

Appendix 7

Results Lists Formula 1

Results List - Formula 1

39	There are formal guidelines and procedures for maintaining business records regardless of media or format	27
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43	Processes are in place to safeguard information from destruction and tampering	27
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44	The institution has directives and guidelines to ensure development and maintenance of information sharing agreements with external partners that define roles & responsibilities; accountabilities; mechanisms for sharing information, preserving integrity of information, ensuring comprehensive records are maintained, and for ensuring appropriate disposition of information	27
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41	Institution supports a training and awareness program that outlines employee obligations with respect to maintaining government information, particularly in maintaining official records	24
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60	There are institutional directives and guidelines to include IM requirements (resources, accommodation, equipment, management mechanisms or tools, etc.) in project and program planning and management documents (business cases, project plans, TBS submissions, etc) for new or modified programs, services.	24
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63	Institutional guidelines and directives require that IM requirements are addressed in project and program planning and management documents for technology based systems	24
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87	The institution has an electronic repository for storing and managing electronic information	24
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18	The institution maintains a current, comprehensive and structured identification or classification system(s) for organizing and locating information, including metadata and information descriptions with sufficient detail to facility clarity and define context.	23
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31	Process exists to support legal and policy obligations for sharing / re-use of the information	23
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Results List - Formula 1

66	Institutional guidelines or directives require that planning for new technology based systems considers interoperability with other technology based systems (existing or under development)	23
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23	An inventory of information assets exists (preferably electronic) indicating format, media and location of information and is available to all employees	21
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67	Institutional guidelines or directives require that planning for new technology addresses reusing and sharing information held in existing technology based systems	21
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71	The Senior Official has authority to allocate appropriate resources to IM activities	20
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72	The Senior Official has the mandate to secure adequate training and development programs to support IM specialists	20
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6	Information on programs or services is available through all delivery channels: internet, e-mail, telephone call-centre, face-to-face, traditional correspondence	19
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38	The institution formally supports and resources a records management program with professional experts to provide advice and guidance to support the proper collection, storage and preservation of institutional records	17
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99	The institution's Records Management program includes an active retention and disposition unit with experts to provide support and guidance in disposition activities across the institution	17
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2	Quality assurance processes exist across the institution	16
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4	Measures exist to resolve quality issues	16
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73	There is provision under the governance and accountability framework for ongoing monitoring of the effectiveness of the IM program across the institution	16
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Results List - Formula 1

74	There is provision under the governance and accountability framework that designates authority to take action to redress vulnerabilities and significant issues in IM	16
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76	Regions are represented in the governance structure.	16
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3	The institutional audit and evaluation program assesses quality, consistency and integrity of information	15
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5	A vehicle exists for Canadians to provide feedback related to quality and consistency of information	15
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7	Individual client information is available through all delivery channels: internet, e-mail, telephone call-centre, face-to-face, traditional correspondence	15
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12	Client information systems specify individual clients' preferred language of communication	15
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27	The audit and evaluation program assesses timeliness and convenience of access to information	15
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37	The audit and evaluation program assesses the handling of personal information by institution	15
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42	The audit and evaluation program checks to ensure records are being maintained and managed appropriately	15
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46	The audit and evaluation program checks to ensure the existence of, and compliance of all parties with, information sharing agreements	15
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50	The institution has directives and guidelines for the appropriate security designation of information	15
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Results List - Formula 1

55	Training and awareness program outlines employee obligations with respect to information security	15
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61	Institutional guidelines or directives require that IM considerations are addressed in policy development and, if appropriate, incorporated into policies, standards or guidelines (e.g. security, e-mail, network usage policies)	14
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81	There are current job descriptions outlining roles and responsibilities of IM specialists	14
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82	IM roles and responsibilities for all employees are identified and included in job descriptions and performance agreements	14
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100	Employee training and awareness programs provide information on retention and disposition process for government records	14
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119	The audit and evaluation program assesses and documents the institution's performance in managing information	14
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32	Process is in place to document and monitor access to restricted information	13
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33	Institution has Privacy Management Framework with guidelines outlining requirements of the Privacy Act in relation to collection, retention, management and release of personal information	13
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35	Institutional guidelines stipulate that Information systems with data or records that contain personal information are identified	13
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8	Employees at public response points (internet, e-mail, telephone call-centre, face-to-face, correspondence units) can access all institutions INFO systems	12
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16	There are institutional guidelines and standards for identifying, describing and organizing information	12
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Results List - Formula 1

