POLICY ON INFORMATION MANAGEMENT

This Policy was approved by the Board of Trustees on March 20, 2018.

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1. INTRODUCTION

The National Gallery of Canada (NGC or the Gallery) recognizes that information is a critically valuable asset that must be managed as a strategic resource, subject to the same degree of oversight and rigour as other key NGC assets (e.g. financial, human resources).

The Gallery fosters a culture in which each staff member manages information as a strategic resource, supported by clear, exemplary and common processes, standards, roles and enabling technologies.

For the purposes of this Policy, "information" is used inclusively to represent images, documents or other data that are accurate and timely, specific and organized for a purpose, archived or presented in a context that gives meaning and relevance, and can lead to an increase in individual or corporate understanding.

2. OBJECTIVE

The objective of this Policy is to:

    a) Officially recognize the value of NGC information holdings as a business asset;

    b) Formally document the NGC's core information management (IM) principles; and

    c) Clearly establish NGC staff and departmental roles and responsibilities related to the management of NGC information holdings.

3. APPLICATION

This Policy applies to the members of the Board of Trustees and its External Advisors, employees, interns, fellows, and volunteers. Consultants and Contractors are encouraged to adhere to the principles of this Policy.

Primary responsibility for implementation of this Policy rests with the Chief Information and Technology Officer (CITO) under the direction of the Deputy Director, Administration and Chief Financial Officer (CFO).

4. GUIDING PRINCIPLES

The following represent the Gallery's core IM principles:

    a) Information acquired (collected, purchased, received, or created) in the course of one's duties for the National Gallery of Canada is the property of the Gallery;

    b) Information is managed as an asset with intrinsic value. The Gallery recognizes that there is a financial cost associated with the sound management of its information, and a greater cost when information is poorly managed or lost altogether;

c) The preferred format for the management of NGC information assets is electronic;

d) The NGC and its employees shall manage its information in a manner that makes it easily shareable and searchable by all authorized users;

e) The NGC and its employees shall manage information assets through **all** stages of the information life-cycle (from creation to disposition or preservation) according to NGC policies, standards and guidelines; and

f) The NGC shall manage information in a manner that:

    i. allows for the protection and preservation of information assets and vital records,

    ii. is suitable to support its preservation and archival mandate,

    iii. allows for ease of response to official information requests (e.g. Access to Information requests and Privacy requests), and

    iv. respects information privacy and security requirements, consistent with applicable government legislation and policies.

5. ROLES AND RESPONSIBILITIES

A. Staff and Personnel working at the NGC

All NGC staff and personnel working at the Gallery, including interns, fellows, contractors, consultants, students and volunteers, are responsible for managing the information they collect, purchase, receive or create, in the conduct of their work, as a valuable asset to support the outcomes of the Gallery's programs and services, as well as the Gallery's operational needs and accountabilities by:

a) applying the Gallery's IM Policy, standards, procedures, directives, guidelines, tools and best practices in a way that is consistent with the goals of their division and the Gallery as a whole;

b) documenting their activities and decisions;

c) labelling and saving, in designated repositories, information pertaining to their activities and decisions;

d) bringing to their manager's attention and, when appropriate, to the attention of the Office of the CITO, all information requirements and issues; and

e) treating Gallery information in a manner that facilitates access while ensuring privacy and security requirements are met.

B. Chiefs and Senior Curators

Chiefs and Senior Curators have the role of managing resources, tools and processes in order to achieve assigned deliverables and outcomes. Chiefs and Senior Curators are responsible for managing information as an integral part of their program and service delivery and as a strategic resource by:

a) applying the Gallery's IM Policy, standards, procedures, directives, guidelines, tools and best practices, in the performance of their duties, to ensure the authenticity and integrity of the information;

b) ensuring that employees understand and apply effective information management practices in their day-to-day operations;

c) reflecting IM-related strategic goals in employee performance objectives, as / when appropriate;

d) ensuring information management requirements are included in the terms and conditions for contractors and others engaged in work on behalf of the Gallery;

e) ensuring that appropriate arrangements are in place for the management of information received from external institutions, agencies and individuals; and

f) analysing business processes and conveying information requirements to the Office of the CITO, who will determine the appropriate application of the File Classification Scheme, Retention and Disposition Policy, or any other relevant information management measure.

