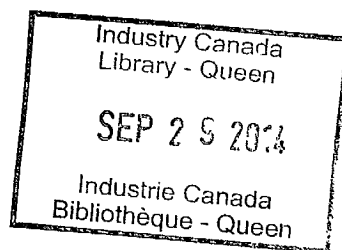**Information Management Branch
2011-2012 Integrated HR/Business Plan**

Information Management Branch
2011-2012 Integrated HR/Business Plan

Introduction

Information Management (IM) is a key element of the Department's management framework, and plays an important role as a strategic enabler of the department's business. Effective stewardship of information encompasses fiscal responsibility in meeting client needs and expectations for high-quality, authoritative information. The value of information is enhanced when it can be accessed and applied to accelerate decision-making, and IT tools play a crucial role in providing the means to do this. The growth in volume and complexity of electronic information has emphasized the need for integrating information management requirements with technology planning to ensure that information is accessible for business needs, and supports high levels of service to Canadians.

This business plan outlines the operational and strategic agenda for Information Management Branch (IMB) during 2011-2012, the context behind that agenda, and the resources required to deliver it. A summary of human resources (HR) priorities and strategies over the next year is also included.

IMB Mission and Mandate

The Information Management Branch (IMB) directs and supports a program of IM activities to ensure the effective and efficient management of information within Industry Canada. IMB provides strategic direction and services related to recordkeeping, public access to departmental information, departmental access to commercially published information, and information management policy, accountability, governance, planning, and reporting. As a result, departmental program managers can more readily provide their programs and services, as well as meet their obligations under the Government's Policy on Information Management, the Library and Archives Canada Act, the Access to Information Act, the Privacy Act and the Federal Accountability Act. Further, it ensures the Department respects the intellectual property rights of commercial publishers.

IMB comprises four Directorates: Corporate Integrated Records Services (CIRS), Information and Privacy Rights Administration (IPRA), the Library and Knowledge Centre (LKC), and IM Policy, Planning and Innovation (IMPPI). The four Directorates report to the Director General's Office (DGO).

CIRS provides records management services to the department in the National Capital Region. With six records offices located in the C.D. Howe Building, Place du Portage, Jean Edmonds Towers and Heritage Building, CIRS services include the creation and maintenance of client file classification systems; the classification, maintenance and disposal of official departmental files and records; and maintenance of the corporate automated records management system (IRIMS). CIRS is also responsible for the provision of mail services within the National Capital Region (NCR).

IPRA is responsible for the implementation and management of the *Access to Information Act* and the *Privacy Act* programs and services for Industry Canada, and for ensuring that related legislative and central agency policies and procedures are respected on behalf of Industry Canada. IPRA makes decisions on the disposition of access requests; promotes awareness of the legislation to ensure departmental responsiveness to the obligations imposed by law; monitors and advises on departmental compliance with the Acts, regulations, procedures and policies; and acts as the ATIP spokesperson for the department when dealing with TBS, the Information Commissioner, the Privacy Commissioner, and other departments and agencies.

The mandate of the Library and Knowledge Centre is to connect Industry Canada knowledge workers with the most appropriate and relevant sources of information and expertise to support policy development, decision-making and communication with clients. To support that mandate, there are three functional areas within the library: Information Services, providing departmental employees with support in research, training and resource discovery; Electronic Resource Management Group, providing resource procurement and document delivery services; and the Virtual Library Group, providing innovative library systems, tools and support.

The Information Management Policy, Planning and Innovation Directorate (IMPPI) is responsible for setting, monitoring, assessing and reporting on the strategic direction, policy and governance for IM across the Department, as well as developing innovative IM tools and applications to support business needs. IMPPI also provides a single point of access service to the general public on Industry Canada website site information. These activities complement and integrate the services provided by the Library and Knowledge Centre, Corporate Integrated Records Services, and the Information and Privacy Rights Administration directorates. The Directorate is organized into three units: Policy and Strategic Planning, Information Architecture, Tools and Applications, and the Web Services Centre.

Characteristics of the Operating Environment

Information is the basis upon which the department conducts its business and delivers its programs and services. Information is not only a strategic asset, it is also a core departmental product. The value of information, and how efficiently and effectively it supports the business of Industry Canada, is dependant on its quality - quality being expressed by attributes such as accuracy, accessibility, timeliness and relevance. As with all organizations, public and private, the quality of Industry Canada's information is at risk of compromise from various factors, which could cause potential disruption of service and impairment to the department's internal performance.

Foremost amongst these factors is the sheer volume of information employees are expected to manage and access, from a vast array of sources, at a pace of work which is ever increasing. And while employees clearly benefit from quick access to multiple sources of information, they require the appropriate desktop tools and IM training to do so efficiently and effectively. Electronic repositories, primarily shared network drives, have become the defacto document management systems, and much of the information residing in shared drives is not managed and disposed of systematically. Information is also abundant and readily available on the Internet and is used instead of procured premium desktop resources. This has resulted in employees spending

unproductive time searching for and retrieving the information they need to do their jobs. At the same time, there is a high rate of employee turnover and a corresponding loss of corporate memory in the department, which further highlights the need for more systematic approaches to managing information.

