Introduction to Document Management

AFOA
Aboriginal Financial Officers Association of Canada

The best source of information and training on Aboriginal finance and management

The Aboriginal Finance and Management Capacity Development Series

For Aboriginal Managers
The Aboriginal Financial Officers Association of Canada (AFOA) is the centre for excellence and innovation in Aboriginal finance and management. We are the only organization in Canada that focuses on the capacity development and day to day needs of those Aboriginal professionals who are working in all areas of management, finance and administration - today's leaders and those of the future.

AFOA was founded as a not-for-profit association in 1999 to enhance Aboriginal financial practices and management skills. Our members believe that the key to successful self-government, creating a better life for Canada's Aboriginals and a better future for the next generation lies in improving the finance and management skills of those responsible for the stewardship of Aboriginal resources.

To do this, we conduct capacity development research aimed at enhancing competency in financial management, general management and program management. We develop capacity development programs, products and services. We provide professional development training. We certify Aboriginal financial managers and develop financial management standards. We promote best practices. We provide advice and counsel. We encourage Aboriginal youth to enter into financial and management professions. We provide a forum to share knowledge, experience and best practices. We support Aboriginal accountability and self-government efforts.

AFOA helps Aboriginal communities and organizations maximize resources, strengthen decision-making and governance, enhance the delivery of programs and services and demonstrate accountability to community members and stakeholders. We help managers and leaders enhance their skills and knowledge and grow professionally.

---

The Aboriginal Financial and Management Capacity Development Series
Introduction to Document Management - For Aboriginal Managers

Published by:
The Aboriginal Financial Officers Association of Canada
1066 Somerset St. West, Suite 301
Ottawa, Ontario
K1Y 4T3

Author: Thomas Maracle

Library in Archives Canada Cataloguing in Publication Data

Introduction to Document Management
ISBN 0-9738187-7-8


E78.C2A1444 2005-08-31 658.02’2’08997071 C2005-903683-4

“All rights reserved. No part of this publication may be reproduced or transmitted in any form or by any means, electronic or mechanical, including photocopy, recording, or any information storage and retrieval system, without permission in writing from the publisher”

Copyright 2005 Aboriginal Financial Officers Association of Canada

Printed in Canada.
Introduction to Document Management
For Aboriginal Managers

Table of Contents

Introduction ........................................... 2

I A Starting Point for the Uninitiated ............... 3
   Some Problems and Challenges .................. 3
   Be Inquisitive ................................... 3
   Why manage information? ....................... 4
   What information should be managed? .......... 4
   Types of Information ............................ 5
   Where does information come from and
   where does it go? ............................... 5
   Who is responsible for managing information? .. 5
   Who owns information? .......................... 5
   When is information managed? .................. 6

The Records and Information Life Cycle
Management Model .................................... 6

1 Information Management Planning ................ 6
2 Collection, Creation, Receipt and Capture ........ 6
3 Organization ..................................... 7
4 Use and Dissemination ............................ 8
5 Maintenance, Protection and Preservation ........ 8
6 Disposition ...................................... 9
7 Evaluation ...................................... 10

How can Information be Managed Better? .......... 10

II A Framework and Guide for Implementation ....... 11

   Getting Ready .................................. 11
   Planning for Implementation ................. 11
   Analysis Phase ................................ 12
   Hardware and Software Procurement ........ 12
   Prototype ..................................... 12
   Customization and Integration ............... 12
   Implementation of Solution ................... 12
   Maintenance and Support ...................... 13

III Appendices: References and Resources .......... 14

   Federal Government Authorities and Regulations .. 14
   Federal Information Management Policy .......... 15
   Records and Information Management Certificate .. 17
   Glossary of Information Management Terms ...... 19
Introduction

This guide has been prepared to help Aboriginal managers plan and deploy an information management system. Our intent is to help lay the groundwork to ensure the implementation of a useful information management system, and to introduce the basic issues and approaches.

Managing information does not come naturally. In fact, to plan, develop, implement and manage information demands that one develop a mind-set and focus on the purpose, value, importance and use of information to support business, operational and community objectives.

The first section of this document will put the reader into the mind set required to move an information management program forward. It deals primarily with the type of thinking, support and policy that drives information management systems. The second section is a planning framework and checklist to guide the planning and implementation. The third section provides resources and a glossary to assist with further learning and tools for implementation and procurement.

Most of what is described in this Guide can be initiated and managed internally within your own community or organization. However, the information management needs of your community or organization may be complex enough to require a specialist in this field - Subject Matter Experts (SMEs).

Good luck with your endeavours and keep in mind: the outcome is only as good as what you and your team are able to contribute. You know your business and expectations better than anyone else. You are in the driver’s seat - invite vendors to discuss your challenge. Be cautious, some vendors may want to prescribe a solution to meet their needs without fully understanding your community and organization requirements.
I A Starting Point for the Uninitiated

Managing information is a good business practice and many organizations have been managing pertinent information and records for many years. For many organizations, information is managed by project and department, and most have customized a subject or file classification system to maintain orderly records of information that suits the particular business and communications needs. Many organizations however are beginning to explore migrating their manual records management systems to electronic computer based systems for a variety of reasons, but mostly because business information and data are increasingly electronic. This Section describes the forces driving information management and the fundamentals of information management systems.

Information management is relatively new territory for many First Nation and Aboriginal organizations. It’s new because there are no existing Aboriginal specific authorities, laws, regulations, policies and standards that guide the manner in which information should be managed. This document outlines approaches and reference tools that have worked for other organizations.

The need to manage information better has long been an issue within federal and provincial/territorial governments. Managing information in private industry is a bottom-line issue. Either way, both look at the challenge similarly: increase efficiencies and effectiveness; increase productivity and reduce costs; ensure transparency and accountability to stakeholders.

