

Industry Canada

Information Management

Governance and Accountability

Framework

28 April 2010

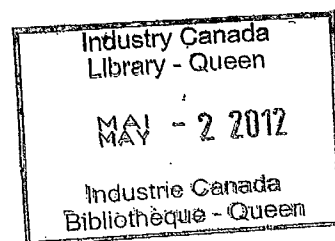


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Executive Summary

As a knowledge-based organization, Industry Canada relies on sound Information Management (IM) to achieve the Department's mandate and strategic objectives. Its IM program is guided by a recently endorsed multi-year IM Agenda designed to guide and sustain the successful implementation of IM across the Department. The following paper presents an enterprise-wide IM Governance and Accountability Framework to support that Agenda by providing for effective decision-making, coordination and oversight of IM initiatives.

The Framework addresses three critical questions with regard to IM governance and accountability. First, *what decisions must be made to ensure effective management and use of information?* Using a model of program life-cycle management, key IM decisions were identified and grouped under five categories of decisions; *Strategizing, Prioritizing, Developing, Implementing and Monitoring.*

The second question which needs to be answered is *who should make these decisions?* IM related decisions require participation from different levels of the Department - the senior executive, IMB, business units, program managers and individual employees. Each level influences IM decisions within a defined scope. For example, decisions made by IMB will have department-wide implications for IM, whereas decisions made by a business unit will be focussed primarily on the management of information within that unit.

The third question is *how will these decisions be made?* In order to address this question, an articulation of the specific roles and responsibilities of the IM stakeholders and governance committees at each level of the organization is required. The framework identifies the requisite accountabilities and responsibilities for each decision maker, supported by a proposed role-based committee structure.

The IM Governance and Accountability Framework, which incorporates each of the three elements described above, will result in strong and unified corporate leadership and the delivery of effective IM services to support business units in fully integrating IM into their business activities.

1.0 Introduction

Industry Canada is a knowledge-based organization with the mandate to help Canadians be more productive and competitive in the global economy. It operates under three strategic objectives:

1. A fair, efficient and competitive marketplace;
2. An innovative economy; and
3. Competitive industry and sustainable communities.

Good information management (IM) is critical in the achievement of each of the strategic objectives. Success depends on having access to information that is relevant, reliable, complete, current and timely, for as long as it is needed to meet business requirements. To create strong IM that aligns with and fulfills strategic objectives, however, requires strong governance. The goal of governance is to increase performance of IM within the organization and to enhance the value that the organization derives from the management of its informational assets. Governance¹ in this report is defined as *“the exercise of authority to provide direction and to undertake, coordinate, and regulate activities in support of achieving the stated direction and desired outcomes”*. It addresses the following three critical questions within the context of IM:

1. What decisions must be made to ensure effective management and use of information?
2. Who should make these decisions?
3. How will these decisions be made and monitored?

This report proposes an IM governance and accountability framework, which responds to these three questions. Development of the framework was informed by interviews with senior management at Industry Canada, a review of the leading governance practices from the private and public sectors, and an assessment of the Government of Canada IM Policy Framework.

The report is organized as follows. First, a brief background on Industry Canada's IM is provided. Second, a need for IM governance in the Department is illustrated. Third, the three questions are addressed in developing the IM governance and accountability framework.

2.0 Background

In 2008, Treasury Board released the Policy on IM to provide consistent direction to all Government of Canada (GC) departments and agencies regarding the effective management of information to support informed decision making, transparency, and accountability. In keeping with the Policy, and in recognition of the current state of IM and the strategic importance of IM to Industry Canada, an overarching IM Agenda was endorsed by Management Committee in November 2008. The objective of the IM Agenda is to ensure that the Department:

¹Whereas accountability deals with the roles and responsibilities of individual actors, governance deals with the mechanisms that enable individuals to meet their accountabilities.

"Manage[s] information efficiently and effectively to support program and service delivery, foster informed decision-making, facilitate accountability, transparency and collaboration and, preserve access to information and records for the benefit of present and future generations"

More specifically, Industry Canada needs to:

- ensure that the information it produces, uses and publishes is reliable, consistent and available, that information Canadians entrust to Industry Canada is managed in their best interest and safeguarded from unauthorized disclosure, and that decisions and decision making processes are documented to account for Industry Canada actions;
- mitigate the IM risk identified by senior managers "that important information may be lost or difficult to find, resulting in decision-making challenges, lack of productivity, loss of corporate knowledge and challenges for ATIP compliance;" and
- ensure that it is better able to meet obligations for public disclosure of information under the Access to Information and Privacy Legislation.

The roadmap to meeting the objectives of the IM Agenda involves four phases over the next seven to eight years: beginning with governance and awareness; followed by the development of the foundational architecture and infostructure; planning for and delivering the desktop tools and supporting IM Human Resource capacity; and, culminating in department-wide seamless integration of IM into all business activities.

Getting the governance right is seen as a critical prerequisite to achieving the Department's IM objectives and ensuring that the Department is able to operate as a collective enterprise in meeting its business, legal and policy obligations.

3.0 The IM Governance and Accountability Gap

A number of recent assessments of the state of IM at Industry Canada, have consistently supported the need for more effective IM governance and accountability.

In 2003, a review of the state of Information Management and Knowledge Management (IM/KM) within Industry Canada provided a snapshot of how employees and managers viewed IM/KM at Industry Canada. Its findings were based on: a survey questionnaire sent to 3,000 Industry Canada employees (491 respondents); interviews with 18 executives at the Director General and Director levels; and, two workshops with representatives from all sectors. In addition to observations on the lack of appropriate IM tools, respondents identified leadership (and by extension governance) as the number one critical success factor for effective IM/KM.

In 2004, a review of Industry Canada's IM Policy Framework² noted that the Department "did not have the necessary IM governance structure needed to address IM policy and capacity issues...and that IM policy issues could not be addressed in isolation, but would need to be done in concert with the overall capacity of the organization to provide and sustain the appropriate level of infrastructure, tools, standards, guidelines, training and resources".

