

Western Economic Diversification Canada  
 Audit Report (04 July 2006)  
 Audit of the Management of Physical Records  
 Management Action Plan (04 July 2006)

No.	Recommendation	Management Action Plan
<b>1</b>	<b><i>Departmental Context</i></b>	
1.A	Corporate Services take functional responsibility for the department's physical records and ensure that the function is properly resourced.	Functional leadership and responsibility for WD's physical records has been assigned to the Director General Corporate Services who has, in turn, included the completion of Phase One of the Action Plan in his 2006 - 2007 "Key Commitments." Based on the approval of an Action Plan, the DG Corporate Services will utilize one of the AS-4 positions approved for Corporate Administration to resource a one or two year assignment for a records specialist to help achieve Phase One commitments. Identification of a subject matter specialist by Fall 2006. Finalization of the Phase One Action Plan by July 31, 2006
<b>2</b>	<b><i>Departmental Capabilities</i></b>	
2.A	Identify competencies at a departmental level, gaps in capacity and develop / implement learning plans. Ensure that the positions are classified at the appropriate level. Ensure all regions have individuals trained to provide back up support. Provide user training on classifying, particularly administrative files.	Conduct inventory of records office staff skills, competencies and awareness with respect to Records Policies, Archiving Policies/Requirements, Central Indexing and General security requirements. Based on this analysis, identify gaps and training/recruitment needs. HR will conduct a classification review (including a bench audit and interdepartmental comparison) of all Central Records Office positions to ensure appropriate levels. December 31, 2006
2.B	Corporate Services to direct this function and provide departmental policies, procedures and guidance.	1) Establish a Project Steering Committee with two Finance Corporate Service Managers, a senior line manager and Chaired by DG Corporate services. 2) Recruit an experienced records manager/director either on assignment or term basis to become Project Leader. Complete the resourcing of the Corporate Administration who will become the developer and custodian of Records policies and procedures. Fall 2006
2.D to 2.F		
2.G	Establish a process / mechanism to identify stakeholders, review potential opportunities, and summarize any decisions regarding potential synergies, if any exist.	In consultation and partnership with the Managers of Finance and Corporate Services, establish a Steering Committee composed of key stakeholders (two Finance and Corporate Service Managers, a Sr. Program Manager, and the DG Corporate Services) to provide feedback on priorities for action. The group will also be used to support communications and cultural change strategy. September 2006

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<b>3</b>	<b><i>Management of IM</i></b>	
3.A	Have the functional responsibility for physical records in Corporate Services and ensure that employees are made aware of the IM vision and objectives.	Director IMT who will be assigned the project lead in Phase Two will sit as a member of the Steering Committee to ensure a linkage with the IM Agenda/Vision which will be central to Phase Two planning. September 2006
3.B	Have the functional responsibility for physical records in Corporate Services and the existing IM plan expanded to include more details on physical records.	Phase Two will examine and build on linkages between various data pools (HRIS, Pay System and Salary Forecasting for example). Fall 2007 The development of an IM Architecture identifying linkages and compatability issues will be completed by IMT by March 31, 2007
3.C	Have the functional responsibility for physical records in Corporate Services where these policies will be developed and implemented.	Manager Corporate Administration will carry policy responsibility for Physical Record Keeping and will work closely to ensure implementation and consistent application of policies with the Regional Managers of Finance and Corporate Services. December 2006
3.D	Have the functional responsibility for physical records in Corporate Services.	Has been done - DG Corporate Services assigned Key Commitment for Records Management Phase One in his 2006 - 2007 PMP Agreement June 2006
3.E	n/a	
3.F	See 4.B.	
3.G	Once incorporated into the IM plan (recommendation for 3.B), develop the performance framework to allow for objective measurement of results achieved.	DG Corporate Services will develop and submit a linear plan with deliverables, timelines and indicators for performance evaluation purposes. Indicators will be geared to the respective phases of the project (Phase One - Quick Hits, Phase Two - Cultural Change and Phase Three - Broader IM strategy/Electronic Records and Electronic Warehousing) Fall 2006 for Phase One indicators.

