



Final Report

2011-711

Audit of PWGSC Information Management: Governance and Strategy

September 13, 2012

Office of Audit and Evaluation



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MAIN POINTS

What we examined

- i. Information Management (IM), as defined by Treasury Board and departmental policy, is “a discipline that directs and supports effective and efficient management of information in an organization, from planning and systems development to disposal or long-term preservation.”
- ii. In 2007, Treasury Board developed a new *Policy on Information Management* to provide government-wide requirements that would assist departments in achieving efficient and effective IM. To comply with Treasury Board policy requirements, Public Works and Government Services Canada (PWGSC) developed Departmental Policy 102, *Policy on Information Management* (May 2010).
- iii. The audit examined PWGSC’s IM governance, strategy, policy framework, and IM training, awareness and communication, for which the Chief Information Officer, Information Technology Services Branch (ITSB) and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch (CSSPB) are jointly responsible. In particular, we examined the departmental IM policy; roles and responsibilities; the IM committee structure and how it supports IM governance; the IM strategy development process; IM performance monitoring and reporting; and activities related to IM training and awareness.
- iv. The audit focused on the departmental IM activities at PWGSC headquarters during the period of October 1, 2009 to November 30, 2011.

Why it is important

- v. PWGSC strives to deliver high-quality services to support other federal organizations in providing their programs and services to Canadians. Effectively managing information is important to the department as it is fundamental to all aspects of government services. All PWGSC employees are responsible for applying IM principles in performing their duties to support the achievement of the departmental mandate.
- vi. Information management supports informed decision-making, efficient and effective service delivery, and is critical to achieving the goals of government. Effectively managing information increases the department’s ability to share knowledge across functional boundaries, develop a well-informed workforce, and collectively respond to challenges. It enhances public trust in government and demonstrates due diligence.
- vii. Without effective management of information, there may be a risk of losing the ability to identify and retrieve information needed for decision-making in an organized and timely fashion leading to increased operational costs.

What we found

- viii. The department has made efforts over the years to establish a foundation in support of effective governance of IM. PWGSC has established an IM committee structure with horizontal and hierarchical representation, a mandate, and a good secretariat function. PWGSC also has in place an IM policy, aligned with Treasury Board policy requirements. However, despite this foundation, weaknesses affecting IM governance exist. Inconsistent attendance at IM committee meetings is affecting the proper functioning of these committees. The creation of an IM working group outside of the established structure has put into question the effectiveness of the IM governance structure. Although roles and responsibilities are defined and assigned in the policy, it appears they are not fully understood. PWGSC's IM Program is owned by two distinct branches, this creates challenges in providing strong leadership and effective coordination to address IM issues. It is important for the two branches to cooperatively work together in achieving good governance.
- ix. Strategic planning over IM needs improvement. A departmental IM strategy is not yet in place, however one is being developed. We found little internal monitoring processes in place to measure the effectiveness of IM in the department, making it difficult to conclude on IM compliance and performance.
- x. Although notable efforts have been made to raise awareness and provide training for IM, additional efforts are required. There is no departmental IM training plan to systematically identify employee training needs, nor is there sufficient IM-related training available to employees. This could affect PWGSC employees' ability to obtain the required knowledge, skills and IM tools needed to fulfill their IM duties.

Management Response

Management has had the opportunity to review the Chief Audit and Evaluation Executive's report, and agreed with the conclusions and recommendations found therein. Management also developed a Management Action Plan to address these recommendations.

Recommendations and Management Action Plan

Recommendation 1:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should re-examine the governance of IM, including shared responsibility, to ensure it has appropriate accountabilities to strengthen oversight over the effective functioning of the IM Program.

Management Action Plan 1.1:

Prepare briefing note for the Deputy Minister with a recommendation to identify the Chief Information Officer, ITSB as the lead for the departmental IM program, including Management Accountability Framework Areas of Management (AoM) 12.

Management Action Plan 1.2:

Report quarterly to the Deputy Minister Management Committee (DMMC) on the departmental IM program, reporting on priorities, progress, risks and mitigation activities.

Management Action Plan 1.3:

Review and amend the Departmental Policy 102 *Policy on Information Management* to clarify roles and responsibilities as well as strengthen oversight of the IM Program.

- a. Table intent of changes to the departmental Policy and Planning Committee
- b. Present Proposed changes to the Policy and Planning Committee and the Deputy Minister Management Committee
- c. Policy Approval Process according to Departmental Policy 003 *Framework for Departmental Policy Instruments within PWGSC*

Management Action Plan 1.4:

Formalize branch Information Management capacity to liaise with the Centers of Expertise supporting the IM Program.

Management Action Plan 1.5:

To fold the activities of the IM Champions Working Group in Departmental Information Management Committee. These combined steps will strengthen oversight and improve the information management posture of the department, contributing to reduce risks associated with the delivery of information management services; these are also strong contributor for an acceptable rating (green) under Management Accountability Framework (AoM) 12.1 and 12.2, governance and implementation respectively.

