

# Information Governance Project: Key Features of Proposed Information Governance

Information Stewardship is everybody's business at NRCan



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Presentation for IM Day - September 11, 2003

Information Governance - Gouvernance de l'information



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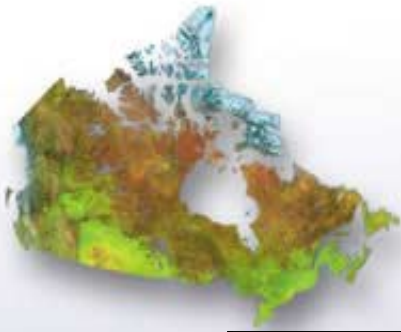
# Introduction

- What is I-Governance?
  - “A structure of relationships and processes to direct and control the enterprise in order to achieve the enterprise's goals by adding value while balancing risk versus return over Information and its processes.”
    - Adapted from the IT Governance Institute
- Why are we doing this?
  - Most appropriate use of resources
  - Increase transparency and clarify accountability
  - Better respond to increasing pressures: E-Business, IM, Security, ATIP, Financial Pressures, etc.

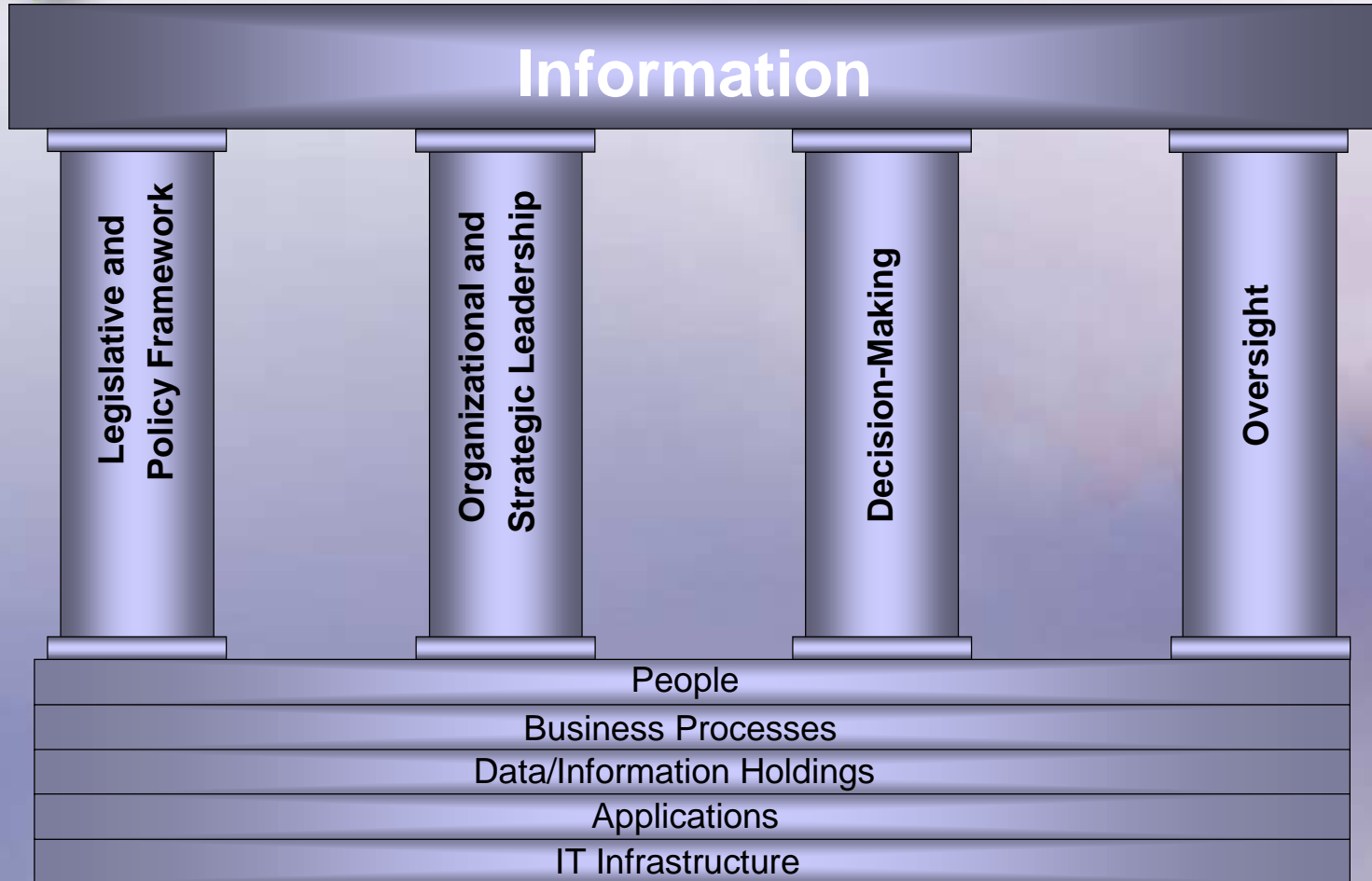


## Introduction (cont'd)

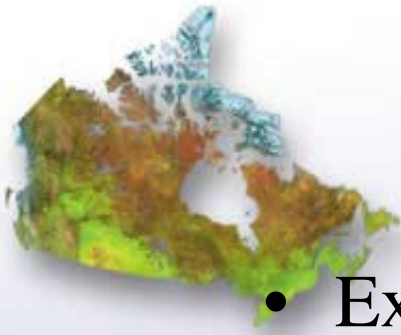
- What does I-Governance include?
  - Information Management
  - Internet Content and Infrastructure
  - Information Technology functions
- Partnership with all Sectors
  - Steering Committee at the Director Level who report directly to ADMs + Communications Branch and Audit and Evaluation Branch + NRCan On-Line (NOL)



