Guideline

Education and Awareness for
IM Professionals

Governance

Authority: MOIA

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.

Compliance Level: Recommended

Issuing Public Body: Office of the Chief Information Officer

Application and Information Management Services

Information Management Services

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Notice:

The Office of the Chief Information Officer (OCIO) is mindful of creating and delivering accessible materials, in line with the Government of Newfoundland and Labrador's Accessible Communications Policy. New materials created by OCIO align with policy requirements and modifications to existing materials will occur as part of the standard review cycle.

This document is available in alternate format. Please contact OCIO@gov.nl.ca.

Forward questions and/or comments related to this document to IM@gov.nl.ca.

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1.0 Overview

Support for ongoing education and awareness for Information Management (IM) professionals is a fundamental element of the overall IM Program. It ensures that employees at all levels meet the technical competencies appropriate to their role. It also ensures that IM professionals are aware of existing and new policies, standards and requirements related to IM so that they can incorporate this knowledge into relevant areas of the IM program. Finally, support for IM education and awareness is an excellent way for departments and other public bodies to demonstrate their commitment to improved IM capacity building. This guideline assists departments and other public bodies to:

— Understand processes and resources that support education and awareness for IM professionals; and

— Support development of education and awareness planning for individual IM professionals.

The continual improvement through education and awareness is essential for all IM professionals to ensure that they have the expertise required to perform their duties effectively and stay up-to-date on new policies, standards and requirements in their area of practice. At the organization-level, it is critical that the IM professionals who support the IM Program are providing appropriate guidance/service to other employees. Maintaining a high-level of IM expertise within the department or other public body facilitates compliance with legal and regulatory requirements as well as overall business efficiency. Finally, support for education and awareness of the organization's IM professionals enables the department or other public body to demonstrate its commitment to continued IM capacity growth.

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 Education and Awareness for IM Professionals Guideline provides a recommended approach that will serve to drive the design, development, implementation and management of an effective IM Program. 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.

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

Graphic: 1 - GuideBook Contents

Expected Deliverable(s)

1. A continuous support plan for the education and awareness of IM professionals that addresses the needs of the organization.

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 Education and Awareness – IM education and awareness is the process of communicating IM knowledge, skills and judgment to an individual while also supporting an individual's knowledge about the components of an 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.

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 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.

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

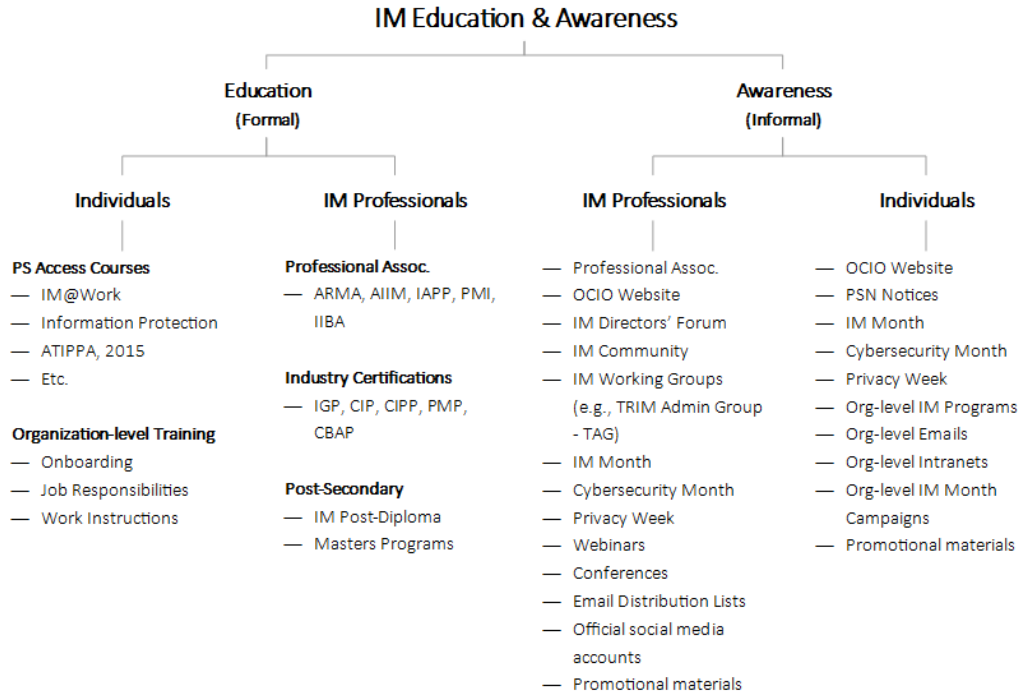| Abbreviation	Description
IM	Information Management
IM&P	Information Management and Protection
IP	Information Protection
MOIA	Management of Information Act
OCIO	Office of the Chief Information Officer
CLD	Centre for Learning and Development

