The Framework for the Management of Information (FMI) – Implementing Good Management of Information in the Government of Canada

http://www.cio-dpi.gc.ca/im-gi/fmi-cgi/fmi-cgi_e.asp

IM Day 2003

September 11, 2003

Susan Wiggin

1-613-952-2663

Wiggin.Susan@tbs-sct.gc.ca

Chief Information Officer Branch

Treasury Board of Canada Secretariat

Presentation Session C, 2:45 p.m.

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Government is in the Information Business

- **All services provided to citizens, businesses, and internal clients are information-based**

  – The provision of information is often the service itself

  – Transactional services are defined by information

  – Transactional services also generate information

Government is in the Information Business (cont'd)

- **Citizens, businesses expect quality information, and services**
    - Accurate, reliable, current, complete, relevant, timely
    - Easy to find; Easy to use; Accessible
    - Privacy, confidentiality, safekeeping of information
    - Greater transparency and accountability
    - Preservation of Canadian Heritage

- **Federal employees need access to quality information for decision-making, business delivery**
    - Efficient gathering, retrieval, reuse, analysis of information

Treasury Board of Canada Secretariat   Secrétariat du Conseil du Trésor du Canada

Canadä

Achievement of GoC Goals Depend on Good Management of Information

- **Economic opportunities and innovations**
  - Developing and sharing knowledge base

- **Quality health care advice and services**
  - Based on responsive, accurate health information

- **Safety and security of Canadians, their communities**
  - Document, share, and act on reliable information

New Policy Direction - Management of Government Information (MGI) Policy

- **Outlines IM life cycle requirements**

- **Requires implementation of governance and accountability structures**

- **Places new emphasis on IM in support of electronic, multi-channel and cross-jurisdictional service delivery**

- **Promotes electronic channels as the preferred means of creating, using, and managing information**

- **Requires decisions and decision-making process to be documented**

Vision for MI in the GoC

- **All persons** working for GoC are engaged in managing information as a strategic business resource and as a public trust on behalf of Canadians

…resulting in quality information to support GoC business and its' access by Canadians.

Key Principles for MI in the GoC

- **Information** is to be considered from earliest point in business planning cycle
- **Information** is a valuable strategic government-wide resource
- **Information** is managed to ensure :
  - Quality of Information
  - Public access
  - Privacy of personal information
  - Confidentiality of private sector information
  - Appropriate safekeeping
- **Information** is **Everyone's** responsibility

Renewal and Modernization of MI in GoC

6 Streams

1. **Governance and Accountability**

2. **Guidance and Tools**

3. **Communications and Engagement**

4. **IM Skills and Community Development**

5. **Technology Investments and Interoperability Standards**

6. **Resources**
- **More details in Annex A**

Treasury Board of Canada Secretariat

Secrétariat du Conseil du Trésor du Canada

Canada

Guidance and Tools

- **Framework for the Management of Information (FMI)**
    - Maps out the landscape for managing information in GoC

    - Links obligations, accountabilities to legislation and policy

    - Provides "one stop" guidance and practical solutions/practices
        - Tailored to program/service delivery; office workers, IM specialists

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

FMI Structure

• **Efficient, effective, trustworthy service delivery**
• **Accountability** • **Transparency** • **Information access**
• **History**

• **Decisions** • **Actions** • **Transactions** • **Statistics**

Business Delivery

Office Activities

IM Services

Guides

Standards Guidelines

• **Management** • **Life-Cycle**
• **Common Policy**

Foundation

Vision/Objectives/Principles; Legislation/Policy; Role of Information; Glossary

Guidance and Tools (cont'd)

Framework for the Management of Information:

- **Checklist to assist departments in GOL investment proposals**

- **IM capacity assessment tools to assist departments identify gaps**

- **Foundation Section – overall context, vision, principles, role of information, legislation / policies, governance**

- **Guidance for employees - Office Activities Guide**
  - E-mail Quick Reference Card
  - Roles and Responsibilities Quick Reference Card (Winter 2004)