# The I-Governance Framework



# Process Followed

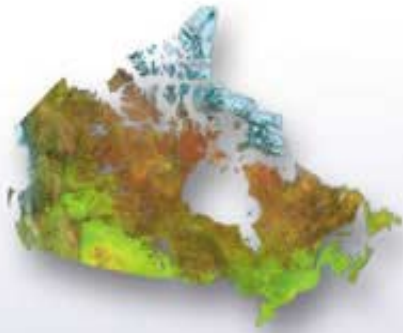


- Extensive Consultations
  - Senior Management
  - Workforce
  - OGDs
- Identified
  - Strengths
  - Best Practices
  - Risks of not doing anything
  - Opportunities
  - Gaps and Strategies
- Several workshops and brainstorming sessions to validate and build upon findings



## Spin-off Projects

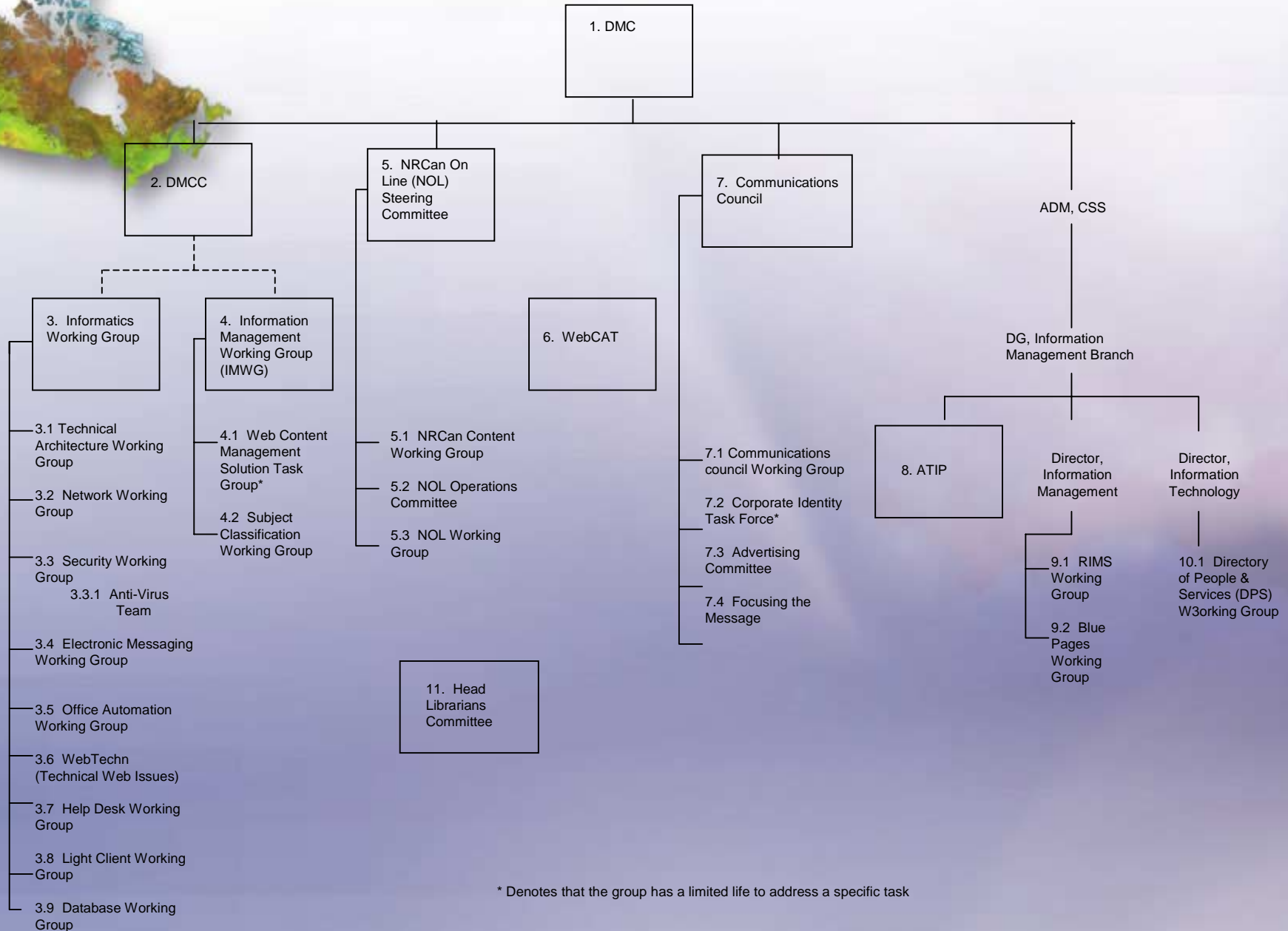
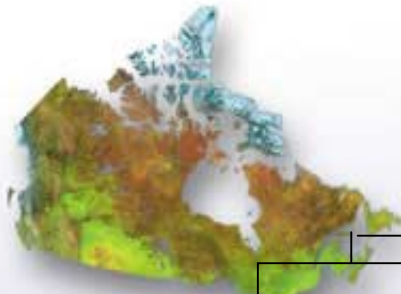
- To address the Gaps seven department-wide projects were identified that will bring high value over the short term
- The seven projects were approved and funded through Program Integrity
- Steering committee members agreed to take the lead on these projects



## Spin-off Projects (cont'd)

1. Inventory of Systems and Services
- 2. Accountabilities of Information-related Committees and Working Groups**
- 3. Chart of Accounts and Accountability Matrix**
4. Policy Review
5. Swat Teams and Centres of Expertise
6. Overview
- 7. Communications Strategy**

