



Office of the Chief Information Officer

Guideline

IM Education and Awareness for Employees

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.

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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

Education and awareness is an important component of an Information Management (IM) program. IM is a core competency that all employees and other individuals working on behalf of the Government of Newfoundland and Labrador must develop and maintain. Incorporating a strategic approach to education and awareness enables departments and other public bodies to comply with IM requirements and increases overall IM capacity. This guideline supports departments and other public bodies implement an IM Education and Awareness Plan.

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 Education and Awareness for Employees 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.



Graphic: 1 - GuideBook Contents

Expected Deliverable(s)

1. IM Education and Awareness Plan
2. Organization-level IM Orientation
3. Communication Platforms and Tools List

Education and awareness is an important component of the IM Program. Without education and awareness:

- Employees may not understand their IM responsibilities as public employees;
- IM practices may be inconsistent across the department or other public body;
- Employees may not be aware of new policies, standards and guidelines related to IM.

Education and awareness are used to improve employee competency. A competency is a combination of experience, knowledge and understanding, skills and abilities that a person brings to a job. IM is considered to be a core competency that all government employees must develop and maintain. Additional competencies are required for employees who are IM practitioners. The Guideline – Information Management Education and Awareness for IM Practitioners is used to develop this area of the IM program.

Education	Awareness
<p>Education is the process of communicating knowledge, skills and judgment. Education generally results in new or enhanced skills that permit an employee to perform their job with greater competency and confidence. Education is typically delivered in a more structured setting where learning requirements and objectives are identified to support the transfer of knowledge to a specific audience. Examples of education include:</p> <ul style="list-style-type: none"> — In class or online training — Seminars or webinars — Conferences or workshops 	<p>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). Awareness may also be used simply to disseminate new tools, processes, policies, guidelines, etc. Examples of awareness include:</p> <ul style="list-style-type: none"> — Presentations — Email to departmental employees — Posters/Pamphlets — Stickers/Mouse pads

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.

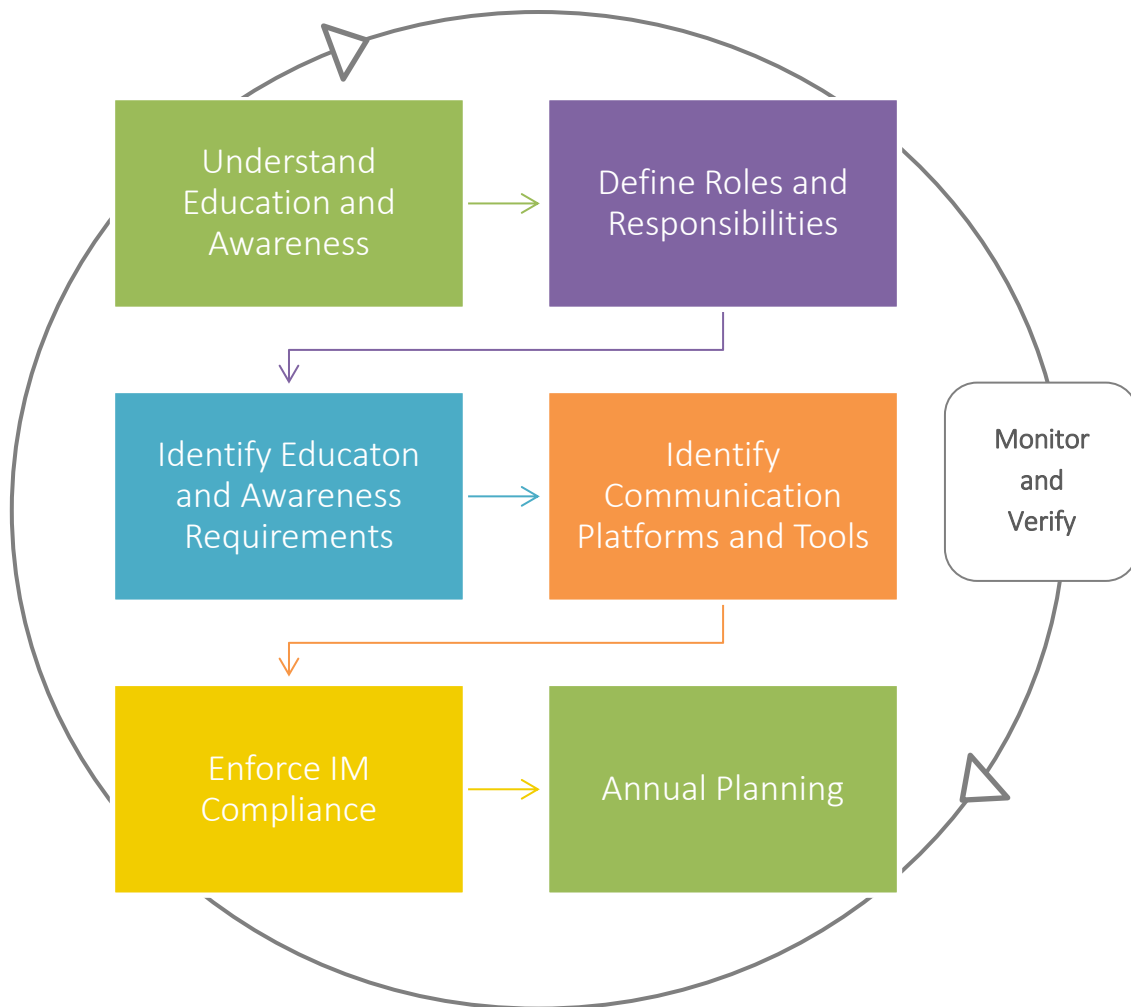
IM Policy Instruments – IM policy instruments include policies, directives, standards, guidelines and procedures that provide direction or guidance on the management and protection of information aligned with the principles set forth in the Information Management and Protection Policy. OCIO extends the 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
CLD	Centre for Learning and Development
IM	Information Management
IM&P	Information Management and Protection
IP	Information Protection
MOIA	Management of Information Act
OCIO	Office of the Chief Information Officer