Guidance and Tools (cont'd)

Framework for the Management of Information:

- **Business Delivery Guide (2004-05)**

- **Supporting Guidelines :**
  - Performance Measures Guideline (Spring 2004)
  - TB Submissions Guidance for departments, TB analysts (Winter 2004)
  - Audit and evaluation guide for MGI policy (Winter 2004)
  - MI Requirements in Business Cases (Summer 2003)
  - Risk Assessment (Winter 2004)
  - Quality of Information (Winter 2004)
  - Infostructure Guideline (2004-05)
  - Technology Considerations – What is XML? (Winter 2004)
  - Data Modelling guidance (Winter 2004-05)

Guidance and Tools (cont'd)

Framework for the Management of Information:

- **Guidance for IM Community**

  - Records Information Life Cycle Guidance (L&AC Lead)

- **Departmental Best Practices (with NRCAN, PWGSC)**

- **Communications Strategy—Phase II**

- **More details in Annex A**

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Good Management of Information (MI) in Institutions Requires:

1. Strategic and Operational Planning
2. Departmental Framework for MI
   - Vision, goals
   - Governance and Accountability Structure
     - Legislation, policies affecting institution
     - Senior Executive to coordinate; member of Senior Management Committee; IM Committees
     - Organization
     - Roles and Responsibilities
     - Employee performance assessments including Deputy Head
   - Institution-level policies, standards, guidelines

Good Management of Information in Institutions Requires (Cont'd):

3. Cultural Change – Education and Awareness

4. Systems and Technology

5. Training

   IM Community

   Non-IM Community

6. Resources

7. Monitoring and Assessment

Workshop Questions

1. How would you approach the implementation of a good management of information regime under the following categories:

- •Governance and Accountability

- •Resources

- •Cultural Change

Workshop Questions (Cont'd)

2. What approach would you take to establish priorities for implementing a good information management of information regime? What basis would you use to establish these priorities?

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Annex A

Renewal and Modernization of MI in GoC

Governance and Accountability

- **Partnership with LAC including integrated work plan**

- **Information Management and Policy Committee (IMPC) – a senior interdepartmental committee to provide focused leadership**

- **Management of Government Information Policy - Renewal and Evolution of Policy**

- **Privacy Impact Assessment Policy**

- **Departments identified Senior Executive responsible for IM**

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Governance and Accountability (cont'd)

- **FMI Overview of, and links to Legislation, Policy**

- **FMI Governance and Accountability Guidelines (Finalize Winter 2004)**
  - Early Implementer – NRCan
  - Roll-out strategy

- **Review of existing IM-related legislation to determine adequacy**

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Guidance and Tools

- **Framework for the Management of Information (FMI)**
    - Maps out the landscape for managing information in GoC

    - Links obligations, accountabilities to legislation and policy

    - Provides "one stop" guidance and practical solutions/practices
        - Tailored to business delivery; office workers, IM specialists

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canadä

FMI Structure

• **Efficient, effective, trustworthy service delivery**
• **Accountability • Transparency • Information access**
• **History**

• **Decisions**   • **Actions**   • **Transactions**   • **Statistics**

Business Delivery   **Office Activities**   **IM Services**

Guides

Standards Guidelines

• **Management**   • **Life-Cycle**
• **Common Policy**

Foundation

Vision/Objectives/Principles; Legislation/Policy; Role of Information; Glossary

Guidance and Tools (cont'd)

Framework for the Management of Information:

- **Checklist to assist departments in GOL investment proposals**

- **IM capacity assessment tools to assist departments identify gaps**

- **Foundation Section – overall context, vision,, principles, role of information legislation / policies, governance**

- **Guidance for employees - Office Activities Guide**
  - E-mail Quick Reference Card
  - Roles and Responsibilities Quick Reference Card (Winter 2004)

Guidance and Tools (cont'd)

Framework for the Management of Information:

- **Business Delivery Guide (2004-05)**

- **Supporting Guidelines :**
  - Performance Measures Guideline (Spring 2004)
  - TB Submissions Guidance for departments, TB analysts (Winter 2004)
  - Audit and evaluation guide for MGI policy (Winter 2004)
  - MI Requirements in Business Cases (Summer 2003)
  - Risk Assessment (Winter 2004)
  - Quality of Information (Winter 2004)
  - Infostructure Guideline (2004-05)
  - Technology Considerations – What is XML? (Winter 2004)
  - Data Modelling guidance (Winter 2004-05)

Guidance and Tools (cont'd)

Framework for the Management of Information:

- **Guidance for IM Community**

    - Records Information Life Cycle Guidance (L&AC Lead)

- **Departmental Best Practices (with NRCAN, PWGSC)**

- **Communications Strategy—Phase II**

- **More details in Annex A**

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Communications and Engagement

- **Creation of an IM Resource Centre web site**
  http://www.cio-dpi.gc.ca/im-gi/index_e.asp

- **Annual IM Day (first one in 2001)**

- **IM Forum (co-chaired by L&AC / CIOB)**

- **MGI announcement to departments**

- **Two TIMS Deputies named GoC IM Champions**

- **Redesign of IM Resource Centre web site - evolution to portal for IM information**

- **Develop FMI communication strategy**

- **Implement an FMI communication strategy**

IM Skills and Community Development

- **IM Champions Committee**
- **IM Community vision**
- **Key IM roles identified**
- **IM Community of Practice site established**
- **IM Community survey to better define existing IM capacity**
- **IM Leadership Program (Fall 2003)**
- **Key IM roles identified and described**
  - Draft competencies and assessment tools (April 2003)
  - 'Evergreen' IM Job Repository

IM Skills and Community Development (Cont'd)

- **Testing of IM Leadership competencies (Fall 2003)**

- **Identification of learning strategy**

- **IM Learning and Competency Review Team**

- **Training in support of GOL projects - Metadata**

Treasury Board of Canada Secretariat   Secrétariat du Conseil du Trésor du Canada

Canada

Technology Investments and Interoperability Standards

- **Roll-out of electronic records and document management systems**
  - Continued evolution of RDIMS – a system for records and document management

- **Metadata standard for resource discovery on Internet**

- **Core subject thesaurus**

- **Common content management system for Gateways and Clusters, metadata phased development**

- **Extend Dublin Core within GoC metadata framework; develop an application profile**

Technology Investments and Interoperability Standards (cont'd)

- **Updated records management metadata requirements and standards**

- **Thesaurus and controlled vocabularies to support evolving metadata standards**

- **IM E-Enabler**

  - Data Exchange mechanism (XML)

  - Standards, specifications for designing interoperable systems

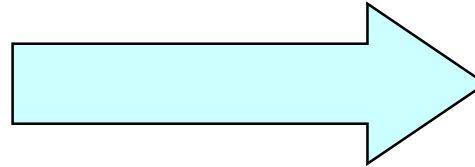 - Distributed network of registries, repositories

Resources

- **IM/IT Infrastructure Fund used for document management system implementations**

- **Costing methodology being developed to assist departments determine resource requirements (Winter 2003-04)**

- **Resourcing strategy/options to bridge the gaps in departments and strengthen central agencies' abilities to support MI**

Annex B

1. Governance and Accountability

2. **Guidance and Tools**

3. Communications and Engagement

4. IM Skills and Community Development

5. Technology Investments and Interoperability Standards

6. Resources

Framework for the Management of Information in the GoC (FMI)

Treasury Board of Canada Secretariat

Secrétariat du Conseil du Trésor du Canada

Canada

The FMI – Overview of the Structure

FMI Structure

• **Efficient, effective, trustworthy service delivery**
• **Accountability • Transparency • Information access**
• **History**

• **Decisions**   • **Actions**   • **Transactions**   • **Statistics**

Business Delivery

Office Activities

IM Services

Guides

Standards Guidelines

• **Management**   • **Life-Cycle**
• **Common Policy**

Foundation

Vision/Objectives/Principles; Legislation/Policy; Role of Information; Glossary

34

FMI – Guides

Business Delivery

MI Guide for Business Delivery

Handbook to support all aspects of service delivery - from planning through solution development, implementation, assessment