In 2008, as part of an assessment of Industry Canada's corporate risk profile³ IM was identified as one of six risks requiring senior management attention. The report indicated that IM had significant implications on all three strategic outcomes and that appropriate governance structures, policies, and guidelines were required to ensure continuous and effective IM in the Department.

3.1 Consultation with Industry Canada Senior Managers

As part of the current data gathering phase for the development of the Governance and Accountability Framework, interviews were conducted with 12 senior managers within the Department to assess their views on IM. The interviewees overwhelmingly concurred with the findings of the corporate risk profile and agreed that IM needed to be addressed as a priority. They indicated that they were willing to contribute, but that IMB needed to take the lead, supporting a centralized approach to governance. Further, all of the respondents indicated that a fundamental condition for effective IM is strong leadership and a voice at the highest level of the Department. They were aware of the responsibility for IM being assigned to the DM by the Treasury Board and the designation of the ADM-SBMS as the Industry Canada Senior Executive Responsible for IM, and indicated that this designation satisfied a first step towards effective governance.

They indicated further that to operate effectively, senior management needs to be aware of the importance of IM, and given an in-depth account of the current IM challenges faced, so that IM will be elevated in the list of departmental priorities. They identified a need for a "pan-departmental strategy" for IM. They insisted that roles and responsibilities need to be defined for employees at all levels, and appropriate tools to meet these responsibilities developed, implemented and supported. It was also agreed that the development of tools and maintenance of an ongoing IM program requires appropriate oversight that considers the needs of all sectors and services.

There was overall agreement that a strategic IM committee would be the most viable mechanism for ensuring consultation, coordination and oversight on IM issues. Many indicated that to be effective it must include participation from all sectors and services, and generally, the respondents believed participation should be at the DG level. At the same time, there seemed to

²Industry Canada, MGI Framework Assessment, 2004 (Doc#5360)

³Industry Canada 2008-09 Corporate Risk Profile, Sept 2008 (Doc # 59427)

be little appetite for adding a new committee to the overall governance structure, particularly at the senior level. There were mixed opinions as to whether ITSMC was the appropriate committee to address IM matters. Some felt it was appropriate, given the IM implications for all information systems, the increasing problems of managing information in electronic format and the need to have an automated IM system. It was agreed, however, that there was a need to deal with IM and IT as separate entities, to recognize that IM requirements are different from IT requirements and need individual consideration.

Other key findings from the consultations included:

- A strong willingness to work towards a corporate solution to building capacity;
- Agreement that IMB needs to develop the IM infrastructure that would establish the operating principles for IM capacity;
- The tools, practices, processes, and corporate support for IM must be in place before taking tangible steps to create and staff IM specialist positions within sectors;
- There was a need for corporate IM services to become more visible, to ensure employees know where to turn for IM support, and to communicate roles and responsibilities and the range of services that are available;
- There needed to be a strong partnership between the sectors and IMB; and
- A community of experts should be established, allowing people with specialized expertise across the Department to share ideas and find common solutions to issues.

3.2 Review of Governance Best Practices - OGDs

A review of IM governance best practices at Transport Canada (TC), Canadian International Development Agency (CIDA) and Natural Resources Canada (NRCan) further supported these findings. TC representatives stressed the need for strong leadership from senior management in managing information as an integral part of their business delivery. They also emphasized the need to communicate and identify clear IM accountabilities at all levels of the organization. Accordingly, they have put in place an IM/IT governance structure to ensure that IM requirements are considered in business and IT decision-making. All IM initiatives are vetted by a Business Information Council and strong IM funding support is provided by a Management Board. As well they have established a Departmental Steering Committee, with national business representation, to promote adherence to TC's IM Directive and to support IM Policy implementation.

At CIDA, governance is supported by Branch Information Advisors in each sector, funded by the sectors, but functionally reporting to corporate IM Services. In addition to the advisors who provide the necessary IM capacity, strong IM funding support is provided by the Department's Management Board.

At NRCan, IM governance is based on a federated model that spans and connects all NRCan information stewardship domains (IM, IT, Internet, and content management). The underlying premise of the IM accountability structure is that there should be no real difference in accountability terms between a business program and the IM program. Accordingly they have put in place a comprehensive Information Accountability Matrix, setting out the accountabilities of all of those involved in the stewardship and management of information, from DM to individual departmental employee.

4.0 Developing a Governance and Accountability Framework

In light of the demonstrated need for sustainable IM governance and accountability at Industry Canada the following section looks at the underlying questions which governance needs to address. These include *what decisions must be made*, *who should make those decisions* and *how these decisions should be made* within the context of IM. The resulting IM Governance and Accountability Framework must provide answers to these questions in a manner which takes into account the business, legal and accountability needs of the organization.

4.1 What Decisions Must Be Made?

As suggested by a review of current literature, there are five key decision stages in the IM program life cycle, namely, *Strategizing*, *Prioritizing*, *Developing*, *Implementing* and *Monitoring* (as shown in Figure 1).

