

ABSTRACT

Information is considered by the Government of Canada its “lifeblood” and its management is regulated by both law and government-wide policy. As a component of this information management regime, records are characterized as “vital business assets” and “knowledge sources”, and their management is required to facilitate “accountability, transparency, and collaboration”, including “access to information and records”. The right to access to government records is granted by the Canadian Access to Information Act, which, since 1985, has been the main mechanism for the public to inquiry about the government’s conduct and decision-making. The Office of the Information Commissioner was established to monitor the administration of the Act, including reporting to Parliament on performances of government institutions under the Act. For the year 2008-2009, the Office reported that almost 60% of the institutions it assessed were rated with a below-average performance, based on their delay in releasing records requested by the public. The Office thus concluded that “The poor performance shown by institutions is symptomatic of what has become a major information management crisis”.

This information management crisis motivated the present study. Employing the methodology of grounded theory, the research collected data from thirty government departments, including online publications, site observations, and records released under the Access to Information Act, following the guidance of theoretical sampling. These field data, along with relevant literature, were coded, memoed, and constantly compared to discover explanations of the information management crisis. At the center of the explanations is the core variable, record nature, which underlies the ninety six conceptual categories that it originates. With the specifications or properties indicated by the data and their relationships, either direct or indirect, with the core variable, these conceptual categories served as the foundation on which hypotheses were formulated. It was found that, when the understanding of record nature is incomplete, the management of records is unable to deliver any concrete results, and this caused in the government departments the marginalization of the records management function, the disappearance of records, and ultimately, the inability to perform basic tasks to support government operation and accountability, that is, the information management crisis.

BIOGRAPHICAL NOTES

Academic Studies: MLIS, McGill University, 2004
MAS, University of British Columbia, 2006

Current Position: Sessional Lecturer, School of Library, Archival and Information Studies, UBC

GRADUATE STUDIES

Field of Study: Archival Studies

Courses:

ARST 600 Advanced Seminar in Research Methods

ARST 610 Theoretical and Research Foundations

ARST 620 Advanced Study in Major Area

ARST 621 Advanced Study in Minor Area

Instructors

Prof. Edie Rasmussen

Prof. Luciana Duranti

Prof. Luciana Duranti

Prof. Terry Eastwood

AWARDS

UBC Graduate Entrance Scholarship

2006

Cohasset Associates Scholarship

2006

ARMA International Award

2007

iGov Research Institute Scholarship

2009

SLAIS Travel Award

2007; 2012

Faculty of Graduate Studies Travel Fund

2012

SELECTED PUBLICATIONS

- (2013). National Strategies for Digital Records: Comparing the Approaches of Canada and China. *International Journal of Information Management* (accepted).
- (2013). Digital Records Management in the Canadian Government: A Strategy for “Success”. *The RIM Professionals Australasia Quarterly*, 29 (1), 48-52.
- (2012). Digital Records Management: The Lacking Foundation for Continuing Accessibility. *Online Information Review*. 36, 2, 299-306.
- (2012). Preserving Digital Records: InterPARES Findings and Developments. In Victoria Lemieux (Ed.), *Financial Analysis and Risk Management: Data Governance, Analytics and Life Cycle Management* (pp. 187-206). New York: Springer.
- (2012, with Luciana Duranti). Knowledge Management & Records Management: Establishing Relationships for Common Development. In Kecheng Liu and Joaquim Filipe (Ed.), *Proceedings of the International Conference on Knowledge Management and Information Sharing* (pp. 247-250). Barcelona, Spain: Science and Technology Publications.
- (2011). Building Foundations for Digital Records Forensics: A Comparative Study of the Concept of Reproduction in Digital Records Management and Digital Forensics. *American Archivist*, 74, 576-599.



