Treasury Board of Canada Secretariat Secrétariat du Conseil du Trésor du Canada

Canada

Standard for Electronic Documents and Records Management Solutions (EDRMS)

Rescinded [2022-05-04] - Standard for Electronic Documents and Records Management Solutions (EDRMS)

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ⓘ Note to reader

The Standard for Electronic Documents and Records Management Solutions is no longer in effect. It was replaced by the Standard on Systems that Manage Information and Data on May 4, 2022.

1. Effective Date

1.1 This standard takes effect on June 1, 2010. The standard will apply only when new investments or significant upgrades in EDRM solutions are proposed.

2. Application

2.1 This standard applies to departments as defined in section 2 of the *Financial Administration Act (FAA)*, unless excluded by specific acts, regulations or Orders in Council.

2.2 Those portions of sections 6.2.1, 6.2.2, and 7.1 relating to the role of the Treasury Board Secretariat in monitoring compliance and directing consequences for non-compliance do not apply with respect to the Office of the Auditor General, the Office of the Privacy Commissioner, the Office of the Information Commissioner, the Office of the Chief Electoral Officer, the Office of the Commissioner of Lobbying, the Office of the Commissioner of Official Languages and the Office of the Public Sector Integrity Commissioner. The deputy heads of these organizations are solely

responsible for monitoring and ensuring compliance with this standard within their organizations, as well as for responding to cases of non-compliance in accordance with any Treasury Board instruments that address the management of compliance.

3. Context

3.1 This standard supports the _Policy on Information Management_ and _Policy on Management of Information Technology_ by outlining information management (IM) and information technology (IT) requirements for the departmental IM Senior Official and the Chief Information Officer (CIO) or equivalent in the area of Electronic Document and Records Management (EDRM) solutions.

3.2 Information resources of business value are strategic assets used across government to support effective decision making and facilitate ongoing operations and the delivery of programs and services. The Directive on Recordkeeping requires departments to establish the mechanisms and tools to support the departmental recordkeeping requirements throughout the information life cycle.

3.3 EDRM solutions are automated systems used to manage, protect and preserve information resources from creation to disposition. These solutions maintain appropriate contextual information (metadata) and enable organizations to access, use and dispose of records (i.e., their retention, destruction or transfer) in a managed, systematic and auditable way in order to ensure accountability, transparency and meet departmental business objectives.

3.4 EDRM solutions may be a part of a suite of products that, along with effective policies and practices, enable a department-wide approach to information management that improves the quality and reliability of information for decision-making, improves services to managers and employees, and reduces inefficiencies, duplication and costs.

3.5 Through the implementation of government-wide IM business processes and practices and the use of government-wide procurement options in support of EDRM solutions, the government will see a reduction in the overall cost of service delivery.

3.6 Investment decisions to acquire EDRM solutions resulting from government-wide procurement activities may be combined with other departmental solutions to provide a more comprehensive product suite.

3.7 EDRM solutions enable GC employees to find, share and collaboratively develop information resources of business value, therefore increasing their productivity, and the efficiency and effectiveness of their departments.

3.8 This standard is issued pursuant to section 7 of the _Financial Administration Act_.

3.9 This standard is to be read in conjunction with the _Policy Framework for Information and Technology_, the _Policy on Management of Information Technology_, the _Policy on Information Management_, the _Directive on Recordkeeping_, the _Directive on Information Management Roles and Responsibilities_, the _Policy on Investing Planning - Assets and Acquired Services_, the _Policy on the Management of Projects_ and the _Project Approval Policy_.

4. Definitions

4.1 Definitions to be used in the interpretation of this standard are contained in Appendix A.

5. Standard Statement

5.1 Objectives

5.1.1 To support efficient and effective management of information through the use of EDRM solutions to increase timely access to relevant, reliable, and comprehensive information to support decision-making in program and service delivery.

5.1.2 To maximize the benefit of GC investments related to EDRM solutions by reducing the overall cost associated with implementation and ongoing operations through standardization and economies of scale.

