Information Management Policy

December 1991

*"Enhanced services and program delivery through
information and technology"*

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Canada

1. Overview

On August 1, 1989 Treasury Board issued a policy on the Management of Government Information Holdings (MGIH). In issuing this policy, the Government recognized the need to manage information as a vital resource. In June of 1990 the Treasury Board issued a policy on Management of Information Technology. This policy was accompanied by an Information Management Forward that stressed the complimentary relationship between the information holdings and information technology policies. These policies recognize the major investments being made in information holdings and technology and the need to link information management investments to departmental strategic and operational objectives and goals. This Departmental Information Management Policy consolidates the Treasury Board policies and addresses their application within CCAC.

More specifically, this policy establishes a management framework for the Department's information resources that integrates information management into the operational planning process. The policy also assigns roles and responsibilities for information management to four overlapping groups; all employees, program managers, designated functional authorities and the Executive Committee. It describes the employee's role in using, sharing and protecting information; the program manager's role in managing the information and technology required to deliver their programs; the role of designated functional authorities who provide common services and direction at the departmental level; and the role of the Executive Committee which establishes priorities and allocates resources.

2. Objective

The majority of CCAC employees are information workers who plan, collect, create, use and disseminate information. It is therefore critical to CCAC's mandate that employees have access to information as and when required. The benefits to be derived from the adoption and implementation of a policy which supports access to information resources include:

* improved service to the public through a reduced information response burden, easier and more complete access to information and improved turn around time on departmental services;

* enhanced ability to support government priorities and departmental program delivery through effective management of information resources;

* increased productivity and cost effectiveness through sharing and reducing duplication of information resources;

* improved quality of work life for all departmental employees through improved access to required operational, policy, legal and research information.

Departmental Policy Statement

It is the policy of the Department to:

provide an information management planning framework which addresses the life cycle of information holdings as well as legislative, Treasury Board and Departmental policies, guidelines and standards;

create or collect only that information which supports the Department's mission and objectives in order to minimize duplication of information resources and minimize the information response burden on the public;

encourage the sharing of information throughout the Department, with other government departments, and other governments, while providing information access to the general public, subject to legal and policy constraints;

disseminate the Department's information products and services in the most cost-effective manner, recovering costs where appropriate;

ensure that technology is used as a strategic tool to support government priorities and program delivery, to increase productivity, and to enhance service to the public;

provide all employees, in particular the front line operational staff, with the information resources suitable to their work assignments;

provide information management services and direction from a central organization where appropriate.

Authority and References

This Policy is issued under the authority of the Deputy Minister, Consumer and Corporate Affairs Canada.

The Director General of Finance and Administration is delegated the authority to ensure that this Policy is kept current, promulgated and implemented throughout the Department.

The basis for this policy is contained in the information laws, policies and Departmental Guidelines referred to in Appendix A. The documents can be consulted for further details.

5 Roles and Responsibilities

5.1 Employees

All employees will be provided the access to information and technology suitable to their work assignments. All employees are responsible for:

- making optimum use of available information resources;

- ensuring that new information is indexed to the Departmental inventories;

- adhering to central agency and Departmental policy in respect to information resources;

- communicating opportunities for sharing information resources.

- securing and protecting information resources.

5.2 Executive Committee

Executive Committee is responsible for:

- approving a structured process for information resource management and planning;

- setting priorities and assigning resources for information resource development initiatives consistent with the Department's strategic plan;

5.3 Program Managers

Program Managers at all levels have primary responsibility for the management of information resources required and created by their programs. Program Managers are responsible for:

- integrating information planning into the operational planning process. This includes planning information requirements for any new or modified programs and plans for information collection, in particular public opinion surveys;

- applying an information systems life cycle (see Appendix B) to ensure the effective implementation of information systems;

- maintaining a current, comprehensive and structured identification or classification system of program related information;

- applying a business case approach to all information collection and systems acquisitions;

- assuring the security of their information holdings and systems

- applying an approach which addresses the life cycle of information holdings process to ensure the appropriate collection, use, and disposal of departmental information

- deploying and maintaining an appropriate level of human and financial resources to support ongoing information activities;

- providing suitable information access, training and tools to their employees;