4.0   Recommended Approach

The intent of this Guideline is to provide recommended actions, general approaches and operational behaviors that when implemented will serve to drive the design, development, implementation and management of an effective IM Program through the development of Education and Awareness for IM Professionals.

After reading this document, a department or other public body as well as those IM professionals working in their organization should be able to apply the knowledge and have an understanding of their IM education and awareness needs.
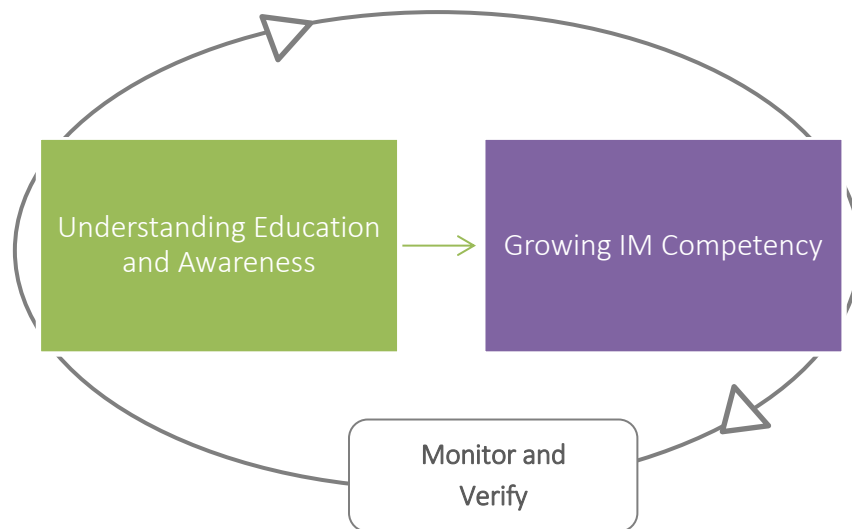
4.1   Understanding Education and Awareness

Although 'education and awareness', as a term, is often used together it is important to note that the terms are distinctly different; even when the information shared is the same for both the IM professional as well as the individual. The broadest impact comes from the combination of both approaches; see the below graphic taken from the Quick Reference – Education and Awareness for the IM Professional.

IM Education & Awareness

Education (Formal)

Individuals

PS Access Courses
— IM@Work
— Information Protection
— ATIPPA, 2015
— Etc.

Organization-level Training
— Onboarding
— Job Responsibilities
— Work Instructions

IM Professionals

Professional Assoc.
— ARMA, AIIM, IAPP, PMI, IIBA

Industry Certifications
— IGP, CIP, CIPP, PMP, CBAP

Post-Secondary
— IM Post-Diploma
— Masters Programs

Awareness (Informal)

IM Professionals

— Professional Assoc.
— OCIO Website
— IM Directors' Forum
— IM Community
— IM Working Groups (e.g., TRIM Admin Group - TAG)
— IM Month
— Cybersecurity Month
— Privacy Week
— Webinars
— Conferences
— Email Distribution Lists
— Official social media accounts
— Promotional materials