Indeed the solutions, tools, techniques, policies and legislation did not come into being over night. They are based on issues, problems and challenges that have plagued organizations for many years. They are a response to the reality that every organization that collects information is a steward of the information and as such is responsible and accountable to their stakeholder - the community member, shareholder and so on.

Some Problems and Challenges

Solutions evolve from problems. The right solutions deal with a complete understanding of a problem. Not dealing with or fully understanding the problem will result in a partial solution. In the case of information management, a partial solution can create more problems.

Consider the following issues, discuss them with your work group and check the challenges that affect your organization:

- Frequently searching for records and documents
- Can’t always tell which is the most recent version of a document
- Have way too many documents on my desk
- Have difficulty providing documentation to support the audit
- Duplicate and distribute information to everyone, regardless of their function
- Keep a copy of everything
- File everything
- Don’t know where file boxes are stored
- Off-site storage is costly
- Don’t know if we have records management policy

Start with a blank sheet of paper or a flip chart and begin a discussion about these issues. The exercise will provide a strong indication of some of the challenges you will face, but most importantly, it is a starting point. It would also be useful to share your results with other workgroup members and senior managers.

Be Inquisitive

To help put the challenge into some context, we have borrowed a tool used by journalism students to help frame a story: 5W and H rule.

- **Who** is responsible for managing information?
- **What** information should be managed?
- **Where** does information originate?
- **When** is information managed?
- **Why** manage information?
- **How** can information be managed?
These are fundamental issues and should be revisited from time to time to ensure focus and clarity.

At the end of the day the big question is: “How can we manage information better?” But before getting there, serious and on-going discussion will need to focus on the “why.”

Why manage information?

Not too long ago a mid-size Aboriginal community recognized they needed a better way to manage their information. The community was growing and they were expanding programs and services to meet the needs of residents and stakeholders. The information burden, both incoming and outgoing (not too mention their ongoing funding reporting requirements), was unmanageable.

The sheer amount of information contained in paper and electronic formats stored on computers, on CD’s, in numerous filing cabinets, in boxes on-site and off-site storage and in peoples’ heads had a direct impact on their ability to conduct daily business and decision-making. For example, two staff members spent a half-day looking for a letter. That equals one full day looking for a document - a full day lost which otherwise might have been productively directed towards the business of the organization.

In another instance, finance could not find the revised version of a contract for one of its suppliers to support their year-end audit. There had been several versions prepared but no one had the final amended version of the agreement and the contracting officer had taken another job just after agreeing to the changes. The agreement had subsequently gone back and forth between the executive director, project committee, and finance committee.

The employee responsible was gone, the knowledge was lost and no one else was certain of the exact terms of the revised contract, except the contractor. Question: What is the value of the document to the organization and should an external source decide the nature of a document to support business?

It should be apparent that information is vital to every organization and its business activity. Like people, and all other organization assets, information must also be managed to support business activities and meet outcomes.

Improperly managed, or left unmanaged, information would be scattered and would serve little or no value. Indeed, information is an asset for the organization. And as an asset, the value and importance of information cannot be underestimated.

What information should be managed?

How many times have you heard, “Information is Power!” This is true; however it is also a euphemism for hoarding information for personal gain or influence.

At this juncture it is necessary to put information into context.

Information is all around each and every one of us, day in and day out - whether, it’s the six o’clock news, an advertising insert, a letter from a friend, a receipt from an automated bank machine, a contract, a report, a memorandum and nearly everything that you experience in a day. Information is conveyed to you every second. It comes in the form of conversation, radio waves, print media, electronic media and every media imaginable.

Rather than describe the esoteric, arcane and invasive nature of information on our daily lives, let’s examine what might be considered useful information. Business information is not entirely useful to your household information needs. At home your interests most probably revolve around family, friends, community, economy and finances.

As our focus is business information, we should examine the value and importance of relevant information. Consider the following list - what information do you consider relevant business information, and what information is noise?

Contract, invoice, request for payment, change order request, application form, study report, general ledger, financial statements, organization website, emails, notice of meeting, professional fees and dues, government policy and amendments, legislation, community plans and the list continues. In the business context your organization should determine, or at least set guidelines on, what is pertinent information. This will allow you to determine what is “useful and valuable” to the business and what is “noise.”
Types of Information
There are a variety of types and purposes for information in the information society. We’ll start with a couple of examples:

- Record – locked in time
- Document – work in progress
- Content – organizational, enterprise
- Knowledge – tacit and explicit

Where does information come from and where does it go?
It is just as important to understand where information goes as it is to understand where it originates.
Consider the sources for the information presently in your office, on your computer and email. Consider your funding agreements and reporting requirements.
But most importantly, understand your communications and business including relationships with partners, stakeholder groups, clients, community, suppliers and others that support and contribute to your business objectives and success. Obviously the information that contributes directly to your daily business has the most value.
Not all information sources are external however. People in your office, in your work groups, committees, special projects and consultants are collecting and creating information on a daily basis.
The bottom line is that information comes from a variety of sources, in a variety of forms and in a variety of mediums. The most important or most valuable will be treated with priority.
It’s coming at you from all directions and many people claim they are inundated with it, but where does it go. Information flow is also important to understand as it determines the value of the information and the actions that are required to support business, operations and decision-making.

Who is responsible for managing information?
Curiously, information is often managed by everyone and no one at the same time.
Every knowledge worker takes their business seriously and understands the importance and necessity of saving and maintaining information that is useful for their normal course of daily business. Typically that information is saved and/or filed on hard-drive or in a file folder as a permanent, or official, record for future reference.
Depending on the nature of the information, it is also duplicated and directed to other departments and staff to support business activity. An invoice from a supplier for instance will be received by a program manager for approval and then sent to finance for payment. An invitation to a meeting or correspondence relating to a specific issue will be directed to the appropriate manager or department for response or action of some nature.