Security of information resources is also a growing problem. The enhanced capacity to replicate and transmit information has brought with it an increase in risk that sensitive, classified or personal information may be compromised. While security of the IT systems within which information is created, transmitted and stored is critical, proper handling of the information itself will mitigate much of the security risk.

Industry Canada's Information Management Agenda

In recognition of the need for a corporate approach to managing information in the environment described above, the department launched an IM Agenda in 2008-09. The IM Agenda consists of four phases designed to move the department to a state where it has the requisite governance, guidelines, tools, and capacity to meet its stated IM objective, which is:

> *Industry Canada will manage its 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.*

The desired outcomes of the IM Agenda are:

Effective IM Governance

The continuous and effective management of information is assured through appropriate governance structures, policies and guidelines.

IM-Informed Workforce

Employees have the know-how and expertise to manage and access information to support business outcomes.

Sustainable Corporate Support

Corporate IM tools based on effective standards, methods and practices are in place, supported by a sustainable info-structure and infrastructure.

The IM Agenda is being implemented over a number of years, and there is some overlap in the completion of phases. Much of Phase 1 has been completed, although as noted at the bottom of the graphic, governance and awareness activities are ongoing. The department is now well into Phases 2 and 3.

The IM Agenda is a corporate strategy, with implications for all sectors, however, as the

organization responsible for directing IM in the department, Information Management Branch plays a key role in its implementation. The accomplishments, objectives and plans outlined below constitute the work of IMB only. The broader, corporate IM plan is outlined in the Industry Canada Integrated Business Plan.

Progress Toward 2010-2011 Key Objectives

The Information Management Branch made significant progress toward its key objectives in 2010-11, which were organized under the three desired outcomes of the IM Agenda.

Effective IM Governance

Creation of new IM Committees:

- The Information Architecture Working Group (IAWG) was launched as part of the department's Enterprise Architecture initiative, to deliver information architecture products and advice;
- The mandate of the DG-level CAS Advisory Committee was modified to include information management, and the mandate of ITStAr modified to include information architecture responsibilities;
- a departmental Information Management (IM) Community of Practice was launched.

Resources spent on IM are better managed through a corporate IM plan:

- Departmental IM reporting and planning capacity was enhanced by the inclusion of detailed questions and responses in the Integrated Planning Process;
- Coordination with the IC Research Coordination Committee has allowed the LKC to establish cost sharing arrangements for select electronic resources resulting in improved access and management of procurement investments.

IM Policies and directives are supported through IM awareness activities:

- The Recordkeeping (RK) Working Group was created in order to better assist the department with its RK responsibilities;
- Various RK policies, procedures and guidelines (e.g., file clean-up guidelines, file-naming conventions, e-mail management best practices, disposition policies and procedures) were created, revised and/or updated and disseminated via the IC Wiki.

Web Information Management is enhanced:

- IMB worked with CMB and CIO to develop and obtain approval by senior management of a strategy to enhance IC's web presence, which included assigning lead accountability for web information management to CMB.

IM Reporting Capacity is enhanced in support of MAF requirements:

IMB developed and refined MAF input for IM; and, along with other sectors, participated in the development of a more stream-lined approach for future reporting;

- The senior analyst position responsible for preparation of MAF assessment was staffed.

IM-Informed Workforce

Departmental IM capacity is strengthened:

- IM training and awareness sessions were provided to over 800 employees on a variety of IM subjects, including use of the ICWiki, orientation to the BCS, Web Metrics and Quality Assurance, good recordkeeping practices, and email management;
- The LKC provided increased learning options to close to 900 employees including orientations, client Portfolio presentations and vendor presentations on various products and webinars (e.g. Canada School of Public Service, Conference Board of Canada).
- LKC is a standing member of the Research Coordination Committee, enabling the integration of library expertise into ongoing research projects;
- There was a 57% increase in ATIP awareness sessions prepared and delivered to employees (36 sessions as compared to 23 in 2009-10), including ongoing participation in orientation sessions for new employees. In addition, IPRA visited all of the regions in partnership with the Regional Operations Sector;
- IPRA drafted a preliminary policy for the management of emails and back-ups with the assistance of CIRS and presented it to CIO for review and approval;
- IMB hosted seven IM Community of Practice meetings, providing a venue for discussion of a variety of IM topics and sharing of best practices across the department.

IM service delivery is improved:

- The LKC introduced a Library Liaison initiative with the Science, Technology and Innovation Council (STIC) Secretariat to provide proactive client engagement and exchange (subsequently expanded to other client groups);
- To further support the use of desktop resources to enable direct client engagement and collaboration, the LKC expanded and enhanced the suite of tools it offers including LibraryWiki, LibraryLink, LibraryRadar, and Library Features, and launched LibraryLog, LibraryForum, and Library Feature;
- The IPRA Policy and Outreach unit established last year continued to expand and enhance its services, not only in the increased awareness sessions but also in the guidance and advice provided on various issues (e.g.: responded to 126 questions from both internal/external clients, reviewed 92 parliamentary questions, including 20 audit/evaluation reports, and 1,510 proactive disclosure emails as well as approved 27 PPIAs);
- The ICWiki Team successfully completed the ICWiki Project phase, conducted the first annual employee survey, revised and delivered the basic training course, implemented a software upgrade, and supported the continued growth of the ICWiki which was accessed

by more than half of the department's employees each month;

- Client portfolio teams were created for Records Services in order to better integrate services to clients.

