Government's Information Management System and Supports

- The Government of Newfoundland and Labrador (GNL) has an extensive Information Management (IM) System which applies to all public bodies falling under the Management of Information Act (MOIA).

- The MOIA places responsibility for an IM program with the head of the public body. The IM policy framework has established a system of responsibility that includes application to all GNL staff, contractors, consultants, partners, students, temporary workers, volunteers, vendors, agents, third parties and others working on behalf of government.

- IM management itself involves a thorough understanding of the underlying concept of managing information. Managing information relies on the lifecycle of a record including: collect, create/receive, organize/store, use/share, and archive/dispose. To build this capacity, the Office of the Chief Information Officer (OCIO) has developed a conceptual foundation called the Guide to IM for Public Bodies to be used by IM professionals in each public body. It provides a one-stop document to be used by public bodies to develop their IM programs and includes the following elements:
  - Core IM Foundation – Governance, Accountability and Organization, Vision, Mission, and Guiding Principles, IM Legal and Regulatory Framework and developing an IM Program Plan;
  - IM Program Components – IM Policy Instruments, IM Performance Measurement, Education and Awareness materials for IM practitioners and employees, Physical Records Storage and Information Protection;
  - IM Tools – Records and Information Inventory, Classification Plan Development and Implementation, Disposal of Records, and Records Imaging Services.

  This foundational Guide provides the background needed to create and manage an effective IM practice in a public body in keeping with GNL's IM System.

- The IM Legislative/Policy Framework consists of (see Appendix A for detailed list):
  - Legislation – 2 Acts - the MOIA, and peripherally the Access to Information and Protection of Privacy Act (ATIPPA), 2015;
  - Policies – 2 policies;
  - Directives – 3 directives;
  - Standards – 3 standards;
  - Guidelines – 4 guidelines;
  - For Your Information (FYI) notes – 15 FYIs;
  - Frequently Asked Question notes – 9 FAQs;
  - Quick Reference guides – 4 Quick Reference Guides; and
  - Templates – 9 templates.
- This sizeable suite of legislation, policies and processes provide the tools needed to ensure there is a well-defined IM framework in GNL which provides consistent guidance, is well managed and effective.

- The IM System is supported by the OCIO which provides corporate-wide IM services to public bodies including:
    - IM Advice - policy/procedural advice, one-on-one IM implementation support, HPRM/TRIM support and guidance;
    - Training & Awareness – specific IM training opportunities, supports IM Community, works with the Centre for Learning and Development to support on-line PSAccess courses, supports the Human Resource Secretariat's Orientation for IM;
    - Capacity Supports – assessment tools, capacity building toolkit, current public bodies listing;
    - Government Records Committee – cross departmental committee which establishes records retention schedules/periods; and
    - Government Records Lifecycle Management &Provincial Records Centre – guidance on the appropriate disposal (archive/dispose) of government records, stores semi-active GNL records not stored in other facilities (e.g. Iron Mountain, etc.).

- In addition, the OCIO leads the following IM support groups:
    - IM Directors Forum – brings together all IM Directors (approximately 17) across GNL departments several times per year to discuss emerging issues/changes to the IM system;
    - IM Community - which meets quarterly to bring together IM staff across all public bodies (approximately 200) to engage in IM topics and awareness activities; and
    - Trim Administrators Group – which meets quarterly and brings together GNL departmental TRIM administrators (approximately 50) for awareness/learning activities related to HPRM.

- Taken together, the IM Foundation, Legislative/Policy Framework, OCIO Corporate Services, and OCIO IM support groups, GNL's full IM System is extensive and sufficient to support an appropriate IM practice across its public bodies.