Who Owns Information?
If information is a community asset, like all other capital and fixed assets, one could logically conclude that information belongs to the community or organization. Indeed, information is a strategic and community resource and as such should be protected, preserved, managed and shared.
Employees, council members, suppliers are all responsible for protecting the information of the organization. Organizational information should not be shared unless it is deemed public. Financial statements for instance, can be made public at a time that is appropriate.
Personal and personnel data is never shared to protect the rights of the individual and family.
Each and every person employed by the community or organization is a steward for the information contained in the course of business, and none has the right the release this information unless it is deemed to be in the domain of public knowledge.
When is information managed?

Valuable and useful information is managed all the time. The most important document that you should develop to launch the information management system is a comprehensive Information Management plan (IM plan). The IM plan should reflect the Information Management Life Cycle model discussed below. There are many different models but the one that follows is developed by and borrowed from the federal government Information Management (IM) community – a voluntary program that advances and shares IM practices within and among Registered Information Management (RIM) professionals.

Records and Information Life Cycle Management Model

The seven stages in the Records and Information Life Cycle, provided by the Information Management community, have been reviewed and adapted specifically for the Aboriginal community. Each step provides a description of key inputs, outputs, benefits and resources to help you understand, plan, implement and improve an Information Management (IM) initiative.

Stage 1: Information Management Planning

Good planning is the key to success of every initiative, large or small. This is the stage where IM practitioners and managers plan measures to support the Records and Information Life Cycle. Planning is an activity that reflects a wide variety of inputs. A comprehensive IM plan can relate to the entire organization, a program, a workgroup or committee, or simply an initiative.

The most important aspect of Stage 1 is to recognize that any plan is better than no plan. Like many, you may be just beginning the process of incorporating IM into your regular planning cycles. Others may be looking to strengthen their understanding of IM and its principles and practices. Regardless of which stage you are at, undertaking planning to set the stage for effective IM within your initiatives is a best practice that you should feel proud of.

Inputs to Stage 1

Before starting, get information on other IM plans from a wide variety of sources, including other Aboriginal organizations and professionals who have developed a plan. Check the other resources and links section for government, business and academic communities who are driving global trends in IM.

The Government of Canada, in particular the Library and Archives of Canada and Treasury Board Secretariat, have some useful links to broaden your knowledge and exposure to other practitioners who specialize in these fields.

Outputs from Stage 1

The five key outputs from this stage include a community or organizational driven:

1. Information strategy defining the value, purpose and deployment of IM resources to meet community/organizational goals;
2. IM governance and accountability framework describing the rules, policies and procedures that guide the protection, preservation, management and sharing of community and business information;
3. Information classification system framework to ensure consistent collection, retention and retrieval of information;
4. Retention and disposal plans to support control, storage and archival policies and reduce risk and legal liabilities; and
5. Description of staff competencies needed to manage information and training that may be required.

This stage is the most important of all the Stages. The IM planning stage is complemented by Stage 7: Evaluation, which will monitor the effectiveness of plans and provide feedback to future planning stages.

Stage 2: Collection, Creation, Receipt and Capture

This is the stage where records and information are initially created or obtained.

The most important aspect of Stage 2 is to recognize that information has been generated, and to encourage staff to assess the value and role of the information at the moment of creation, or capture. This should be done within a recognized framework that makes it easy to support appropriate policies, procedures and business rules and practices.
It is important for the community to be familiar with the IM concept of “legal control.” First Nation, Métis and Inuit organizations assert that the legal control of information belongs to the community. In the context of the federal government however, legislation like the Access to Information Act, Privacy Act and National Archives Act speak about records “under the control of” government institutions. In this instance control issues relate to both who is controlling the records, and how the control is being exercised.

For Aboriginal organizations asserting control over their information, it is equally important to describe: who is controlling information and how the control of information is being exercised.

**Inputs to Stage 2**

Key inputs include:

- Documentation standards to ensure consistency and integrity;
- Governance and accountability frameworks for compliance with rules and policies;
- Policies and procedures for the access and privacy of information;
- Security procedures to maintain system integrity and privacy;
- Multi-jurisdictional Information Management plans across tribal councils, regional government and other jurisdictions;
- Authentication requirements to ensure systems integrity; and,
- Version control to make sure information is current.

**Outputs from Stage 2**

The four key outputs from this stage include:

1. The information asset describing “legal control”;
2. An appraisal of the record’s business value;
3. An information inventory with each record logged; and
4. If the information is in the form of a publication the community or organization should develop a policy to preserve the document in community archives for historical value. Federal government departments must forward copies for legal deposit to the department’s library and to the Library and Archives of Canada. Similar policies can be developed by the community to preserve relevant information.

**Stage 3: Organization**

This is the stage where records and information are organized according to a structured set of business rules and information technology requirements. At this stage, each record is placed within a larger framework that defines its context within the organization’s overall information landscape and allows electronic and traditional systems to deal appropriately with each individual record.

The most important aspect of Stage 3 is the presence and consistent application of guidelines that reflect the inputs described below.

**Inputs to Stage 3**

Key inputs to be considered when organizing information include:

- A comprehensive IM plan;
- Information classification system framework to provide context for the management of information;
- Multi-jurisdictional Information Management plans to ensure sharing across other organizations;
- Information architecture describing the properties and infrastructure to support IM/IT solution;
- Documentation standards;
- Stewardship and ownership describing who is responsible for what and by what authority; and
- Policies and procedures for access, privacy and security of information.
Outputs from Stage 3

The three key outputs from this stage are:

1. Retrievable information assets, with an information classification system, descriptions and metadata in place;
2. Access and privacy controls; and

Stage 4: Use and Dissemination

This is the stage where records and information are being used and shared by staff. The most important aspect of Stage 4 is to encourage staff to actively use and share complete and accurate information, in a timely manner, with each other and with the stakeholders and the public.