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<b>4</b>	<b>Compliance and Quality</b>	
4.A.1	Under Corporate Services functional responsibility, ensure MGI policy standards are in place and train all staff on their responsibility to submit physical records to CR.	MGI Requirements will be integrated into New Employee Orientation and others will be encouraged to attend the Canada School Records Management Program. Corporate Services will ensure that additional information on the handling of information and, more specifically, links to the MGI Policies are provided on WD's Intranet Page. October 2006 In addition WD's Records Subject Mater specialist will be encouraged to conduct lunchtime staff briefings in all offices. Ongoing.
4.A.2	n/a	
4.A.3	n/a	
4.A.4	Determine if this is an issue in the other regions and clarify process.	Further checks will be made. However, it appears clear that financial and other records are being maintained outside of the CR and the MGI policy. As an initial step, WD will sek to identify ALL records and to ensure they are indexed and recorded and only after this will consider how best to store. March 31, 2007
4.B.1	Ensure that the CR unit is staffed at all times. When no one is there, the door should be locked. Ensure that appropriate storage containers are used.	Review operations of all records Office to ensure maximum coverage for CR in order to minimize or eliminate periods when CR is unattended. Review the level of risk and determine whether the increased security warrants the inconvenience of closing the Records Office when coverage is not possible or impractical. December 31, 2006
4.B.2	In the one region keep safe locked at all times and, in the other region, replace the cabinets to meet the expected standard.	The Records Manager (to be appointed) will as a matter of urgency review security status and requirements of each of WD's Records Offices. Where required, WD will take steps to ensure the security of all records in accordance with MGI policies. December 31, 2006
4.B.3	Files need to be charged out to the person who has possession. One CR suggested a simple email to CR copied to the person to whom the file is being passed would suffice because she can make the change in the system.	Phase One: Steering Committee will consider sign-out procedures for universal application. Once approved, the Records Manager will be responsible for ensuring compliance with the procedures. In addition all staff will be provided with a security identifier on their Employee ID Card which will be required to sign material out of the Records Office. December 31, 2006
4.B.4	Upgrade the security classification of anyone working in CR.	Review security clearance levels of CR staff and upgrade as required. December 31, 2006
4.B.5	Ensure that CR has a list of staff security clearances and that access rights to physical files are managed appropriately.	Working with the DSO WD's ID cards will be amended to reflect security clearance which in turn will assist CR Staff in deciding who may have access to sensitive or secure files. December 31, 2006
4.B.6	Provide training on this subject to CR staff.	The Chief Learning Officer in concert with the Steering Committee and the Records Manager will identify and organize the necessary training for CR staff and managers. In particular all CR Office supervisors will be sent on the Canada School Records Management (1001) December 31, 2006

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4.C	Provide training on this subject to CR staff.	
4.D	Continue with plan to develop a business resumption plan by end of December 2006 and ensure inclusion of physical records.	The BCP is well underway with completion scheduled for September 2006.
4.E	n/a	n/a
<b>5</b>	<b><i>Records and Information Life Cycle</i></b>	
5.A	Although not specifically required in MC's, department should include IM planning as part of the program's impact on resources.	DG Corporate Services will discuss with DG Finance and Programs and the Director IM.
5.B.1	n/a	n/a
5.B.2	Coporate Services to direct this function and maintain a single classification manual electronically.	DG Corporate Services will through the Records Manager ensure the common use of the National Archives' (the government standard) index system for the filing of all WD records. In addition training in the use of this index will be provided to all Records Staff and key administrative staff. March 31, 2007
5.C	n/a	n/a
5.D	n/a	n/a
5.E	n/a	n/a
5.F	n/a	n/a
5.G	Include the management of physical records, with an appropriate performance framework, in the departmental IM planning.	Develop performance indicators for inclusion in performance agreements and region/section workplans/business plans. March 31, 2007
<b>6</b>	<b><i>User Perspective</i></b>	
6.A	n/a	n/a
6.B	Staff orientation to include orientation to CR. Once incorporated into the IM plan and there is consistency among the regions, offer training to all staff.	Add a component on records management and classification to regional orientation sessions. December 31, 2006
6.C	Include a formal mechanism as part of the performance framework recommended under 5G.	Develop performance indicators and include in region/section workplans. March 31, 2007