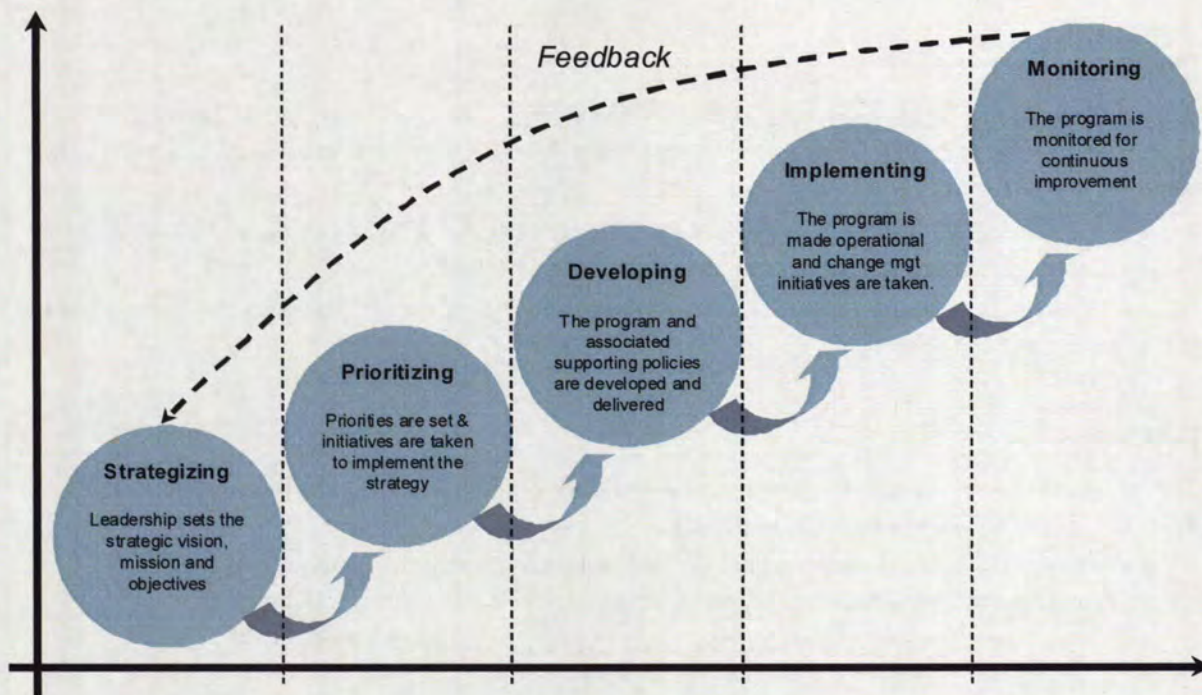


Figure 1: IM Program Life Cycle

Key decisions must be made at each of the five stages. Based on analysis of the data collected, and systematic review of leading practices and the GC's policies on IM, the following decisions were deemed as being relevant to Industry Canada.

Strategizing

During this stage, leadership within the organization sets the strategic vision, mission and objectives for the IM program. This ensures that IM is undertaken as an identifiable and integral element of departmental programs and services. The critical decisions made during this stage include:

- *Departmental long-term strategy*: Establishes the overall strategic direction for IM within Industry Canada. The strategy should define a clear pathway for IM initiatives, ensure that IM is aligned with the Department's business objectives, and that governance structures, mechanisms and resources are in place; and
- *External liaison*: Ensures that Industry Canada is represented on the GC's IM committees so that the development and implementation of government-wide IM legislation, policies or procedural instruments is responsive to the needs of the Department's clients and stakeholders.

Prioritizing

At this stage of the IM program life cycle, the IM plan and priorities are set, as well as the allocation of appropriate resources for IM program development. The critical decisions at this stage include:

- *Departmental IM plan*: Identifies specific investment proposals required to meet IM strategic objectives; and
- *Resource allocation*: Ensures that the necessary resources required to implement the IM plan are available.

Developing

The program is developed based on the planned deliverables identified in the previous stage. Specific decisions during this stage include:

- *Direct IM in the Department*: Defines and develops the frameworks, guidelines, procedures, standards, tools and policies needed to support the IM program;
- *Information Architecture*: Ensures that IM projects align and/or contribute to the development of an overall enterprise information architecture;
- *IM Infrastructure*: Ensures that IM projects align and/or contribute to the development of an overall IM infrastructure;
- *IM community development*: Establishes the need for and manages various communities of practice supporting the IM program; and
- *IM awareness and education*: Identifies the need for and offers IM awareness and education (e.g. training and workshops) initiatives to support delivery of the IM program.

Implementing

Based on business objectives, priorities and requirements, the IM program is made operational, delivered and sustained. Specific decisions include:

- *IM services*: How best to integrate the delivery of IM services for Records Management, Access and Privacy, Library Services, Web Management, Data Management and Business Intelligence and Decision Support department-wide;
- *Integration of IM into business*: Manages the integration of IM into department-wide business processes; and
- *Develop IM capacity within business units*: Ensures that proper capacity is developed within business units (e.g. sectors and branches) to provide sustainable IM services.

Monitoring

During this decision stage, the program is monitored and recommendations made to address any shortcomings. Specific decisions include:

- *Performance monitoring*: Establishes the evaluation criteria, monitors and reports the business impact of the IM program on an ongoing basis; and
- *Accountability reporting*: Provides IM input to the Treasury Board Management Accountability Framework (MAF), Report on Plans and Priorities (RPP) and other external accountability reporting instruments.

4.2 Who Should Make The Decisions?

IM impacts all levels of the Department and as such requires a governance process which spans all levels including strategic, business unit and operational levels. Furthermore, as noted in the supporting analysis effective governance requires:

- strong and unified leadership, effective planning and sustained development;
- sustained corporate support;
- consultation at all levels of the Department; and
- recognition that as process owners the sectors are ultimately responsible for integrating IM into their business processes.

The following model (see Figure 2) and supporting text provides a brief overview of the role of the individual decision makers at each level and the kind of decisions that they are best positioned to make.