# Current Committee Structure

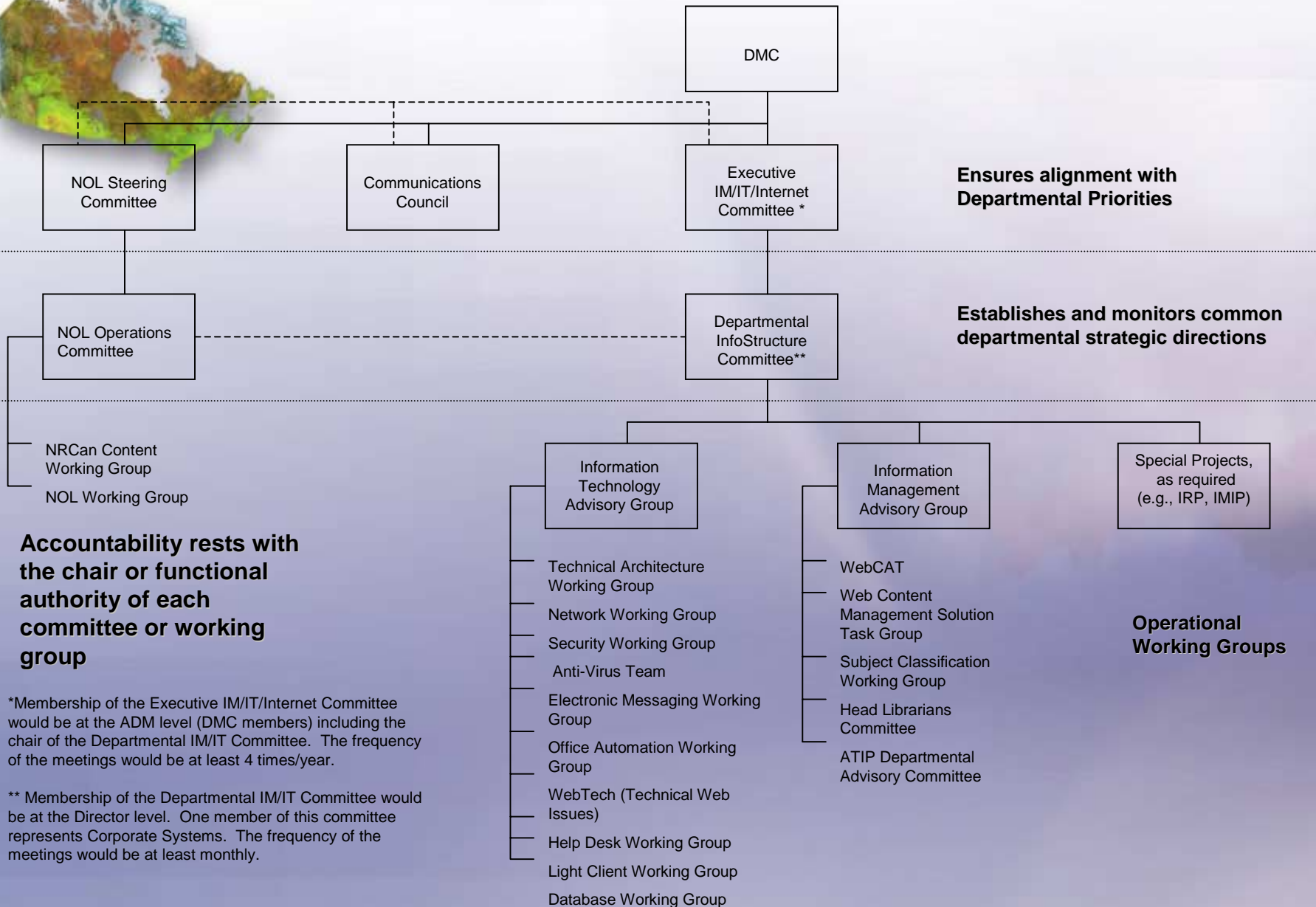
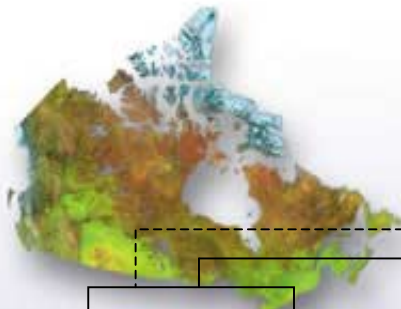


\* Denotes that the group has a limited life to address a specific task





# Proposed Committee Structure



**Accountability rests with the chair or functional authority of each committee or working group**

\*Membership of the Executive IM/IT/Internet Committee would be at the ADM level (DMC members) including the chair of the Departmental IM/IT Committee. The frequency of the meetings would be at least 4 times/year.

\*\* Membership of the Departmental IM/IT Committee would be at the Director level. One member of this committee represents Corporate Systems. The frequency of the meetings would be at least monthly.



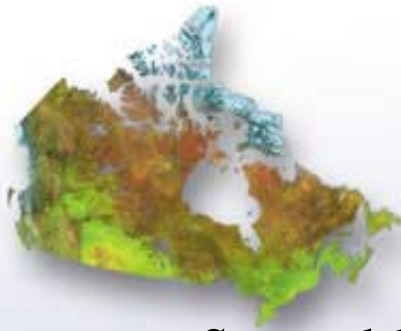
# Proposed Information Governance Model and Accountability Matrix





# Key Features of Proposed Information Governance

- Stewardship
- Sustainability
- Federated Governance
- Formal Accountabilities



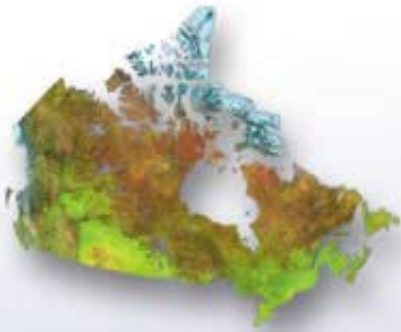
# Stewardship: Three concepts

- Stewardship = Management (with a twist)
- Only some of us are managers. Yet we are all stewards of public information resources (a trust) entrusted to us
- As stewards of a public trust, each of us has five fundamental obligations (from John Locke, Treatise on Government, 1690):
  - To act out of loyalty in the best interest of the beneficiary of the trust (Canadians), not those of the trustee, and, in the process, to preserve and enhance the value of the asset entrusted (Enhance value);
  - Not to delegate the entire administration of the trust (Ongoing, continuing obligation);
  - To provide the beneficiaries with information concerning the trust (Accountability);
  - To enforce claims on behalf of the trust (Protection); and
  - To make the trust property productive (Increase yield)