- The OCIO continuously updates government's IM Policy framework, offers IM support, and undertakes training and awareness activities on behalf of Government. The following are examples of some of the work completed since 2015 and base elements of the program include:
    - IM Policy – in 2018, the Information Management and Protection Policy was updated to include the principle of "Promoting Records Creation".
    - IM Evaluation – at the end of 2018, the OCIO concluded its 3-year IM Self-Assessment Tool (IMSAT) evaluation of core Departments. Departments received a report including areas of strength and areas for improvement.
    - Awareness – the OCIO continues to promote best IM practices and awareness of the IM Program elements including the following activities:
        - Legislation - in October 2018, the Chief Information Officer notified all Deputy Ministers and Equivalents of the need to ensure the Public Bodies reporting to them were aware of their requirements under the Management of Information Act and the supports available to them by the OCIO.
        - IM Month – the OCIO offers numerous activities annually during IM Month (April), for example, the activities undertaken during 2019 focused on records creation for individuals across government which included:
            - 3 government-wide PSN Messages:

- First one generic explaining about IM Month, creating records and promoting IM@Work;
- Second on best practices in creating official records (instant messages, etc.) and announcing our IM Month feature page;
- Third on IM tips to keep in mind daily for managing information.
  - IM Community Meeting;
  - NEW OCIO Website Content:
    - OCIO's Top 10 IM Hits "For the Record, That's a Record" best practices for daily work routine for government employees.
- Enhanced Policy Tools – the OCIO has been improving government's IM policy framework including development of the following documents related to appropriate IM:
  - Recordkeeping Guide – new guide for smaller public bodies to ensure appropriate record keeping practices;
  - IM Advisories – specific best practice guidance on effectively managing the following types of records: Executive Records, Meeting Records, Case Files, Program Administration Records, and Notes to File.
- Training – the OCIO has provided specific IM training to assist departments and public bodies in building IM capacity including in the following areas (see listing of recent training in Appendix B):
  - Records Retention and Disposition of Transitory Records – training to most Departmental Executives;
  - Development is ongoing in coordination with the Centre for Learning and Development (CLD) on public servants responsibilities managing transitory records while making key decisions on retaining important government records; and
  - IM Program Plan.
- Training – the OCIO has also previously developed online training courses on PS Access to support the IM system, these include:
  - Information Management (IM@Work) e-learning
  - Information Management: A Guide for Managers
  - Cyber Security Awareness e-learning:
- Ongoing Support – phone and on-line supports to core GNL and other public bodies as needed, this work provides advice, capacity development support, TRIM and other supports as needed (see Appendix C for a list of recent projects across GNL). Details of these activities include:
  - Advisory Services which include:
    - Provides general IM advice and guidance on existing IM policy instruments and the interpretation and application of IM legislation.
    - Provides advice and consulting services to departments and supported entities in establishing and maintaining an IM program. Specific services include: guidance on records inventory requirements, records classification, records retention and disposal scheduling, recommendations on appropriate scanning processes and technology, guidance for data migration/conversions, and advice on IM policies, procedures and best practices.
    - HPRM (TRIM) Program Support:
      - Works with other areas in OCIO to identify and process HPRM-related client issues.

- Provides expertise regarding a client's business needs, and HPRM functionality to OCIO project teams.
- Manages TRIM client training needs requests.
- Provides front line business functionality troubleshooting, including knowledge transfer and guidance.
- Facilitates TRIM Administrators Group meetings (TAG), conducts business process mapping sessions for classification in TRIM.
- Works closely with departmental TRIM Administrators to expand HPRM/TRIM business functionality.