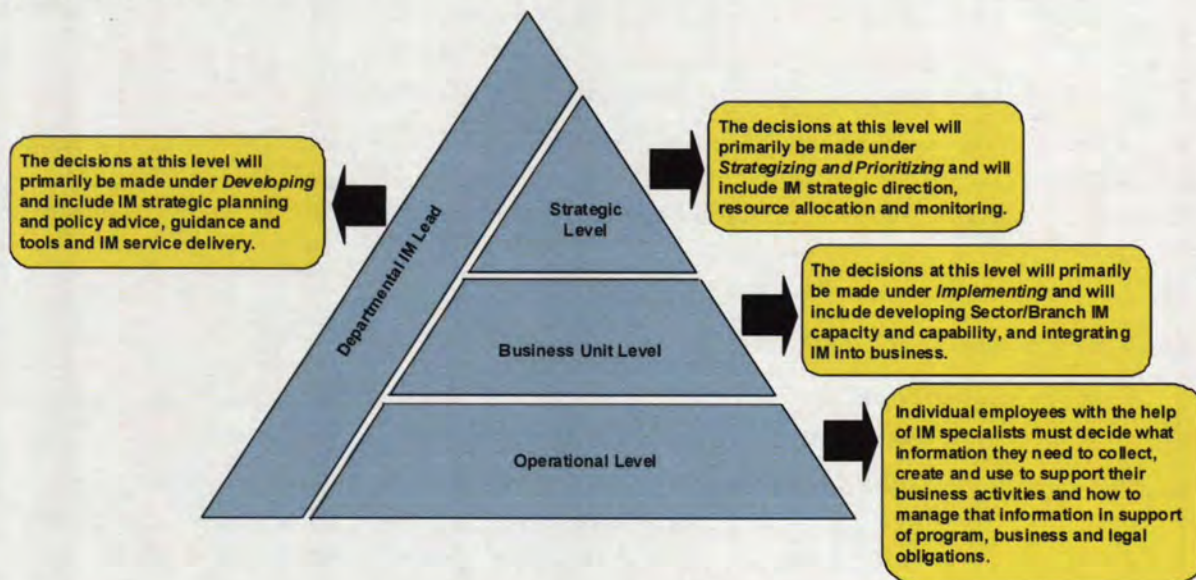


Figure 2: IM Governance and the Decision Makers

Strategic Level

At the strategic level, senior executives are actively involved in making strategic IM related decisions with input from corporate and sector functional advisors. The resulting decisions can be grouped into three broad categories namely *Strategizing, Prioritizing and Monitoring*⁴.

Decision makers at this level influence IM by:

- setting and providing overall strategic IM direction and values for the Department;
- ensuring sound IM plan, budget and priorities; and
- assessing the IM strategic outcomes for the continuous improvement of the IM program.

Extensive consultation is required. For instance, the DM will set the departmental long-term strategy on the advice of the Senior Executive Responsible for IM, the ADM SBMS, with input from the sector ADMs and corporate advisors (e.g., DG IMB, DG HRB, CAS).

Business Unit Level

At the business unit level, the decision makers involved will focus on building sustained IM capacity and capability within business units. These stakeholders will influence IM by:

- putting in place the requisite network of systems, processes and people to ensure that sector information is managed as a strategic resource which supports program and service delivery;
- developing business unit IM capacity, for example, through IM training and workshops; and
- assessing IM program effectiveness within their area of responsibility.

Ongoing consultation and support is provided by IMB and other functional IM specialists. Sector ADMs are accountable for ensuring that their DGs and Program Managers deliver on the IM priorities established at the strategic level and that staff are equipped with the requisite capacity and know-how to do so.

Operational Level

At the operational level two groups of decision makers are identified - individual employees and Sector IM functional specialists - with the primary focus being on IM implementation.

Individual employees at the desktop are responsible for integrating IM into their business by managing the information they collect, create and use as a valuable asset to support not only the outcomes of the programs and services, but also the Department's operational needs and accountabilities including:

⁴ Shared at the strategic, business unit and Information Management Branch levels

- applying GC and Industry Canada's information management policy, standards, procedures, directives, guidelines, tools and best practices in a way that supports business;
- documenting their activities and decisions;
- providing and bringing to their manager's attention information requirements and issues; and
- treating departmental information in a manner that facilitates access while ensuring privacy and security requirements are met.

IM Specialists within each Sector, at the working level, are responsible for supporting the effective management of all information collected created and used within the sectors by:

- providing support to sector employees in the use and application of IM standards, guidelines and tools for managing information;
- providing functional IM advice and guidance to sector employees at all levels;
- delivering IM services, advice and training and awareness sessions to the sector personnel at all levels;
- supporting integration of IM requirements into the sector's business and IT strategies and plans;
- working with corporate IM service providers to ensure that sector IM service needs are met;
- collaborating with other departmental stakeholders to address information life-cycle requirements in the development and operation of processes, systems, standards and tools that support business information requirements;
- bringing IM requirements to the attention of Sector Management;
- participating in the development and dissemination of IM best practices through an IM Community of Practice and ongoing consultation with IMB and sector business managers; and
- coordinating sector response to Access to Information and Privacy Requests with IMB through designated sector ATIP specialists.

Departmental IM Lead Level

The Information Management Branch, as the departmental IM lead, provides sustained support at each level of the hierarchy from the provision of strategic policy and planning advice at the strategic level, to the provision of guidance and tools at the business unit level and IM service delivery at the operational level.

Support at the strategic level would include:

- developing the departmental IM long-term strategy;
- coordinating and developing yearly departmental IM plans;
- identifying, addressing and monitoring departmental IM resource requirements;
- providing policy and planning advice as the departmental principal advisor on IM;
- advising the CIO on information management requirements and objectives;
- monitoring and reporting on the progress of IM at Industry Canada; and
- providing IM input to the MAF, RPP, and other accountability reporting instruments.

Support to the business unit level would include:

- ensuring that IM requirements are addressed during the planning phase of departmental program and system design;
- providing IM standards, guidelines and procedures;
- developing, implementing and maintaining a departmental information architecture as part of an enterprise architecture; and
- developing a departmental IM Awareness Program.

Support at the operational level would include:

- providing integrated corporate IM services including Records Management, Access and Privacy, Library and Knowledge Centre, Web Management Services;
- ensuring that appropriate management direction, processes and tools are in place to efficiently manage information under the control of the Department;
- providing corporate support to a departmental IM Community of Practice; and
- coordinating departmental responses to the *Access to Information and the Privacy Acts* across Industry Canada.