Individuals

— OCIO Website
— PSN Notices
— IM Month
— Cybersecurity Month
— Privacy Week
— Org-level IM Programs
— Org-level Emails
— Org-level Intranets
— Org-level IM Month Campaigns
— Promotional materials

Education is the process of imparting knowledge, skill and judgment. Education generally results in new or enhanced skills that permit an employee to perform their job with greater competency and confidence. Education in a corporate setting tends to follow principles of adult education. First, learning requirements and objectives are identified. What follows is the development of a structured program to support the transfer of knowledge to a specific audience.

Awareness is becoming conscious, informed or knowledgeable about components of the IM program or best practices. Awareness is often used to reinforce education (e.g., job aids or quick references are emailed to employees following a training session, etc.). Awareness may also be used simply to disseminate new tools, processes, policies, guidelines, etc.

Examples of education include:	Examples of awareness include:
— Structured In-class or online training	— Presentations
— Seminars or webinars	— Email to employees
— Conferences or workshops	— Visual Aids (Posters, Pamphlets, etc.)
— Privacy Training	— Intranet Posts
	— IM Month Activities

4.1.1 Education

IM professionals should complete a learning plan each year that identifies their learning priorities and opportunities. IM professionals can use the following steps in accessing the tools to complete the learning plan process:

Step	Description
Step 1:	Review position classification descriptions to confirm that they are working at the appropriate level and identify required skills. Note: IM Position Descriptions are published on the OCIO website; links can be found in the supporting materials.
Step 2:	Review the technical competency framework for a detailed description of the position. Note: IM Technical Competency Framework is published in the OCIO website; a link can be found in the supporting materials.
Step 3:	Complete the IM Competency assessment forms; there are forms for both the manager and the employee. Note: IM Competency Self-Assessment Tool & Forms are published on the Treasury Board Secretariat (TBS) website; links can be found in the supporting materials.
Step 4:	Identify learning resources to support the areas identified through the competency assessment process.
Step 5:	Complete the learning plan form; manager to review and sign-off on content.
Step 6:	Manager, employee and CLD can work together to discuss services that the CLD can provide.

Step 7:	Manager to submit learning requests internally within the organization for consideration in the annual budget, if necessary.
Step 8:	Employee to work with various stakeholders to action learning plan.

4.1.2 Awareness

In addition to the implementation of individual learning plans, there are informal ways that IM professionals can continue to grow their IM capacity. These include:

IM Community:
The OCIO supports ongoing IM awareness for IM professionals through the delivery of the IM Community (generally several meetings per year and email distribution) and by bringing together IM representatives from across the public sector. Meetings include presentations related to ongoing projects, best practices and standards. Emails include distribution of key information related to IM policy instruments, industry events, employment opportunities, and more. All individuals engaged in the delivery of an IM Program on behalf of departments and other public bodies are encouraged to attend.

IM Community – Online:
The IM Community – Online is a secure website used by the IM community to share resources. Access is restricted to IM community members. A username and password is required to access this site. Contact the IM Community via email for access instructions.

Professional Associations:
There are numerous professional associations focused on the practice of IM providing valuable resources to both members as well as the general visitor to their sites. Many offer designations recognized worldwide.

Name	Description
ARMA International	ARMA International is the community of records management, information management, and information governance professionals who harness the benefits and reduce the risks of information. ARMA provides resources, education, certification, and unparalleled networking opportunities. (https://www.arma.org)
ARMA Canada & local chapters	ARMA Canada brings together a national community of IM Professionals that share experience, expertise and connections. (https://armacanada.org/) ARMA Canada is comprised of 14 local chapters across Canada. (https://armacanada.org/home/arma-canada-chapters/)
AIIM	AIIM is the world's leading association dedicated to the information management industry. AIIM's mission is to help organizations improve their performance by transforming the way they manage their information. (https://www.aiim.org/)
IAPP	The International Association of Privacy Professionals (IAPP) is the largest and most comprehensive global information privacy community and resource. Founded in 2000, the IAPP is a not-for-profit organization that helps define, promote and improve the privacy profession globally. (https://iapp.org/)
PMI	The Project Management Institute (PMI) is the world's leading professional association for a growing community of millions of project professionals and change makers worldwide. As the world's leading authority on project management, PMI empowers people to make ideas a reality. (https://www.pmi.org/)

