

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

## INTRODUCTION

WD will move immediately to clarify accountability and responsibility for the department's records management. Effective immediately the DG Corporate Services will be functionally accountable for physical records management and for the development and implementation of an action plan to address the concerns, short-comings and gaps identified in the audit. Response to the findings contained in the audit will be addressed in both the long and short term taking into account WD fiscal circumstances.

## DEPARTMENTAL CAPABILITIES

Over the summer and through the fall the following actions will be taken:

- Assignment poster seeking a subject matter specialist who was willing to take on an 18-24 month assignment as Project manager – Records Management.
- In consultation with the Regional Finance Corporate Services (F&CS) Managers, Tim Earle will establish a Records Management Steering Committee to over see the project.
- In consultation with the Regional F&CS managers and the Project Manager we will develop a capacity assessment questionnaire covering (education, experience, awareness levels, knowledge of index, security and physical security) for each of the Records Offices. At the same time Regional F&CS Managers will be asked to identify unofficial filing systems (cases where records are being stored outside of the Records Office (for example HR maintains "Personal Records" within the HQ HR area.

## MANAGEMENT OF INFORMATION MANAGEMENT (IM)

The Director IMT will be a member of the Steering Committee to ensure linkage with WD's wider IM Agenda and Information Architecture. Other responses will include:

- Establishment of Key Commitment indicators for Corporate Services and the DG in particular.
- Development of indicators for other stakeholders including individual Records Offices.
- Records management will be included in the Corporate Services Business Plan as a key deliverable.

## COMPLIANCE AND QUALITY

Extensive training (the Canada School of Public Service has an excellent three day program) will be provided for all staff working within the Records Office. In addition the questionnaire discussed above will be used to identify physical security issues and threats. Other steps will be taken to strengthen security and these will include:

- In addition the departmental ID Cards will be amended to show a person's existing security level and these will be required when gaining access to any material controlled by the Records Office.
- DSO will review the security levels of all staff working in the Records Offices.
- The Chief Learning Officer will be directed to include Records Management and the MGI in department wide training under orientation but also elsewhere. Training is an excellent way in which to build awareness and change culture. In the longer term significant cultural change is required to address WD's longer term IM and Records Management issues.
- WD Business Continuity Plan has been delayed but will be completed by September and will include survival/resumption plans for the Records Offices.

## RECORDS AND INFORMATION LIFE CYCLE

WD will move to establish the universal use of the National Archives Indexing System in all offices. Corporate Services will maintain the file classification manual and by doing so control the allocation of new index series/files.