Sector IM accountabilities are supported:

- An MOU with LAC was drafted which covers the management of records stored in the Regional Service Centres (RSCs), and plans are underway to reduce paper documents stored within the RSCs, starting in 2011-2012;
- A BCS Community of Practice was created to better engage and inform BCS Sector Champions and Coordinators;
- Retention schedules for all program areas are now valid and up-to date and embedded in Tier 1 of the BCS;
- A generic AS-03 Information Administrator position was created for use by business units and a pool of candidates has been created through a competition.

Sustainable Corporate Support

Information Architecture standards and best practices are established:

- Information principles were established, as part of a set of Enterprise Architecture principles, as a foundation for consistent information requirements to be used in the project management stage gate process;
- An Information Architecture Working Group (IAWG) was created to guide a departmental approach to development, application and governance of information standards.

The department is readied for implementation of an EDRMS:

- An EDRMS Cluster Project was established to ready the department for a departmental Electronic Document and Records Management System (EDRMS).

A new Integrated Library System is implemented:

- Core modules for Millennium, a replacement integrated library system were launched to manage library operations (e.g. cataloguing, circulation, acquisitions) as well as Library Catalogue to improve client access to library collections.

Web support tools are optimized:

- A comprehensive set of business requirements for web metrics was identified and a technical options assessment of key web metrics software was undertaken;
- The Intranet Search was enhanced with new functionality, and aligned with other web-based searches across the department;
- Usability improvements were made to the ic.gc.ca search interface;
- ICWeb was redesigned to better meet employee requirements to find information on the intranet, particularly in light of the evolving role of the ICWiki as an internal web-based collaboration tool.

IC Web Services Centre capabilities are enhanced:

- The Web Services Centre developed a communication and collaboration plan to improve service delivery to Industry Canada clients.

Key Objectives: 2011-2012

Corporate Integrated Records Services (CIRS)

Further implement BCS Tier 2 across the department for completion by December 2013.

Develop and implement an integrated, enhanced Records Management (RM) client service delivery model.

Develop and implement a departmental records disposition plan.

Information and Privacy Rights Administration (IPRA)

Address and improve on-time compliance with the ATI legislation.

Reduce the backlog of ATI requests.

Ensure compliance with new ATIP Treasury Board Secretariat policies and directives:

- Develop and implement a Proactive Disclosure website for completed ATI requests
- Provide direction in the development and implementation of a departmental Privacy Management Framework

Library and Knowledge Centre (LKC)

Identify opportunities for cost reduction, cost containment and increased access of LKC procured departmental information resources.

Support the information needs of knowledge workers through innovative, broad-based library services, aligned with departmental priorities.

IM Policy, Planning and Innovation (IMPPI)

Develop an annual Corporate IM Plan to support and communicate the IM Agenda.

Operationalize elements of the IM Governance and Accountability Framework.

Implement an integrated, co-ordinated IM outreach strategy in support of the IM Agenda.

Identify information/data requirements for the departmental Project Management Framework.

2011-2012 Plans and Deliverables for the Sustaining Agenda

Below are priorities and areas of focus by Directorate for the Sustaining Agenda:

Director General's Office (DGO)

In 2011-12 the DGO will focus on enhancing Financial, HR and Administrative oversight and direction in the branch. More indepth analysis of financial and human resource trends and issues will be undertaken, and proactive support provided to Directors to help them meet their financial, HR and administrative accountabilities. The recently hired Information Administrator will be instrumental in developing and implementing processes and procedures for better managing branch information assets in the Branch.

Corporate Integrated Records Services (CIRS)

In 2011-2012, CIRS will focus on the development and implementation of training and awareness activities intended to assist employees across the department with the proper use of the Business Classification System (BCS). The BCS project is expected to be fully implemented by December 2013, with roughly 40% of business units to be completed by March 2012; additional details regarding the BCS project are provided under the Change Agenda.

In order to address various Information Management/Records Management (IM/RM) questions and issues emerging from business units as a result of BCS and a renewed focus on IM/RM, CIRS will develop, refine and disseminate guidelines, procedures, business rules, policies and best practices intended for the management of both paper and electronic records, including the development of methodologies intended for assisting employees in identifying information resources of business value, one of the requirements of the TBS Directive on Recordkeeping.

CIRS received two new application guides in 2010-2011 from Library and Archives of Canada (LAC) intended to be used with the two new Records Disposition Authorities secured from LAC the previous year (for records pertaining to IC's Economic Development and Corporate Management functions respectively); the focus of these application guides was on select priority record series identified by CIRS. The third RDA (covering IC's regulatory function) is expected to be completed by LAC this fiscal year.

The IMB RDIMS tool (currently used by approximately 50% of IMB staff) will continue to be fully supported through in-house CIRS resources and minimal contracting resources.

Information Management Policy, Planning & Innovation (IMPPI)

In 2011-12 IMPPI will begin implementation within IMB of the recently-approved IM Outreach Strategy through the coordination, delivery and assessment of products and activities in support of the IM Agenda.