Inputs to Stage 4

There are two key inputs that IM practitioners must consider when enabling users to access and disseminate information:

- Comprehensive IM plan, and
- Policies and procedures for access, privacy and security of information.

Outputs from Stage 4

Effective use and dissemination of records and information yields timely, accurate and available information that is accessible by all those who need it, when they need it, and in a form that they can use. Some records may stay active and in use for decades, while others quickly become semi-active or ready for disposal.

Stage 5: Maintenance, Protection and Preservation

Stage 5 addresses records that are about to move into semi-active or inactive states. During Stage 5 records and information are managed to ensure that they are kept current and secure and that they are not accidentally disposed of. Requirements are often unique to each organization’s policies, procedures and mandates - for example, records related to history or law may be managed differently than records that provide broad information.

At this stage, the information framework is placed within a larger management framework that allows systems to deal appropriately with each individual record over time.

Inputs to Stage 5

Key inputs to this stage are:

- Comprehensive IM plan;
- Retention plans that describe the period and schedule for which a particular record should be maintained and stored;
- Disposition submissions to ensure compliance with schedules;
- Security of information to avoid accidental destruction;
- Migration plans to ensure structure;
- Records disposal plan based on rules, policies and procedures;
- Access and privacy to maintain data and systems integrity;
- Disaster recovery plan (including essential records) to ensure quick restoration and with minimal disruption to community records;
- Information models; and
- Documentation standards.

Outputs from Stage 5

The six key outputs from this stage include:
Stage 5 deals with records and information right up until they are no longer active and hence become ready for disposition.

**Stage 6: Disposition**

When reaching *Stage 6: Disposition*, records are deemed to be non-active - they have reached the end of their life cycles.

For federal departments this is a critical decision stage that is guided by legislation and provides for three options for each record: destruction; alienation; or transfer to archives.

It is important to deal with records as soon as it is determined that they no longer have business value to the organization to avoid the costly build-up of stored backlogs of records.

The most important aspect of Stage 6 is avoiding the wrongful disposition of records.

**Inputs to Stage 6**

To encourage continuous improvement, there are six key inputs that IM practitioners should consider when preparing to dispose of records:

- Comprehensive IM plan;
- Comprehensive Records Retention Plans;
- Comprehensive Records Disposition Submissions and Authorities Approved by Council;
- Security of information policies;
- Community Records Disposal Plan; and
- Community Records Accommodation Plan.

**Outputs from Stage 6**

Effective disposition of community records yields four key output choices:

1. Transfer of archival records to a community endorsed authority, with each record fully controlled and described;
2. Destruction of records;
3. Transfer of control from the community/organization (alienation); and
4. Return to sender (for records on loan).

**Stage 7: Evaluation**

During Stage 7: IM practitioners and managers evaluate the effectiveness of their IM strategies and processes. Using a number of different evaluation tools, the objective is to assess where programs have been strong, and where they have been weak, so that changes can be made in the next planning cycle to achieve better results.

The most important aspect of Stage 7 is having specific performance targets that your IM programs are trying to achieve. In *Stage 1: Planning*, key objectives for performance were established, ideally against benchmark results. The concept of benchmarking - or taking a measure of how your programs are performing against set measurement criteria - is important in order to be able to see if you’ve made gains or losses in your IM program effectiveness. Each time a new measure is taken, it can be compared to the earliest and first benchmark, to the last performance measure, and to the target objective. As they become available, you may even be able to compare the effectiveness of your programs to external organizations and those who have achieved recognition for best practices.
**Inputs to Stage 7**

To encourage continuous improvement, there are **five key inputs** that IM practitioners should consider when evaluating their IM programs:

- New or updated IM standards and policies;
- Your most recent IM plan;
- Generic or institution-specific IM audits, evaluations or client surveys undertaken by the Library and Archives of Canada;
- Any findings of the Auditor General of Canada related to IM; and
- Any findings of special inquiries into IM practices.

**Outputs from Stage 7**

Effective evaluation of IM programs yields **three key outputs** that are helpful in identifying areas of strength and weakness, and that point towards actions that can be taken to strengthen IM initiatives:

1. A completed IM Capacity Check;
2. The results of internal reviews, evaluations, audits or client surveys; and
3. A report that recommends input into the next Stage 1: Planning cycle.

**How can Information be Managed Better?**

Information, and the management of information, supports the business and decision-making processes of the community and organization. The use of information is a matter of high importance as it is needed in daily operations, service and program management, community planning and development. To manage information better implies that it is not being managed as well as it could. This observation can only be assessed by the community and organizational staff and of course by Chief & Council and senior management.

As previous sections suggest, an IM mindset is paramount. Beyond that however here are a few points that may reinforce your efforts to manage information better.

1. **Business Plan:** Understand and define your business objectives and describe how information flows through the organization to support the key activities and decisions it supports.
2. **Community Plan:** Where is the community going and what role does information and knowledge play in meeting that end? The value placed on information and knowledge management is a community decision and may support issues that include consultation and participation in planning through access to information.
3. **Strategic Plan:** Moving programs, operations, personnel and services forward in a strategic direction takes vision but it also takes a high degree of cooperation, understanding and energy. The value and importance of information in this context means sharing and using information to support organizational and reporting requirements.
4. **Financial Plan:** Information is key to developing a financial plan

Each of these plans independently or collectively are important inputs into an Information Management Plan.