- o Capacity – which help to build IM strength in public bodies including:
  - IM Self-Assessment Tool (IMSAT) and prior IM Capacity Assessment Tool (IMCAT) assessment and review processes which provide core Departments with areas of IM strength and weakness so they can focus their activities.
  - The IM Capacity Building (IMCB) Took Kit which is designed to support increased capacity and compliance through a continual improvement methodology, information asset management and the integration of tools, techniques and data analytics.
- o HRS Orientation:
  - Individual government managers are responsible for ensuring that each new employee receives a comprehensive onboarding experience. Several IM related documents are included as part of this package including:
  - This involves reviewing the government wide "Onboarding Checklist" located at: https://www.exec.gov.nl.ca/exec/hrs/learning_and_development/onboarding.html. This checklist includes the following IM policies and online training that employees can take advantage of to ensure they are aware of their IM responsibilities:
    - Office of the Chief Information Officer (OCIO) Policies and Guidelines: www.ocio.gov.nl.ca/ocio/policies/index.html
    - Management of Information Act (MOIA) https://assembly.nl.ca/Legislation/sr/statutes/m01-01.htm
    - Information Management (IM@Work) e-learning PSAccess course
    - Information Management (IM@Work) presentation: https://www.ocio.gov.nl.ca/ocio/im/practitioners/IM@Work.pdf
    - Information Management: A Guide for Managers PSAccess course
    - Cyber Security Awareness e-learning (PSAccess) course
- The OCIO also has a number of additional activities underway including:
  - o Continuing improvements to the Corporate Records and Information Management Standard (CRIMS) which are being updated as they are finalized and approved;
  - o Ongoing work on updating the Directive – Use of Non-Government Email Accounts For Work purposes;
  - o Ongoing work on updating email guidance – consolidating and updating; and
  - o Ongoing work on transitory records guidance – creating and updating.

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Appendix A – Policy Guidance

1. Policies:
   - Email Policy
   - Information Management and Protection Policy

2. Directives
   - Instant Messaging
   - Acceptable Use of the Government Network and/or IT Assets
   - Use of Non-Government Email Accounts for Work Purposes

3. Standards
   - Developing One Time Disposal Submissions
   - Developing Records Retention and Disposal Schedules for Operational Records
   - Corporate Records Information Management Standard (C-RIMS)

4. Guidelines
   - GNL Email Guidelines
   - Discovery and Legal Hold
   - Managing Departmental Information through the Employment Cycle
   - Managing the Records of External Public Bodies

5. For Your Information (FYIs)
   - Acceptable Use of the GNL Network and/or Assets
   - Which Records to Store in HPRM
   - Secure Storage and Disposal of Physical Records
   - Instant Messaging Directive
   - Identifying and Disposing of Transitory Records
   - Identification and Disposal of Government Records
   - Records Retention and Disposal Schedule
   - IM Advisory – Case Files
   - IM Advisory – Executive Records
   - IM Advisory – Meetings Records
   - IM Advisory – Note to File
   - IM Advisory – Program Administration Records
   - IM Advisory – Preparing Paper Records for Offsite Storage
   - IM Advisory – Retrieving Records from the PRC
   - IM Advisory – Transferring Records to the PRC

6. Frequently Asked Questions (FAQs)
   - Acceptable Use of the GNL Network and/or IT Assets
   - Information Management and Protection Policy
   - Instant Messaging
   - Use of Non-Government Email Accounts for Work Purposes
   - Corporate Records Information Management Standard (C-RIMS)

- Records Retention and Disposal Schedule
- One Time Disposal
- Government Records Committee
- Provincial Records Centre

7. Quick Reference
   - Transferring Records to The Rooms Provincial Archives Division
   - Summary of ATIPP Exceptions
   - Records Retention and Disposal Schedule Amendments
   - Transitioning Instant Message Content to Recordkeeping Format

8. Templates
   - Records Retention and Disposal Schedule Template 1
   - Records Retention and Disposal Schedule Template 2
   - Memo – Request for Approval for RRDS for Submission to GRC
   - Memo – Request for Approval for RRDS Amendment
   - RRDS Amendment Summary of Changes
   - Memo – Notification of Ownership Change
   - One Time Disposal Submission Template
   - Memo – Approval for One Time Disposal Submission
   - Recordkeeping Guide

