



Office of the Chief Information Officer

Guideline

Information Management Program Plan

Governance

Authority: Office of the Chief Information Officer

Audience: Information Management professionals and other resources responsible for the implementation and operation of a records and information management system (also referred to as an Information Management Program) within a department or other public body, as defined in the Management of Information Act.

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1.0 Overview

The Information Management (IM) Program Plan Guideline (hereafter referred to as the Guideline) is designed to assist departments and other public bodies in the Government of Newfoundland and Labrador to develop an appropriate IM Program Plan that will serve to drive the design, development, implementation and management of an effective IM Program.

An IM Program Plan outlines how IM works in a department or other public body. This includes governance, organization, management, services, performance management and reporting.

Guidelines are recommended actions, general approaches and operational behaviors. Guidelines are generally a description that clarifies what should be done and how to achieve the objectives set out in policies, directives and standards.

Guidelines issued by OCIO provide a recommended approach, as they take into consideration the varying nature of information management programs.

2.0 Purpose

The IM Program Plan Guideline provides recommended actions, general approaches and operational behaviors to support the delivery of an IM Program Plan. This Guideline is part of a broader GuideBook that supports the requirement set forth in the Management of Information Act (MOIA) for permanent heads of departments and other public bodies to implement a records and information management system.

Expected Deliverable(s)

1. An approved, published and managed IM Program Plan document, available to all members of the organization and integrated with the department or other public body's IM management framework components, including the IM Governance Framework, IM Legal and Regulatory Framework, IM Vision, Mission and Guiding Principles, IM Education and Awareness, IM Policy Instruments and IM Performance Management.

The GuideBook, also known as the Guide to IM for Public Bodies, includes the following guidelines.

1.0 Foundation

- 1.1 IM Governance, Accountability and Organization
- 1.2 IM Vision, Mission and Guiding Principles
- 1.3 IM Legal and Regulatory Framework
- **1.4 IM Program Plan**

2.0 Components

- 2.1 IM Policy Instruments
- 2.2 IM Performance Measurement
- 2.3 Service Continuity
- 2.4 Education and Awareness for IM Professionals
- 2.5 IM Education and Awareness for Employees
- 2.6 Physical Records Storage Development and Use
- 2.7 Information Protection

3.0 Tools

- 3.1 Records and Information Inventory
- 3.2 Classification Plan Development for Operational Records
- 3.3 Records Classification Plan Implementation
- 3.4 Disposal of Records
- 3.5 Record Imaging Services

3.0 Definitions and Acronyms

A complete listing of terms are located on the OCIO website - Information Management and Protection (IM&P) Glossary of Terms.

Information Management – Information Management (IM) is the field of management responsible for establishing and implementing policies, systems, and procedures to capture, create, access, distribute, use, store, secure, retrieve, and ensure disposition of an organization’s records and information. (Source: ARMA)

IM Program – for the purposes of compliance with the MOIA, the OCIO defines a records and information management system (also referred to as an IM Program) as a four-part system that includes Management Framework, Core IM Capability, Enablers, and Monitoring and Verifying IM. See the Quick Reference – Records and Information Management System document on the OCIO website for additional details.

IM Program Plan – An IM Program Plan is a formal approved and published document that outlines how IM works in a department or other public body. This includes governance, organization, management, services, performance management and reporting.

IM Vision – IM vision is the inspiration and framework for IM strategic planning and IM Program development. Features of an effective IM vision statement include a description of a desired state for IM that features clear wording, lack of ambiguity, realistic aspirations and alignment with organizational values and culture.

IM Mission – IM mission is a concise, formal statement of the purpose of the IM Program within an organization. It should indicate how the Information Management programs and services will enable the mandate of a public body and support its compliance requirements.

IM Guiding Principles – IM guiding principles are used to help formulate the initial IM Program and IM Governance model, as well as to provide a framework for decision making.