4.3 How Should Decisions be Made?

In addressing this question with respect to IM the following section outlines the specific roles of individual decision makers at each level. In addition, it proposes a committee structure to support coordinated IM decision making based on an assessment of the strengths and weaknesses of the existing committee structure.

4.3.1 Decision Makers' Roles

Decision makers have two primary roles - They are either Accountable (A) or Responsible (R):

- *Accountable* - Those who are ultimately accountable for the correct and thorough completion of the deliverable or task, and the one to whom R is accountable. In other words, an A must sign off on work that R provides. There must be only one A specified for each task or deliverable.
- *Responsible* - Those who do the work to achieve the task. There is typically one role of R, although this can also be delegated to others to carry out the work required.

These roles are assigned to each class of decision maker in keeping with the logic presented in Section 4.2. For example, the locus of Accountable and Responsible roles for *Strategizing* and *Prioritizing* related decisions is at the strategic level. These decisions, however, are made in consultation with other key stakeholders. Similarly, the locus of Accountable and Responsible roles for *Implementing* related decisions is at the program and operational levels and again made in consultation with stakeholders at other levels.

The roles of all the decision makers for specific decisions are reflected in the following accountability matrix (see Figure 3). The matrix brings together all of the key elements discussed thus far into a single high-level view of how decisions should be made across the IM landscape. The column headings list all the decision makers, and row headings list all the decisions. Together these provide an insight into the key accountabilities and responsibilities of each decision maker for each decision. For a more detailed view on individual roles and responsibilities see Appendix A.

Decision Stage	Decision	DM	Sen. Exe.	DG IMB	CIO	ADM CAS	Sector ADM or Equ.	Program Mgr ¹	Employees
1. Strategizing	Departmental long term strategy	A	R	R			R		
	Input to GoC IM Agenda	A	R	R					
2. Prioritizing	Departmental IM plan	A	R	R			R		
	Resource allocation	A	R	R			R		
3. Developing	Direct IM in the department		A	R		A ⁴		R	
	Information architecture			A				R	R
	IM Infrastructure			A	R			R	R
	IM community development			A				R	R
	IM awareness and education			A					R
4. Implementing	IM services ²			A	A ³			A	R
	Integration of IM into business						A	R	R
	Develop IM capacity within business unit						A	R	R
5. Monitoring	Performance monitoring	A	R	R			A	R	
	Accountability reporting		A	R			A		

Figure 3 - Accountability Matrix

Legend

Roles – Accountable, Responsible

Scope - Enterprise, Sector

Note:

- ¹ Managers at Sector level are responsible for managing information as an integral part of their program and service delivery, and as a strategic business resource.
- ² Some Sectors provide their own IM services.
- ³ Accountability for providing data management services.
- ⁴ Accountability for providing instructions and guidelines to facilitate information security.
- If a given row has no assigned R, then A means both A and R.
- An assumption is made that the DM delegates most IM responsibility to ADM SBMS but retains accountability for long-term strategy development, resource allocation and performance monitoring.

4.3.2 IM Governance Committees

IM governance committees provide an effective way to involve and generate commitment among decision makers, and to communicate IM decisions and related desirable behaviours. In

addition, committees provide a key integrating mechanism by which stakeholders are brought together and have their concerns and input heard. Three types of committee roles are identified, each working at different stages of decisions (Figure 4). These roles include making *Strategic Decisions*, facilitating *Integration* of IM with other departmental functions, and addressing IM *Technical and Operational* matters.