51	The institution has directives and guidelines outlining security requirements for maintaining and handling information in all media across all delivery channels	12
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68	Institutional guidelines or directives require that planning for new technology includes applying institutional guidelines for information organization and identification (i.e. uses or builds upon approved taxonomies or information classification / identification systems)	12
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131	The audit and evaluation program assesses the effectiveness of the departmental records disposition program	12
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14	A vehicle exists for Canadians to identify difficulties communicating with the institution in their language of choice	11
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26	Process exists to support bibliographic information being reported to the National Library's Union Catalogue	11
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30	Guidelines and process exist for controlling appropriate access to information	11
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89	Process is in place to review information collection plans to assess necessity and relevance of collection	11
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96	Migration strategies exist for converting information (data) to new structures and technology over time	11
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130	Strategies are in place to provide for preservation of information of enduring value while it is in the custody of the organization, including through technological change	11
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83	Guidelines for performance assessment program stipulate that performance assessments of all employees evaluate requisite performance in managing information	10
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24	Information holdings are identified and described in appropriate public reference sources (e.g. InfoSource)	9
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Results List - Formula 1

25	A current Publications catalogue is maintained according to established standards	9
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53	Processes are in place outlining and supporting appropriate storage of information in line with security designation	9
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84	There are institutional standards outlining requirements for the institution's IT infrastructure	9
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120	The institutional Threat and Risk Assessment program includes IM considerations	9
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1	Guidelines defining information quality criteria are available for reference	8
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11	Measures exist to rectify deficiencies in compliance with language requirements	8
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70	The Senior Official has the authority to provide direction in IM at all levels of the institution	8
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80	IM Roles and responsibilities for senior management are identified in job descriptions and management agreements with the Head of the institution	8
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88	The institution has a business continuity plan that includes an information strategy	8
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9	The institution has guidelines or directives to support compliance with the Official Languages Act	7
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10	Quality assurance regularly assesses compliance with languages requirements	7
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54	Processes are in place outlining and supporting appropriate method for destruction of information in line with security designation	7
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Results List - Formula 1

65	Institutional guidelines or directives require that planning for new technology based systems ensures that requirement is not already addressed by an existing technology based system (prevents redundant system development)	7
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92	Institution maintains records of information collection activities, identifying purpose, frequency, profile of respondents and all data elements within information collections	7
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105	Migration strategies include consideration for essential records	7
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111	There are institutional directives, guidelines and procedures to support deposit of Publications in the institution's library or in on-line publications repository	7
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40	The institution formally supports and resources a library service with professional experts to provide advice and guidance to support the proper collection, storage and preservation of institutional publications	6
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13	The audit and evaluation program regularly assesses the institution's performance in providing information in the language of choice	4
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21	Processes are in place to update the inventory of information assets on a regular basis	4
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56	The institution has an essential records program identifying records that must be protected as defined in government policy and directives	4
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69	There is a Senior Official designated to lead the IM program	4
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77	The IM G&A framework identifies the position within the institution that is accountable to the TB for the implementation of the MGI policy and sustenance of good IM	4
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78	The Accountability framework stipulates that the Senior Official designated to lead the IM program is accountable to the Head of the institution for the implementation of the MGI policy and sustenance of good IM	4
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Results List - Formula 1

101	The institution maintains an inventory of current disposition authorities outlining retention periods and terms and conditions for disposition	4
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102	The institution maintains an inventory of records not covered under disposition authorities, to ensure these records are retained until an authority is attained	4
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126	The institution has an IM governance and accountability framework	4
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103	There are institutional guidelines and procedures for transfer of information of enduring (or historical) value to the LAC.	3
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115	There are institutional guidelines and procedures for transferring publications to the National Library of LAC	3
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79	IM Roles and Responsibilities of the Senior Official designated to lead the IM program are identified in job description and management agreement with the Head of the institution	2
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