IM Legal and Regulatory Framework – An IM legal and regulatory framework is a compilation of all of the legislation, policy, regulations and agreements that contain IM requirements with which the department or other public body must demonstrate compliance.

IM Governance Framework – An IM governance framework is comprised of the defining, documenting and publishing of the governance, accountability and organization for information management within the department or other public body. For example, one component of the framework is program management, which includes establishing the “who” is providing oversight of the program, “who” is responsible for daily elements in the program, and “where/how” the program information is captured/stored.

IM Education and Awareness – IM education and awareness includes both the process of imparting IM knowledge, skills and judgment to an individual but also supporting an individual’s conscious knowledge about the components of the IM program and IM best practices. Education generally results in new or enhanced skills that permit an individual to perform their job with greater competency and confidence. Awareness is often used to reinforce education or best practices. For example, specific training sessions related to transitory records requirements to educate individuals on organization-specific requirements and providing awareness through regular communication (emails, posters, intranet posts, etc.) and general orientation sessions for all individuals to reinforce the best practices.

IM Policy Instruments – IM policy instruments include policies, directives, standards, guidelines and procedures that provide direction or guidance on the management and protection of information aligned with the principles set forth in the Information Management and Protection Policy. OCIO extends the definition to include policy instrument supports such as Webpages, FYIs, FAQs, Quick Reference or Re-Use Materials as items to include in an IM policy instrument inventory.

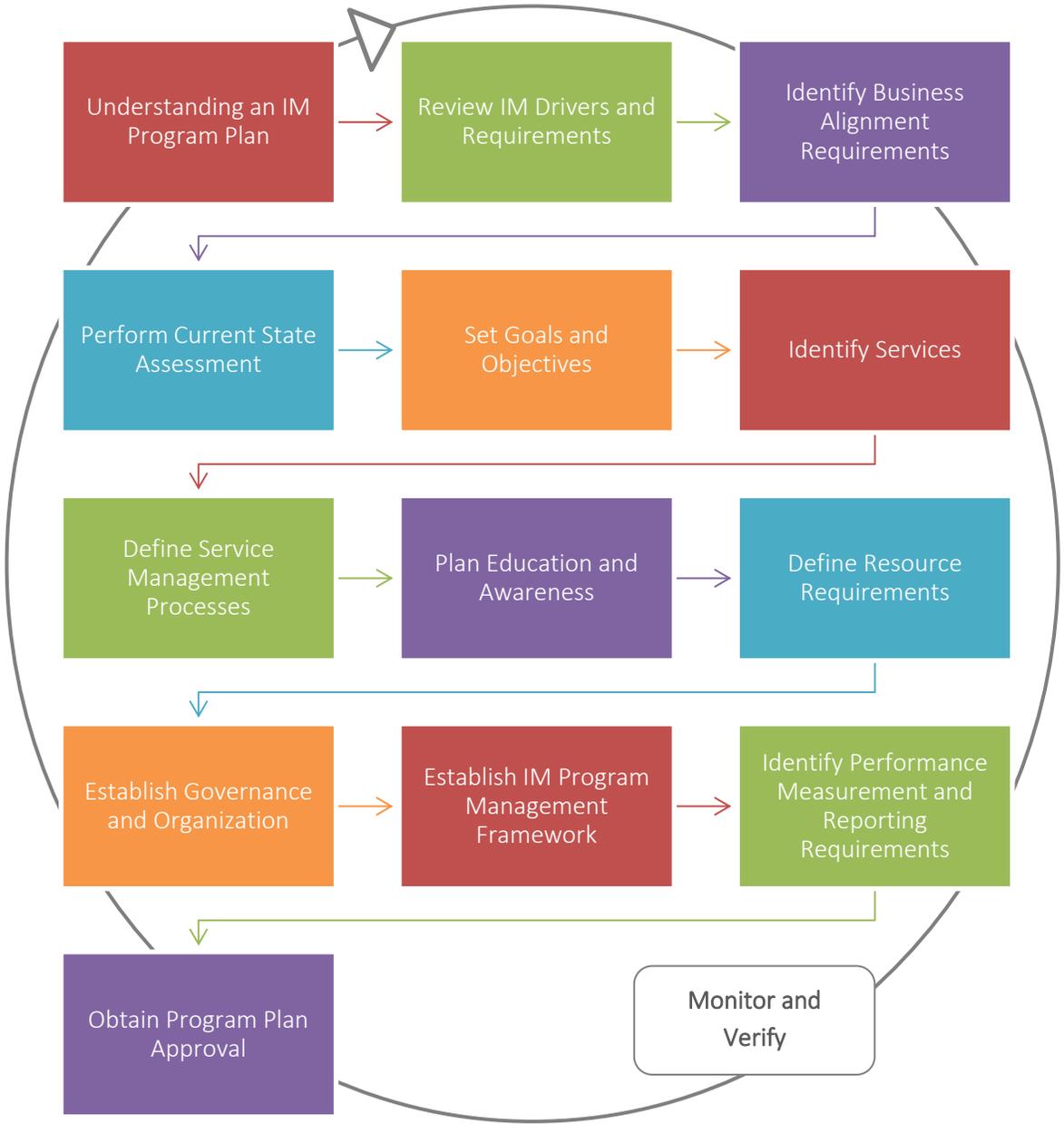
IM Performance Management – IM performance measurement is the ongoing process of capture and analysis of information related to the outcome of planned goals, objectives, activities or services supporting the organization’s ability to determine whether IM goals are consistently being met in an effective and efficient manner. For example, a planned goal would include developing a review plan (current state and key assessment times) for the specific activity during the fiscal year, then measuring (pre-defined key data indicators) and reporting on progress (on track, anomalies, etc.) and achievement (overall results/activities to support goal) to the permanent head of the department or other public body.