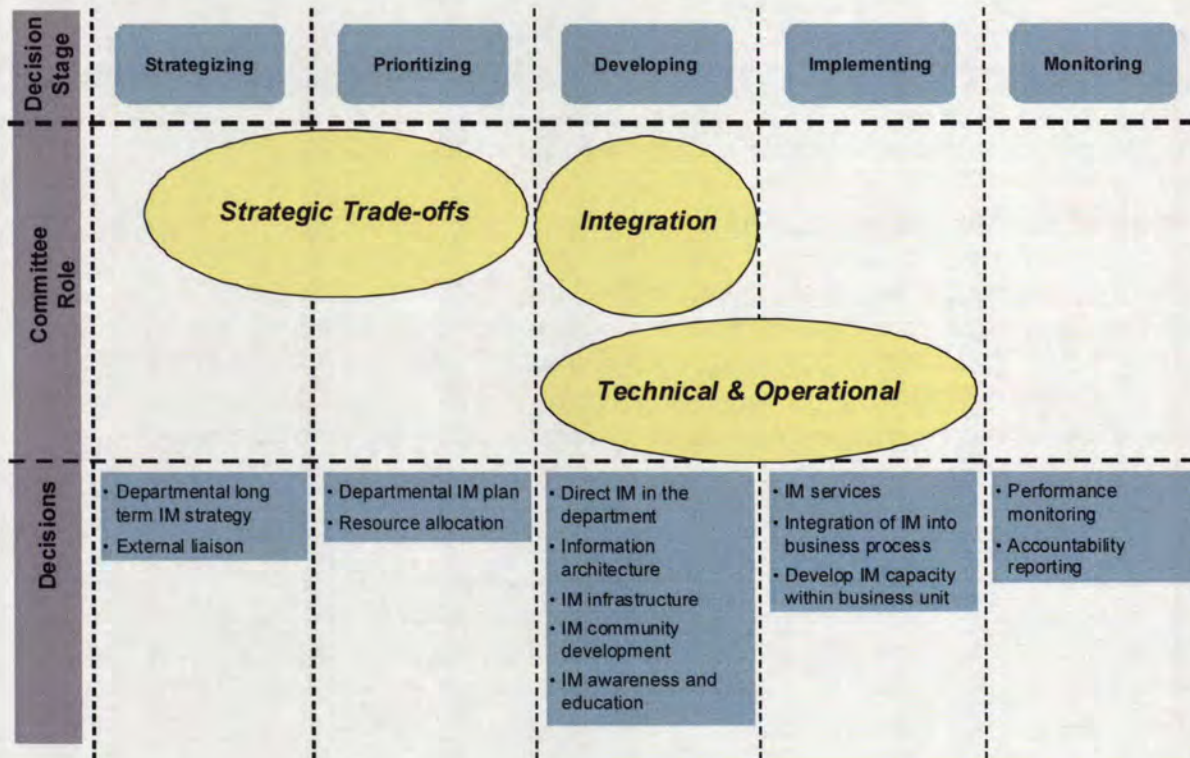


Figure 4: IM Governance Committee Structure

Strategic Decisions

The primary role of committees at this level is to set the IM long term strategic direction for the Department and to make strategic decisions regarding IM and IT resource allocation. The resulting decisions must address IM needs of the Department as whole while balancing short term and long term objectives. Committees tasked with this role would support the Senior Executive Responsible for IM in setting strategic direction, providing liaison with the senior cadre of the Department, setting IM policy and investment priorities in light of departmental objectives, and ensuring the allocation of appropriate implementation resources.

They must have the authority to ensure that their decisions are carried out, including the authority to re-allocate funds as necessary. They must also monitor the evolution of IM in the Department and ensure that, as appropriate, corrective action is taken.

Integration

The primary role of committees at this level is to facilitate IM integration with other corporate initiatives and with program delivery. Bringing together stakeholders from all key business units and corporate services would also provide an advisory body to support IMB and other IM decision makers in developing IM solutions which support business.

Technical and Operational

The committees at this level will support the development of the IM infrastructure, related IM standards and practices, and IM implementation. In addition, the committees would provide a focal point for: working level consultation; the sharing of information practices and processes; the development of IM implementation strategies; and the provision of IM support to business, while at the same time ensuring departmental compliance with legislation and policy.

4.3.3 IM Governance Committee Structure

In the section above the discussion was focused on the functional roles that committees would play in supporting IM at the strategic, integrating and operational levels. The following section looks at the existing committees that currently provide IM support at each of the three levels, identifies specific committee roles, and where a gap exists proposes the formation of a new governance body (See Figure 5).

It should be noted that the chair of each committee is invested with the authority for making decisions in support of committee's mandated role. Each member in turn is responsible to ensure that their individual input is directed towards supporting the chair in carrying out that role.

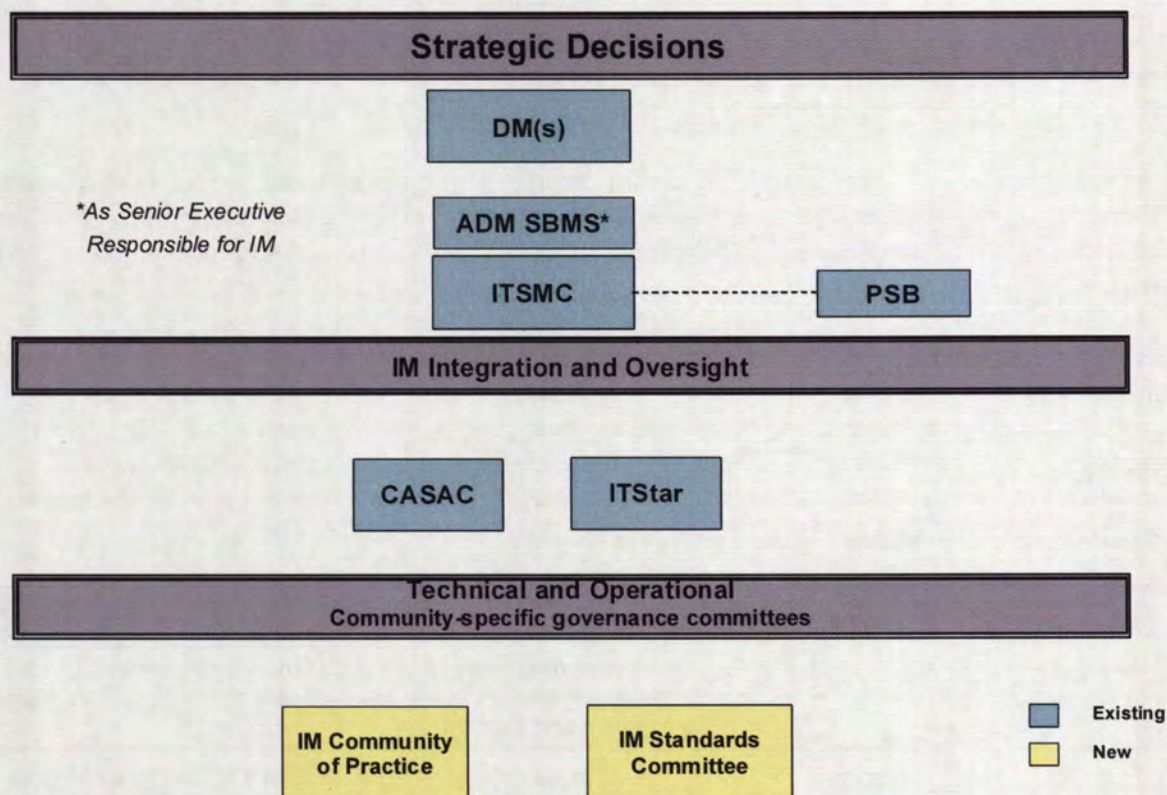


Figure 5: IM Governance Committee Structure

At the strategic decisions level, ITSMC is currently responsible for supporting the Senior Executive Responsible for IM in setting strategic direction and in making investment decisions for both IM and IT. If ITSMC is going to play an active role in setting IM policy and investment priorities in light of departmental objectives and in allocating resources, its mandate will need to be strengthened.