While the governments have legislation and government standards and guidelines to follow, Aboriginal communities can develop their own policies and procedures. A copy of the federal government policy has been appended to this document to help in recommending or adopting a policy.
II  Framework and Guide for Implementation

The following checklist provides a framework upon which to build your organization’s Information Management system. It is based on a methodology employed for the implementation of the Records, Document and Information Management Systems (RDIMS) of the federal government and is a useful point of reference when discussing an approach with a vendor as it provides points for discussion that will impact implementation and pricing.

This is only a guide and you should work closely with your IT department and network administrator to fully understand the process and requirements for each phase.

Getting Ready - Comprehensive Information Management Plan

The community should undertake this first stage (as much as possible) to ensure complete knowledge and control of the implementation phases. Getting ready involves the following:

- Secure senior management support and direction - first and foremost. If high-level support is not secured then resources will not be allocated.
- Communications Plan - everyone needs to know the plan as it can be disruptive and it has a direct impact on everyone.
- Define business objectives - the IM plan must be weighed against existing plans as it does not exist in isolation nor should it be solely a technology solution.
- Identify business activities, processes and flow - how does it flow through the organization and what critical business activities does it support.
- Identify decision support systems - identify the value of information as it relates to outcomes that rely on accurate and quality information for decision making.
- Identify critical success factors - describe key success factors to be achieved in implementation phases.
- Develop policy and guidelines - describe why and how information will be managed.
- Determine Retention and Disposition Rules - describe what information will be retained and for how long. Describe what records and information will be destroyed and when. Describe why information should be archived.
- Identify roles and responsibilities - describe the responsibilities of staff and individual roles of the records manager and the network administrator.
- Define vision - how IM supports the departments vision and mandate.

Planning for Implementation

After you have laid the foundation (policy, authorities, guidelines and standards) for an Information Management System, you are now ready to begin implementation.

The records manager, office administrator and network technician must work together to prepare a Statement of Work (SOW) and a Request for Proposal (RFP).

Be sure the information sent to potential vendors is the same, otherwise you will get as many bids and solutions thereby making the decision to choose one over the other a nightmare. If changes are made to the SOW or the RFP, make sure everyone receives the amendments.

Vendors will offer solutions that will include either build or buy costs. The build scenario can meet probably 100 percent of your functional requirements but it will cost significantly. The buy refers to purchasing a “commercial off-the-shelf” or COTS solution, which will be cheaper to purchase but may only meet about 80 to 90 percent of your functional requirements. In the COTS scenario, vendors will charge extra to reconfigure software to meet your needs.

Both will include budgets for professional services (consulting fees) and training.

A COTS scenario proposal will include the cost of the software itself, annual maintenance and support licence charge, professional fees and training costs. The builder, or developer, scenario may do a combination but will certainly charge for the time to develop the application. In both instances, pay close attention to help desk and customer support - technical support may not be readily available to you depending on your location.

As part of the vendor proposal you should request the points listed below be indicated in their bid. An alternative to this is to engage a Subject Matter Expert (SME) or an IM/IT Project Manager who is not tied to a particular vendor. In this case, be sure to call on references.
Consider the following when planning for implementation:

- Develop a business case: define the problems and challenges to be overcome, define the technology to support the solution and most importantly answer the “why” question.
- Develop a project plan: describe implementation from beginning to end including resources and timelines.
- Initiate a project: begin with a priority program or department then rollout across the organization at a later time.
- Develop transition strategies: accommodate the process that bridges the gap when migrating to electronic environment.
- Management review and quality assurance: quality control and evaluation of project implementation plan.

**Analysis Phase**

This portion of implementation is an important part of the vendor's bid. It is information that is collected to scope out the technical requirements which in turn identifies the procurement and installation of hardware and software.

- Site survey of current information systems and operations: verification of current systems
- Functional requirements definition: to understand the IM requirements and features
- Workflow and business process design: understand how information impacts the overall business and decision making.
- Technical requirements definition: verification of technical requirements
- Customization requirements definition: modifications needed to meet functional, business and business requirements
- Data conversion definition: transition from one system to another
- Maintenance and support requirements definition: verification of support for implementation

**Hardware and Software Procurement and Installation**

Based on the above, the vendor will propose a solution that includes the purchase and installation of both hardware and software. This is built into the project costs but revisions may be made in accordance with the results of the analysis stage.

- Initiate procurement and installation phase: cost out the appropriate hard and software and installation.
- Prepare site: site preparation.
- Procure necessary hardware and software: purchase of both as agreed.
- Install, configure, integrate and test hardware and software: make arrangements with suppliers to ensure efficient installation.

**Prototype**

Each system, though there are similarities, is unique and requires time and resources to ensure it performs properly. This can be done on-site but is usually completed in a lab sometimes to emulate the system environment.

- Develop user interface.
- Build prototype to demonstrate functionality under systems conditions.
- Test: before full installation and integration.
- Identify changes and missing or additional functionality required.

**Customization and Integration**

This should be defined in the RFP as you will need to describe your current electronic and paper based systems and the extent to which you need to integrate older, other applications and customize your IM system.

- Evolve prototype/customize components to production system.
- Integrate legacy systems.

**Implementation of Solution**

This section will be described in a proposal though only really apparent to the vendor. The points below represent the “handing over of the keys” to your Information Management System.
• Identify and manage impact of change in the workplace
• Implement document security requirements
• Acceptance testing and review
• Implement training requirements
• Conduct data conversion
• Prepare necessary documentation

**Maintenance and Support**

It is here - when the developers, analysts, technicians, trainers, project managers and leaders have finished their business and gone home - where you need to pay attention to support.