The table below includes common abbreviations used by OCIO as well as acronyms found within this document.

Abbreviation	Description
AIIM	Association for Intelligent Information Management
ARMA	Association of Records Managers and Administrators
ATIPPA, 2015	Access to Information and Protection of Privacy Act, 2015
BCP	Business Continuity Plan
CGSB	Canadian General Standards Board
EDRMS	Electronic Document and Records Management System
GRLM	Government Records Lifecycle Management
IM	Information Management
IM&P	Information Management and Protection
IMSAT	Information Management Self-Assessment Tool
IP	Information Protection
ISO	International Standards Organization
MOIA	Management of Information Act
MSOA	Master Standing Offer Agreements
OCIO	Office of the Chief Information Officer
PPA	Public Procurement Agency
PRC	Provincial Records Centre
RRDS	Records Retention and Disposal Schedule

4.0 Recommended Approach

The intent of this Guideline is to provide recommended actions that when implemented support the delivery of an IM Program Plan. IM Program planning follows a similar process to business and strategic planning, but entirely focused on the development and delivery of an IM Program that supports the business mandate and operations of the department or other public body. The approach consists of the following activities to be tailored, as necessary, by the department or other public body to meet its unique mandate and lines of business:



4.1 Understanding an IM Program Plan

The IM Program Plan depicts how the IM capabilities and services are created, delivered and managed. It is a blueprint for IM within the department or other public body and a very useful guide for the typical employee in fulfilling their job responsibilities.

Put simply, the IM Program Plan has an operational perspective and describes:

- What IM services, projects, activities and events are provided to whom, when and why;
- How the IM services are provided or delivered, and by whom; and
- How the IM services are planned and managed to ensure end user and management satisfaction.