Recommendation 2:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should ensure the development and implementation of the departmental IM strategy to meet the operational needs of the department.

Management Action Plan 2.1:

Develop a Departmental Enterprise Knowledge and Information Management Strategy (EKIMS) by ensuring a branch consultative approach to achieve PWGSC's vision for IM over the next five years.

Management Action Plan 2.2:

As per the result of the Chief Financial Officer 2012-13 Budget Management and Financial Planning Exercise, implement the risk-based roadmap for Fiscal Year 2012-13 as approved at the Deputy Minister Management Committee on January 2012.

Management Action Plan 2.3:

Provide regular updates at the Deputy Minister Management Committee on departmental IM risks, mitigation activities and progress.

Management Action Plan 2.4:

Finalize PWGSC's IM strategy report to supplement action 2.1 of this recommendation which will define clear IM objectives and directions to achieve the departmental IM vision, and to describe the next steps using a high-level 5 year roadmap.

Recommendation 3:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should ensure monitoring and reporting mechanisms are established to measure IM performance and compliance with the departmental and Treasury Board IM policies.

Management Action Plan 3.1:

Develop an IM Performance Management Framework measuring the state of IM within the Department by working with the branches to establish a baseline enabling measurement of progress for the IM Program.

Recommendation 4:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should take a comprehensive IM training approach by identifying IM needs and designing training material geared to ensure employees possess the necessary knowledge and skill to meet IM operational requirements and comply with Treasury Board policies.

Management Action Plan 4.1:

Develop a Departmental IM/Recordkeeping essential course to meet PWGSC's IM operational requirements and in compliance with Treasury Board policy instruments.

Management Action Plan 4.2:

Develop a PWGSC Learning and Development Strategy (L&DS) to address departmental IM needs.

Management Action Plan 4.3:

Develop a PWGSC IM Curriculum for IM functional specialists to complement the current Canada School of the Public Service courses.

INTRODUCTION

1. The conduct of this audit was recommended for approval by the Audit and Evaluation Committee of Public Works and Government Services Canada (PWGSC) as part of their 2011-2016 Risk-Based Audit and Evaluation Plan.
2. Information Management (IM), as defined by Treasury Board and PWGSC policy, is “a discipline that directs and supports effective and efficient management of information in an organization, from planning and systems development to disposal or long-term preservation.”
3. PWGSC strives to deliver high-quality services to support other federal organizations to provide their programs and services to Canadians. Effectively managing information is important to the department as it is fundamental to all aspects of government services. All PWGSC employees are responsible for applying IM principles to perform their duties in support of the departmental mandate.
4. Information Management supports informed decision-making, efficient and effective service delivery, and is critical to achieving the goals of government. Effectively managing information increases the department’s ability to share knowledge across functional boundaries, develop a well-informed workforce, and collectively respond to challenges. It enhances public trust in government and demonstrates due diligence.
5. In 2007, Treasury Board developed a new *Policy on Information Management* to provide government-wide requirements that would assist departments in achieving efficient and effective IM. These requirements include: ensuring governance and accountability structures are in place to make IM-related decisions in support of operations; providing policy instruments, training, and awareness to support IM within the department; assigning IM roles and responsibilities across the department; monitoring and reporting performance on departmental IM programs; and ensuring departmental participation in developing national and international IM standards.
6. To comply with Treasury Board policy requirements, PWGSC developed Departmental Policy 102, *Policy on Information Management* (May 2010). The purpose of the departmental IM policy is “to ensure efficient, effective and continuous management of information and in support of PWGSC programs, services and activities.”
7. The departmental IM policy states the responsibilities for the IM program are jointly vested between the Chief Executive Officer (now Chief Information Officer), Information Technology Services Branch (ITSB) and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch (CSSPB). The policy requires two branches to collaboratively work towards integrating departmental information management and individually for the services under their purview. The Chief Information Officer, ITSB is responsible for providing IM leadership and strategic planning in alignment with departmental priorities, and for leading, coordinating and reporting the departmental IM Program. The Assistant Deputy Minister, CSSPB is responsible for providing leadership and direction on managing

information as a vital strategic business resource to support program and service delivery, by leading the delivery of enabling services. A high level of cooperation is required to ensure the effectiveness of dual accountability, as each branch has differing priorities, challenges can arise in obtaining agreement from two parties.

8. PWGSC supports IM through eight internal services, with responsibilities mainly belonging to ITSB and CSSPB. Although other stakeholders share in these responsibilities, our audit focused on ITSB and CSSPB as the offices of primary interest.
 - enterprise information architecture services (ITSB);
 - records and documents management services (CSSPB);
 - library services (CSSPB);
 - data management services (ITSB);
 - content management services (all branches with guidance from Communications branch);
 - archival services (CSSPB);
 - business intelligence¹ and decision support services (all branches); and
 - access to information and privacy services (CSSPB).
9. While departmental IM has not been subject to previous internal audit, the Office of Audit and Evaluation has conducted audits within the past two years, which related to some areas of the eight internal services described above:
 - 2009-713 Audit of Classified Information Processed Electronically
 - 2009-714 Audit of PWGSC's Compliance with Selected Management of Information Technology Security Standard Requirements
10. Departmental IM performance is assessed as part of the Treasury Board's management accountability framework under area of management 12: Effectiveness of Information Management. The department's last assessment was in 2009, when an overall green rating (acceptable) was received. This last assessment indicated areas for improvement including governance and strategic planning to help the department advance its IM program and achieve a strong rating in future assessments.