This phase should be clear in a proposal, reflected in a contract and always top of mind because in time you may need help desk and on-site technical support or software and/hardware up-grades. Be sure you read the fine print and understand every aspect of the agreement.

• Initiate requirements
• Establish service level agreement terms of reference: include availability of technical support or response times depending on where you are located
• Establish operational support infrastructure
• Help desk support
Appendices: References and Resources

Federal Government Authorities and Regulations

References

Federal government policies should be read in conjunction with relevant federal authorities and Treasury Board policies.

Authorities

Financial Administration Act (this policy is issued under the authority of section 7 of the FAA)
National Archives of Canada Act
National Library of Canada Act

Legislation

Access to Information Act
Canada Evidence Act
Copyright Act
Criminal Records Act
Emergency Preparedness Act
National Archives of Canada Act
National Library of Canada Act
Official Languages Act
Official Secrets Act
Personal Information Protection and Electronic Documents Act
Privacy Act
Statistics Act

Treasury Board of Canada Policies

Access to Information
Accommodation for Employees with Disabilities
Active Monitoring
Common Look and Feel for the Internet: Standards and Guidelines
Common Services
Communications
Cost Recovery and Charging
Data Matching
Electronic Authorization and Authentication
Enhanced Management Framework
Evaluation
Government Security
Internal Audit
Management of Information Technology
Policy, Guidelines and Standards for Public Key Infrastructure Management
Policy on using the Official Languages on Electronic Networks and other official languages policies
Privacy and Data Protection
Privacy Impact Assessment
Federal Information Management Policy

Effective date

This policy takes effect May 1, 2003. It replaces the Treasury Board Management of Government Information Holdings policy. This policy will be subject to review five years from the date of its approval.

Preface

Information is a valuable asset that the Government of Canada must manage as a public trust on behalf of Canadians. Effective information management makes government program and service delivery more efficient, supports transparency, collaboration across organizations, and informed decision-making in government operations, and preserves historically valuable information.

The digital age has highlighted the importance of sound information management. The Government of Canada is increasingly using information technologies to serve Canadians and to record its business - which requires it to ensure that information collected or made available electronically must be accurate, complete, relevant, and clear, and accessible and usable over time and through technological change. Reflecting the desire of Canadians for more responsive government, it is integrating programs and collaborating with other governments and with the private and not-for-profit sectors to improve service delivery - which requires that strong accountability frameworks be in place in situations where information is shared. Furthermore, the government must manage information to ensure that Canadians receive consistent service regardless of how they choose to obtain it - whether in-person, by telephone, through mail, or via the Internet.

Taking into account this complex environment, this policy provides direction on how federal government institutions should create, use, and preserve information to fulfill their mandates, support program and service delivery, achieve strategic priorities, and meet accountability obligations prescribed by law. It is based on the recognition that:

- all employees are responsible for the management of information under their control and custody;
- information management requirements must be built into program design and processes; and
- information management is most effective in a culture that values information and adopts supportive governance and accountability structures.

Policy objective

The purpose of this policy is to ensure that information under the control of the Government of Canada is managed effectively and efficiently throughout its life cycle. Federal government institutions must manage information in a privacy protective manner that supports informed policy and decision-making and the delivery of high quality programs, services, and information through a variety of channels and in both official languages.

Policy statement

It is the policy of the Government of Canada that federal government institutions:

a manage information to facilitate equality of access and promote public trust, optimize information sharing and re-use, and reduce duplication, in accordance with legal and policy obligations;

b ensure that information created, acquired, or maintained to meet program, policy, and accountability requirements is relevant, reliable, and complete;

c limit the collection, use, and disclosure of personal information to the minimum required to conduct a program or service, in accordance with the Privacy Act;

d manage information in a manner that supports the provision of services and information in both official languages, in accordance with the Official Languages Act;

e manage information, regardless of its medium or format, to ensure its authenticity, accuracy, integrity, clarity, and completeness for as long as it is required by the National Archives of Canada Act, National Library of Canada Act, Access to Information Act, specific departmental statutes, and other laws and policies;

f document decisions and decision-making processes throughout the evolution of policies, programs, and service delivery;
g implement governance and accountability structures for the management of information, including during collaborative service delivery arrangements or when information is shared with other federal government institutions, other governments, or non-governmental organizations;

h use electronic systems as the preferred means of creating, using, and managing information;

i protect essential records to ensure the continuity of key services and business operations;

j preserve information of enduring value to the Government of Canada and to Canadians;

k dispose of information no longer required for operational purposes in a timely fashion;

l foster supportive environments for information management and ensure that employees meet their responsibilities for managing information; and

m assess the effectiveness and efficiency of the management of information throughout its life-cycle.
Records and Information Management Certificate

RIM Certificate

The Records and Information Management (RIM) Certificate program consists of 6 courses totalling 228 hours. The courses are delivered through various educational institutions and colleges in Canada including the Southern Alberta Institute of Technology (SAIT). SAIT has customized a certificate program – Aboriginal Community Records and Information Management - to meet the training needs of the Aboriginal community. The courses are endorsed and delivered by members of the local chapters of the Association for Records Managers and Administrators (ARMA).

The RIM certificate will provide a base for a career in Records and Information Management and as a base to further certification in the field.

As a result of increasing demand for RIM professionals, a graduate of this certificate program will find employment in Records and Information Management departments in a variety of private and public sectors.

Curriculum Overview

A description of the six courses are as follows:

One - Fundamentals of Information and Records Management

This course provides the learner with an introduction to the basic concepts, techniques and tools utilized to successfully manage information resources. The course is a prerequisite for all other courses.