Implementing an IM Program Plan contributes to:

- Improved quality of IM Program planning, service delivery, management and related decision-making;
- Increased confidence that the department or other public body is implementing a IM Program in accordance with requirements of the (MOIA), the Information Management and Protection (IM&P) Policy, OCIO-issued IM policy instruments and other IM legal and regulatory requirements;
- Better-managed, aligned and mission-enabling IM services;
- Greater relevance and effectiveness of IM through the implementation of the IM Program Plan;
- Improved collaboration and coordination among the organization, its IM service delivery partners, the end user community and other stakeholders; and
- Increased confidence that IM stakeholder requirements are being satisfied.

4.2 Review IM Drivers and Requirements:

The process of reviewing IM drivers and requirements assists those responsible for IM in identifying the factors driving IM including the business, legal, regulatory and other compliance requirements. Completing this process will enable those developing the IM plan to better understand the current and future needs of the business allowing IM to provide the right services when needed to support the business strategy and overall operations.

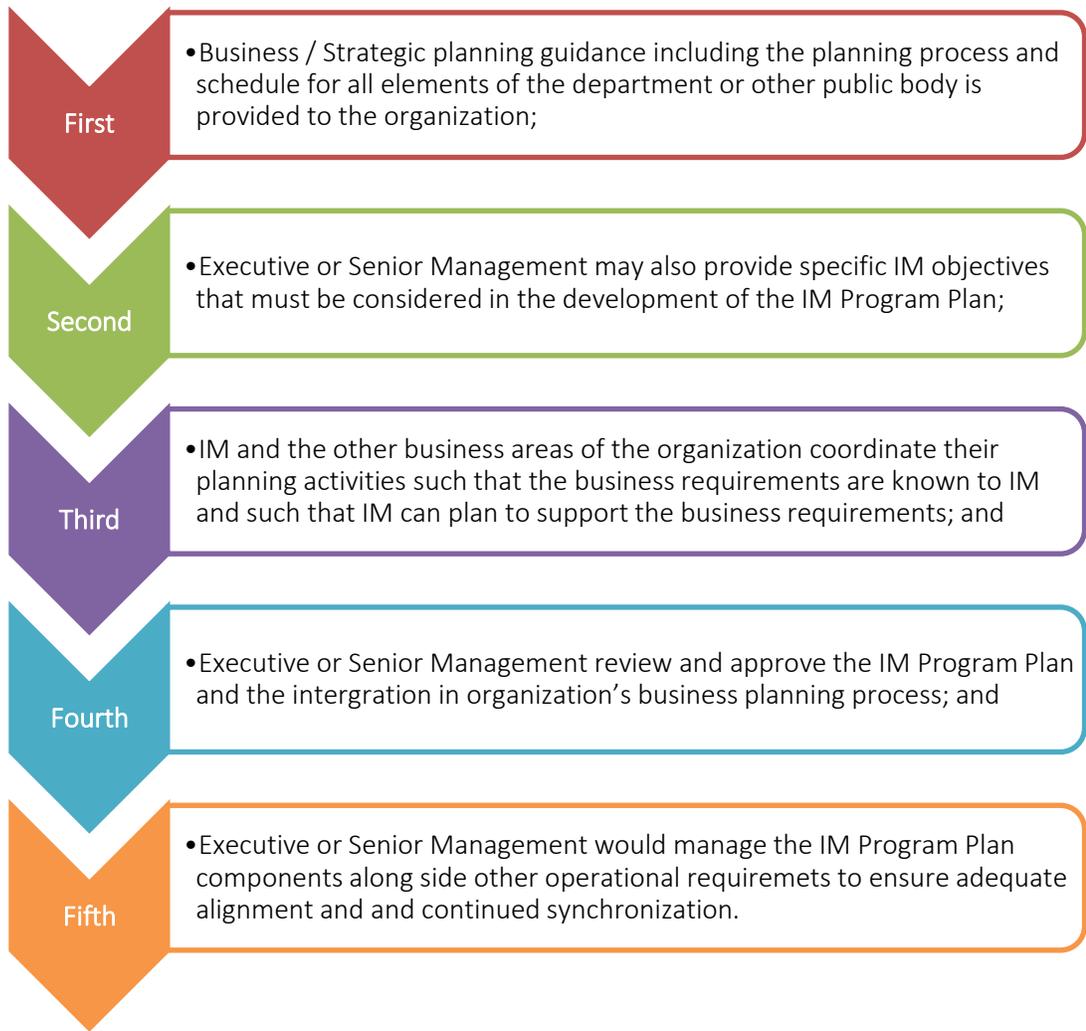
This is usually accomplished by reviewing the following possible sources of information:

Information Source	Description
Business Strategy	Since IM must support the business operations of the organization, IM needs to understand the business strategy and objectives as set out in the organization’s strategic or business plan. Ideally, the strategic or business plan should contain direction from Senior Management on policy, plans, priorities, objectives, desired outcomes, and may also include specific direction or objectives for IM.
IM Vision, Mission and Guiding Principles	Defines the strategic direction and guidance for IM. The GuideBook: IM Vision, Mission and Guiding Principles Guideline details how to establish these foundational components of the IM Program.
Business Requirements	Establishes which IM requirements need to be fulfilled and which IM services the various stakeholders require. Examples might include a requirement to have approved secure records destruction across all platforms, the ability for digital system purging and customized triggers, vital records storage that prevents environmental damage, or digitization of records.
IM Legal and Regulatory Framework	Review all of the IM Legal and Regulatory requirements, including all IM Compliance requirements and how the IM Legal and Regulatory Framework and other IM compliance requirements are to be managed. The GuideBook: IM Legal and Regulatory Framework Guideline outlines how to establish this at an organizational level.

4.3 Identify Business Alignment Requirements

IM alignment within the department or other public body, with external suppliers and stakeholders is required in order to best support the organization. This is usually done by aligning and harmonizing the IM Program Plan with the organization’s strategic / business plan, strategic HR plan, Business Continuity Plan and other similar plans and undertakings such that IM is part of the essential business fabric of the organization and supports the department or other public body’s mission.

Development of the IM Program Plan in parallel with the organization’s strategic / business plan supports alignment and synchronization of objectives and services. A possible approach that an organization might follow includes, but not limited to, the below steps:



4.4 Perform Current State Assessment

Departments and other public bodies that have recently completed an IM Assessment (IM Self-Assessment Tool (IMSAT), IM Check-Up or other assessments) will have identified:

- How IM is currently functioning within the department or other public body;
- Industry IM best practices from various external IM bodies (e.g., ARMA, AIIM, etc) and standards setting bodies (e.g., ISO or CGSB); and
- Gaps, deficiencies, lessons learned elsewhere and opportunities for improvement.

The findings summarized in the IM Assessments (IMSAT, IM Check-Up or other assessments) should be regularly updated to reflect IM changes that have occurred since its completion and/or to address any organization specific changes. This information supports the requirements described in subsequent sections.

4.5 Set Goals and Objectives

The IM Program Plan must define the goals and objectives for IM within the organization and explain how these will be attained. It will describe how the business requirements, IM legal and regulatory requirements and the business operations of the organization will be supported through the provision of IM services and the completion of IM projects and activities.

This approach will enable those responsible for implementing an IM Program to map IM objectives to each specific IM driver or business requirement, to explain what are the measures and indicators to evaluate the achievement of that objective, and to define what services and resources are required for IM to attain that objective

4.6 Identify IM Services

The IM Program identifies the IM services that are available internally and externally. This can be thought of as the IM service catalogue for the organization, and would serve as a useful reference for staff at all levels.

4.6.1 Internal IM Services

Internal IM services refer to those services delivered within the organization, including those supplied directly by IM or potentially from other parts of the organization. The IM Program Plan should include the following information:

Information Heading	Description
IM Service Description	Describe each internal IM service, as provided by the supplier of that service (normally the IM team);
IM Service Provisioning	Identify who provides the IM service, the IM service manager and any conditions of use;
IM Service Management	Identify who in the department or other public body’s IM team is the point of contact for that service, how service management will work, and how problems or issues will be handled and managed;

Examples of internal IM services include:

IM Advisory Services

Advice and guidance on IM Policy Instruments (policies, directives, standards, procedures, guidelines, etc.), including IM compliance guidance to external public bodies reporting to the department or other public body.