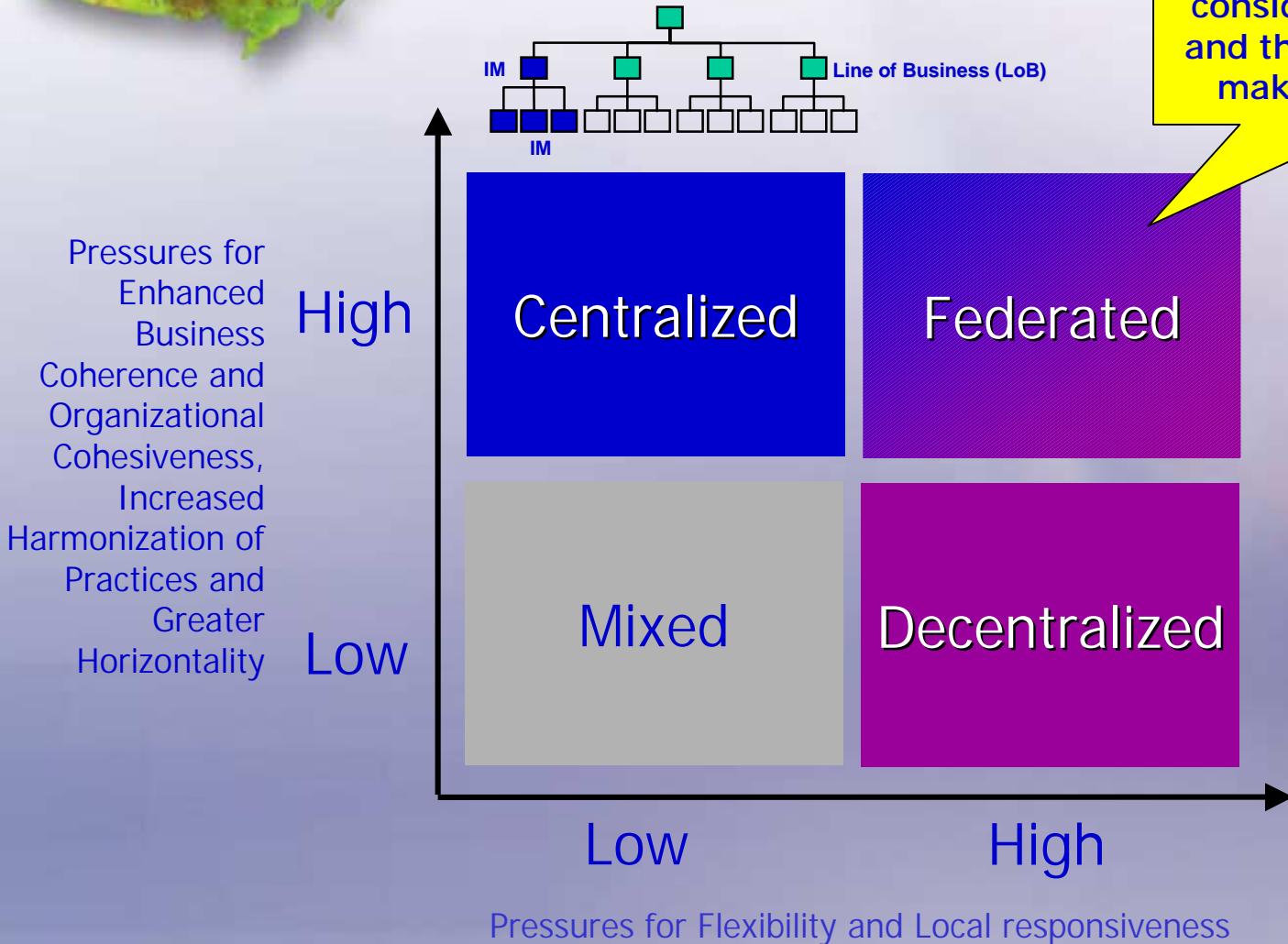
# Sustainability = Responsible Stewardship

- Five dimensions
  - Economic sustainability
  - Technology sustainability
  - Information sustainability
  - Services sustainability
  - People sustainability



# Governance Options

A "Federated" style of Governance is best suited considering the pressures and the business decision-making style at NRCan