- (2010). Integrated Information Management and Information Technology: eGov Development and Electronic Records Management in the Government of Canada. *Journal of Electronic Government* (Chinese), 6, 41-49.
- (2009). Striking a Balance between Program Requirements and Grounded Theory Principles: Writing a compromised Grounded Theory proposal. *The Grounded Theory Review*, 8 (2), 35-47.
- (2008). Electronic Records Management: The Missing Player in the eGov Movement. In Dan Remenyi (Ed.), *Proceedings of the 4th International Conference on e-Government* (pp. 481-489). Melbourne, Australia: RMIT University.
- (2007). Function-based Records Classification Systems: A Comparative Study. ARMA. www.armaedfoundation.org/pdfs/Sherry_Xie_Study.pdf.

SELECTED PRESENTATIONS

- (Keynote) Digital Diplomats: The Application of Classic Diplomats to Digital Records. Brazilian Archival Association Annual Congress. Salvador, Brazil, October 1-4, 2012.
- (Keynote) Digital Records Management in the Government of Canada. Inforum 2012, Melbourne, Australia, August 28, 2012; Wellington, New Zealand, August 31, 2012.
- National Strategy for Digital Records: Comparing the Approaches of Canada and China. ICA Congress. Brisbane, Australia, August 20 – 24, 2012.
- Long-Term Preservation of Digital Records: The InterPARES Project & Its Electronic Government Focus. UNESCO The Memory of the World in the Digital Age: Digitization and Preservation. Vancouver, Canada. September 26-28, 2012.
- The Information Management Crisis in the Canadian Federal Government: A Grounded Theory Study (poster presentation). ARMA 2012. Information Governance. Chicago, USA, September 23-25, 2012.
- Digital Government & Records Management in the Government of Canada, Digital Records Management and Government Development Seminar. Bogota, National Archives of Columbia, September, 11, 2011.
- Implementing ERMS: Standardization and Customization. International Symposium on Research Findings of Advanced Electronic Records Management, Beijing China, April 10-13, 2010.
- InterPARES Research Methodologies. Long-term Preservation of Electronic Archives. The State Archival Administration, Taiwan, October 20-22, 2010.
- Electronic Government Development and Electronic Documents and Records Management System. Society of American Archivists Conference, Austin, TX, USA, August 11-16, 2009.
- Managing Current Electronic Records in an EDRMS Environment. Best Practices Exchange, Phoenix, Arizona, USA, June 10-13, 2007.
- Foundations for Developing Digital Preservation Policy: The InterPARES Policy Framework, iPRES2007, Beijing, China, October 11-12, 2007.
- The Legal Environment and the Preservation of Electronic Records in China & Singapore. Association of Canadian Archivists 31st Annual Conference, St. John's, Newfoundland and Labrador Canada, June 28 – July 1, 2006.
- Access to Scientific Data: The Social and Technical Challenges and Strategies. American Society for Information Science & Technology Annual Conference, Austin, Texas, USA, November 3-8, 2006.

PROGRAMME

The Final Oral Examination
For the Degree of

DOCTOR OF PHILOSOPHY
(School of Library, Archival and Information Studies, UBC)

SHERRY L. XIE

MLIS, McGill University, 2004
MAS, University of British Columbia, 2006

Monday, April 15, 2013, 9:00 am
Room 200, Graduate Student Centre
Latecomers will not be admitted

“The Nature of Record and the Information Management Crisis in the Government of Canada: A Grounded Theory Study”

EXAMINING COMMITTEE

Chair:
Prof. Joost Blom (Law)

Supervisory Committee:
Prof. Luciana Duranti, Supervisor (SLAIS)
Prof. Vicki Lemieux (SLAIS)
Prof. Carson Woo (Sauder School of Business)

University Examiners:
Prof. Yair Wand (Sauder School of Business)
Prof. Gerald Baier (Department of Political Science)

External Examiner:
Prof. Julie McLeod
Information Sciences, Faculty of Engineering & Environment
Northumbria University
Newcastle upon Tyne, England