5.2 Expected Results

5.2.1 Increased government-wide access to information within and across departments to enable increased employee productivity and the efficiency and effectiveness of program and service delivery to Canadians.

5.2.2 Increased use of common or shared information and technology solutions, assets, and services in support of EDRM solutions, in order to avoid duplication, reduce costs and leverage partnership opportunities.

6. Requirements

6.1 The departmental IM Senior Official designated by the deputy head and CIO or equivalent, are responsible for:

6.1.1 Ensuring that investment decisions which pertain to the acquisition of EDRM solutions maximize the use of products and services made available as a result of government-wide procurement processes, as described in Appendix B.

6.1.2 Ensuring common, consistent, and cost effective departmental implementation of EDRM solutions to meet recordkeeping requirements.

6.1.3 Ensuring that EDRM solutions meet a defined set of standard GC requirements, as described in Appendix C.

6.2 Monitoring and reporting requirements are as follows:

6.2.1 IM Senior Officials and CIO or equivalent, are responsible for supporting their deputy head by overseeing the implementation and monitoring of this standard in their departments, bringing to the deputy head's attention any significant difficulties, gaps in performance, or compliance issues, developing proposals to address them, and reporting significant performance or compliance issues to the Chief Information Officer Branch of Treasury Board Secretariat.

6.2.2 The Treasury Board Secretariat will monitor compliance with all aspects of this standard and the achievement of expected results in a variety of ways, including but not limited to assessments under the _Management Accountability Framework_, examinations of Treasury Board submissions, Reports on Plans and Priorities, Departmental Performance Reports, departmental IM/IT strategies and plans, audits results, evaluations, and studies.

6.2.3 The Treasury Board Secretariat will review this standard and its effectiveness at the five-year mark from the effective date of the standard (or earlier if warranted).

7. Consequences

7.1 Consequences of non-compliance can include informal follow-ups and requests from the Treasury Board Secretariat, external audits, or formal direction on corrective measures.

7.2 Consequences of non-compliance with this standard can include any measure allowed by the Financial Administration Act that the Treasury Board would determine as appropriate and acceptable in the circumstances.

8. Roles and Responsibilities of Government Organizations

Note. This section identifies other departments that have a role in the standard. In and of itself, the section does not confer authority.

8.1 Treasury Board Secretariat

8.1.1 The Treasury Board Secretariat provides interpretive advice and guidance on this standard.

8.2 Public Works and Government Services Canada

8.2.1 The Department of Public Works and Government Services Canada is responsible for providing common government-wide solutions to meet IM requirements of departments and agencies for delivering services such as document management, Web content management, portal and collaboration, and enterprise search management.

8.3 The roles and responsibilities of other government organizations are described in section 8 of the *Policy on Information Management*.

9. References

9.1 Relevant legislation for this standard is the <u>Financial Administration Act</u>.

9.2 Related instruments and publications are as follows:

- *Common Services Policy*
- *Policy on Management, Resources and Results Structures*
- *Directive on Delegation of Financial Authorities for Disbursements*
- *Policy on Electronic Authorization and Authentication*
- *Policy on Evaluation*
- *Policy on Government Security*
- *Policy on Information Management*
- *Policy on Internal Audit*
- *Policy on Investing Planning - Assets and Acquired Services*
- *Policy on Language of Work*
- *Policy on Learning, Training and Development*
- *Policy on Management of Information Technology*
- *Policy on Official Languages for Human Resources Management*
- *Policy on the Duty to Accommodate Persons with Disabilities in the Federal Public Service*
- *Policy on the Management of Projects*
- *Policy on the Use of Official Languages for Communications with and Services to the Public*
- *Policy on Privacy Protection*
- *Policy Framework for Information and Technology*
- *Project Approval Policy*
- *Directive on Recordkeeping*
- *Directive on Information Management Roles and Responsibilities*

10. Enquiries

Please direct enquiries about this standard to your department's headquarters. For interpretation of this standard, departmental headquarters should contact:

Office of the Chief Information Officer
Treasury Board of Canada Secretariat
Ottawa ON K1A 0R5
<u>dppn@tbs-sct.gc.ca</u>