Conferences and Symposiums:

Conferences and symposiums provide employees with the opportunity to network with other IM professionals, attend information sessions featuring content related to case studies, new technologies or standards and best practices.

Name	Description
FWD50	FWD50 asks one fundamental question: How do we use technology to make society better for all? Since 2017, thousands of public servants, innovators, academics, and civic organizers from over 30 countries have gathered to craft a response. (https://fwd50.com/)
ARMA International InfoCon	ARMA InfoCon is the premiere educational event for records management, information management, and information governance professionals to learn and share industry best practices. (https://armainfocon.org/)
ARMA Canada Information Conference	Information Conference by ARMA Canada (https://armacanada.org/home/information-conference/)
AIIM	The AIIM Conference is the conference for information management professionals. (https://www.aiimconference.com)
MER	MER equips information governance practitioners to better impact their organization's business objectives by bringing industry thought-leaders, solution providers, and practitioners into thought-provoking, interactive, solution-oriented events year-round. (https://www.merconference.com)

Independent Research:

One of the best ways to maintain awareness is to allow time for independent study of industry materials. Consider online webinars as well as self-paced courses.

Mailing lists:

Subscribing to an ongoing mailing list where members are notified of new information from industry or government sources is a useful way to ensure that IM professionals are informed of new developments in IM.

4.2   Growing IM Competency

A competency is a combination of experience, knowledge and understanding, skills and abilities that a person brings to a job. Education and awareness improves competency.

There are two types of competencies:

Core Competencies:

Core competencies are skills that are common across all departments and all functions. They form a foundation for all employees within the government. They are transferrable to other organizational units or job functions. Some examples are communications, service delivery, conflict resolution, self-management, ethics and professionalism. Education related to core competencies is centrally coordinated by the CLD. IM is considered to be a core competency that all government employees must develop and maintain.

The Guideline Information Management Education and Awareness for Employees is used to develop this area of the IM Program.

Technical Competencies:

Technical competencies are skills that are required to support a specialized job function. For example, there are specific competencies (IM, Risk Management, IP&S, and IT) associated with IM roles. Those responsible within the department or other public body for managing organizational development may be able to assist with coordinating education related to technical competencies.

Determining whether education supports either a core or technical competency is not always straightforward. This is because the same subject can be a core competency for one employee and a technical competency for another. For example, awareness of disposition authorities is a competency that all staff must have. For an IM Technician however, a detailed knowledge of the steps for implementing a disposition authority is required. For that employee, the training supports a technical competency.

IM is similar in that all employees, managers and directors require a foundation in IM principles to ensure that requirements are met. Resources are available to support IM as a core competency for these employees. Employees whose jobs are directly related to IM require educational support for IM as a technical competency.

4.2.1 Funding for Education

There are two options for funding education. These are:

CLD Funded Training:
Education related to the core competencies is coordinated and/or delivered through the CLD. There is no direct cost to departments, including some other public bodies, for this training.

Organizational Development Funded Training:
Each department or other public body identifies its own needs for training related to technical competencies and if funding is available.

The CLD works with individual employees to develop and pursue an annual learning plan that may identify both core and technical competencies. Analysis of funding for this plan is on a case-by-case basis to determine the appropriate source for funding.

4.2.2 IM Competency

In the past, the OCIO has worked with the CLD, Human Resources and others across Government to assess the structure capability and competencies of IM across Government. As a result, important education-related assessment tools and resources have been designed to standardize the IM profession across government. When used properly, these tools and resources can become an important part of an organization's IM Education and Awareness program.