- seeking opportunities to improve their programs or realize cost savings through the application of information technology and systems to their information activities;

- ensuring that central agency and Departmental information policies are implemented appropriately within their program;

5.4 Functional Authorities

Designated departmental information functions include Information Resource Planning, Access to Information and Privacy, Information Management, Records Services, Forms Management, Security, the Library and Information Technology Services. The managers with functional authority in these areas are responsible for:

- coordinating the liaison with Central Agencies and providing Departmental input to Central Agency information policies and standards;

- providing advice to program managers with respect to Central Agency and Departmental policies and standards;

- coordinating the Department's information management planning, and ensuring that operational planning activities address the information resource needs of the Department;

- developing and coordinating a Departmental inventory of information holdings;

- identifying opportunities to improve programs or realize department wide benefits through strategic use of information resources;

- in consultation with program areas developing and recommending Departmental policies and guidelines for information resource management consistent with legal and government policy authorities;

- providing functional guidance to program managers with respect to the human and financial resources required to support their information resources;

- monitoring and reporting on the information activities of the Department by participating in and advising new initiatives as well as major ongoing information initiatives;

- facilitating the acquisition and sharing of information on emerging technologies, products and services;

- providing common information management services where appropriate.

Definitions

Business Case Approach is a logical and objective approach to justifying proposals for new information technology that sees the expenditure as an investment and identifies the returns and benefits to the organization. More detail can be found in Treasury Boards Management of Information Technology Policy document.

Information Collection is the planned gathering by or for a government institution of any information (including personal information as defined in the Privacy Act) that is intended to be used for any government purpose and includes both program or ongoing activity related needs as well as special projects, (i.e. surveys, public opinion research).

Information Holdings include all operational and administrative information under the control of a government institution, regardless of physical mode or medium in which such information may be stored. Without restricting the generality of the foregoing, this may include correspondence, forms, memoranda, books, plans, maps, drawings, diagrams, pictorial or graphic works, photographs, films, microforms, sound recordings, videotapes, machine readable records, published material and any other documentary material.

Information Resources includes both information holdings and all associated technology.

Information Response Burden refers to print and non-print information requirements imposed on the public by government legislation.

Information Systems Life Cycle is the phased methodology used to plan, select or develop, install and support information systems (see appendix B).

Information Resource Management refers to the overall management of an organization's information-based resources including its information holdings and supporting technological investments. It includes the coordination of the development and administration of the policies, practices and plans for the definition, organization, location, effective use, protection, retention and disposal or archival preservation of information holdings within an organization, and also includes the strategic deployment and approval of information technology investments and their ongoing administration.

Life Cycle of Information Holdings encompasses the stages of planning, collection, creation or generation of information; its organization, retrieval, use, accessibility, and transmission; its storage and protection; and, finally, its disposition through transfer to archives or destruction (see appendix C).

Public Opinion Research is any research that solicits the views of any segment of the public, including advertising.

Information Related Laws and Policies

All Departmental Acts and Legislation have an information aspect. In addition, the following laws and policies are relevant to information management:

Access to Information Act

Emergency Preparedness Act

Financial Administration Act

National Archives Act

National Library Act

Official Languages Act

Privacy Act

Government of Canada Communications Policy
(Chpt. 480, Administration Policy Manual)

Government of Canada Federal Identity Program

Government of Canada Security Policies and
Standards

Treasury Board Policy on Information Technology
Management

Treasury Board Policy on the Management of
Government Information Holdings

CCAC Administrative Policy and Procedures
Manual (Chpt. 3. Forms Management)

CCAC Departmental Policy on Official Languages

CCAC Departmental Security Policies and
Procedures Manual

CCAC Deputy Minister Circular 83-02: Access to
Information Act. Revised
June 1990

CCAC Deputy Minister Circular 87-04: General
Policy on the Management of Records and Other
Information.
September 17, 1989

CCAC Deputy Minister Circular 88-01: Privacy
Act. Revised June 1990.