FOCUS OF THE AUDIT

11. The objective of this audit was to determine whether PWGSC has the IM governance, strategy, policy framework, training, awareness, and communication to effectively manage departmental IM operations in accordance with Treasury Board policy requirements.
12. The audit focused on key elements in governance that support effective IM, including the IM committee structure, roles and responsibilities, and the department's performance monitoring

¹ Business Intelligence & Decision Support Services entail those services undertaken to achieve the efficient and effective management of information used to support proactive decision-making, priority setting, reporting requirements, and anticipatory actions. Activities typically associated with Business Intelligence & Decision Support Services include information capture, organisation, mining, protection, business analytics, query and reporting. (Source: Adapted from Government of California EA, educause.edu, Competitive-Intelligence.net, CIO.com, Wikipedia.org).

processes to support departmental IM operations. It also included an examination of the departmental IM strategy to ensure it aligns with government and departmental IM priorities, as well as an examination of the departmental policy framework to ensure consistency with Treasury Board requirements. Finally, the department's IM training and communication activities and plans to promote IM awareness were assessed to ensure they provide employees with required knowledge and skills to meet IM operational needs.

13. We reviewed relevant management practices associated with the eight internal services related to IM, but these were not individually assessed for effectiveness, efficiency or compliance.
14. Documents related to IM committees were examined for the period of October 1, 2010 to September 30, 2011. This one-year period provides for a reasonable amount of time upon which to conclude on committee activities.
15. More information on the audit objective, scope, approach and criteria can be found in the section "About the Audit" at the end of the report.

STATEMENT OF ASSURANCE

16. The audit was conducted in accordance with the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.
17. Sufficient and appropriate audit procedures have been conducted and evidence has been gathered to support the accuracy of the findings and conclusions in this report and to provide an audit level of assurance. The findings and conclusions are based on a comparison of the conditions, as they existed at the time, against pre-established audit criteria that were agreed upon with management. The findings and conclusions are only applicable to the entity examined and for the scope and time period covered by the audit.

OBSERVATIONS

FOUNDATION FOR GOVERNANCE ESTABLISHED BUT WEAKNESSES EXIST

18. Governance is the combination of processes and structures implemented by management to direct, manage and monitor the activities of the department to achieve the organization's objectives. With good governance, the department can operate effectively and better reach its desired outcomes.
19. A foundation for governance includes the establishment of a committee structure to provide oversight on the effective delivery of the department's IM program. A foundation also includes a departmental policy, which clearly defined roles and responsibilities for IM throughout the department to guide the department in ensuring compliance with Treasury Board policy requirements. It is also important these roles be understood by those responsible.

Information management committee structure is in place

20. A committee structure is one of the management mechanisms to make collective decisions about the direction of the organization. An established IM committee structure helps the department set the foundation for effective IM.
21. We expected to find an IM committee structure where each committee has a clear mandate, representation from across the branches, and holds regular meetings. The committees should be structured to ensure there is no overlap in responsibilities.
22. We found the department's IM committee structure has been established. It is composed of four committees, representing four different levels of management (Assistant Deputy Minister, Director General, Director, and IM Specialist). Collectively, their mandate is to provide direction and guidance on corporate IM matters, incorporating all eight internal services. The Assistant Deputy Minister level committee (Departmental IM/IT Steering Committee) makes decisions on IM matters, while the other three committees play an advisory role and make recommendations. A graph representing this relationship is presented in exhibit 1 on the next page.
23. The four IM committees are:

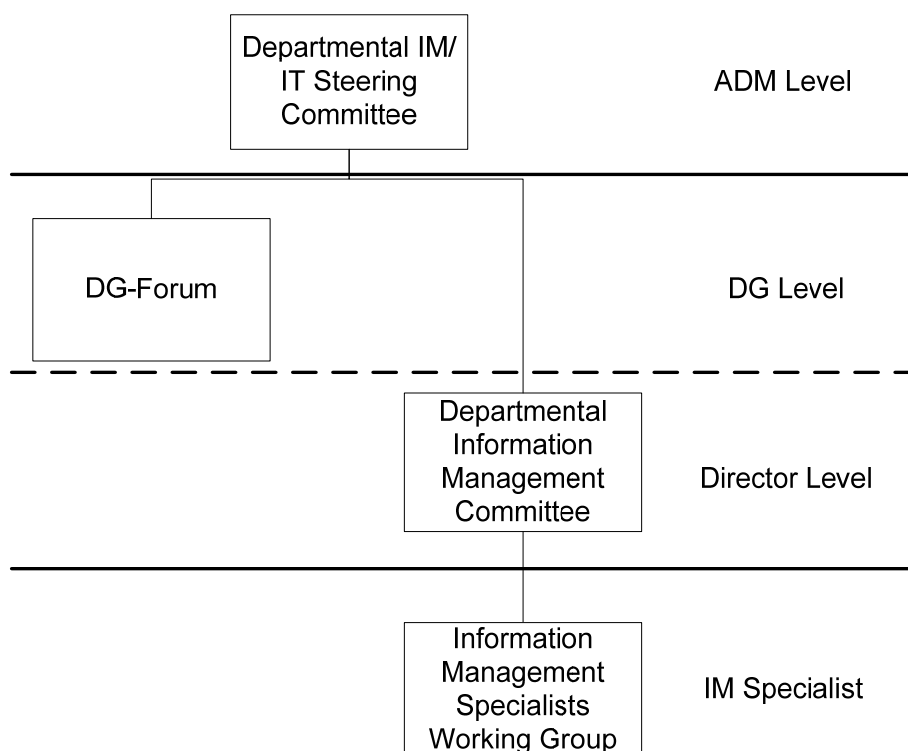
IM Decision-making committee:

- Departmental IM/IT Steering Committee – an Assistant Deputy Minister level committee that makes decisions on IM and Information Technology matters.

IM Advisory committees:

- DG-Forum – a Director General level committee that acts as a business-focused advisory board and looks at how IM/Information Technology issues affect the department. This committee makes IM/Information Technology recommendations to the Assistant Deputy Minister level committee.
- Departmental Information Management Committee – a Director level committee and sounding board for IM initiatives that makes IM recommendations to the Assistant Deputy Minister level committee.
- Information Management Specialists Working Group – a working group comprised of IM specialists, who have expertise in their respective IM internal services that support management of information at PWGSC. This group also includes participation from Branch Information Management Advisors, branch representatives for horizontal IM business opportunities. The Information Management Specialists Group makes IM recommendations to the Director level committee.

Exhibit 1 - Department Information Management Committee Structure



A detailed description of the IM committees' mandates is provided in Appendix A.

24. We found each committee has a stated mandate and representation from all branches and regions. According to the Terms of Reference for each committee, the roles and responsibilities for members are defined. There is no overlap in the committee responsibilities. We reviewed the records of all committee activities for a period of 12 months (October 2010 - September 2011), and our review indicates all committees meet regularly with committee meeting agendas and Records of Decisions completed and provided to members.
25. With an established committee structure, PWGSC has the foundation to help ensure IM initiatives are developed, analyzed and approved by an appropriate group of experts and senior executives to support the effective delivery of the department's IM program.

Attendance by committee members is inconsistent

26. Committee members represent their branch and collectively provide the necessary skill, experience and authority to discuss initiatives, make recommendations, and communicate decisions to provide strategic direction on corporate IM matters. The proper functioning of the IM committee structure, and ultimately IM governance, requires regular attendance from committee members.

27. We expected consistent attendance from members to ensure IM initiatives are given the proper attention and required analysis by a collection of members, each representing their operational group and providing skill and expertise.
28. We found the attendance to be an issue for all of the committees, which can affect their effectiveness. An analysis of all four IM committee Records of Decisions for the period of October 1, 2010 to September 30, 2011 indicated that on average membership attendance consists of: 48% core members, 31% alternates, and 21% not represented.
29. Interviews with the chairs of the Director and Director General level committees also identified attendance and presence of alternates as an issue in their committee operation.
30. Inconsistent attendance at IM committee meetings can affect the effectiveness of IM governance. Without proper attendance from different levels of management, quality IM initiatives and sound IM decisions may not be obtained. Attendance from variable alternates, who may not have the same authority or knowledge as the intended member, can result in the loss of continuity and prolong the process of consultation and development of IM initiatives.

Creation of a working group outside the existing governance structure

31. An effective committee structure adds value to the department by bringing initiatives to the table for discussion, consultation and decision. A decision-making committee can provide consistent oversight to guide the department in delivering a program.
32. We expected all IM initiatives to be brought to the IM committee structure for discussion, analysis and decision. Furthermore, we expected ITSB and CSSPB collaboratively work together to maximize the benefits of the established processes and structures implemented by management to ensure good governance over IM.
33. While an IM committee structure has been established to support good governance, we found the two branches responsible for IM may not have worked together to optimize the use of the existing governance body to effectively guide, direct and manage the department's IM program.
34. CSSPB created a department-wide working group, the Information Management Champions Working Group in May 2011. Although the draft Terms of Reference refer to a decision-making committee, in practice it has been used as a discussion and information sharing forum. Management has advised the draft Terms of Reference will be revised to reflect the nature of the working group. The group is jointly chaired by CSSPB and ITSB. Two meetings were held as of the end of our examination phase (November 2011). As per the draft Terms of Reference for this working group, its sole mandate is to improve corporate records management. This working group reports to the Policy, Planning and Communications Committee, chaired by the Assistant Deputy Minister of CSSPB. This working group operates outside of the existing IM committee structure as it does not report to or consult with any IM committee.