These include:

IM Position Classification Specifications:
Use of six standard IM position classifications allows departments to set a benchmark for current and future skills of employees working as IM professionals.

The Technical Competency Framework for IM:

Based on both industry standards and on an assessment of competency needs within the Government of Newfoundland and Labrador the Technical Competency Framework is broken down into four main competencies with each further sub-divided into specific areas of expertise.

- o   IM Practices

- o   Risk Management Competencies

- o   Information Protection (IP) and Security Competencies

- o   Information Technology (IT) Competencies

Managers are able to use the competencies to identify the behaviors their employees must exhibit to support organizational priorities. Employees are able to use the competencies to identify their own priorities for learning and development.

IM Competency Assessment Tool:

The CLD and OCIO developed an assessment tool (checklist and self-assessment) to support the use of the IM Technical competencies for learning and development by government employees. It follows the same format and methodology as similar tools deployed by the CLD. The assessment tool consists of two parts, 1) a manager assessment checklist and 2) an employee self-assessment checklist, with each stakeholder independently completing their checklist. Results are compared to identify how existing behaviors can be modified to support both organizational priorities and individual learning and development. Links to relevant materials have been included in the supporting materials section of this guideline.

Links to IM Education and Awareness resources can be found in the supporting materials and questions can be emailed to IM Advisory Services using IM@gov.nl.ca.

4.3   Monitor and Verify

A review and validation of an organization's IM education and awareness are the mechanisms for monitoring and verifying IM. The   IM education and awareness components 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 an accurate reflection of the organization's needs.

5.0   Roles and Responsibilities

Departments and other public bodies

— 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.

— Support the inclusion of IM Education and Awareness for IM Professionals in the organization's IM Program.

Executive, Director and other management responsible for IM

— Responsible for supporting their employees by assessing competency levels, identifying requirements and the implementation of individual learning plans; and by encouraging the employees to develop their learning plans and take responsibility for their own professional development.

Staff responsible for IM

— Individual employees are responsible for taking control over their own learning and development. This includes development and implementation of individual assessments and learning plans on an annual basis. IM professionals, like all employees, should take responsibility for their own professional development, take the initiative to identify the resources available to them, and develop their learning plans to assist them in their own career goals and success.

Office of the Chief Information Officer

As part of OCIO's administration of the MOIA, 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 IM Education and Awareness for IM Professionals.

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
https://www.gov.nl.ca/exec/ocio/im/policy-instruments/im-ip-policy

OCIO Website
https://www.gov.nl.ca/exec/ocio

Centre for Learning and Development
https://www.gov.nl.ca/exec/tbs/learning-and-development/

IM Technical Competency Framework
https://www.gov.nl.ca/exec/ocio/im/im-as-career/im-tech-competency-framework/

IM Competency Self-Assessment Tool & Form
https://www.gov.nl.ca/exec/tbs/files/learning-and-development-pdf-information-management-competency-framework-guidebook.pdf

IM Position Descriptions
https://www.gov.nl.ca/exec/ocio/im/im-as-career/im-positions/

IM Education and Awareness
https://www.gov.nl.ca/exec/ocio/im/professionals/training/

Version History

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

Date (yyyy-mm-dd)	Version
2011-03-17	1.0

Date (yyyy-mm-dd)	Version
2016-03-31	2.0
2022-01-25	3.0

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: Education and Awareness for IM Professionals and are published independent of this Guideline on the OCIO website, https://www.gov.nl.ca/exec/ocio/im/policy-instruments/guidebook/.

Appendix	Title
A	Education and Awareness for IM Professionals – Checklist
B	Quick Reference – Records and Information Management System
C	Quick Reference – Education and Awareness for the IM Professional

Other GuideBook References:
IM Education and Awareness for Employees
IM Performance Management