The ICWiki team will develop wiki video training tutorials to reduce the time and effort involved

in training, coaching and client support and to efficiently and effectively meet the increasing demand for training in the regions. To increase employees' awareness and capacity to effectively manage their information, a guideline on life-cycle management of information created on the wiki will be published.

Along with the CIO, IMPPI will lead the newly-formed Information Architecture Working Group to contribute to the effective management of information of sector projects by integrating information/ data requirements into the departmental project management framework, and by developing departmental metadata requirements to describe core IC information sets. This work will provide a foundation for implementation of the GC Standard on Metadata.

Departmental IM governance and accountability documents will be refined, and plans and guidance to support their implementation will be delivered, to support compliance with the GC Directive on Recordkeeping.

The Web Services Centre will focus on developing client relationship management processes to increase awareness and quality of services to departmental program & service areas.

In addition, IMPPI will continue to provide corporate IM tools and services such as ICWiki and ICWeb, and provide search, site metrics and quality assurance to support departmental web management. It will contribute and coordinate IM input to corporate planning and reporting documents such as the Management Accountability Framework (MAF), Report on Plans and Priorities (RPP), the Departmental Performance Report (DPR), and the IC Business Plan. It will also support the department's programs and services delivered via the ic.gc.ca website by responding to general enquiries, providing navigational aid, assisting with registration, completing of forms and online filing, and referring clients to other government or non-government sources of information.

Information and Privacy Rights Administration (IPRA)

In 2011-12, IPRA will work to enhance its ATIP expertise and build on its capacity to deliver its services and products to increase awareness of the legal obligations across the Department. Internally, this means using new technology to its fullest potential, streamlining business processes to reduce administrative burdens and efficiently managing the day-to-day workflow of the office to improve performance. This will be largely achieved with the implementation of the new E-ATIP tool (Axcess-1) to improve case management processes and to address increased reporting requirements.

IPRA will work closely with various program areas of the Department to improve compliance and address issues related to privacy and overarching IM concerns. In addition, there will be a continued focus on delivering awareness sessions to departmental employees at all levels, ensuring that key messages are understood, such as treatment of documents related to external expert committees/councils and consultants. To date, awareness sessions have resulted in increased cooperation and collaboration with program officials across the Department. In some cases it has allowed negotiations with applicants to reduce scope and volume of work, and with time should improve the overall productivity and performance in managing the ATIP programs.

In 2011-12, IPRA will maintain its policy advice and outreach services. However, given the overall 44 percent increase in the volume of requests received plus a 39 percent increase in backlog, focus will be on strategies to improve performance on the operations side (see Change Agenda for additional detail). The office will continue to provide advice and guidance in the development and implementation of departmental policies and standards related to the security of specific information (e.g., cabinet confidences, commercially confidential and personal information). New projects for the year will include the development and implementation of a proactive disclosure site for completed ATI requests and the development of a departmental privacy management framework.

Library and Knowledge Centre (LKC)

The LKC Sustaining Agenda represents a mature service delivery model aligned with the Library Vision and with departmental outcomes. The LKC recognizes the need to offer services that demonstrate value to the department. To that end, the Client Partnership Strategy and Resource Strategy, described below, continue to integrate library services into departmental activities so as to demonstrate value and to contain/reduce costs and leverage existing departmental investments.

In addition, service metrics will be reviewed and enhanced to provide a comprehensive view of library services, gaps in tracking services will be identified and captured, and improved tracking tools such as JIRA will be implemented. Measures will be introduced to capture additional client feedback on the value of library services.

This approach will apply to specific activities below:

Client Partnership Strategy

The Portfolio Model continues to be a cornerstone of the Client Partnership Strategy. In 2011-2012, the LKC will advance the strategy for increased library penetration into business units. Building on successful pilots in 2010-2011 to embed librarians within project teams, the LKC has re-framed the concept of embedded librarians. These library professionals now support the information needs and functions for a client group by becoming the *trusted provider* of authoritative information.

Knowledge workers within their client groups are supported by collections, electronic resources and services, including in-depth research, current awareness delivery, business intelligence and training activities. In 2011-2012, the LKC will increase efforts to advance high-value client interactions through two key strategies. First, library services will be visibly aligned with departmental priorities and promoted to that effect - *Your priorities are our priorities*. Secondly, the concept of *Library champion* and *Library liaison* will be promoted, in order to promote the library services. Further integration with the Research Coordination Committee (RCC) activities is also planned. LKC tools such as LibraryLink, LKC Radar, LibraryWiki, LibraryLog, Library Forum and Library Features will continue to evolve to support knowledge dissemination and client engagement.

Resource Strategy

Through participation on the RCC, the LKC recognizes the need to foster awareness of information resources available in the department. Given that departmental budgets have been reduced, there is a critical need to leverage departmental investments in procured information resources. The LKC will continue to identify opportunities to maximize the use and value of departmental information resources through various activities including identification of resources, organizing vendor product presentations, hosting vendor webinars, and promoting partnerships for procurement of information resources. Targeted communication will be initiated to inform employees of LKC's role with respect to its procurement responsibilities. The LKC will also contribute to GC federal library community initiatives to address library procurement issues.