Course content:
- The Records Management Profession
- Legislation and Ethics
- Indexing Methods
- Managing Physical Records
- Managing Electronic Records
- Managing Databases and Networked Records
- Managing Imaging Systems
- Safety, Security and Disaster Recovery
- Communication and Marketing in Records Management

Two - Advanced Information and Records Management

The theory and concepts are expanded from fundamentals to cover topics such as legal research techniques, evaluating software, disaster recovery and vital records programs, developing policy and procedures and other topical issues in the field.

Course content:
- Retention Research
- Disaster Recovery Planning
- Privacy and Access to Information Issues
- The Role of Standards in Records and Information Management Programs

Three - Imaging Technologies for Document Management

The focus for this segment includes in-depth investigation of international standards, indexing, quality control, media selection, Computer Output Microfilm (COM), Computer Output to Laser Disk (COLD) and electronic forms. Considerable time is spent evaluating document-based systems as potential candidates for imaging, including conducting feasibility studies, workflow analysis, systems design and planning for implementation.

Course content:
Four - Managing Electronic Records and Information

This area examines types of electronic records and media used to store them and techniques for managing active and inactive electronic records on both removable and non-removable media. Guidelines for selection, handling and storage of removable media as well as the principles and techniques required for the development of records retention schedules for electronic records are considered. Topics include “tagging” or indexing electronic documents, managing e-signatures, migration strategies, the characteristics of Electronic Document Management Systems (EDMS), systems integration challenges and managing websites.

Course content:
- Electronic Records Physical Characteristics
- Electronic Record Keeping Systems Characteristics
- Selecting Tools
- Implementing Electronic Record Keeping Solutions

Five - Information Systems Terminology and Concepts

The course offers specific information about computer systems that is focused on the ways users create and manage electronic records. It focuses on such topics as project management, data formats, data analysis, database administration, database warehousing, system backups, internet networking architectures, XML and other technologies that must be understood to manage electronic records.

Course content:
- Computer, Internet and Network Basics
- Computer Hardware and Software
- File Management, Virus Protection and Backup
- Internet and LAN Technology
- Web Pages, Web Sites and E-commerce
- Databases
- Information Systems Analysis and Design

Six - Strategic Management Issues

The content of this segment varies based on “hot” topics. Some examples of new topics include knowledge management, workflow analysis, data mining, corporate culture and information management.

Course content:
- Project Management
- Privacy Impact Assessment
- New Concepts in Information Management
- Professional Development
- Archival Perspectives on Records Management
Glossary of Information Management Terms

The following has been assembled from a variety of sources and will help the reader to understand some important terms in the field of information management. For more in-depth reading visit www.informationmanagement.gc.ca and explore the site.

**accountability** Accountability is the obligation to demonstrate and take responsibility for performance in light of commitments and expected outcomes.
Source: Glossary – Framework for the Management of Information in the Government of Canada

**appraisals** The process of determining the value and thus the final disposition of records, making them either temporary or permanent.
Source: National Archives and Records Administration (US)

**asset** An asset is an entity, quality, or condition of value that provides an advantage and serves as a resource to achieve desired results and outcomes. Assets may have a widely recognized financial value (e.g. book value), an estimated financial value (e.g. cost savings, increased revenue), and/or a qualitative value (e.g. promotes trust and confidence).
Source: Glossary – Framework for the Management of Information in the Government of Canada

**authority control** A set of rules or procedures that maintain consistency for accessing names or terms within a database. The means of establishing a consistent form of the name or concept through authority records.
Source: Dublin Core Metadata Initiative (DCMI) – Glossary

**best practice** The documented strategies and tactics employed by organizations to define the most efficient, effective methods to evolve and utilize their revenue and business opportunities in the delivery of their services.
Source: BC Government Information Resource Management Glossary

**Chief Information Officer (CIO)** A Senior Manager who ensures the organization uses information management and information technology (IM/IT) efficiently, within government guidelines. Defines the IM/IT infrastructure for the organization.
Source: BC Government Information Resource Management Glossary

**class of records** A category of information held by an institution, regardless of physical medium. It reflects particular subjects related to a specific function or functions of an organizational unit of a government institution. Classes are described under the section “Information Holdings” in the public database, Info Source to facilitate knowledge of government information holdings and the exercise of the right of access under the [Access to Information] Act.
Source: Access to Information and Privacy Guidelines
See also Subject(s): Access to Information

**common administrative record** Common administrative records are records that are created, collected or received by a federal government institution to support and document broad internal administrative functions and activities common to or shared by all federal government institutions, for example: finance and the management of human resources.
Source: National Archives of Canada – Multi-Institutional Disposition Authorities

**data** Data is the raw material stored in a structured manner that, given context, turns into information.
Source: BC Government Information Resource Management Glossary

**data management** The activities of strategic data planning, data element standardization, information management control, data synchronization, data sharing, and database development. Active data management increases system effectiveness and improves the accuracy and timeliness of data to derive maximum business benefit.
Source: BC Government Information Resource Management Glossary

**data mining** The process of analyzing large volumes of data using pattern recognition or knowledge discovery techniques to identify meaningful trends and relationships represented in data in large databases.
Source: BC Government Information Resource Management Glossary

**essential record** Records essential to continuing or re-establishing critical institutional functions.
Source: Policy on the Management of Government Information
essential records program Part of an institution’s disaster recovery plan or business resumption plan, it ensures the continued availability of mission-critical information in the event of a disruption to normal operations during which vital documents or data may be lost or unavailable.


function For the purposes of archival appraisal, records disposition and records and file classification system design, a function means: - any high level purpose, responsibility, task or activity which is assigned to the accountability agenda of an institution by legislation, policy or mandate; - typically common administrative or operational functions of policy development and program and/or delivery of goods or services; - a set or series of activities (broadly speaking a business process) which, when carried out according to a prescribed sequence, will result in an institution or individual producing the expected results in terms of the goods or services it is mandated or delegated to provide.