Electronic Document and Records Management System (EDRMS)

HPRM or other system (e.g., Open Text, SharePoint, etc.) management and scanning of paper-based documents. Other recordkeeping systems (e.g., network file shares, case management systems, etc.) may exist and IM’s role and responsibilities will need to be documented.

Records Management

Classification System, Records Retention and Disposal Schedule (RRDS) development and management, collections management (registries, records storage rooms, storage containers, shelving, etc.) and libraries (publication collections).

Operational Support

Cataloguing, printing, filing, mail, etc.

IM Facilities

File registries, records storage rooms, mail distribution system.

Storage

Physical and electronic storage

Information Protection / Information Security Management

Services related to the protection and security of information assets created, used and managed by the department or other public body. This should address the four component parts of Security:

- Information Security – the policies and procedures based on sensitivity and confidentiality for the creation, handling, use, storage, conveyance and disposition of information, including:
 - Security / Sensitivity System – criteria for determining what constitutes a sensitive or confidential record;
 - Access Controls and Access Management – control of the assignment of access permissions to individuals such that they may access sensitive or confidential information held in physical and / or electronic records;
 - Vital Records - Vital records are “records that are vital to the continuing functioning of the organization.” These records are essential for preserving, continuing or reconstructing the operations of an organization and protecting the rights of the organization, its employees and its stakeholders;
 - Access to Information Requests – a service governed by the Access to Information and Protection of Privacy Act, 2015 (ATIPPA, 2015) that provides access to, but also specific protections for, government records (including personal information) in the custody and control of a department or other public body;
- Physical Security – of facilities (offices, file rooms, registries and work areas) and storage containers used to store information (such as filing cabinets and lockable compartments in work stations);

- Personnel Security – may include background checking of selected employees who handle sensitive and / or confidential information.

4.6.2 External IM Services

External IM services fall into two categories; services provided by the OCIO and services provided by third party vendors. In many cases, the contract for these external IM services is managed by central agencies (such as OCIO or Public Procurement Agency (PPA)) through Master Standing Offer Agreements (MSOA). Most departments and some other public bodies are able to access IM services under such agreements.

OCIO examples include:

IM Advisory Services

Provides general IM advice and guidance on existing IM policy instruments, the interpretation and application of IM legislation, establishing and maintaining an IM program, and HPRM business functionality.

IP Advisory Services

Provides advice and guidance on existing Information Protection policy instruments, consulting services to departments and IT-supported entities on IP related topics as well as education and outreach awareness activities across departments and IT-supported entities.

Capacity Development

Provides support to assist in building IM capacity within departments and other public bodies through the delivery of assessments and resources designed to support increased capacity and compliance through a continual improvement methodology, information asset management, and the integration of tools, techniques and data analytics.

Education and Awareness

Offers IM training in-class and online for both employees and IM professionals. Provides information sharing opportunities with IM professionals through the IM Community meetings and develops IM awareness materials for re-use by department and other public body IM programs.

Government Records Lifecycle Management (GRLM)

Provides guidance to public bodies on the appropriate disposal of government records as well as administrative support to the Government Records Committee (GRC) and advice on the process for submitting retentions schedules and one time disposal (OTD) requests for approval.

Provincial Records Centre (PRC)

Safe, secure storage facility for semi-active government records available to OCIO IT-supported departments and other public bodies.

Third Party Vendor examples include:

Offsite Storage

Secure storage of records, backup media and vital records.

Physical Destruction

Secure shredding services (paper and hardware).