- *roles and responsibilities*

- *coordinated view and quick access to standards and guidelines*

- *checklists*

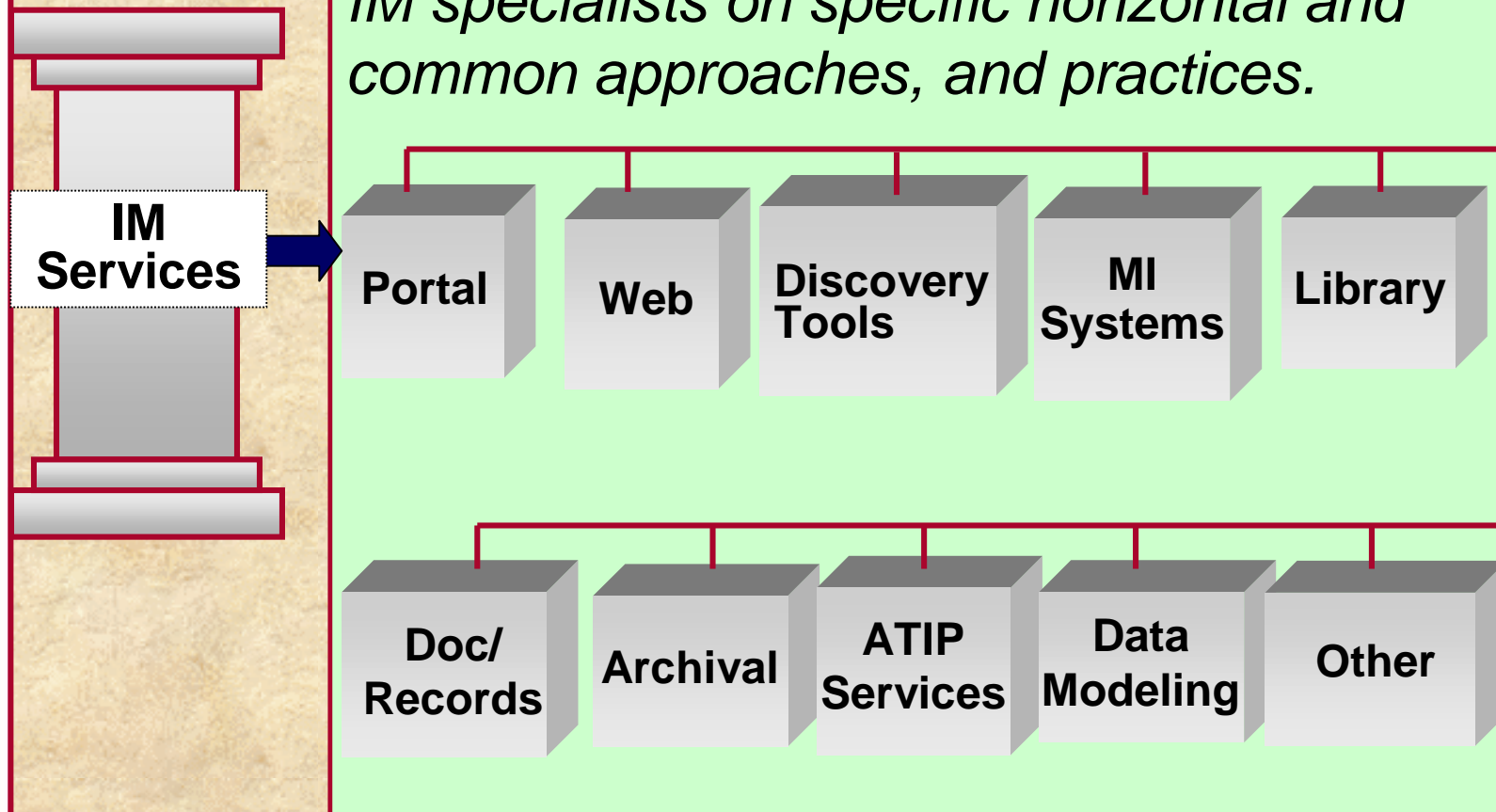# FMI - Guides (cont'd)