35. Records management, one of the eight IM internal services, is under the responsibility of CSSPB. This branch created the Information Management Champions Working Group to address an urgent need for compliance with new Treasury Board directives on records management. However, since an IM committee structure is already in place in the department to address all IM-related issues, we would have expected CSSPB to optimize the use of the existing governance body for records management. As a minimum, we would have expected this working group to consult with other IM committees and report to the IM decision-making committee for resolution and implementation of IM-related initiatives.
36. The creation of an IM working group outside of the department's IM committee structure brings into question the effectiveness of the IM committee structure. A separate IM working group has the potential to create confusion, duplication, and a lack of integration between the two branches responsible for IM.

Policy defines responsibilities, but these are not fully understood

37. A departmental IM policy is important as it provides a continuing authoritative reference for departmental employees concerning IM activities. It is a fundamental element to support a department-wide IM program.
38. We expected the department to have developed a departmental IM policy aligned with Treasury Board policy requirements. We also expected the policy to define and assign IM roles and responsibilities throughout the department, and that these are understood by those responsible.
39. Departmental Policy 102 *Policy on Information Management* was developed and approved in 2010 to comply with the Treasury Board *Policy on Information Management*. The Treasury Board policy requires departments to establish a policy, which assigns IM roles and responsibilities to ensure governance and accountability, as well as a structure to document decisions and activities. The policy also requires departments to monitor and report on their departmental IM program, hold training and awareness activities, share information across government, and participate in developing national and international standards.
40. We performed a gap analysis to compare the departmental IM policy to the requirements of the Treasury Board *Policy on Information Management*. The departmental IM policy satisfies almost all applicable requirements. The departmental IM policy does not state the specific roles and responsibilities of IM functional specialists, as required by Treasury Board's *Policy on Information Management*. Management is aware of this gap and plans to update the departmental IM policy.
41. We found the departmental IM policy specifically defines and assigns accountability as well as roles and responsibilities within the department. The policy assigns the shared ownership of IM to two branches, CSSPB and ITSB. It states all departmental employees are responsible for applying IM principles, standards, and practices for all information collected, created and used in the performance of their duties.

42. A survey conducted with the members of the director general level IM committee (DG-Forum) revealed that, in the respondents' opinion, the majority of directors, managers and employees of their respective branches are not aware of their role and responsibilities regarding IM.
43. Interviews with senior management from ITSB and CSSPB indicate that IM roles in the department, although defined and assigned, may not be clearly understood. There appears to be confusion about what IM entails, as interviewees from CSSPB and ITSB provide varying definitions for IM, which could lead each branch to focus on different priorities related to IM. We found 70% of Assistant Deputy Minister IM committee meetings, co-chaired by ITSB and Accounting, Banking and Compensation branch, focused solely on information technology during the period of our review. Furthermore, CSSPB created an IM-related committee to address records management issues. This situation could create the perception that IM is not yet mature at PWGSC, as the two responsible branches do not seem to fully understand and play their central role to coordinate, promote, and direct IM within the department.
44. With an overarching IM policy, PWGSC has a foundation to guide employees to manage information and support the department in complying with Treasury Board IM policies and support governance. However, the dual accountability over the IM program at PWGSC is creating leadership challenges as responsible branches have differing views on what IM entails. They could be seen to operate in silos, which can affect good governance of IM.

STRATEGIC PLANNING FOR INFORMATION MANAGEMENT IS REQUIRED

Department is currently developing a strategy for information management

45. A strategy is the high level plan that guides the department in meeting its objectives and ensures integration of activities with a common vision.
46. An IM strategy is important as it provides a framework for the effective delivery of the IM program to meet the IM needs of the department. An IM strategy can also provide a benchmark against which performance can be measured and monitored.
47. We expected to find an approved departmental IM strategy, which incorporates government and department IM priorities as well as Treasury Board policy requirements to meet the operational needs of the department.
48. We found there is no departmental IM strategy. However, ITSB is currently developing a corporate wide IM strategy - Enterprise Knowledge and Information Management Strategy.
49. The development of this strategy began in March 2011 and was endorsed by the Deputy Minister in August 2011. There was no draft strategy available for review at the end of our examination (November 2011), but a presentation of the strategy was subsequently made to the Deputy Minister Management Committee in January 2012. One of the steps in the

process to develop the strategy is to ensure alignment with government and department IM priorities, as well as Treasury Board policy requirements. ITSB indicated the department actively participates in Government of Canada IM committees, and the guidelines and requirements discussed at these meetings are shared and considered in the strategy development process.