Appendix B – Recent OCIO Training

Training	Dept./Division	Time Frame	# Sessions
IM Community Session	IM Community	Q1 - Q4	3
Auditor General (AG) Disclosure Overview/Training	Office of the Auditor General	Q4	1
Introduction to IM Processes	IM Community	Q4	1
Managing Transitory Records	Transportation and Works	Q1/Q2/Q3	4
Multi-Mailbox Session	ATIPP Office - JPS	Q3	1
Managing Transitory Records	Fisheries and Land Resources	Q3	1
Managing Transitory Records	ATIPP Office - JPS	Q2	1
Multi-Mailbox Session	Service NL	Q2	1
Multi-Mailbox Search Application	Tourism, Culture, Industry and Innovation	Q2	1
Managing Transitory Records	Tourism, Culture, Industry and Innovation	Q1	1
Managing Transitory Records	Municipal Affairs and Environment	Q1	1
Managing Transitory Records	Justice and Public Safety	Q1/Q2	2
IM Program Plan	IM Community	Q1	2

Note: a total of 17 sessions on Transitory Records have been offered since 2017

Appendix C - Recent Projects

Managing Your Email Activity Sessions

- IM Advisory Services works with Departments providing coordination services, on site advice and individual employee guidance regarding their email inventory. The ability to assist employees in the determination of emails that can be considered government records and retained vs. those emails that may be transitory allows for employees to better manage process their Emails during such sessions.
- These sessions promote the efficient management of electronic records through the creation, use, retention and disposal of government records ensuring that records disposed of during this process are authorized under the appropriate authority.
- In January of this year (2019), the Department of Finance (under the support of departmental Executive) participated in a 3 day departmental wide initiative - where each branch were given the opportunity to participate.

HPRM Expansion – Department of Justice and Public Safety – High Sherriff's Office

- The High Sherriff of the Province identified a need to manage their Departmental records in an electronic format from creation onward and requested The Department of Justice and Public Safety to complete this work. A request submitted to the OCIO's client services section and resulted in IM Advisory Services Analysts providing a lead role in this project. Through IM Advisory Services HPRM expansion framework process, two IM Advisory Services analysts lead the client through the business/records analysis review, conducting a needs assessment and HPRM configuration. This work included developing, testing, implementation and training components, identification of the departmental records, management and use, including access and security of the records. As this request was determined to be small to medium scale work within an existing HPRM instance, it could be completed in-house by IM Advisory Services with no extra costing necessary.

Provincial Record Keeping Practices Standard Development – Department of CSSD – Adult Protection Division

- The Adult Protection Division of the Department of Child Services and Seniors required a standard approach to current record keeping practices throughout their district offices. IM Advisory Services provided a lead role to this initiative. The work began in 2016 with a multiple phase approach within the four Health Authorities in the Province. Work included:
  - Identifying current practices in each Health Authority and conducting a comparative analysis of inconsistencies in managing information throughout each Authority, categorizing gaps.
  - Conduct stakeholder sessions to identify and review needs and inconsistencies
  - Provided recommendations to the Steering Committee on gaps
  - The end deliverable was the creation of 19 IM standards.

Corporate Records Management Standard – C-RIMS Update Initiative

- C-RIMS is a standard classification plan designed to offer a nomenclature and classification rules for corporate records in all departments. It replaced the IMSAR standard released in 1999. Government has seen a dramatic increase in the ways and means of creating, managing, storing and disposing of records in a hybrid environment in which both paper and electronic records are used, C-RIMS can be used to assist in the management of these paper and/or electronic records throughout the lifecycle.

- The changing Government landscape and organization structure and consistent advancements in technology has necessitated the need to review this current standard and provide updated guidance on the management and disposition of corporate records. IM Advisory Services is leading this work with the first update set to be released in June, 2019 of the financial section of the Standard.

Muskrat Falls Inquiry Support

- A significant amount of time was spent by OCIO's IM Services team in providing IM background information to the Inquiry and specific questions as needed.
- In addition two managers in the division spent multiple months of full-time work in gathering and preparing documents for GNL for the Inquiry.