Virtual Library

In 2010-2011, The LKC launched core modules of Millennium, Industry Canada's replacement integrated library system to the Industry Canada libraries. In 2011-2012, the LKC will realize the benefits of this implementation with process improvement, efficiency gains and uniform practices. The LKC will also continue to support the media monitoring service which is used by Communications and Marketing Branch (CMB) to distribute timely media information on Industry Canada business lines to senior management and employees of the department.

2011-12 Plans and Deliverables for Change Agenda

Business-based Classification Structure (BCS) Project

The BCS, which was launched as a corporate project in April 2009, is a two-tiered information organizing structure, which will provide a single corporate standard for classification within Industry Canada. It will enable business units to organize paper and electronic information in alignment with their specific business activities, simplify filing and retrieval and allow for the application of approved retention standards and disposition authorities. The BCS will provide the department with a consistent method for organizing information, which will make it much easier to find information when it is needed. It will also provide guidance in determining how long to keep information, and when and how to legally dispose of it.

The project is divided into two phases, known as "tiers". Tier 1, completed in 2010-11, consists of the development of the BCS Products and Services within each sector, aligned to the department's Program Activity Architecture (PAA). Tier 2, to be completed by 2013-14, consists of the development of file plans specific to the sectors or sector-equivalent organizations. In December 2010, an implementation phase ("Phase 3") was added to the project scope. Tier 1 costs were covered by IMB, and Tier 2 and Phase 3 costs will be largely covered by sectors.

Given the complexity and scope of the Tier 2 work, and the lack of in-house resources available, an external project manager was engaged in February 2011. Tasks associated with leading the project include anticipating and resolving issues before they escalate; planning and revising schedules and timelines; liaising and negotiating with business units, the CIO and the contractor;

and ensuring that the processes and procedures that are developed and followed are logical and consistent throughout.

In response to concerns regarding affordability of completing Tier 2, the project team developed a new approach/methodology for Tier 2 development and implementation, focusing on streamlining the process and reducing costs. Under the new approach, IMB conducts all the work, rather than using consultants. Continuing the project in this manner will result in a savings of $2M compared to a consultant-based approach.

Using the IMB project team to conduct Tier 2 work will further strengthen the IM knowledge base of both IMB and the business units, resulting in a better and more sustainable product. In addition, as a result of experience gained and lessons learned from sectors implementing Tier 2 in 2010-11, IMB will increase the level of advice and guidance to sectors implementing Tiers 2 and Phase 3, and each sector will have a dedicated liaison officer from CIRS. Training modules to support delivery of the BCS will be developed, as well as other products to address IM/RM (Information Management/ Records Management) questions/issues that are emerging from business units as a result of BCS and a renewed focus on IM/RM. Some refinements will also be required to the web-based tool developed to support the BCS in 2011-12.

Electronic Document and Records Management System (EDRMS) Project

Industry Canada's IM Agenda has as a key strategic outcome *sustainable corporate support*. This means insuring that corporate IM tools based on effective standards, methods and practices are in place and supported by a sustainable info-structure and infrastructure. As outlined above, the BCS will provide an IM info-structure to support the organization, management and disposition of departmental information resources. Phase 3 of the IM Agenda calls for the further development and adoption of IT infrastructure and desktop tools to use the new info-structure to full advantage. As BCS is introduced in their work units, many clients are asking for an EDRMS solution to implement the new info-structure, recognizing that current environments, such as shared drives, do not provide the tools necessary to fully realize their investment in BCS.

In 2010-11, IMB received Gate 1 approval to proceed with a corporate EDRMS solution. Research into options was undertaken, as well as consultations with OGDs using EDRMS solutions, and with Industry Canada clients regarding their business requirements. This examination concluded that there is widespread recognition of the need for a corporate EDRMS, and that adopting the solution chosen by PWGSC would be the logical approach. There are a number of barriers to proceeding with implementation however. The most significant of these is the prohibitive cost of a corporate roll-out, which is roughly estimated at $20 million. Given the current financial situation of the department, and the overall fiscal restraint in government, a project of this size and scope is not feasible at this time.

Therefore, in 2011-12, IMB will focus on identifying the department's IM readiness to implement the recently announced PWGSC procured solution, GCDocs. This will include identifying the IM 'info-structure' requirements (metadata elements, including BCS, values for content types, access roles and rights), new services to support electronic document and records management, awareness and training, and governance. In addition, IMB will conduct preliminary investigations

to identify options for implementation of GCDocs to best deliver value to the department while keeping costs to a minimum (such as considerations for hosting the technical infrastructure outside of IC).

This work will determine how the EDRMS project will proceed in 2012-13.

Costs will be limited to employee time.

Records Disposition Process:

In 2011-2012, priority will be placed on starting to clear the backlog of IC's legacy paper records, particularly those records that have reached the end of their retention periods but remain within LAC storage facilities (i.e. the Regional Service Centres, or RSC's) throughout the regions.

CIRS will launch a new departmental records disposition process including plans to systematically address and reduce legacy paper documents stored within the LAC RSC's and within the department's own Records Service Centres, ensuring that these records are promptly and properly disposed of or transferred permanently to LAC as archival documents. This new disposition process will include the staffing of the Disposition Officer position (that has remained vacant for numerous years); the Disposition Officer will be responsible for leading disposition activities on behalf of the department and for liaising with both IC business units and with LAC.