50. Reviews of strategy development documents reveal that consultations were conducted with stakeholder groups, ranging from IM functional specialists to branch heads, to gain awareness of the departmental operational needs. The development of the IM strategy has been discussed during IM committee meetings at the Manager, Director and Director General levels for feedback and recommendations. In developing the IM strategy, ITSB consulted with CSSPB to ensure the strategy aligns with records management and IM training initiatives.
51. Even though the department has no IM strategy, the process to develop one is underway. Involvement from senior executives in the department will increase buy-in and can contribute to a more successful implementation. By developing an IM strategy, PWGSC will have a high level plan to guide the department in achieving its desired outcomes and improve IM performance.

Performance monitoring and reporting is lacking

52. Performance monitoring is a tool used to plan and manage the collection of data for analysis and reporting. This is important because it allows management to take the actions needed to ensure desired objectives are attained. According to departmental IM policy, the senior executives responsible for IM are responsible for monitoring performance and reporting results on the IM program.
53. We expected to find monitoring mechanisms to measure IM performance in the department and ensure compliance with the departmental and Treasury Board IM policies.
54. We found the department has external monitoring for mandatory requirements, but limited internal performance measurement is done. The department's IM performance was measured by Treasury Board Secretariat for the management accountability framework assessment in 2009 and PWGSC received an acceptable rating.
55. The lack of monitoring and measurement could be due to the fact that the department has no IM strategy which includes IM objectives and measurable goals. In discussing the IM strategy development with ITSB, we were advised a process to measure IM performance would be considered as part of the development of the strategy. The implementation of the strategy should provide for a benchmark against which performance can be measured and monitored.

56. Without monitoring and measurement of IM, it is difficult for the department to determine if IM efforts are effective at supporting operational needs. Furthermore, the degree of compliance with departmental and Treasury Board IM policies is hard to determine.
57. Monitoring and reporting of IM at PWGSC is required to effectively manage information, identify areas for improvement, and ensure departmental compliance with policy requirements.

AWARENESS AND TRAINING NEED IMPROVEMENT

58. IM awareness includes successful transfer of IM knowledge and practice to employees, including where to access IM policies, tools, and guidelines, to manage information on a daily basis. IM training encompasses all organized activities by the department, aimed at instructing employees to improve their ability to manage information and comply with departmental and Treasury Board IM policies.
59. In order for all employees to exercise their responsibilities in IM, it is essential for them to understand what is expected, have the skills to effectively perform their duties, and access available resources and tools.
60. We expected to find an IM communication plan aiming to promote and raise employee awareness of IM responsibilities. We also expected a comprehensive training approach to guide and support employees in discharging their IM responsibilities.
61. The responsibility for coordinating, promoting and directing these activities falls jointly under ITSB and CSSPB.
62. ITSB and CSSPB each have a communication plan/strategy to raise IM awareness in the department. ITSB developed its plan in 2009, with expected completion by March 2012. ITSB's plan focuses on informing and educating employees in regards to accountability and influencing a cultural transformation to change the perception of IM. CSSPB developed a communications strategy in April 2011 to raise awareness of manager and employee roles and responsibilities regarding IM and records management. We were advised by management that as of December 20, 2011, activities in ITSB's communication plan were approximately 50% completed, and activities in CSSPB's communication strategy were approximately 75% completed.
63. We found other measures are taken to promote and raise IM awareness in the department. IM kiosks are set up in Place du Portage and operated by IM specialists who provide participating employees with insight and guidance on IM subjects and issues. IM is also promoted via "In the Know", an internal newsletter communicated to all employees in PWGSC. Topics include tips and tricks for record and email management, policy updates, and announcements of new IM initiatives. Finally, the IM Portal provides a central location for employees to access information such as the IM lifecycle, rules and practices, as well as guidelines.

64. PWGSC has made notable efforts to promote and raise IM awareness to help employees understand their roles and responsibilities, and access available tools and resources to better organize and manage information. Despite these activities, we found a gap between these efforts and the feedback received from branch management regarding IM knowledge.
65. In order to determine the level of IM knowledge and skills at PWGSC, we surveyed members of the Director General level committee and the Information Management Champion Committee. These two IM committees have representation from all branches. Survey results of the Director General level committee reveal that 60% of respondents felt that employees in their branch have not received appropriate IM training. Additionally, 75% of the survey respondents from the Information Management Champions Working Group felt that employees in their branch did not have appropriate Records Management training.
66. Furthermore, interviews with IM specialists indicated awareness efforts are ambiguous, and that training is too technical for the majority of PWGSC employees to understand and implement. They feel awareness and training should be more practical and tailored to the specific responsibilities of employees in completing their daily activities.
67. Interviews with management from ITSB and CSSPB revealed that the current IM training and awareness is insufficient. There are limited departmental IM training courses available, and no training plan exists. A comprehensive training approach is required, which identifies IM needs and ensures the availability of training material for employees to possess the knowledge and skill.
68. ITSB and CSSPB management advise that they are working together to determine information needs; and develop a supporting IM curriculum with Human Resources Branch.
69. Without a departmental IM training approach geared to meet the specific needs of employees, it is difficult to ensure employees possess the knowledge required to apply IM principles for all information collected, created and used in the performance of their duties. Furthermore, effective training can help increase compliance with departmental and Treasury Board IM policy requirements.
70. It is expected that the IM strategy will include a training component, which will provide an opportunity to rethink the approach to IM training in the department.