Source: National Archives of Canada – Multi-Institutional Disposition Authorities

governance Governance is exercising authority to provide direction and to undertake, coordinate, and regulate activities in support of achieving direction and desired outcomes.

Source: Glossary – Framework for the Management of Information in the Government of Canada

government information Information created, received, used, and maintained regardless of physical form, and information prepared for or produced by the Government of Canada and deemed to be under its control in the conduct of government activities or in pursuit of legal obligations.

Source: Access to Information Act

indexing The process of evaluating information entities and creating indexing terms, normally subject or topical terms, that aid in finding and accessing the entity. Index terms may be in natural language or controlled vocabulary or a classification notation.

Source: Dublin Core Metadata Initiative (DCMI) – Glossary

information Information is a representation of facts, ideas, or opinions about objects, events, and/or processes that exist on any medium or format. Data that has been arranged in a systematic way to yield order and meaning.

Source: Glossary – Framework for the Management of Information in the Government of Canada

Source: Knowledge Management, Health Canada

information audit A systematic examination of information use, resources and flows, with a verification by reference to both people and existing documents, in order to establish the extent to which they are contributing to an organization’s objectives

Source: Aslib

information management A discipline that directs and supports effective and efficient management of information in an organization, from planning and systems development to disposal and/or long-term preservation.

Source: Access to Information Act

information strategy The detailed expression of information policy in terms of objectives, targets, and actions to achieve them, for a defined period ahead.

Source: Aslib

knowledge Information in the mind, in a context which allows it to be transformed into action.

Source: Knowledge Management, Health Canada

knowledge base A database of question-answer sets that have been reviewed and stored for future use and retrieval.

Source: National Library of Canada - Virtual Reference Canada

knowledge management (KM) An imprecise term, very similar to information management, the main difference is the sharing (mapping) of information and experience of many individuals towards the betterment of an organization, rather than information remaining with different individuals working separately toward the same goal.

Source: Aslib
life cycle  Life cycle of information encompasses the stages of the planning, collection, creation, receipt and capture of information; its organization, retrieval, use, accessibility, dissemination and transmission; its storage, maintenance, and protection; and, its disposition or preservation.

Source: Management of Government Information (MGI) Policy
See also Subject(s): Records Management

management of information  An element of every job function in the Government of Canada that has to do with treating the information used or produced in the course of performing the job duties as a strategic business resource and in line with legal and policy requirements.

Source: Management of Government Information (MGI) Policy

operational record  Operational records are records created, collected or received by a federal government institution to support and document business functions, programmes, processes, transactions, services and all other activities uniquely or specifically assigned to that particular institution by legislation, regulation or policy.

Source: National Archives of Canada – Multi-Institutional Disposition Authorities

original record  Refers to a record designated original by the National Archives after consideration of its attributes and their Interrelationships. The designation may change owing to circumstances, such as new acquisition or new information.

Source: National Archives of Canada Preservation Policy
See also Subject(s): Conservation

personal information  Means information about an identifiable individual, but does not include the name, title or business address or telephone number of an employee of an organization.

Source: Personal Information Protection and Electronic Documents Act

preservation  All actions that can be taken with the aim of ensuring the current and long-term survival and accessibility of the physical form, informational content and relevant metadata of archival records, including actions taken to influence records creators prior to acquisition or selection.

Source: National Archives of Canada Preservation Policy
See also Subject(s): Records Management

protected information  Information related to other than the national interest that may qualify for an exemption or exclusion under the Access to Information Act or Privacy Act, and the compromise of which would reasonably be expected to cause injury to a non-national interest.

Source: Government Security Policy
See also Subject(s): Security

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, 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.

Source: Management of Government Information (MGI) Policy
See also Subject(s): Publishing

record  Includes any correspondence, memorandum, book, plan, map, drawing, diagram, pictorial or graphic work, photograph, film, microform, sound recording, videotape, machine readable records, and any other documentary material, regardless of physical form or characteristics, and any copy thereof.

Source: National Archives of Canada Act

records categories  For the purpose of records disposition, there are three broad categories of government records: - records common to the internal administration and operations of institutions; - records unique to the specific operational responsibilities of an institution; and - ministerial records.

Source: National Archives of Canada – Multi-Institutional Disposition Authorities
Records Disposition Authority (RDA)  The instrument that the National Archivist issues to enable government institutions to dispose of records which no longer have operational utility, either by permitting their destruction, by requiring their transfer to the National Archives or by agreeing to their alienation from the control of the Government of Canada. Source: National Archives of Canada – Multi-Institutional Disposition Authorities

stakeholder  Stakeholders are individuals, groups or organizations that have an interest or share in an undertaking or relationship and its outcome - they may be affected by it, impact or influence it, and in some way be accountable for it. Source: Glossary – Framework for the Management of Information in the Government of Canada

standard  A level of attainment regarded as a measure of adequacy; requirements and guidelines approved for government-wide use. Source: Policy for Public Key Infrastructure Management in the Government of Canada

taxonomy  A taxonomy is a classification according to a pre-determined system. This results in a catalogue used to provide a conceptual framework for discussion, analysis or information retrieval. In Web portal design, taxonomies are often created to describe categories and subcategories of topics found on the Web site. The Statistics Canada site “Browse by subject” feature is an example of a taxonomy. Source: Dublin Core Metadata Initiative (DCMI) – Glossary See also Subject(s): Portals

transitory record  Transitory records are those records required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record. Transitory records do not include records required by government institutions or Ministers to control support of document the delivery of programs, to carry out operations, to make decisions or to account for activities of government. Source: National Archives of Canada – Multi-Institutional Disposition Authorities