Costs will be limited to employee time.

Action Plan to Improve ATIP Compliance

The department has seen a drop in on-time compliance over the past two years, decreasing from 90 percent in 2008-2009, to 74 percent in 2010-2011. Factors that have contributed to the decline include a significant increase in the number of requests (49 percent in 2010-2011 and an average increase of 56 percent over the previous four years); a large increase in the average number of pages reviewed annually; an increase in the number of files carried forward from previous years; and a heavy burden on targeted sectors resulting in delays in retrieving documents.

While the Information and Privacy Rights Administration has implemented a number of measures to address these issues, compliance continues to drop. An intensive action plan comprised of four strategies will thus be undertaken, with a view to improving compliance to 80 percent by the end of the fiscal year. Strategies include:

- Review and update current administrative practices to improve response times and meet legal deadlines;
- Establish a temporary Intake and Request Assessment Team, comprised of five to six employees loaned from sectors, on short-term, assignment, or casual employment;
- Hold meetings and discussions with sector management teams to review ATIP processes and IM best practices to improve targeted sector response times;

- Form a temporary Backlog Case Management Team of three to four people to address older, more complex files.

Costs will be limited to employee time.

Corporate IM Plan

IMB will lead the development of an annual corporate IM plan by assessing the implementation of the IM Agenda to date, and identifying initiatives to address identified gaps and ensure the improvement of IM in the business lines of the department.

Costs will be limited to employee time.

IT Plan

Total IT spending for 2011-12, including all related standard line objects (telecom, rental informatics, etc.), is forecast at $325,327. CS salary costs are estimated at $283,050 for 4 employees. The IT spend has been reduced considerably from 2010-11, as a result of projects having been completed, or in the final stages of completion in 2011-12. These include the E-ATIP solution, the BCS Online Tool, the Web Metrics Options Analysis, and the ICWeb Redesign and Search Enhancement and core modules of the Integrated Library System Millennium). Implementation of optional modules had been planned for 2011-12 but have now been deferred to 2012-2013 due to budget restrictions. The number of CS staff has been reduced from 9 to 6. However, we are planning to staff two CS positions in 2011-12 pending funding availability.

HR Plan: Talent Management

Workforce Profile

Based on the December 31, 2010 Workforce Profile data extracted from PeopleSoft, IMB's workforce consisted of:

- 117 employees (107 indeterminate, 6 terms, 4 casual);
- all positions are located in the NCR;
- there is a male/female ratio of 46:54;
- average age is 45 (down from 46 in previous year), compared to 43 in the department;
- 44:56 ratio of French and English as a first official language;
- 58% of employees meet the bilingual requirements of their position (5 employees do not meet, 9 have incomplete records and 33 have expired results);
- 46% of employees are in support /technical positions (CR-02 to CR-05, AS-01 to AS-03, and SI-01 to SI-02) (down from 54% the previous year);
- 41% of employees are in CR positions;
- 14.5% occupy the EX, EX minus 1 and EX minus 2 level positions (17 positions);
- 60% of senior managers are over the age of 50 (directors and DG);
- 60% of EX minus 1 and 33% of EX minus 2 are over the age of 50;
- 42% of employees are in the 50+ age range, compared to 31% for IC;

- 22% of employees are below the age of 35 (up from 15%), compared to 26% for IC;
- 9 employees are eligible to retire as of March 31, 2011 and a further 8 will become eligible over the course of the fiscal year ending March 31, 2012.

Analysis

IMB's vision is to build a team of strong professionals with the flexibility to respond to evolving client needs, and the ability to learn new skills and contribute in a range of IM domains. This is in keeping with the Branch objective of providing holistic advice and support to clients in addressing their IM needs. The workforce profile described above, along with the increasingly competitive and specialized IM labour market, presents a number of challenges to IMB in achieving this vision.

The Branch has invested in the development of its supervisor and mid-manager employees, but still lacks a sufficient pool of executive feeder group candidates. This situation is compounded by the fact that 60 percent of the EX minus 1 group in the branch are in the 50+ age cohort, providing less opportunity to assume and spend time in EX positions before they retire.

Overall, IMB has a high churn rate (three year average of 16% per year) and a significant number of workers nearing the end of their careers. Recruitment, particularly of those with IM academic and professional credentials, as well as the capacity to work in a demanding and evolving workplace, is critical to meeting branch objectives. However, entry level positions in the branch, typically at the CR-03, CR-04, AS-01 and PM-01 level, are not always attractive to the college or university graduates targeted. It must also be recognized that, once hired, these qualified employees will soon be looking for new challenges and opportunities. Recruitment for mid-level IM jobs is also challenging, as the job market for IM specialists with a few years experience is highly competitive.

Providing interesting work and opportunities for growth are critical to retaining employees and lowering the churn rate. Formal and on-the-job learning, training and development is required in order to provide employees with the skills and competencies to take on new challenges. Assignment opportunities and participation in branch special projects have also proven to be effective in acquiring needed experience and skills. It must be recognized that there will always be a requirement for clerical staff in the branch, but the skills required in these positions will also change as the department moves into an electronic records environment.