# The Federated Model: Getting the Best of Both Worlds

**Centralized**

**Decentralized**

Costs of compromise

Costs of communication

*Stability*

*Control of Standards*

*Coherence*

*Responsiveness*

*Flexibility*

*Cohesiveness*

Costs of duplication

Costs of learning

**Federated**



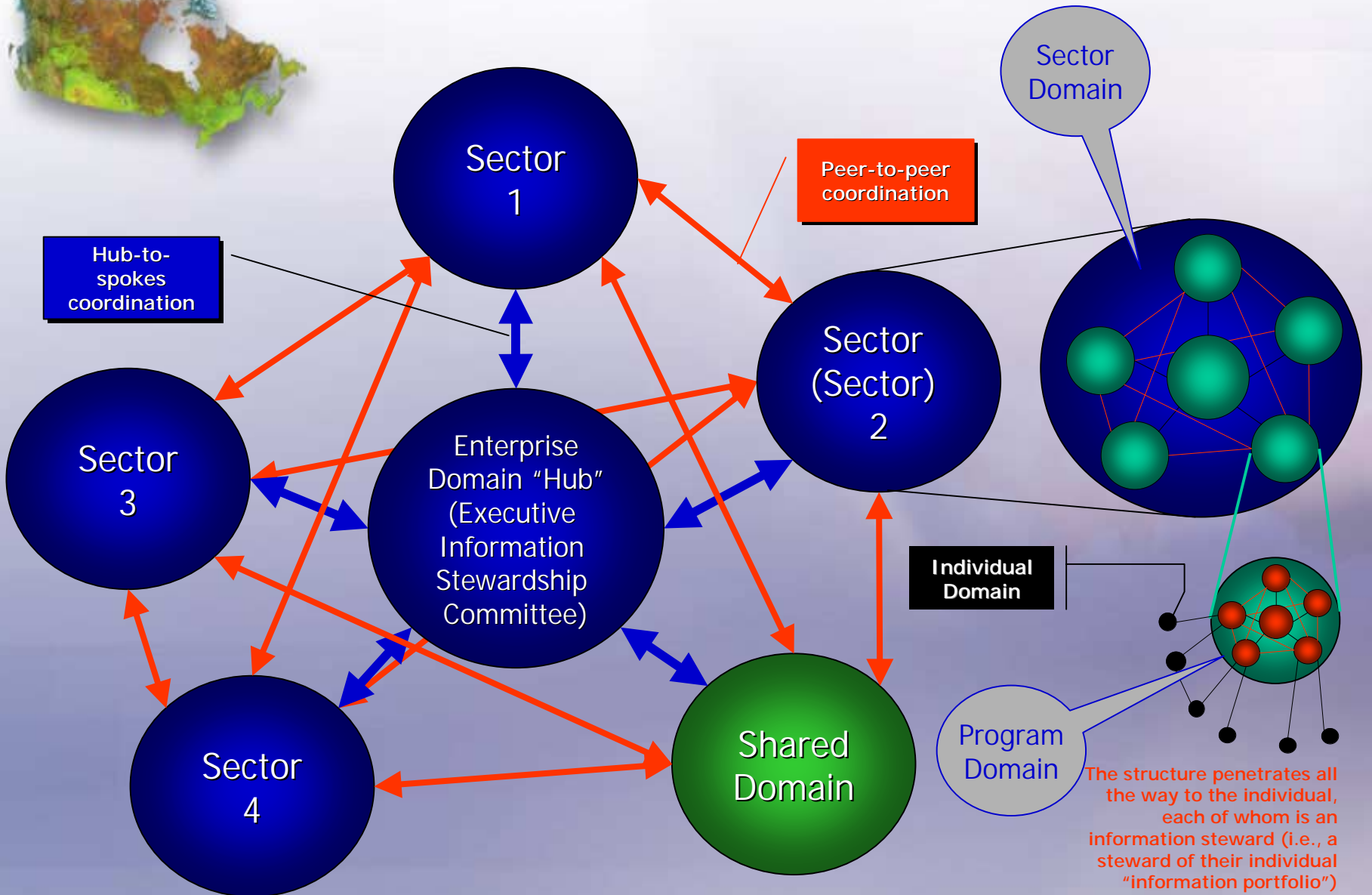
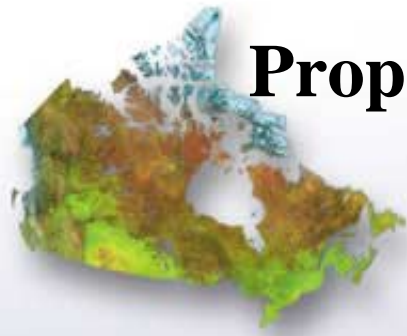


# Federated Information Governance

- Respects the operating culture and the business model of the department
- Provides flexibility and choice not available in the traditional “centralized” or “decentralized” models
- Places accountability for information stewardship closest to the business lines
- Harmonizes information with business
- A solution for the long-term



# Proposed Federated Governance Structure



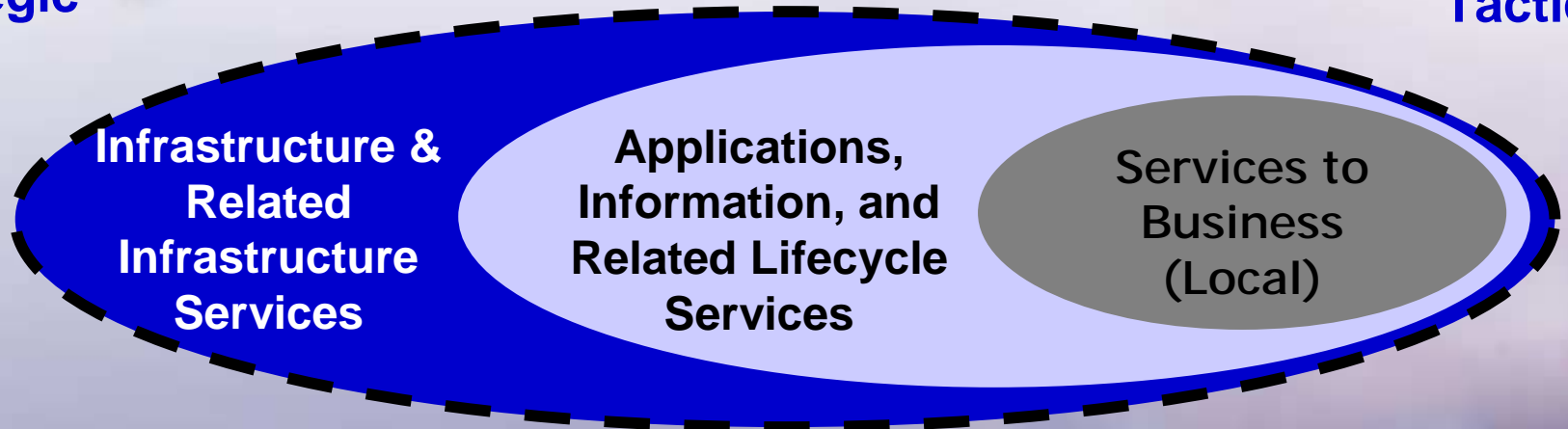
# Accountability domains in Information Governance Structure



