, with assurance of its integrity. Staff turnover in the workforce increases the need for direction on recordkeeping, as custodial responsibilities are transferred from departing employees to new appointees with the minimum of instruction.

The *Directive - Recordkeeping* supplements the *AANDC Information Management Policy* providing direction and guidance specific to recordkeeping.

## 3 Directive Objective

The *Directive - Recordkeeping* outlines requirements for the registration, organization, and preservation of information required as final proof of strategies, policies, decisions and business transactions completed in support of departmental operations, including the establishment of plans for emergency recovery and business continuity.

## 4 Directive Statement

In accordance with the Policy – AANDC Information Management specifying that information is strategic business resource, AANDC will register, organize, and preserve business information in departmental custody in a manner that facilitates identification, access, sharing and re-use of information to support operations and ensure business continuity.

## 5 Directive Requirements

### 5.1 Planning

To maintain and enhance the integrity of recordkeeping within the Department, all proposals involving the application of new technology to enhance business operation include an information management scope evaluation, followed by a recordkeeping analysis (if warranted) that establishes the legal, policy, program and process framework within which innovation can be considered.



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### 5.2 Capture

All information that provides final proof of business transaction, program activity, management decision, and policy or strategy development supporting AANDC's mandate will be captured as departmental information resources of business value (IRBVs).

### 5.3 Organization and Storage

To facilitate identification and retrieval of information, all information resources of business value created or collected in support of AANDC's operations, are registered in an Enterprise-wide inventory of information holdings:

- 5.3.1 electronic documents will be individually profiled within approved Electronic Document Management (EDM) solutions;
- 5.3.2 electronic documents will be Paper files and folders containing paper copies of information resources of business value will be registered within approved file management solutions;
- 5.3.3 any function-specific information stored as a set of records will be profiled as a single information holding within the Enterprise-wide inventory of information holdings. The description of the holding will provide sufficient detail to enable identification and retrieval of information (subject to security or policy restrictions). Examples of function-specific information:
  - 5.3.3.1 databases (i.e. OASIS Financial System, PeopleSoft HR System);
  - 5.3.3.2 photographic collections;
  - 5.3.3.3 images (i.e. Indian Registry System);
  - 5.3.3.4 map collections.

All information resources of business value are linked to the business functions and programs for which the information was created, collected and preserved to:

- 5.3.4 provide context for the information resources of business value;
- 5.3.5 facilitate the evaluation of records;
- 5.3.6 enable cross-referencing between related holdings;
- 5.3.7 support the lifecycle management of the holdings.



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All information resources of business value created or collected in support of AANDC's operations are stored:

- 5.3.8 in a manner that preserves the integrity of the information and enables timely retrieval in support of operational need of each program;
- 5.3.9 within Canadian jurisdiction to enable application of Access to Information and Privacy legislation;
- 5.3.10 in accordance with the standards established for the protection of sensitive or classified information.

Records should be retained and preserved in their original format and media whenever possible.

The decision to modify record format or media must be supported by an impact analysis of the proposed change, approval of a transition process that includes a risk assessment, and a description of the measures adopted to protect and preserve the integrity of the information resource of business value.

### **5.4 Use and Dissemination**

Information resources of business value will be made available to business units within the Department where sharing and re-use of the information contributes to the efficiency of operations, subject to policy or security restrictions that may apply.

### **5.5 Access Control, Protection and Preservation**

All information resources of business value must be protected against unauthorized access and modification.

Information resources of business value stored online must be protected against technical malfunctions or physical disasters affecting availability of hardware.

### **5.6 Disposition**

All records in the custody of the Department have a prescribed retention period. Retention periods specify storage location and media.

All retention periods are negotiated with the business unit manager to ensure that legal, operational and potential litigation requirements are addressed.



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Authorized (by Library and Archives Canada) record dispositions plans, referred to as Record Disposition Authorities (RDA's) are applied as part of the ongoing recordkeeping operations.

The disposition of records is initiated as soon as these become eligible.

The business unit manager and the Access to Information and Privacy (ATIP) Coordinator confirm the eligibility of records for disposition before the transaction is completed to allow for extensions to the retention period, as may be required if records are subject to an ATIP request.

## **5.7 Archival Evaluation**

Proposed retention periods with recommendations for disposition process are submitted to the Library and Archives Canada (LAC) for review and approval to identify and preserve information resources of enduring value (IREVs).

All proposals to transfer custody of AANDC information to another recipient organization are negotiated through the Enterprise Information and Records Management Group to ensure that security, archival, legal and operational requirements have been appropriately assessed before transfers are undertaken.

