ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF MARCH 31, 2012

CHIEF FINANCIAL OFFICER

AUDIT OF COMPREHENSIVE INTEGRATED DOCUMENT MANAGEMENT (CIDM) (08/19)
AEC APPROVAL DATE: May 14, 2010

PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
1. User Awareness: **Observation:** There exists a lack of user awareness surrounding appropriate document classification, user responsibilities and support, and the benefits of prioritizing this activity.	**Action:** AANDC's IMB will embark on a re-invigorated approach to change management and governance to minimize the knowledge gap as it relates to system usage. More effort will be concentrated on persistency of uptake, including endorsement/enforcement by senior management. In the short term, IMB will conduct a series of user forums and surveys to garner input and suggestions from departmental employees on where they see specific areas of improvement being required.	(September 2010)	**Status:** *Request to Close- completed* **Update/Rationale:** As of 31/03/2012: Based on the outcomes of the on-line survey and feedback received from users via Help Desk and face-to-face interaction, a draft strategy to address internal communications related to all aspects of information management was developed in November 2011. 1) An article for AANDC Express has been developed specifically on File Numbers providing some insight into their purpose and suggesting ways to facilitate the correct selection of a file number when saving a document. This is expected to be published in the March 29th edition of AANDC Express. 2) CIDM Training continues on an ongoing basis, where the topic of file classification is covered. Every month, 80 to 90 users are trained in classroom or in one-on-one sessions. 3) Overall IM Awareness sessions are also provided at the request of program areas that cover the subject of file number selection. Over 25 IM Awareness sessions have been held this year. 4) The Records Office makes desk visits to all employees as part of initial training and at any time on request to help set the file favourites so that users can work with a short list of file numbers that are appropriate to

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			their work. Over 760 employees in the NCR received this individual service. These basic services are part of a standard service offering from CIMD and will continue to address the change Management aspects of the audit finding on a continual basis going forward. <u>It is recommended that this item be marked as ongoing/completed and closed in this audit report.</u> **AES:** Implemented. The recommendation will be closed as an on-going training and awareness strategy has been developed and implemented.
2. Retention and Disposition **Observation:** AANDC's standardized retention and disposition policies are not being consistently followed across the department.	**Action:** IMB will work with the Regions and program areas to ensure that existing Retention and Disposition Authorities (RDA's) are applied consistently to CIDM document collections. This work will be conducted in parallel with departmental activities currently underway with Library and Archives Canada (LAC) on updating many of the existing RDA's.	(December 2010)	**Status: Request to Close- complete** **Update/Rationale:** **As of 31/03/2012:** AANDC is an early adopter of the Library and Archives Canada (LAC) Recordkeeping Methodology, which will lead to compliance with Recordkeeping Directive by 2014. 1. Work as Early Adopters of the Recordkeeping

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			Methodology (RKM) has resulted in completion of Phase I by March 31/12 and planning for Phase II to begin early in 12/13. This is a multi-year initiative which will result in a full refresh of retention and disposition authorities and their application in the department toward full compliance to the Recordkeeping Directive in 2014. Creation of Record Keeping Agreement (RKA) continues to link analysis of the Recordkeeping Directive to specific business process re-engineering initiatives and application system development projects. Each RKA is designed specifically to speak to the life-cycle management of program information towards effective and timely disposition. The requirement for the Recordkeeping Analysis is built into the Information Management Overlay to the Project Management Framework and is therefore enforced as part of the governance framework for all IM/IT projects. 2. The NCR Records Office is responsible for the review of file numbers selected by CIDM users to ensure that effective disposition of electronic documents can be done. Incorrect or generic file number choices (e.g. CIDM 9999-9) are corrected by records office staff. In 11/12, over 128,000 electronic documents were reviewed and reclassified by records office staff. The work on all three elements above will continue over the upcoming years and will address this audit

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			finding going forward. It is recommended that this item be marked as ongoing/completed and closed in this audit report. **AES:** Based on the progress achieved to date and the on-going nature of the planned actions, the recommendation will be closed.
3. Business Value of Information **Observation:** CIDM's mandatory save environment is leading to an overabundance of transitory materials being captured and stored.	**Action:** IMB will develop a strategy which focuses on identification of business versus transitory materials, which will include the identification of an appropriate storage facility for transitory records. Also, IMB will lead in the development of an enterprise search strategy which can comb all departmental repositories in support of ATIP and e-Discovery.	(December 2010)	**Status:** *Request to close- completed* **Update/Rationale:** **As of 31/03/2012:** 1. Work is completed on the business process mapping for the Proof of Concept and development of the Integrated Semantic Information System (ISIS) model is to be completed. 2. The results of the assessment phase (April 2012) will inform the broader business case on IM toolset Evolution. Once fully implemented, the ISIS tool will facilitate the tagging of transitory information toward early disposition.

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			3. Education of employees on transitory information versus information of "business value" continues as part of CIDM training, IM Awareness and Email Management training. 4. The IM Tool Set Evolution Business case will include options for enterprise search The work on all three elements above will continue over the upcoming years and will address this audit finding going forward. <u>It is recommended that this item be marked as Ongoing/Completed and closed in this audit report.</u> **AES:** Substantial implementation. The recommendation will be closed upon completion and approval of the IM Tool Set Evolution Business case.
4. Document Security **Observation:** Confusion exists within the department around appropriate document security protocols, profiling and business rules**.**	**Action:** Since the conclusion of the audit**,** IMB and the Security and Occupational Health and Safety Division (SOHSD) have partnered together in an effort to better educate, measure and monitor the handling of electronic documentation. To that end, steps have been taken to include more frequent	Immediate and ongoing	**Status: Complete** **Update/Rationale:** **As of 30/09/2010:** Changes have been made within the CIDM training curriculum to aid users in better identifying appropriate document security designations

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	messaging around appropriate document security levels. In particular, changes have been made within the CIDM training curriculum to aid users in better identifying appropriate document security designations. Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation.		(including direct integration of core messaging by SOHSD). Additionally, a new tri-fold "Understanding Security Levels, Access Controls and CIDM" was developed in concert with SOHSD and distributed electronically to IM Regional counterparts and is now included in all NCR New Employee Orientation packages. Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation. **AES:** Close - Fully Implemented
5. Naming Conventions and Profiling **Observation:** There exists inconsistent application of naming conventions and access controls.	**Action:** In the short term, IMB will educate and clearly disseminate to the Regions AANDC's best practices and standards as they relate to naming conventions, while at the same time promoting more openness within the document access controls. This will be measured through IMB's Regional and Sectoral Scorecarding exercise on an ongoing basis.	(September 2010 and ongoing)	**Status: In Progress** **Update/Rationale:** **As of 30/09/2010:** This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop. **AES:** Close
6. Performance **Observation:** Improvements should be made in the measurement, monitoring and remediation of CIDM performance	**Action:** IMB will establish and coordinate a national review process in collaboration with Regional service partners to identify factors affecting system performance. Once this process	(September 2010 and ongoing)	**Status: In Progress** **Update/Rationale:** **As of 30/09/2010:**

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and response times.	has been established, IMB will lead in the ongoing measurement, monitoring and remediation of performance and response times across all Regions.		This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop. **AES:** Close
7. Licensing **Observation:** There were at the time of the audit, more active users than actual licenses.	**Action:** Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap.	(December 2010 and ongoing)	**Status: Complete** **Update/Rationale:** **As of 30/09/2010:** Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap. **AES:** Close - Fully Implemented