**Enterprise/  
Strategic**

**Local/  
Tactical**

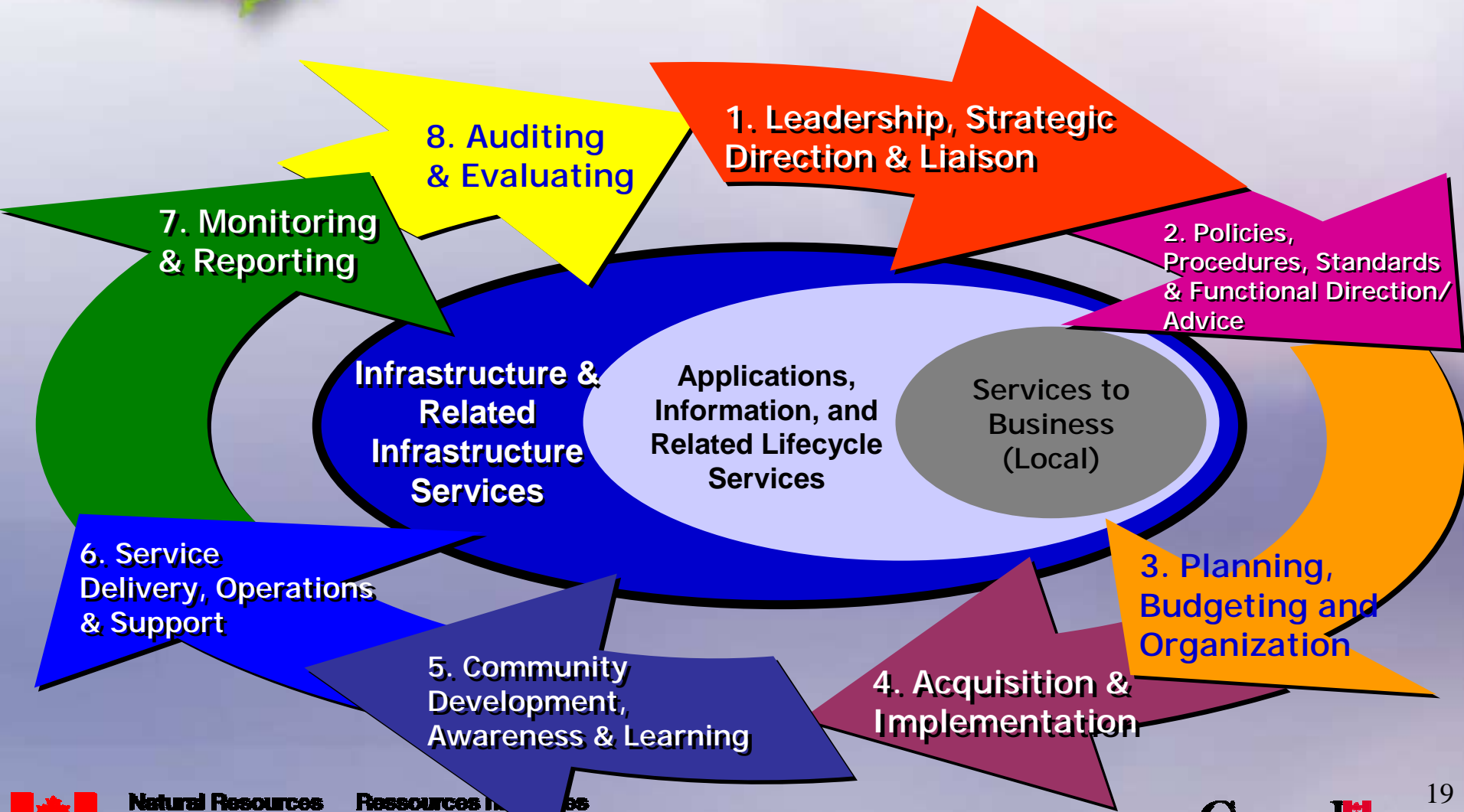
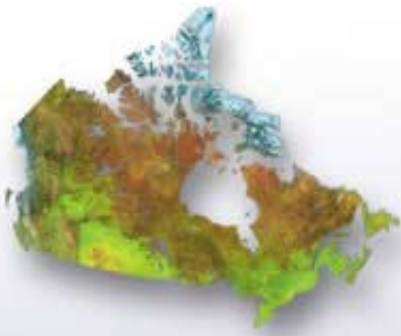
**Enterprise Information Spectrum**



<b>Domain</b>	Enterprise	Shared (Corporate/Sectors)	Local (Sector/Program/Individual)
<b>Decisions on:</b>	<ul style="list-style-type: none"> <li>▪Strategic Leadership</li> <li>▪Strategic infrastructure Investments &amp; Services</li> <li>▪Strategic Services</li> <li>▪Enterprise Applications</li> <li>▪Key Policies</li> </ul>	<ul style="list-style-type: none"> <li>▪Shared (Common) Infrastructure, Applications, Information and Services</li> <li>▪Enterprise business enhancement &amp; alignment</li> <li>▪Enterprise Standards, Policies &amp; Practices</li> </ul>	<ul style="list-style-type: none"> <li>▪Local Applications &amp; Data</li> <li>▪Local infrastructure</li> <li>▪Local Practices</li> <li>▪Local business enhancement &amp; alignment</li> <li>▪Local Services to Business</li> </ul>
<b>Decisions made by:</b>	Departmental Executive	Corporate and Local information stewardship	Local Business Management & Local information stewardship
<b>Decisions made through:</b>	Executive decisions	Close partnership relationship between CSS and the sectors	Close Working Relationships between sector/program business and local information stewardship support



# Responsibility & Accountability Areas



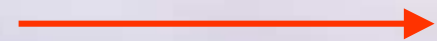


# Information Governance Domains, Scope & Key Actors

Enterprise/  
Strategic



Enterprise Information Spectrum



Local/  
Tactical

Enterprise (E)

Local (L)  
(Sector-wide)

D M	Corporate Information Stewardship					Sector Information Stewardship*			
	ADM CSS	DG IMB	DG Comm.	DG AEB	Exec. Dir NOL	Sector Information Steward	<b>Sector ADM</b>	Program Manager	Individual Employee

Shared (S)

Program (P)  
(Sub-sector)

Individual  
(I)

Key Stakeholder in the  
Enterprise (E) Information  
Stewardship

\* These positions also apply to branches reporting directly to the DM (Comm., CPPC, AEB)