## **6 Accountability**

### **6.1 Chief Information Officer (CIO)**

The Director General of Information Management Branch is AANDC's Chief Information Officer (CIO) designated as accountable for the implementation of the Government of Canada Policy on Information Management. In this role, the CIO is accountable for the issue of directives, and the provision of support that enable managers within the Department to address their recordkeeping requirements effectively.

As the senior executive accountable for this Directive, the CIO will approve the Directive and standards governing recordkeeping within AANDC.

### **6.2 Director, Corporate Information Management Directorate (CIMD)**

The Director of Corporate Information Management Directorate (CIMD) is accountable for the development of directives governing the management of information created, collected and retained in departmental custody in support of operations. In this role, the Director of CIMD will:

- 6.2.1 advise on the information management implications of this directive and associated standards, best practices and procedures;



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- 6.2.2 approve the standards for the registration of information resources of business value and the categorization of information;
- 6.2.3 approve the criteria and process associated with custodial transfer of information resources of business value;
- 6.2.4 approve the guidelines for the determination of record values e.g. organization's needs, requirements and considerations establish the context for decision-making about the value of records for continuing business purposes;
- 6.2.5 approve the functional requirements supporting the development or acquisition of technical application solutions for the management of corporate records and information.

### **6.3 *Manager, Enterprise Information and Records Management (EIRM)***

The Manager of Enterprise Information and Records Management (EIRM) is responsible for the development of standards, and best practices relative to the handling of information within the Department, the provision of information advisory services and for monitoring and reporting on compliance with information management directives and standards. In this role, the Manager of EIRM will:

- 6.3.1 develop processes and standards for the identification, registration, storage, maintenance, and eventual disposition of information resources of business value;
- 6.3.2 develop and maintain standards for the categorization and organization of information resources of business value;
- 6.3.3 develop the criteria and process associated with custodial transfer of information resources of business value;
- 6.3.4 develop documentation and provide educational support across the Department relative to the recordkeeping function;
- 6.3.5 coordinate the definition of retention periods and disposition plans for effective management of departmental records for submission to the Library and Archives Canada for approval;
- 6.3.6 monitor compliance with directives and standards relative to Recordkeeping and report to senior management on issues that place the Department at risk.



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### **6.4 Director, Enterprise IM/IT Strategic Services (ESS)**

The Director of Enterprise IM/IT Strategic Services (ESS) is accountable for the synchronization of plans and activities associated with business process innovation, ensuring that the interests of all stakeholders are adequately addressed as part of the project management process leading to the implementation of change. In this role, the Director of ESS will:

- 6.4.1 solicit information management contribution for every opportunity for business process improvement in the Department;
- 6.4.2 solicit information on business operational requirements that provides context for the evolution of information management and information technology governance;
- 6.4.3 promote the application of information management and information technology standards and best practices throughout the Department;
- 6.4.4 contribute to the education of business managers on the directives and standards governing information management and information technology, ensuring that all changes to business process enhance operations without risk to the integrity of the departmental accountability.

### **6.5 Director, Security and Occupational Health and Safety (SOHS)**

The Director of Security and Occupational Health and Safety (SOHS) is accountable for the development of policies and standards for the safeguard of departmental information as per the Government Security Policy<sup>1</sup>. In this role, the Director of SOHS will:

- 6.5.1 approve the standards governing the designation of sensitive and classified information;
- 6.5.2 approve the standards for the storage and transmittal of designated and classified information.

### **6.6 Regional Directors, Corporate Services (DCS)**

The Regional Directors of Corporate Services (DCS) are accountable for the resourcing of information management support within their respective Region. The information management support must include:

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<sup>1</sup> Treasury Board Secretariat – Government Security Policy (February 2002 (10.1))



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- 6.6.1 the designation of a Regional Information Management Advisor (RIMA);
- 6.6.2 resourcing for the registration of information resources of business value within the approved electronic document and file management systems;
- 6.6.3 resourcing for effective and timely identification, categorization, organization, of physical records in support of active referencing;
- 6.6.4 resourcing for processes associated with the review, evaluation, boxing, transfer and eventual disposition of physical paper holdings.

### **6.7 Regional Information Management Advisors (RIMAs)**

Regional Information Management Advisors (RIMAs) will:

- 6.7.1 represent regional stakeholders during discussions on the development of standards and best practices;
- 6.7.2 support the implementation of this Directive in their respective regions by providing records support services and coaching managers on the use of tools for effective indexing and retrieval of records;
- 6.7.3 participate in the monitoring and reporting activities by providing regional information to the EIRM Group for compilation of departmental reports on compliance with the Recordkeeping Standards.