CONCLUSION

71. We found PWGSC has a foundation for IM governance, but weaknesses identified could prevent it from effectively managing IM operations in accordance with Treasury Board policy requirements. These weaknesses have been found in the IM committee structure, strategic planning and reporting, as well as with awareness and training efforts.

72. Our findings indicate a foundation for IM governance is in place, demonstrated by an established IM committee structure and an IM policy aligned with Treasury Board policy requirements.
73. Areas for improvement include the consistency of attendance at IM committee meetings, and optimal use of the IM committee structure for all IM-related initiatives and decisions. Efforts to better understand roles and responsibilities will contribute to good IM governance at PWGSC.
74. The weaknesses identified may be attributed to the dual-ownership, which creates challenges for the two branches in effectively delivering the IM program at PWGSC. Each responsible branch has its own set of priorities and approach; therefore it is important for them to cooperatively work together in achieving good governance.
75. Strategic planning, monitoring and reporting are required for PWGSC to effectively deliver its IM program. Furthermore, a sound training and awareness plan will help ensure PWGSC employees obtain the required knowledge, skills and IM tools to fulfill their IM duties.
76. Once these weaknesses are addressed, the department will be in a better position to effectively manage departmental IM operations in accordance with Treasury Board policy requirements.

Management Response

Management has had the opportunity to review the Chief Audit and Evaluation Executive's report, and agreed with the conclusions and recommendations found therein. Management also developed a Management Action Plan to address these recommendations.

Recommendations and Management Action Plan

Recommendation 1:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should re-examine the governance of IM, including shared responsibility, to ensure it has appropriate accountabilities to strengthen oversight over the effective functioning of the IM Program.

Management Action Plan 1.1:

Prepare briefing note for the Deputy Minister with a recommendation to identify the Chief Information Officer, ITSB as the lead for the departmental IM program, including Management Accountability Framework Areas of Management (AoM) 12.

Management Action Plan 1.2:

Report quarterly to the Deputy Minister Management Committee (DMMC) on the departmental IM program, reporting on priorities, progress, risks and mitigation activities.

Management Action Plan 1.3:

Review and amend the Departmental Policy 102 *Policy on Information Management* to clarify roles and responsibilities as well as strengthen oversight of the IM Program.

- a. Table intent of changes to the departmental Policy and Planning Committee
- b. Present Proposed changes to the Policy and Planning Committee and the Deputy Minister Management Committee
- c. Policy Approval Process according to Departmental Policy 003 *Framework for Departmental Policy Instruments within PWGSC*

Management Action Plan 1.4:

Formalize branch Information Management capacity to liaise with the Centers of Expertise supporting the IM Program.

Management Action Plan 1.5:

To fold the activities of the IM Champions Working Group in Departmental Information Management Committee. These combined steps will strengthen oversight and improve the information management posture of the department, contributing to reduce risks associated with the delivery of information management services; these are also strong

contributor for an acceptable rating (green) under Management Accountability Framework (AoM) 12.1 and 12.2, governance and implementation respectively.

Recommendation 2:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should ensure the development and implementation of the departmental IM strategy to meet the operational needs of the department.

Management Action Plan 2.1:

Develop a Departmental Enterprise Knowledge and Information Management Strategy (EKIMS) by ensuring a branch consultative approach to achieve PWGSC's vision for IM over the next five years.

Management Action Plan 2.2:

As per the result of the Chief Financial Officer 2012-13 Budget Management and Financial Planning Exercise, implement the risk-based roadmap for Fiscal Year 2012-13 as approved at the Deputy Minister Management Committee on January 2012.

Management Action Plan 2.3:

Provide regular updates at the Deputy Minister Management Committee on departmental IM risks, mitigation activities and progress.

Management Action Plan 2.4:

Finalize PWGSC's IM strategy report to supplement action 2.1 of this recommendation which will define clear IM objectives and directions to achieve the departmental IM vision, and to describe the next steps using a high-level 5 year roadmap.

Recommendation 3:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should ensure monitoring and reporting mechanisms are established to measure IM performance and compliance with the departmental and Treasury Board IM policies.

Management Action Plan 3.1:

Develop an IM Performance Management Framework measuring the state of IM within the Department by working with the branches to establish a baseline enabling measurement of progress for the IM Program.

Recommendation 4:

The Chief Information Officer, Information Technology Services Branch and the Assistant Deputy Minister, Corporate Services and Strategic Policy Branch should take a comprehensive IM training approach by identifying IM needs and designing training material geared to ensure employees possess the necessary knowledge and skill to meet IM operational requirements and comply with Treasury Board policies.