C. Senior Executive responsible for IM

The Deputy Director, Administration and CFO, as the senior executive responsible for IM, has a key responsibility to coordinate, promote and direct information management within the Gallery. The Senior Executive ensures that the appropriate management direction, processes and tools are in place to efficiently manage information under the control of the Gallery throughout the information life cycle by:

a) ensuring that IM objectives are understood at the senior management level and IM requirements are addressed during strategic planning;

b) ensuring that IM requirements are addressed during the planning phase of Gallery programs and system design;

c) ensuring that adequate IM governance and accountability structures are in place throughout the Gallery and that the accountability structures are clearly defined when information is shared with other institutions, federal departments/agencies, etc.; and

d) ensuring that the effectiveness of the IM Policy and its instruments is regularly assessed.

D. Chief Information and Technology Officer (CITO)

The CITO will:

a) maintain, revise and manage the NGC Policy on Information Management;

b) analyse newly introduced or amended IM-related legislation, policies and standards for their impact on the NGC;

c) develop, implement and maintain supporting policy instruments and related directives, standards, procedures, guidelines, tools and best practices for IM and information technology (IT);

d) communicate this Policy and associated procedures, standards, guidelines, tools and best practices to NGC staff;

e) develop and deliver information management services;

f) ensure the integration of IM requirements into other Gallery business and information technology strategies and plans;

g) establish Gallery-wide IM/IT tools that will enhance the accessibility and lifecycle management of NGC information holdings;

h) establish Gallery-wide information security guidelines and procedures and provide assistance in implementing them;

i) identify, address and monitor Gallery IM resource and training requirements;

j) work cooperatively with key stakeholders, including the NGC Library and Archives and NGC Chief, Collections Management, to establish requirements for the management of a digital archives environment[1] that is sustainable over time and through technological change;

k) establish guidelines and processes, with the assistance key stakeholders, including the NGC Library and Archives and NGC Chief, Collections Management, around vital records management;

l) collaborate with program managers to address information life cycle requirements in the development and operation of processes, systems, standards and tools that support business information requirements;

m) establish and maintain an infrastructure that is both robust and secure, in order to preserve the confidentiality, integrity and availability of the Gallery's information assets; and

n) establish guidelines and processes on disaster planning and vital records recovery.

E. Information Management Coordinator

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[1] This is a collective term that currently encompasses Mimsy XG for Collections information, the Piction Digital Asset Management system for images, and SharePoint for documents.

The IM Coordinator will:

a) provide IM advice, training and awareness sessions for Gallery personnel at all levels to encourage positive information management behaviours;

b) manage the development, maintenance and implementation of an up-to-date retention and disposition schedule for the Gallery that meets operational and legislative requirements;

c) provide guidance to employees on all aspects of IM and ensure that NGC staff are aware of, and comply with, NGC IM directives, procedures and guidelines; and

d) coordinate inter-departmental IM activities to ensure that consistent, common solutions are applied wherever possible.

F. NGC Chief Librarian and Archivist and Chief, Collections Management

The NGC Chief Librarian and Archivist will:

a) ensure that NGC historical/archival records are preserved and made accessible as appropriate, consistent with applicable legislation and policies;

b) work cooperatively with the Office of the CITO to establish requirements for the management of a digital archives environment that is sustainable over time and through technological change;

c) work cooperatively with the Office of the CITO to establish guidelines and processes around vital records management; and

d) work cooperatively with the Office of the CITO and Gallery departments on the development, maintenance and implementation of an up-to-date retention and disposition schedule for the Gallery that meets operational and legislative requirements.

6. INTEGRAL POLICY COMPONENTS

This Policy is the foundational piece within a tiered policy structure and provides general direction on the management of information at the Gallery. It is supported by a collection of internal directives, guidelines and standards, which provide operational direction to employees in specific IM disciplines and specialty areas. Please refer to the REFERENCES section for a complete list of supporting documents.

7. POLICY REVIEW

This *Policy on Information Management* is subject to review and re-approval of the Board of Trustees every five years.

8. INQUIRIES

Questions concerning the interpretation of this Policy should be directed to the Chief Information and Technology Officer.

REFERENCES

The Gallery's responsibility to appropriately manage its information assets is governed by a variety of applicable Government of Canada legislation, as follows:

Access to Information Act
Canada Anti-spam Legislation (CASL)
Canada Evidence Act
Copyright Act
Emergency Preparedness Act
Financial Administration Act
Library and Archives of Canada Act
Museums Act
Official Languages Act
Personal information Protection and Electronic Documents Act
Privacy Act
Status of the Artist Act

As required, this policy will be revised to reflect any changes in applicable legislation and policies.