### **6.8 Responsibility Centre (RC) Managers**

In accordance with the Government Policy on Information Management, RC Managers are accountable for the management of information created, received, collected, stored and referenced in the performance of their mandates. While the EIRM Group, in partnership with RIMAs, provide custodial services (records offices), training on the use of information management support tools, and coaching on best practices for information management, the RC Manager is accountable for the quality of recordkeeping associated with the operations of a business unit. The RC Manager will:

- 6.8.1 identify and preserve information resources of business value supporting the operations of the business unit, including those created through contracted services / resources;



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- 6.8.2 sponsor technology solutions that provide information management support to the business function, ensuring that all recordkeeping requirements are adequately addressed as part of the solution functional support;
- 6.8.3 enforce the application of departmental standards for the capture, storage, categorization and preservation of information resources of business value associated with the business function;
- 6.8.4 approve the description of information holdings stored within the business unit as contribution to the inventory of information resources of business value;
- 6.8.5 collaborate with the EIRM Group to define record retention periods appropriate to the information needs of the business unit;
- 6.8.6 collaborate with the RIMAs for the development and maintenance of record categorization protocols that enable association of information to business functions;
- 6.8.7 participate in the evaluation of information resources of business value associated with the business function.

### **6.9 Departmental Employee**

In accordance with the new Policy on Information Management, employees are accountable for the preservation of information resources of business value created or captured in the performance of their duties. With the support of information management electronic support tools, and the availability of records office support for paper records, each employee will:

- 6.9.1 store records with business value in the appropriate location for effective management and retrieval:
  - 6.9.1.1 electronic documents shall be stored in approved EDM solutions;
  - 6.9.1.2 paper documents shall be stored in files registered with the Records Office Operations;
  - 6.9.1.3 email messages of business value shall be stored as information resources of business value.
- 6.9.2 provide function/program association and description of the information resource of business value using the metadata provided, to ensure context of the record can be established;



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- 6.9.3 preserve the integrity and security of the electronic records stored in approved EDM solutions by assigning appropriate access controls and security designation.

## 7 Monitoring and Reporting

### 7.1 Information Management

Monitoring electronic document management practices to determine the effectiveness of recordkeeping and availability of information supporting the delivery of business mandate will be done as part of the information management assessment of individual business unit, as specified in the Government of Canada Policy on Information Management (6.2 – Monitoring and reporting). Criteria will include:

- 7.1.1 availability and ease of access to records that document decision-making and support ongoing business delivery.

### 7.2 Statistics

CIMD will undertake an annual review of statistics to confirm growth activity within the Enterprise Electronic Document Management and File Management Solutions:

- 7.2.1 statistical reporting on electronic documents added, indicating capture of electronic document;
- 7.2.2 statistical reporting on file/volume creation, indicating capture of paper documents.

### 7.3 Reports

Compliance reports will be submitted to the CIO, with copies submitted to the RC Manager of the affected business unit.

## 8 References

### ***Policy – AANDC Information Management (NCR #1172933)***

Mandates a governance structure that outlines information management accountability and integration of information management as an element of departmental programs.



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## ***Directive – Electronic Document Management (IM #27622)***

Defines the measures, authorities and responsibilities that result in the capture and preservation of online documents that are created or received in the performance of business functions.

## ***Directive – Electronic Mail (Email) Management (IM #8733)***

Confirms requirements and assigns responsibilities associated with managing electronic mail messages and the use of the AANDC electronic messaging systems (GroupWise software and Blackberry personal digital assistants).

## **Glossary of Terms**

An information management glossary of terms provides a complete listing of terms with definitions to clarify terms within this document. The following terms and definitions, considered key to the concepts presented in this document, are transcribed below for quick reference.

Electronic Document Management (EDM) Solution	Refers to a set of integrated software configured to meet the requirements for the capture, storage and preservation of electronic documents as information resources of business value, as specified in the Standard – Functional Requirements for Electronic Recordkeeping (IM #33151) and Standard – Functional Requirements for Electronic Document Management (IM #33698).
Information Resource of Business Value	Published and unpublished materials, regardless of medium or form, that are created or acquired because they enable and document decision-making in support of programs, services and ongoing operations, and support departmental reporting, performance and accountability requirements.
Information Resource of Enduring Value	Refers to a record selected and acquired by the Library and Archives Canada for permanent retention and use by Canadians. An information resource of enduring value is defined as such through an archival valuation decision, not by virtue of some inherent, objective quality. It may therefore be a designated original record or a copy record, and may include metadata. Its archival status may also be subject to change.
Published Information	Library matter of every kind, nature, and description resulting from the act of publishing and released for public distribution or sale. Publications include material such as books, maps,



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periodicals, documents, working or discussion papers, audio or video recordings, online/networked publications (both static and dynamic), and compact discs. Publications can be in any format on or in which information is written, recorded, stored or reproduced.

## 9 Enquiries

Enquiries regarding this Directive should be directed to the Director, Corporate Information Management Directorate.