Office Activities

MI Guide for Office Activities
Handbook for employees to support day-to-day leadership, management and administrative activities

- obligations, roles/responsibilities

- practical approaches, checklists,

- Quick Reference Card – e.g. E-mail

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

FMI – Guides (cont'd)

MI Guides for IM Services *– Guidance to IM specialists on specific horizontal and common approaches, and practices.*

IM Services →

| Portal | Web | Discovery Tools | MI Systems | Library |

| Doc/ Records | Archival | ATIP Services | Data Modeling | Other |

FMI Standards and Guidelines

Management Related

Governance & Accountability

Competencies & Training

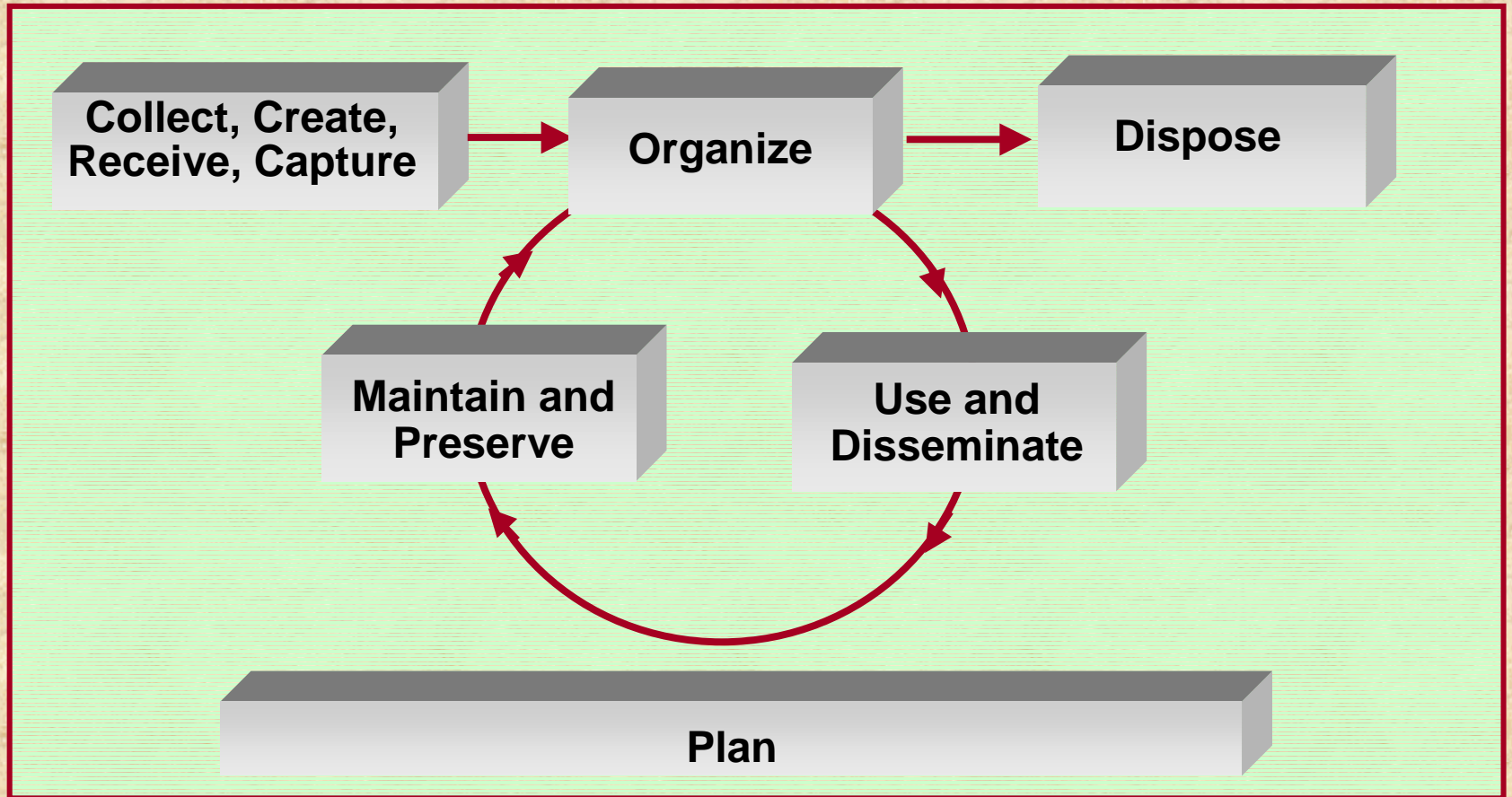Management Functions

Service Delivery Considerations

Technology Considerations

Quality of Information

FMI Standards and Guidelines (cont'd)

Information Life Cycle-related

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

FMI Standards and Guidelines (cont'd)

Common Policy Related

Access to Information

Privacy & Confidentiality

Intellectual Property

Official Languages

Security

Liability

Communications

The FMI – Work Plan

Framework for the Management of Information

Phase I: Preliminary Action Plan

- **Vision, Goals/Objectives**

- **Key Principles for the Management of Information**

- **Scope and Structure for the FMI**

- **Initial priorities developed in consultation with departments**

- **Consultation with departments**

- **Endorsed by IMPC**

Framework for the Management of Information

Phase II: Initial Priorities

- **FMI Foundation Section**
  - Role of Information
  - Overall Governance and Accountability in GoC
  - Overview of, links to legislation, policies
  - Stakeholder Perspectives
  - Glossary (evolving as the FMI evolves)
- **FMI Guidance for employees - Office Activities Guide**
  - E-mail Quick Reference Card
  - Roles and Responsibilities Quick Reference Card (Winter 2004)

Framework for the Management of Information

Phase II: Initial Priorities (Cont'd)