# Departmental Information Stewardship Accountability Matrix (1)

Key Acc. Areas	WHO? WHAT KEY FUNCTIONS?	DM	Corporate Information Stewardship					Sector Information Stewardship			
			ADM CSS	DG IMB	DG Comm.	DG AEB	Exec. Dir NOL	Sector Information Steward	Sector ADM	Program Manager	Individual Employee
1. Leadership, Strategic Direction & Liaison	Strategic Direction	Approve (E)	Formulate (E) Approve (S)	Formulate (S) Advise (E)	Advise		Advise	Advise (E,S) Formulate (L)	Approve (L)	Advise (L) Formulate (P)	
	Key External Liaison	TIMS		TBS CIOB			GOL Forums				
2. Policies, Procedures, Standards & Functional Direction/Advice	Policy frameworks & Specific policies, guides, procedures & standards	Approve (E)	Formulate (E) Approve (S)	Formulate (S) Advise (E)	Advise	Advise	Advise	Advise (E,S) Formulate (L)	Approve (L)	Advise (L) Formulate (P)	
	Functional direction, guidance & advice		Guide (E)	Guide (S) Advise (E)	Advise		Advise	Advise (S,L)	Cooperate	Cooperate	Cooperate
3. Planning, Budgeting & Organization	Strategic planning	Approve (E)	Perform (E) Approve (S)	Perform (S) Advise (E)	Advise	Advise	Advise Perform (NOL)	Advise (S) Perform (L)	Approve (L)	Advise (L) Perform (P)	
	Budgeting	Approve (E)	Perform (E) Approve (S)	Perform (S) Advise (E)			Perform (NOL)	Advise (S) Perform (L)	Approve (L)	Advise (L) Perform (P)	
	Organization development	Approve (E)	Perform (E) Approve (S)	Perform (S) Advise (E)	Advise		Advise Perform (NOL)	Advise (S) Perform (L)	Approve (L)	Advise (L) Perform (P)	
4. Community development, Awareness & Learning	Community development	Approve (E)	Perform (E) Approve (S)	Perform (S) Advise (E)	Advise		Advise	Perform (L) Advise (S)	Approve (L)	Advise (L) Contribute	
	Awareness development	Approve (E)	Perform (E) Approve (S)	Perform (S) Advise (E)	Guide		Perform (NOL)	Perform (L) Advise (S)	Approve (L)	Advise (L) Perform (P)	Cooperate
	Learning & development	Approve (E)	Approve (S)	Advise			Advise	Advise (S,L)	Approve (L)	Advise (L) Approve (P)	Perform (I)
5. Acquisition & Implementation	Information Capabilities & Related Services	Approve (E)	Perform (E) Approve (S)	Perform (S) Advise (E)		Advise	Advise (E, S)	Advise (S) Perform (L)	Approve (L)	Advise (L) Perform (P)	Cooperate

Governance Domain: (E)nterprise, (S)hared, (L)ocal, (P)rogram, (I)ndividual



# Departmental Information Stewardship Accountability Matrix (2)

Key Acc. Areas	WHO? WHAT KEY FUNCTIONS?	DM	Corporate Information Stewardship					Sector Information Stewardship			
			ADM CSS	DG IMB	DG Comm.	DG AEB	Exec. Dir NOL	Sector Information Steward	Sector ADM	Program Manager	Individual Employee
6. Service Delivery, Operations & Support	Access to Information & Privacy	Approve (E)	Advise (E)	Advise Guide Monitor	Advise	Advise		Cooperate Advise (L)	Approve (L)	Cooperate Advise (L)	Cooperate
	IM/IT Security	Approve (E)	Guide (E) Approve (S)	Guide (S) Advise (E)				Cooperate Advise (L)	Cooperate	Cooperate	Cooperate
	Content management	Approve (E)	Guide (E) Approve (S)	Guide (S) Advise (E)	Guide Monitor		Guide	Advise (L)	Approve (L)	Cooperate	Cooperate
	Infrastructure operations			Perform (E, S)				Advise (S,P) Perform (L)		Perform (P) Advise (L)	Cooperate
	Information Capabilities development & maintenance	Approve (E)	Approve (S)	Perform (E,S)				Advise (S,L,P)	Approve (L)	Perform (P) Advise (L)	Cooperate
	Information life-cycle management	Approve (E)	Approve (S)	Perform (E,S) Guide				Advise (S,P) Perform (L)		Perform (P) Advise (L)	Cooperate Perform (I)
7. Monitoring & Reporting	Active & Risk/value monitoring		Perform (E)	Perform (S)		Advise	Perform (NOL)	Advise (S) Perform (L)	Approve (L)	Perform (P) Advise (L)	Cooperate
	Reporting (accountability)	Approve (E)	Approve (S) Perform (E)	Perform (S)	Advise	Advise	Perform (NOL)	Advise (S) Perform (L)	Approve (L)	Advise (L) Perform (P)	Cooperate
8. Auditing & Evaluating	Audit	Approve	Advise	Advise	Advise	Perform	Cooperate	Cooperate	Advise Cooperate	Advise Cooperate	Cooperate
	Evaluation	Approve	Advise	Advise	Advise	Perform	Cooperate	Cooperate	Advise Cooperate	Advise Cooperate	Cooperate