As a service organization, IMB must provide services in both official languages, especially in those units with service desks, such as the LKC and the Records Offices, or where there is a requirement to interact with clients on a daily basis, such as IPRA. While 83% of employees currently meet the language requirements of their positions, 33 of the 82 employees in bilingual positions have expired results. In addition, language profiles of certain client service jobs may not be sufficiently high to provide service delivery in both languages. Analysis also indicates that there are insufficient language skills in the feeder group to manage succession.

2011-2012 Initiatives

The 2011-12 IMB HR Plan will build on initiatives launched in the previous year to address these gaps and challenges. For example, executive feeder group employees will continue to be included in monthly management discussions and provided with management level assignments with an aim to building management skills. In addition, opportunities to participate in cross-branch projects to promote knowledge of the work of other directorates will be posted on the IMB Wiki, and will be open to all employees.

IMB will continue to support training and development to all employees in support of their learning plans to enhance skills and knowledge required for career progression. Funds allowing, the IMB Language Training Program will be continued, under which 3 levels of training are provided. In 2011-12, employees receiving language training will be required to set a target date for taking the test(s) to achieve their desired level of proficiency, and their progress will be closely monitored. Targeted training will also be provided to help employees acquire the new records management skills and competencies required in an electronic environment.

With the objective of building a more professional workforce, IMB increased its university recruitment in 2009-10, and introduced an informal rotational program to provide selected recruits with experience in all four directorates over a two-year period. In 2011-12, the program will be further developed, with a view to gaining approval from HRB for a formal IM Development Program. In addition, there will be targeted post-secondary recruitment, which will include community colleges where library technician and records management diplomas are offered. Efforts will be made to create pools of candidates in high churn jobs, and there will be cross-branch management of human resources.

Organizational Renewal

The management team in IMB has invested considerable time and effort in reviewing and renewing directorate mandates, organizational structures and job descriptions, to ensure that the Branch is well positioned to respond to evolving client needs in an effective and efficient manner. In 2010-11, 44 classification actions were completed, with 9 still in progress.

In 2011-12, IMPPI will complete its organizational renewal, including a revised organization structure, descriptions of its functions, and the classification of new positions. The LKC will also complete the renewal and realignment of its resources to better meet client needs and its expanding role as defined in the Library Vision, and to better manage succession.

CIRS will continue to enhance its core capacity in order to better support current and future client needs. This will be addressed through a full organizational review of the Records Service Centres; an update and classification review of all Records Services positions; and the continued move towards a new client portfolio service model within CIRS in assisting clients with managing both paper and electronic records. An update and classification review of all Mail Operations positions will also be conducted.

In addition, new initiatives will be introduced to enhance operational efficiencies, such as reallocating existing resources. Work activities will be redesigned to meet changing operational

needs (i.e. decline of paper IM, rise in electronic IM). Finally, service training will be given to all Records Services staff to enhance their customer service skills.

As an ongoing branch initiative, annual Classification Plans will include review and update of all work descriptions that have reached their five year mark, with particular attention given to evolving client needs, language requirements of the position, and changes in the work environment.

Detailed 2010-2011 IMB Achievements by Directorate

IMPPI

- The Information Architecture Working Group (IAWG) was launched as part of the department's Enterprise Architecture initiative, to deliver information architecture products and advice.
- IM Governance was enhanced by the modification of DG-level committees to include information management and information architecture responsibilities; and by the establishment of a departmental Information Management (IM) Community of Practice.
- Awareness and understanding of information management strategies, activities and services within the department were strengthened by the development and delivery of a departmental IM Outreach Strategy.
- Departmental IM reporting and planning capacity was enhanced by the inclusion of detailed questions and responses in the Integrated Planning Process.
- Departmental IM capacity and sector accountabilities were strengthened through the training and awareness sessions on ICWiki, Web Metrics and Quality Assurance, IM Awareness and Recordkeeping, monthly IM Community of Practice meetings.
- An EDRMS Cluster Project was established to ready the department for a departmental Electronic Document and Records Management System (EDRMS).
- Web-related tools services such as ICWeb, search capability, metrics and quality assurance, were revised and updated.
- The Web Services Centre developed a communication and collaboration plan to improve service delivery to Industry Canada clients.

CIRS

- The Recordkeeping (RK) Network was created in order to better assist the department with its RK responsibilities.
- CIRS presence was included at the New Employee Orientation sessions run by HRB.
- Various RK policies, procedures and guidelines (e.g. file clean-up guidelines, file-naming conventions; e-mail management best practices; disposition policies and procedures, etc.) were created, revised and/or updated and disseminated via the IC Wiki.
- Tier 1 of the BCS Project completed.
- A significant number of business units are underway with Tier 2.
- Project Scope expanded to include Phase 3 - (implementation); implementation completed for IMB on the shared drives and within RDIMS.
- Design enhancements have been completed by the CIO for the BCS Online tool.
- BCS Community of Practice created to better engage BCS sector Champions and Coordinators.
- BCS training provided to Service Centre Classifiers and staff.
- New BCS Project Manager engaged through TBIPS process.
- IMB RDIMS tool (used by approximately 50% of IMB staff) continued to be supported through contracting and in-house CIRS resources.
- MOU with LAC drafted; this MOU covers managing records stored in the Regional service Centres (RSCs), and plans are underway to begin reducing paper documents

stored within the RSC's starting in 2011-2012.