Management Action Plan 4.1:

Develop a Departmental IM/Recordkeeping essential course to meet PWGSC's IM operational requirements and in compliance with Treasury Board policy instruments.

Management Action Plan 4.2:

Development a PWGSC Learning and Development Strategy (L&DS) to address departmental IM needs.

Management Action Plan 4.3:

Develop a PWGSC IM Curriculum for IM functional specialists to complement the current Canada School of the Public Service courses.

ABOUT THE AUDIT

Authority

This audit was recommended for approval by the Audit and Evaluation Committee of Public Works and Government Services Canada as part of the 2011-2016 Risk-Based Multi-Year Audit and Evaluation Plan.

Objective

The objective of this audit was to determine whether PWGSC has the IM governance, strategy, policy framework, training, awareness and communication to effectively manage departmental IM operations in accordance with Treasury Board policy requirements.

Scope and Approach

The audit examined departmental IM activities related to the audit scope covering the period of October 1, 2009 to November 30, 2011. It focused on the IM activities at PWGSC headquarters.

The audit focused on IM governance, strategy, policy framework, training, awareness and communication, for which Information Technology Services Branch and Corporate Services and Strategic Policy Branch are jointly responsible.

Documents related to IM Committees were examined only for the period of October 1, 2010 to September 30, 2011. This one-year period provides for a reasonable amount of time upon which to conclude on committee activities.

The audit was conducted in accordance with the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.

Criteria

The Treasury Board *Policy on Information Management*, the management accountability framework, and the Office of the Comptroller General's *IM Horizontal Audit* were reviewed to determine the criteria. The criteria used to assess IM were selected based on a risk assessment.

The criteria are as follows:

- **IM Governance:** PWGSC IM governance committees are established and working effectively; IM roles and responsibilities are clearly defined and assigned across the department; and IM performance monitoring and reporting processes are in place to support departmental IM operations.

- **IM Strategy:** Appropriate departmental IM strategy is in place, which takes into consideration government and departmental IM priorities, as well as Treasury Board policy requirements, to meet the operational needs of the department.
- **Policies and Procedures:** PWGSC policy framework to support the management of information is developed, communicated, implemented and maintained. This policy framework should satisfy Treasury Board policy requirements.
- **IM Training, Awareness and Communication:** The department provides IM orientation, training and communication to promote IM awareness, which will help ensure all employees have the required knowledge and skills to meet IM operational needs.

Audit Work Completed

Audit fieldwork for this audit was substantially completed on November 30, 2011.

Audit Team

The audit was conducted by members of the Office of Audit and Evaluation, overseen by the Director of Internal Audit and under the overall direction of the Chief Audit and Evaluation Executive.

The audit was reviewed by the quality assessment function of the Office of Audit and Evaluation.

APPENDIX A – IM GOVERNANCE COMMITTEE MANDATES

IM Governance Committee	Mandate
Departmental IM/IT Steering Committee (ADM-level, RDG-level)	A forum for strategic discussions and decisions on department-wide IM/IT-related matters: this committee draws on advice and recommendations from three sub-committees, the DG-Forum, the Architecture Review Board (not part of the audit scope) and the Departmental Information Management Committee to ensure the department makes IM/IT decisions that are fully consistent with departmental priorities, maximize efficiencies and provide for continued affordability and high levels of service. This committee ensures that decisions and directives are communicated and supported within the department.
DG-Forum (DG-level, NCR and Regions)	An advisory committee to the Departmental IM/IT Steering Committee: it is mandated to provide a forum where detailed business-focused discussions relating to the impact of IT-enabled changes take place. The nature of these discussions is non-technical and focuses on the department-wide impact of these changes.
Departmental Information Management Committee (Director-level, NCR and Regions)	A forum for strategic discussions on department-wide IM-related matters: this committee helps ensure that the department makes IM decisions that are fully consistent with departmental priorities and promotes collaboration between branches to ensure alignment with PWGSC's IM/IT strategies and business priorities. This committee acts as a sounding board for IM initiatives and makes IM recommendations to the Departmental IM/IT Steering Committee.
Information Management Specialist Working Group (IM Specialist/Manager-level)	<p>A working group comprised of IM specialists, at the manager level, who have expertise in their respective IM internal service areas that support IM at PWGSC. Its mandate is to:</p> <ul style="list-style-type: none"> • make recommendations to Departmental IM Committee in support of improving governance for managing departmental information; • support the promotion of awareness of IM roles and responsibilities, policies, directives, guidelines, best practices and standards; • share information on PWGSC IM roles and responsibilities, PWGSC and Government of Canada IM-related issues and initiatives, new technologies, trends, and best practices; and • support PWGSC business practices. <p>Branch Information Management Advisor is a branch representative who has been assigned the primary point of contact with respect to horizontal IM business opportunities within his/her workgroup. The group actively participate to the Information Management Specialist Working Group (management level IM committee), and is responsible for making recommendations about IM within the Department, relating to their field of expertise, to the Departmental Information Management Committee (DIMC).</p>