At the IM integration and oversight level, CASAC will extend its mandate to also play the role of IM Advisory Forum. Under this updated role, CASAC will make recommendations to IMB regarding the development and implementation of IM solutions to support business. The committee is comprised of DG level stakeholders from representative business units and corporate services. The committee will also help to ensure that IM priorities from different business units and corporate services are aligned and integrated with each other before they are moved up to the strategic level decision making.

Similarly, ITStar is in the process of revising its mandate to include the establishment and maintenance of the Enterprise Architecture encompassing IT, IM and Business Architecture decisions

At the technical and operational level, an IM Standards Committee would be established under the direction of Manager, IM Architecture, Tools and Applications to address IM infrastructure, provide information architecture input to the Enterprise Architecture Committee, and develop IM related standards.

It is also proposed that an IM Community of Practice be established to provide a focal point for departmental consultation on IM matters. Operating as a network of IM practitioners at the working level the IM Community of Practice would provide for: the sharing of IM practices; recommending, developing, implementing, and endorsing IM strategies, procedures and processes to support business activities while ensuring departmental compliance with legislation and policy. A summary of IM governance committee roles is provided in Figure 6.

	Committee	Action	Role
Strategic Decisions	ITSMC	Revise	Under the direction of ADM SBMS make recommendations to the DM regarding the setting of IM strategic direction, resource allocation and monitoring
Integration	IM Advisory Forum - CASAC	Revise	Under the leadership of ADM, CAS and CFO, the committee will make recommendations to IMB regarding the development and implementation of IM solutions to support business; and ensure the alignment and integration of IM priorities from different business units.
	ITStar	Revise	ITStar is a DG level cross functional committee chaired by the CIO with DG level representatives from IM, IT and Business. Its role is to support the building and maintenance of an enterprise architecture (IM/IT/business), and to review and make recommendations on the architecture of all governed IM/IT projects.
Technical and Operational	IM Standards Committee	New	Under the direction of Manager IM Architecture, Tools and Applications address IM infrastructure, provide information architecture input to the Enterprise Architecture Committee (ITStar), and develop IM related standards.
	IM Community of Practice	New	Operating as a department-wide network of IM Specialists it would provide a focal point for departmental consultation on IM matters at the working level including; the sharing of IM practices; recommending, developing, implementing, and endorsing IM strategies, procedures and processes to support business activities while ensuring departmental compliance with legislation and policy.

Figure 6: IM Governance Committee Roles

4.4. Criteria for Success

IM governance is critical to ensuring that IM supports the business and accountability needs of the Department. However the following criteria must be met to ensure success:

- authorities need to be aligned with accountabilities, mandate and senior management expectations;
- IM long-term strategies must be integrated with departmental long-term business and resourcing strategies;
- committees must be provided with the requisite information (content, context and quality) to make informed decisions; and
- the right balance must be struck between short-term ROI and the necessary long-term investment.

Appendix A - Roles And Responsibilities

1. DM

Key Decision	Roles	Description
Departmental IM long term strategy	Accountable	<ul style="list-style-type: none">• Approve Industry Canada's IM long term strategy to meet business, legal and policy requirements.• Approve IM governance
External liaison	Accountable	<ul style="list-style-type: none">• Designate a Senior Executive Responsible for IM to represent DM to TBS
Departmental IM plan	Accountable	<ul style="list-style-type: none">• Approve departmental yearly IM plan
Resource allocation	Accountable	<ul style="list-style-type: none">• Ensure funding is available to support the implementation of the departmental IM long term strategy
Performance monitoring	Accountable	<ul style="list-style-type: none">• Responsible for ensuring that appropriate remedial action is taken to address any IM deficiencies within the Department

2. Senior Executive Responsible for IM

Key Decision	Roles	Description
Departmental IM long term strategy	Responsible	<ul style="list-style-type: none"> • Direct and coordinate the development of departmental IM long-term strategy • Direct the development and implementation of IM governance • Ensure IM requirements are addressed during departmental strategic planning
External liaison	Responsible	<ul style="list-style-type: none"> • Advise TBS of any impact that new or amended legislation and policies will have on departmental IM
Departmental IM plan	Responsible	<ul style="list-style-type: none"> • Direct the development of yearly departmental IM plan
Resource allocation	Responsible	<ul style="list-style-type: none"> • Identify and secure resources required to implement departmental long term strategy
Direct IM in the Department	Accountable	<ul style="list-style-type: none"> • Co-ordinate, promote and direct IM within the Department • Approve IM policy framework
Performance monitoring	Responsible	<ul style="list-style-type: none"> • Measure and report the business impact of departmental IM long term strategy
Accountability and reporting	Accountable	<ul style="list-style-type: none"> • Ensure IM input to the MAF, RPP and priorities and other accountability reporting instruments • Ensure the effectiveness of the IM policy and its instruments is regularly assessed against objectives within the Department (e.g., every three years)

3. DG - IMB

Key Decision	Roles	Description
Departmental IM long term strategy	Responsible	<ul style="list-style-type: none"> Develop departmental IM long-term strategy
External liaison	Responsible	<ul style="list-style-type: none"> Ensure Industry Canada's participation in GC IM initiatives, policy review, development and assessment
Departmental IM plan	Responsible	<ul style="list-style-type: none"> Coordinate and develop departmental yearly departmental IM plan
Resource allocation	Responsible	<ul style="list-style-type: none"> Identify, address and monitor departmental information management resource requirements
Direct IM in the Department	Responsible	<ul style="list-style-type: none"> Departmental principal advisor on IM Ensure IM requirements are addressed during the planning phase of departmental program and system design Ensure the appropriate management direction, processes and tools are in place to efficiently manage information under the control of the Department Approve release of information pursuant to Access to Information Act (also delegated to Director of IPRA) Approve IM standards, guidelines and procedures Advise CIO on IM requirements and objectives Adopt, as applicable, government-wide solutions for IM within the Department Ensure that appropriate arrangements are put in place for the management of information received from other federal departments and agencies and from individuals and entities outside of the federal government (e.g., private citizens, the private sector and other jurisdictions) Ensure the accountability structures are clearly defined when information is shared with other federal government departments, other governments or non-governmental organizations
Information architecture	Accountable	<ul style="list-style-type: none"> Develop, implement and maintain a departmental information architecture as part of an enterprise architecture