Governance Domain: (E)nterprise, (S)hared, (L)ocal, (P)rogram, (I)ndividual

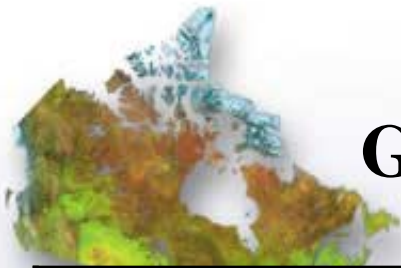
# Glossary of Action Verbs

Term	Definition	Notes & Observations
<b>Advise</b>	Give advice as and when required. Accountable for the quality of the advice provided	Accountability is confined to advice provided in the exercise of job- or function-related responsibilities
<b>Approve</b>	Sanction upon due process (review, advice and consideration.) Accountable for the results and impacts of the initiative sanctioned.	Approver may delegate responsibility for due process aspects, including ongoing monitoring. However, accountability remains with the approver.
<b>Cooperate</b>	Contribute actively to the fulfillment of a function or initiative and comply with its requirements. Accountable for compliance.	Equivalent to “active compliance”, whereby the person is proactive in ensuring the function or initiative (e.g., ATI, audit, etc.) succeeds
<b>Formulate</b>	Ensure the development of a governance product (e.g., a policy, a procedure, a standard, a business case or strategy) and submit to due process (consult, disseminate, approve, etc.) Accountable for the quality & appropriateness of the product.	The “development” aspect (responsibility) can be delegated, while quality & appropriateness aspects (accountability) cannot.
<b>Guide</b>	Ensure the provision of guidance of a functional nature (e.g., communications, security, IT, IM, etc.) <u>where specifically authorized to do so</u> . Accountable for the quality and appropriateness of the functional advice provided	“Guide” applies to functional advice that must be sought (e.g., DG Comm. <u>must be consulted</u> on aspects touching on corporate communications). The “provision” aspect (responsibility) can be delegated, while quality & appropriateness aspects (accountability) cannot.
<b>Monitor</b>	Continuing involvement by maintaining appropriate awareness of developments and impacts of an initiative or functional guidance provided. Accountable for maintaining ongoing awareness and acting appropriately on this awareness.	“Monitor” does not mean “Enforce”. It is maintaining the capacity to intervene (e.g., by requesting clarifications or triggering audits) when circumstances demand it.
<b>Perform</b>	Ensure the carrying out of an activity in the exercise of job or functional responsibilities. Accountable for the quality and appropriateness of the activity or function carried out.	For instance, “Budgeting” is typically a job-related activity, while “audit” is a function. The “carrying out” aspect (responsibility) can be delegated, while quality & appropriateness aspects (accountability) cannot

# Glossary of Key Functions Used (1)

Function	Objectives of the Function	Notes & Observations
<b>Strategic Direction</b>	Establish and continuously review and fine-tune the strategic direction for the stewardship of information resources in support of – and alignment with – plans and priorities and program, services and public policy objectives	Done at least at two levels: (1) Enterprise; and (2) Sector. Sectors may direct that strategic direction be also established at the program level
<b>Key External Liaison &amp; Coordination</b>	Present the departmental position and advance departmental interests in key external information stewardship and related forums. Share results with the department	Seeking partnerships and sharing good practices horizontally
<b>Policy frameworks &amp; Specific policies, guides, procedures &amp; standards</b>	Establish and continuously review and fine-tune the information stewardship policy and procedural environment in the department.	From a policy and standards perspective, done at two levels (Enterprise and Local). From a procedural perspective, four levels are relevant (E, S, L and P)
<b>Functional direction, guidance &amp; advice</b>	Provide authoritative guidance and assistance in the application and interpretation of specialized, subject-matter policies, standards and procedures.	Accountability for functional guidance remains at all times with the designated functional authority for each policy area. Responsibility may be delegated.
<b>Strategic planning</b>	Establish and continuously review and fine-tune strategic plans as it relates to relevant information stewardship functions and operations	Normally done according to cycles, e.g., three-year plans with annual reports
<b>Budgeting</b>	Establish and justify funding levels required to carry out all relevant aspects of information stewardship	“Relevant” indicates context specificity. The line items of a program-level budget will be different from those of the shared or enterprise levels.
<b>Organization development</b>	Establish and continuously maintain the specific organizational assets required to carry out all relevant aspects of information stewardship	“Relevant” indicates context specificity. Organizational assets at the program level will be different from those at the shared or enterprise levels.
<b>Community development</b>	Enhance the ability of the relevant information stewardship community to (1) continuously renew itself and (2) to partner successfully with program and service delivery areas	“Relevant” indicates context specificity. The community at the sector (local) level will be different from the community at the shared or enterprise levels.
<b>Awareness development</b>	Enhance current awareness, knowledge and appreciation within the relevant information stewardship communities in respect of business, information stewardship and alignment directions, strategies, initiatives and developments through various channels	“Relevant” indicates context specificity. The community at the sector (local) level will be different from the community at the shared or enterprise levels.
<b>Learning &amp; development</b>	Enhance personal learning and develop skills and competencies in order to perform more effectively	Relies on personal initiative and depends on organizational commitment.





# Glossary of Key Functions Used (2)

Function	Objectives of the Function	Notes & Observations
<b>Acquisition &amp; Implementation of Information assets &amp; Related Services</b>	Acquire and implement relevant information assets and/or related services in support of business	“Relevant” indicates context specificity. Information assets required at the sector (local) level will be different from those at the shared or enterprise levels.
<b>Access to Information &amp; Privacy</b>	Respond in a timely manner to ATI and Privacy Acts requests from the public	The process is well documented. The matrix only captures the key accountabilities & responsibilities, not process requirements
<b>IM/IT Security</b>	Provision of services that help enhance the security of all aspects of information stewardship in the department	
<b>Content management</b>	Apply information life-cycle management processes and methodologies to information used in the creation and delivery of departmental information-based products and services	“Content management” is a specialized subset of information life-cycle management specifically targeting re-usable (content) information
<b>Infrastructure operations</b>	Provision of reliable, secure and highly available infrastructure services and assets to support departmental/local programs and services delivery	
<b>Information assets development &amp; maintenance</b>	Provision of development and maintenance services to develop and maintain information assets that support departmental/local programs and services	
<b>Information life-cycle management</b>	Establish and operationalize processes and methodologies for managing information through its life-cycle, from creation/acquisition through to preservation/disposition	Processes and methodologies are established in accordance with relevant government and departmental policies
<b>Active &amp; Risk/value monitoring</b>	Monitor, actively and on an ongoing basis throughout the investment’s life-cycle, the performance of the sponsored investments in relation to the most current business case, and take appropriate action	The investment sponsor is accountable for active risk/value monitoring and subsequent action for the investments sponsored. Responsibility for execution may be delegated
<b>Reporting (accountability)</b>	Maintain “open book” accountability and provide accountability reports in accordance with established accountability and reporting requirements	
<b>Audit</b>	Refer to departmental Audit function	
<b>Evaluation</b>	Refer to departmental Program Evaluation function	



# Where We Are Going...

- Implementing I-Governance
  - Communications, communications, communications
  - Framework Policy
  - Committee Structure
    - Established top two committees
    - Focus groups – evolving committee structure
    - Graduation – October 1, 2003
    - Definition of roles – Chairs & Members
  - Accountability Matrix
    - «Reality » check
    - Definition of roles (Sector Information Steward; Program Manager)
  - Modern Comptrollership
    - Demonstrating applicability to other resource areas.



# Questions?