- **FMI guidance in support of business delivery activities**
  - Business Delivery Guide (2004-05)
  - Supporting Guidelines
    - Performance Measures Guideline (Spring 2004)
    - TB Submissions Guidance for departments, TB analysts (Winter 2004)
    - Audit and evaluation guide for MGI policy (Winter 2004)
    - MI Requirements in Business Cases (Summer 2003)

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Framework for the Management of Information
Phase II: Initial Priorities (Cont'd)

- **Supporting Guidelines (cont'd)**
  - Risk Assessment (Winter 2004)
  - Quality of Information (Winter 2004)
  - Infostructure Guideline (2004-05)
  - Technology Considerations – What is XML? (Winter 2004)
  - Data Modelling guidance (Winter 2004-05)
- **Communications and Engagement**
  - Develop FMI communication strategy (Winter 2004)
- **Approach for sharing of departmental best practices (with NRCAN and PWGSC)**

Framework for the Management of Information

Phase III: Development of Additional Guidance and Implementation

- **Implement FMI communications strategy**

- **Additional guidelines in support of business delivery activities**

- **Guidance for employees - Office Activities Guide**

    - Additional guidance based on departmental priorities

Framework for the Management of Information

Phase III: Development of Additional Guidance and Implementation (Cont'd)

- **FMI Guidance for IM Community**

    - Information Life Cycle

    - Guides for IM Specialists (ie. Records Managers, Web Managers, etc.)

    - Common policy tools

    - Competencies and training

Treasury Board of Canada
Secretariat

Secrétariat du Conseil du Trésor
du Canada

Canada

Framework for the Management of Information

Phase IV: Ongoing monitoring and support

- **Periodic reviews to assess progress in departments**
  - Review of departmental capacity checks
  - Review of departmental/agency periodic internal assessments and audits
- **Continuous improvement**
  - Ongoing review and update of FMI to ensure currency

Canadä