CCAC Information Classification Policy
and Guide

Information System Life Cycle
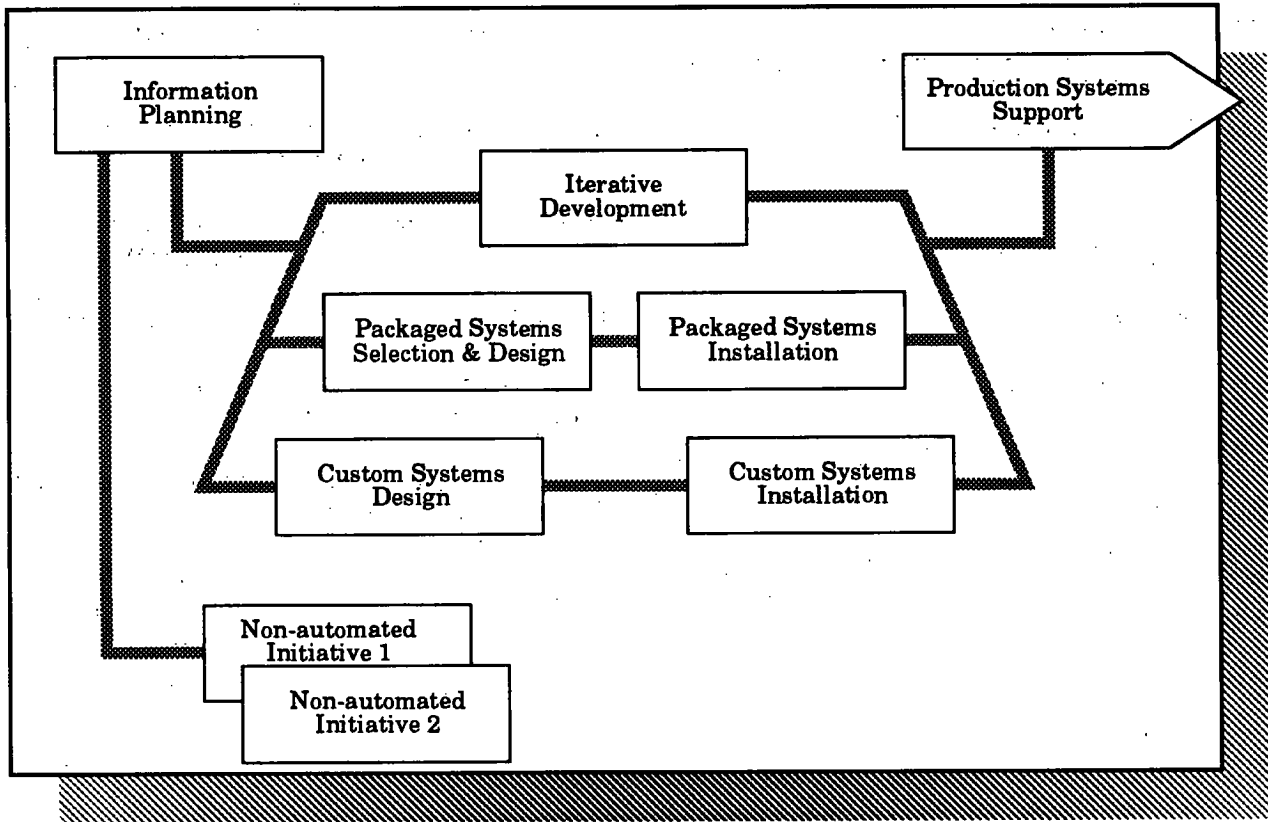
Information Planning	The transformation of business goals and objectives into clearly defined information system initiatives.
Iterative Development	The design and development of a system through successive approximations until a satisfactory system is complete.
Packaged System Development	The evaluation of available software, selection of one product, customization if necessary and then installation.
Custom System Development	The development of a unique system with unique requirements using the traditional systems development life cycle of analysis, design, construction and installation.
Production System Support	The ongoing operation of the system as well as system maintenance and change management.

Life Cycle of Information Holdings


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              INITIATION        DEVELOPMENT

        Identification      |  Collection
        Analysis            |  Creation
        Justification       |  Generation
        _____|_____
        Destruction         |  Use
        Archival            |  Accessibility
        Preservation        |  Protection
                            |  Transmission

              RETIREMENT        OPERATIONALIZATION
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