

**ACTION PLAN IMPLEMENTATION STATUS UPDATE  
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2011**

CHIEF FINANCIAL OFFICER			
AUDIT OF COMPREHENSIVE INTEGRATED DOCUMENT MANAGEMENT (CIDM) (08/19) AEC APPROVAL DATE: May 14, 2010			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p><b>1. User Awareness:</b></p> <p><b>Observation:</b> There exists a lack of user awareness surrounding appropriate document classification, user responsibilities and support, and the benefits of prioritizing this activity.</p>	<p><b>Action:</b> INAC's IMB will embark on a re-invigorated approach to change management and governance to minimize the knowledge gap as it relates to system usage. More effort will be concentrated on persistency of uptake, including endorsement/enforcement by senior management. In the short term, IMB will conduct a series of user forums and surveys to garner input and suggestions from departmental employees on where they see specific areas of improvement being required.</p>	<p>(September 2010)</p>	<p><b>Status: Underway (On-going)</b></p> <p><b>Update/Rationale:</b> <b>As of 30/09/2011:</b></p> <p><b>Observation:</b> There exists a lack of user awareness surrounding appropriate document classification, user responsibilities and support and the benefits of prioritizing this activity.</p> <p>903 of 3800 AANDC CIDM users completed an online survey (July 2011), which was designed to contribute to strategic planning and decision making for the improvement of IM services and tools. A number of areas of improvement have been identified. The results of the survey will feed the development of a Change Management Plan, with action items, including user training and awareness, to be implemented over the next 2 to 3 years.</p> <p><b>AES:</b> Implementation on-going.</p>
<p><b>2. Retention and Disposition</b></p> <p><b>Observation:</b> INAC's standardized retention and disposition policies are not being consistently followed across the department.</p>	<p><b>Action:</b> IMB will work with the Regions and program areas to ensure that existing Retention and Disposition Authorities (RDA's) are applied consistently to CIDM document collections. This work will be conducted in parallel with departmental activities currently underway with Library and Archives Canada (LAC) on updating many of the existing RDA's.</p>	<p>(December 2010)</p>	<p><b>Status: Underway</b></p> <p><b>Update/Rationale:</b> <b>As of 30/09/2011:</b></p> <p><b>Observation:</b> AANDC's standardized retention and disposition policies are not being consistently followed across the department.</p> <p>AANDC is an early adopter of the Library and Archives Canada (LAC) Recordkeeping Methodology, which will</p>

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			<p>lead to compliance with Recordkeeping Directive by 2014. Discussions with LAC and training on the RK Methodology began in July 2011. One outcome of the Recordkeeping Methodology implementation will be the development of a Comprehensive Disposition Authority Letter, which will provide IM specialists with a clear breakdown of controls for recordkeeping and disposition. AANDC existing RDA's will be reviewed and updated as a result of the RK Methodology. Another outcome will be the development of an RK Accountability Instrument (RKAI), which will offer business managers a user-friendly instrument for the management (e.g. what to retain and what can be disposed of) of information resources of business value.</p> <p><b>AES:</b> Implementation on-going.</p>
<p><b>3. Business Value of Information</b></p> <p><b>Observation:</b> CIDM's mandatory save environment is leading to an overabundance of transitory materials being captured and stored.</p>	<p><b>Action:</b> IMB will develop a strategy which focuses on identification of business versus transitory materials, which will include the identification of an appropriate storage facility for transitory records. Also, IMB will lead in the development of an enterprise search strategy which can comb all departmental repositories in support of ATIP and e-Discovery.</p>	(December 2010)	<p><b>Status: Underway</b></p> <p><b>Update/Rationale: As of 30/09/2011:</b></p> <p><b>Observation:</b> CIDM's 'mandatory save' environment is leading to an overabundance of transitory materials captured and stored.</p> <p>Part of the Recordkeeping Methodology is the development of a Value Statement of Intent (VSI), which will identify information resources of Business Value and Enduring Value. Concurrent with the Recordkeeping Methodology, AANDC proposes to implement Integrated Semantic Information System</p>

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			<p>(ISIS), an application integrated with CDIM that will allow end users to tag information resources of business value at the time of creation. This tagging will facilitate the disposition of transitory materials. ISIS implementation methodology includes high-level business process mapping, based on an analysis of departmental functions and activities in order to identify information resources of business value. Funding to proceed with this initiative has just been approved by FMC and work on Phase I, Proof of Concept is beginning. Issues related to enterprise search strategies are being discussed as part of AANDC's eDiscovery initiative, co-chaired by IMB and LMRB.</p> <p><b>AES:</b> Implementation on-going.</p>
<p><b>4. Document Security</b></p> <p><b>Observation:</b> Confusion exists within the department around appropriate document security protocols, profiling and business rules.</p>	<p><b>Action:</b> Since the conclusion of the audit, IMB and the Security and Occupational Health and Safety Division (SOHSD) have partnered together in an effort to better educate, measure and monitor the handling of electronic documentation. To that end, steps have been taken to include more frequent messaging around appropriate document security levels. In particular, changes have been made within the CIDM training curriculum to aid users in better identifying appropriate document security designations.</p>	<p>Immediate and ongoing</p>	<p><b>Status: Complete</b></p> <p><b>Update/Rationale: As of 30/09/2010:</b></p> <p>Changes have been made within the CIDM training curriculum to aid users in better identifying appropriate document security designations (including direct integration of core messaging by SOHSD).</p> <p>Additionally, a new tri-fold "Understanding Security Levels, Access Controls and CIDM" was developed in concert with SOHSD and distributed</p>

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	Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation.		electronically to IM Regional counterparts and is now included in all NCR New Employee Orientation packages.  Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation.  <b>AES:</b> Close - Fully Implemented
<b>5. Naming Conventions and Profiling</b>  <b>Observation:</b> There exists inconsistent application of naming conventions and access controls.	<b>Action:</b> In the short term, IMB will educate and clearly disseminate to the Regions INAC's best practices and standards as they relate to naming conventions, while at the same time promoting more openness within the document access controls. This will be measured through IMB's Regional and Sectoral Scorecarding exercise on an ongoing basis.	(September 2010 and ongoing)	<b>Status: In Progress</b>  <b>Update/Rationale:</b> <b>As of 30/09/2010:</b>  This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop.  <b>AES:</b> Close
<b>6. Performance</b>  <b>Observation:</b> Improvements should be made in the measurement, monitoring and remediation of CIDM performance and response times.	<b>Action:</b> IMB will establish and coordinate a national review process in collaboration with Regional service partners to identify factors affecting system performance. Once this process has been established, IMB will lead in the ongoing measurement, monitoring and remediation of performance and response times across all Regions.	(September 2010 and ongoing)	<b>Status: In Progress</b>  <b>Update/Rationale:</b> <b>As of 30/09/2010:</b>  This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop.  <b>AES:</b> Close

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<p><b>7. Licensing</b></p> <p><b>Observation:</b> There were at the time of the audit, more active users than actual licenses.</p>	<p><b>Action:</b> Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap.</p>	<p>(December 2010 and ongoing)</p>	<p><b>Status: Complete</b></p> <p><b>Update/Rationale:</b> <b>As of 30/09/2010:</b></p> <p>Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap.</p> <p><b>AES:</b> Close - Fully Implemented</p>