Appendix A: Definitions

EDRM solutions (*solutions de GEDD*)

Are automated systems used to manage, protect and preserve information resources creation to disposition. These solutions maintain appropriate contextual information (metadata) and enable organizations to access, use and dispose of records (i.e., their retention, destruction or transfer) in a managed, systematic and auditable way in order to ensure accountability, transparency and meet departmental business objectives.

information life cycle (*cycle de vie de l'information*)

The life cycle of information management encompasses the following: planning; the collection, creation, receipt, and capture of information; its organization, use and dissemination; its maintenance, protection and preservation; its disposition; and its evaluation.

information resources (*ressources documentaires*)

Any documentary material produced in published and unpublished form regardless of communications source, information format, production mode or recording medium. Information resources include textual records (memos, reports, invoices, contracts, etc.), electronic records (emails, databases, internet, intranet, data etc.), new communication media (instant messages, wikis, blogs, podcasts, etc.), publications (reports, books, magazines), films, sound recordings, photographs, documentary art, graphics, maps, and artefacts.

information resources of business value (*ressources documentaires à valeur opérationnelle*)

Are 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 technology (*technologies de l'information*)

Includes any equipment or system that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. It includes all matters concerned with the design, development, installation and implementation of information systems and applications to meet business requirements.

investment (*investissement*)

Is the use of resources with the expectation of a future return, such as an increase in output, income or assets, or the acquisition of knowledge, or capacity.

management of information technology (*gestion des technologies de l'information*)

Includes planning, building (or procuring), operating and measuring performance.

metadata (*métadonnées*)

The definition and description of the structure and meaning of information resources, and the context and systems in which they exist.

record (*document*)

For the purpose of this standard, records are information created, received, and maintained by an organization or person for business purposes, legal obligations, or both, regardless of medium or form.

recordkeeping (*tenue de documents*)

A framework of accountability and stewardship in which information resources are created or acquired, captured, and managed as a vital business asset and knowledge resource to support effective decision-making and achieve results for Canadians.

repository(ies) (*dépôt(s)*)

A repository is a preservation environment for information resources of business value. It includes specified physical or electronic storage space and the associated infrastructure required for its maintenance. Business rules for the management of the information resources captured in a repository(ies) need to be established, and there must be sufficient control for the resources to be authentic, reliable, accessible and usable on a continuing basis.

Appendix B: Investment

When investing in an EDRM solution, departments are required to use products, licenses, or services resulting from government-wide procurement processes undertaken by PWGSC.

- For information on relevant products, licenses, and services, contact your PWGSC Client Relationship Manager at: Place du Portage, Phase III, 4A1, 11 Laurier Street Gatineau, Québec, K1A 0S5.

Investment in EDRM solutions is subject to the requirements of this standard whether the purpose of the investment is the implementation of a new EDRM solution, the replacement of an existing EDRM solution, or a significant upgrade to an existing solution.

- Significant upgrade refers to increases in the number of users greater than 100% of the initial planned implementation of the existing solution and/or functional improvements which exceed the original functionality of the existing solution, and **not** activities related to regular operational maintenance (e.g. bug fixes) or incremental system upgrades (e.g. version 1.1 to version 1.2).

The departmental IM Senior Official is responsible for submitting a justification for any proposed alternative to the products or services made available as a result of government-wide procurement processes. The justification is to be provided to the Government of Canada's Chief Information Officer prior to any investment.

The justification should include: the departmental IM Strategy and implementation plan, and be accompanied by a strong rationale (including cost effectiveness) to support the proposed alternate solution.

Appendix C: Requirements for EDRM Solutions

The International Council on Archives <u>Principles and Functional Requirements for Records in Electronic Office Environments – Module 2 (PDF Document)</u> requirements are the minimum requirement set to support the Government of Canada Electronic Document and Records Management implementation.

International Council on Archives, Principles and Functional Requirements for Records in Electronic Office Environments – Module 2: Guidelines and Functional Requirements for Electronic Records Management Systems, 2008, published at <u>www.ica.org</u>.

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