- Retention schedules for all program area are now valid and up-to date through the Tier 1 deliverables.
- Planning underway for revision and classification of Mail Operations positions in 2011-2012.
- Organizational review and optimization plan completed for Mail Operations, to be implemented April 1, 2011. This resulted in the same number of FTE's for 2011-2012 as 2010-2011 (19 FTE's) but eliminated the contract covering all 5 commissionaires at CD Howe and Portage used for mailroom scanning - saving the department $230K.
- Recognizing the need to build and sustain the HR capacity of CIRS, planning was started on a full organizational review of Records Service Centres, including an assessment and clarification of all roles and responsibilities of all positions in the directorate.
- Client portfolio teams were created for Records Services in order to better integrate services to clients.
- The CIRS directorate at CD Howe was moved from the 3rd to 4th floors in May 2010 while maintaining business continuity.

LKC

- Introduced a pilot project to embed Information Specialists on client teams with Science, Technology and Innovation Council Secretariat; Policy Integration, Strategic Policy Sector; and at meetings with Research Coordination Committee resulting in better support to and integration with the department.
- 886 employees attended library delivered or facilitated training sessions including orientations, client Portfolio presentations, vendor presentations or webinars ensuring that employees use authoritative information sources and library-generated guides and tools to support decision-making, planning, and research within the department.
- Expanded and enhanced the suite of tools including LibraryWiki, LibraryLink, LibraryRadar, and Library Features to address client requirements for timely and single point of access to business intelligence, research tools, guides and launched LibraryLog, LibraryForum, Library Features to enable direct client engagement collaboration.
- Library facility supported client business needs for vendor presentations (156 participants/11 presentations), lunchtime activities for CMB (29 participants / 2 book readings) and learning (252 participants/56 webinars).
- Implemented core modules of Millennium, the LKC's new Integrated Library System which will deliver enhanced information services and Web 2.0 functionality through its online public access catalogue, and enable greater efficiency in our activities with a tightly integrated suite of modules including acquisitions, cataloguing, circulation, serials control and systems management.
- Tendered requirements for a subscription agent to consolidate subscriptions for the LKC, resource centres at CIPO, CB and CRC and departmental business units. The contract, valued at approximately $1M over 5 years will improve management of departmental subscriptions.
- Delivered a suite of authoritative electronic resources and media monitoring sources to Industry Canada desktops though prudent management of LKC A-Base budget and partnerships with client groups and Research Coordination Committee.

- In consultation with CMM, introduced business process improvements to manage procurement of electronic information resources for the LKC, resources centres and business units ensuring that LKC is compliant with IC and GC contracting rules.
- Recognized as a leader in the GC for its library service delivery model; Library and Knowledge Centre delivered 15 presentations to 259 participants on its Portfolio Services Model and Web 2.0 tools to various forums including Federal Libraries Forum(convened by LAC), IM Awareness Community of Practice (PCO) and Canadian Library Association Annual Conference as well as 10 on site visits from GC departmental representatives/consultants/teams including Statistics Canada, Public Service Commission, Office of the Auditor General.

IPRA

- An extensive review and update was completed with the collaboration of program officials to reorganize and rewrite the content of Industry Canada's 2010 Info Source chapter (e.g.: information holdings, personal information banks, functions, programs and activities) to reflect the 2010 Program Activity Architecture and address TBS requirements. The chapter has been distributed to employees and posted on IMB's intranet as a reference tools.
- There has been a 57% increase in ATIP awareness sessions prepared and delivered to Industry Canada employees (36 sessions as compared to 23 in 2009-10), including ongoing participation in the orientation sessions for new employees. In addition, this year, IPRA will have completed visits to all of the regions in partnership with the Regional Operations Sector as compared to two regions the previous year.
- Full implementation of the E-ATIP tool (Axcess-1) will be completed before end of August 2011.
- IPRA drafted a preliminary policy for the management of emails and back-ups with the assistance of CIRS and presented it to CIO for review and approval.
- Other informational products were developed for the department and staff, namely, a practice bulletin concerning ATIP and external committees/councils and a comprehensive and evergreen ATIP guide to IPRA's business practices.
- The Policy and Outreach unit was established last year and has continued to enhance its services, not only in the increased awareness sessions but also in the guidance and advice provided on various issues (e.g.: responded to 126 questions from both internal/external clients, reviewed 92 parliamentary questions, 20 audit/evaluation reports, 1,510 proactive disclosure emails, and approved 27 PPIAs, etc.).
- Various initiatives and strategies have been implemented to address the workload concerns (44% increase in requests received from 2009-10), reduce the backlog of requests (39% increase), improve compliance and respond to complaints as well as maximize the use of limited resources.
- IPRA received 900 requests (698 ATI, 16 PA, 186 consultations from other organizations) and completed 793 (593 ATI, 15 PA, 185 consultations).Work will continue to focus on improving compliance for ATI requests which has dropped to 74% (more than 20% delay is considered an "F" rating by the OIC).