The IM Program Plan should describe the externally supplied IM services that the department or other public body will use:

Information Heading	Description
IM Service Description	Provided for each external IM service, as provided by the supplier of that service.
IM Service Specifications	Provided for each external IM service, as provided by the supplier of that service.
IM Service Basis	Under what contract, arrangement or agreement is the IM service being provided, including conditions of use.
IM Service Provisioning	Identify who provides the IM service, who manages the service and any conditions of use.
IM Service Management	Identify who in the department or other public body’s IM organization is the point of contact for that service, how service management will work, and how challenges or issues will be handled and managed, and how the contract / agreement itself will be managed.

4.7 Define Service Management Processes

The IM Program Plan must define how IM services will be managed within the department or other public body and will become the foundation for future procedures documents. IM Service Management should define for each service:

Information Heading	Description
Service Description	Provide a description of the service
Roles and Responsibilities	Outline the roles and responsibilities in service delivery and management
Service Standards	Describe service standards including, but not limited to, availability of services (who, where, when, how), expected response time).
Service Management / Service Level Management	Identify how changes, challenges and issues are managed; and
Service Continuity Management	Define to what extent and how the IM service will respond to disruptive events and to what extent service continuity will be provided during a disruptive event. The IM Service Continuity Plan must be closely aligned with the organization’s Business Continuity Plan (BCP) and include specific details for IM service provisioning to support the needs of the organization during a disruptive event.

4.8 Plan Education and Awareness

The IM Program Plan must contain an IM education and awareness component to accommodate the needs of both the individuals working on behalf of the organization. Education and awareness must be recognized as an important component of the IM program. Without education and awareness there is a risk that:

- Individuals may not understand their IM responsibilities (e.g., records creation, regular assessment of materials, approved disposal of records, etc.)working on behalf of a department or other public body
- IM practices may be inconsistent across the department or other public body

- Individuals may not be aware of current and new IM policy instruments issued by OCIO and/or the organization including compliance requirements and monitoring.

OCIO-issued guidelines (see appendices) are available to assist in the development of IM Education and Awareness Plans for both individuals working on behalf of departments and other public bodies, and those responsible for implementing the organization's IM Program.

4.9 Define Resource Requirements and Allocation

The IM Program Plan should present the resource requirements necessary to deliver the program, including:

Funding

Requirements for all costs for internal and external IM services, operating costs, personnel costs, and other costs for facilities, equipment and supplies.

Human Resources

Requirements for the numbers and types of staff, including salary, training and development costs.

Facilities

The facilities and space required, including any fit up costs for shelving, physical security and environmental controls (for paper-based records) as well as costs for storage and/or retrievals at external facilities (e.g., PRC, private storage vendors, etc.).

These resource requirements should be developed and presented in the format required by the business planning process for ease of integration with other budgets and cost projections.

4.10 Establish Governance and Organization

The IM Program Plan should describe the IM Governance and Organization framework. GuideBook: IM Governance, Accountability and Organization Guideline describes the development of this framework. For the purpose of the IM Program Plan, summarize the IM governance and organization in the plan and provide a link to the managed framework.

4.11 Establish Program Management Framework

The IM Program Management Framework should describe how IM is managed within the department or other public body. It should explain:

IM Program Management

How the management of the IM Program Plan and its various components, including IM services, projects, activities, events, training, professional development, career planning, performance appraisal and other undertakings are managed, such as:

- A regular recurring organization's IM management team meeting to review IM Program results, performance, status, issues and achievements;
- Regular reporting of IM Program results to senior management.

Resource Management, including human resources, funding and facilities

How staffing, budgets, supplies and equipment are planned, approved, and managed.

Coordination Mechanisms

How the management and delivery of the IM Program will be coordinated within the organization. These mechanisms are usually found in the planning process, in governance mechanisms, in recurring organization management meetings where the Director responsible for IM will participate, and in special task teams formed to address a specific problem.

