

**ACTION PLAN IMPLEMENTATION STATUS UPDATE  
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2010**

**CHIEF FINANCIAL OFFICER (CFO) SECTOR**

**AUDIT OF COMPREHENSIVE INTEGRATED DOCUMENT MANAGEMENT (CIDM) (08/19)**

**AEC APPROVAL DATE:** May 14, 2010

| PROJECT RECOMMENDATIONS                                                                                                                                                                                                               | ACTION PLAN                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | EXPECTED COMPLETION DATE | PROGRAM RESPONSE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
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| <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: In Progress</b></p> <p><b>Update/Rationale:</b><br/><b>As of 30/09/2010:</b></p> <p>IMB intends to utilize the departmental management committee structure to reinforce global IM awareness. A presentation was recently made to the Operations Committee on e-Discovery, which focussed on IM (and subsequently CIDM) as being a fundamental pillar in INAC meeting its obligations. Planned presentations include ITSG (Information Management &amp; Technology Group), DGIOC (Directors General Implementation &amp; Operations Committee) and OC (Operations Committee). IMB trains on average 35 users per week on CIDM as part of its ongoing training/awareness activities. A user survey has been drafted for dissemination in November to solicit CIDM user feedback, and a four-part exposé on IM (with input from ATIP and LMRB) is planned for INAC Express (departmental coverage) from November 25 – December 16th (one article per week for 4 consecutive weeks). Both the survey and the four-part exposé will be cross linked via our intranet site.</p> <p><b>AES:</b> Underway</p> |
| <p><b>2. Retention and Disposition</b></p> <p><b>Observation:</b> INAC's standardized retention and disposition policies are not</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</p>                                                                                                                                                                                                                                                                                                                                          | <p>(December 2010)</p>   | <p><b>Status: In Progress</b></p> <p><b>Update/Rationale:</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

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| CHIEF FINANCIAL OFFICER (CFO) SECTOR                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                      |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
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| AUDIT OF COMPREHENSIVE INTEGRATED DOCUMENT MANAGEMENT (CIDM) (08/19)<br>AEC APPROVAL DATE: May 14, 2010                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                      |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| PROJECT RECOMMENDATIONS                                                                                                                                                                       | ACTION PLAN                                                                                                                                                                                                                                                                                                                                                                          | EXPECTED COMPLETION DATE | PROGRAM RESPONSE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| being consistently followed across the department.                                                                                                                                            | 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><b>As of 30/09/2010:</b></p> <p>This work is ongoing, and will culminate with detailed in-person discussions with the regions as part of the annual National IM/IT Conference. An MOU has been signed with LAC to ensure completion of all outstanding RDA's by December 2012. Due to structural realignments within INAC (the inclusion of ABC and IRSRC into the department as examples), a few of the existing RDA's require reassessment and validation by departmental and LAC senior leaders.</p> <p><b>AES:</b> Underway</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: In Progress</b></p> <p><b>Update/Rationale:</b><br/><b>As of 30/09/2010:</b></p> <p>Work on this front continues, and IMB is on target to meet the December timeline, including the creation of a draft departmental enterprise search strategy in support of ATIP, e-Discovery and Information Management.</p> <p><b>AES:</b> Underway</p>                                                                                                                                                                              |
| <p><b>4. Document Security</b></p> <p><b>Observation:</b> Confusion exists within the department around appropriate</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</p>                                                                                                                                                                                                                      | Immediate and ongoing    | <p><b>Status: Complete</b></p> <p><b>Update/Rationale:</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

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| CHIEF FINANCIAL OFFICER (CFO) SECTOR                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
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| PROJECT RECOMMENDATIONS                                                                                                                                       | ACTION PLAN                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | EXPECTED COMPLETION DATE     | PROGRAM RESPONSE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| document security protocols, profiling and business rules.                                                                                                    | <p>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>Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation.</p> |                              | <p><b>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 electronically to IM Regional counterparts and is now included in all NCR New Employee Orientation packages.</p> <p>Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation.</p> <p><b>AES:</b> Close - Fully Implemented</p> |
| <p><b>5. Naming Conventions and Profiling</b></p> <p><b>Observation:</b> There exists inconsistent application of naming conventions and access controls.</p> | <p><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.</p>                                                                                                                                                                                 | (September 2010 and ongoing) | <p><b>Status: In Progress</b></p> <p><b>Update/Rationale:</b><br/><b>As of 30/09/2010:</b></p> <p>This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop.</p> <p><b>AES:</b> Close</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

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| CHIEF FINANCIAL OFFICER (CFO) SECTOR                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                 |                              |                                                                                                                                                                                                                                                    |
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| PROJECT RECOMMENDATIONS                                                                                                                                             | ACTION PLAN                                                                                                                                                                                                                                                                                                                                     | EXPECTED COMPLETION DATE     | PROGRAM RESPONSE                                                                                                                                                                                                                                   |
| <b>6. Performance</b><br><br><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><br><br><b>Update/Rationale:</b><br><b>As of 30/09/2010:</b><br><br>This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop.<br><br><b>AES:</b> Close     |
| <b>7. Licensing</b><br><br><b>Observation:</b> There were at the time of the audit, more active users than actual licenses.                                         | <b>Action:</b> Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap.                                                                                                                                                                                                                   | (December 2010 and ongoing)  | <b>Status: Complete</b><br><br><b>Update/Rationale:</b><br><b>As of 30/09/2010:</b><br>Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap.<br><br><b>AES:</b> Close - Fully Implemented |