IM infrastructure	Accountable	<ul style="list-style-type: none"> • Develop, implement and maintain a departmental IM infrastructure
IM community development	Accountable	<ul style="list-style-type: none"> • Foster the development of an IM community within the Department
IM awareness and education	Accountable	<ul style="list-style-type: none"> • Develop, deliver and maintain an IM awareness and education program
Support (Call Centre)	Accountable	<ul style="list-style-type: none"> • Develop, provide and maintain IM support to IC employees through a call centre
IM services	Accountable	<ul style="list-style-type: none"> • Provide corporate IM services including Records Management, Access and Privacy, Library and Knowledge Centre, Web Management Services
Performance monitoring	Responsible	<ul style="list-style-type: none"> • Monitor and report on progress of IM program
Accountability and reporting	Responsible	<ul style="list-style-type: none"> • Provide IM input to the MAF, RPP and other accountability reporting instruments

4. CIO

Key Decision	Roles	Description
IM infrastructure	Responsible	<ul style="list-style-type: none"> • Establish department-wide technology standards supporting IM • Provide affordable, high quality and responsive IT infrastructure support
IM services	Accountable	<ul style="list-style-type: none"> • Provide corporate IM services namely data management

5. ADM CAS

Key Decision	Roles	Description
Direct IM in the Department	Accountable	<ul style="list-style-type: none">• Provide instructions and guidelines to facilitate the identification, categorization and marking of sensitive information

6. Sector ADMs or Equivalent

Key Decision	Roles	Description
Departmental IM long term strategy	Responsible	<ul style="list-style-type: none"> Provide input in departmental long term IM plan from business unit perspective
Departmental IM plan	Responsible	<ul style="list-style-type: none"> Provide input in the yearly departmental IM plan from business unit perspective
Resource allocation	Responsible	<ul style="list-style-type: none"> Ensure funding is available to manage information within the business unit
IM services (some sectors provide their own IM services)	Accountable	<ul style="list-style-type: none"> Provide IM services for the business unit or region
Integration of IM into business	Accountable	<ul style="list-style-type: none"> Ensure information is managed as an integral part of programs and services and as a strategic business resource
Develop IM capacity within business unit	Accountable	<ul style="list-style-type: none"> Ensure sufficient IM capacity within sector
Performance monitoring	Accountable	<ul style="list-style-type: none"> Assess the management of information within sector Identify information issues and requirements and ensure processes and systems appropriately address these issues and requirements
Accountability and reporting	Accountable	<ul style="list-style-type: none"> Provide input to the MAF, RPP and other accountability reporting instruments from the business unit perspective

7. Program Managers

Key Function	Actions	Roles and Responsibilities
Direct IM in the Department	Responsible	<ul style="list-style-type: none"> Provide input to ensure that business unit requirements are considered in the development of policies, guidelines, procedures, standards and tools
Information architecture	Responsible	<ul style="list-style-type: none"> Provide input in the departmental information architecture from business unit perspective
IM infrastructure	Responsible	<ul style="list-style-type: none"> Provide input in the departmental IM infrastructure from business unit perspective
IM community development	Responsible	<ul style="list-style-type: none"> Participate and contribute to IM community
IM services (some sectors provide their own IM services)	Responsible	<ul style="list-style-type: none"> Provide IM services for the business unit or region
Integration of IM into business	Responsible	<ul style="list-style-type: none"> Manage information as an integral part of programs and services and as a strategic business resource Ensure records are created, captured and filed in corporate records systems Ensure that approved Records Disposition Authorities are in place and approve records retention periods Confirm that retention periods could be applied Analyze the business process and convey information requirements to IM specialists (what information the business process requires, produces, collects and stores; who needs access to it; for what purpose and for how long; and incorporating solutions into the business process)

Develop IM capacity within business unit	Responsible	<ul style="list-style-type: none"> • Developing IM capacity within their unit • Ensure employees understand and apply effective IM in day-to-day operations and that these responsibilities are included in performance objectives
Performance monitoring	Responsible	<ul style="list-style-type: none"> • Assess the management of information within business unit • Identify information issues and requirements to information management functional specialists to ensure processes and systems appropriately address these issues and requirements

8. Employees

Key Function	Actions	Roles and Responsibilities
Information architecture	Responsible	<ul style="list-style-type: none"> • Apply information architecture principles to the informational assets that they collect, create and use.
IM infrastructure	Responsible	<ul style="list-style-type: none"> • Apply IM infrastructure principles to the informational assets that they collect, create and use.
IM community development	Responsible	<ul style="list-style-type: none"> • Participate and contribute to IM community
IM awareness and education	Responsible	<ul style="list-style-type: none"> • Acquire IM awareness
IM services (some sectors provide their own IM services)	Responsible	<ul style="list-style-type: none"> • Utilize IM services to manage informational assets
Integration of IM into business	Responsible	<ul style="list-style-type: none"> • Applying GC and Industry Canada's information management policy, standards, procedures, directives, guidelines, tools and best practices in a way that supports business;
Develop IM capacity within business unit	Responsible	<ul style="list-style-type: none"> • Enhance their own IM capacity through awareness and education • Documenting their activities and decisions; • Providing and bringing to their manager's attention information requirements and issues; and • Treating departmental information in a manner that facilitates access while ensuring privacy and security requirements are met.

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