4.12 Identify Performance Measurement and Reporting Requirements

The IM Program Plan must include performance measurement and reporting requirements to track how the program is progressing according to the plan. This includes what gets reported, how it gets reported, reporting schedule/timelines and to whom it gets reported, including to senior management, the Executive, IM management, the end user community and other stakeholders. The GuideBook: IM Performance Measurement Guideline outlines how to develop IM performance management and reporting requirements.

4.13 Obtain Program Plan Approval

The IM Program Plan requires review as per established organizational governance protocols and once approved by Executive published in location accessible to internal stakeholders.

4.14 Monitor and Verify

A review and validation of program compliance, performance and capacity are the mechanisms for monitoring and verifying IM. The IM Program Plan and supports need to be lifecycle managed to ensure they are providing accurate and relevant information to the organization and assessed to validate that they continue to support IM performance and capacity development.

5.0 Roles and Responsibilities

Deputy Minister or Permanent Head or Designate (Department or other Public Body)

- Support the department or other public body's compliance with MOIA as well as OCIO-issued policies, directives, standards and guidelines, and ensure that proper protocols are in place to properly develop and manage a records and information management system, often referred to as an IM Program.

Directors responsible for IM

- Align organization-issued materials with the guidance provided by the OCIO in the development and implementation of a records and information management system, often referred to as an IM Program.
- Apply a continual improvement approach to the management of the organization's IM Program.

Office of the Chief Information Officer

As part of OCIO's administration of the Management of Information Act, the OCIO:

- Recommends to Treasury Board policies for adoption.
- Develops, manages, monitors, and communicates IM&P policy instruments and supporting materials to departments and other public bodies.
- Provides direction on IM&P best practices, resource requirements, organizational structure, recordkeeping systems and IM Programs to departments and other public bodies.
- Assists departments and other public bodies to improve their IM&P capacity.
- Provides IM&P advisory, training and awareness services and support to departments and other public bodies.
- Supports IM forums, committees, and other professional practice communities, consisting of IM representatives from departments and other public bodies.
- Manages the Provincial Records Centre (PRC).
- Provides administrative support to the Government Records Committee (GRC).

In addition, the OCIO will:

- Develop, implement and maintain this Guideline as well as the GuideBook, also known as the Guide to IM for Public Bodies.
- Provide education and awareness on the implementation of an IM Program Plan.

6.0 Supporting Materials and Version History

Supporting Materials

Below is a listing of supporting materials hyperlinked to the published location.

Management of Information Act

<http://www.assembly.nl.ca/Legislation/sr/statutes/m01-01.htm>

Information Management and Protection Policy, TBM 2018-111

https://www.ocio.gov.nl.ca/ocio/im/im_ip_policy.htm

OCIO Website

<https://www.ocio.gov.nl.ca>

Information Management and Protection (IM&P) Glossary of Terms

<http://www.ocio.gov.nl.ca/ocio/im/glossary.html>

Version History

The following table highlights the version history of this document including date issued and version number.

Date (yyyy mm dd)	Version
2011 05 20	Version 1
2015 03 31	Version 2
2020 10 15	Version 3

Appendices

A listing of policy instruments, support materials including templates and examples are available on the OCIO website to guide departments and other public bodies in the development of standard documents and content, supporting IM program development and management and the growth of IM capacity.

Appendices listed below directly relate to the GuideBook: IM Program Plan and are published independent of this Guideline on the OCIO website, <https://www.gov.nl.ca/exec/ocio/im/practitioners/chart/>.

Appendix	Title
A	IM Policy Instrument Guideline – Checklist
B	Quick Reference – Records and Information Management System
C	IM Program Plan – Template and Example

Other GuideBook References:

IM Governance, Accountability and Organization Guideline
 IM Education and Awareness for Employees Guideline
 Education and Awareness for IM Professionals
 IM Legal and Regulatory Framework Guideline
 IM Performance Measurement Guideline
 IM Vision, Mission and Guiding Principles Guideline