4.0 Recommended Approach

The intent of this Guideline is to provide recommended actions that, when implemented, support the delivery of an IM Education and Awareness Plan. IM Education and Awareness planning is focused on the development and delivery of materials, services and supports to address the needs identified in the organization’s IM Program Plan as well as new compliance requirements. 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 Education and Awareness



4.1.1 Analysis and Development

Developing and delivering new educational and awareness materials specific to an organization's requirements requires resources (i.e., financial, human, technology, etc.). The scope of materials development should consider current resource availability. The organization's annual IM Program Plan would have identified a high-level strategy for the development of new materials related to a particular area of improvement (e.g., Transitory Records).

Some questions to ask before developing new organization-level training include:

- Has this initiative been identified as a priority in the annual IM Program Plan and/or another organization strategic document?
- What is the timeline for the implementation?
- What are the objectives of this initiative? How will these translate to learning objectives?
- Is internal development the only or best possible option? The OCIO, professional associations, industry organizations, educational institutions, etc. may be able to fill the need with existing materials, programs or offerings.
- Is this an IM initiative on which the IM resource must take a lead role (e.g. new records policy) or a program responsibility with an IM component (e.g. new process for processing applications)?
- What is the level of support needed to ensure that the organization's initiative is successful – education, awareness or a combination of both? To answer this, look

at the level of change that the new initiative will require on the part of the employees, level of priority it has been given, etc.

- What tools and platforms will best support the education and awareness of the initiative? Factors such as the breadth and nature of the content, magnitude of change, location of employees, etc.
- In addition to the known stakeholders, are there employees (e.g., managers, subject matter experts) that need to be engaged in the development, planning and delivery process?
- Is there an additional financial requirement that has not previously been identified?

When developing materials:

- Ensure that all stakeholder have been identified and are engaged as appropriate
- Establish and validate the objectives in the beginning of the development process and again at appropriate intervals
- Engage appropriate resources to review or test the deliverables as required

4.1.2 Education

Education related to department and other public body IM requirements is considered a core competency that all employees must have to do their jobs. The Centre for Learning and Development (CLD) and the OCIO work together to ensure appropriate information is accessible to internal government employees. The OCIO also provides materials available for other public bodies who cannot access the CLD materials.

The goal is not to transform all employees into IM professionals. However, because employees are individually accountable for the information they generate/receive on behalf of the government, it is important to provide the information they need to meet these obligations. CLD's Onboarding Checklist is a good starting point. It is recommended that each organization review this information as a part of its own orientation and augment its content with organization-specific information as required.

Orientation is one of the most important components of the education and awareness program and the overall IM program. Without orientation, employees are not aware of their responsibilities related to IM. A sample slide deck has been included in the appendices. From an IM perspective, it is important that all employees:

- Understand IM basic concepts and their responsibilities as government employees. Ensure that each employee completes IM@Work: Making Information Management Work for You. This training is available through PSAccess as well as in PDF format on the OCIO website.
- For those at a management level there is additional information available through the resource management package Information Management: A Guide for Managers and Directors available through PSAccess.
- Understand any organization specific IM policies, procedures or tools. This will ensure that day-to-day IM procedures are consistent. These are set by the departmental IM group.
- Understand any specific IM requirements related to their business process. This is determined by the individual management team of each business unit (e.g. department or other public body program/service area).
- Know where to locate IM reference materials to support the concepts provided in the orientation and other training.

The continuing education of current employees also needs to be incorporated into the Education and Awareness Plan. The amount of education that employees require varies. At a minimum, current employees need to be provided with the same information listed above that is provided to new employees during orientation. One option to do this would be to provide materials for dissemination by the management team at scheduled meetings (e.g. annual planning session, monthly team meetings). At this time employees can also be encouraged to one again complete the IM@Work training module.

4.1.3 Awareness

Awareness is used to:

- Reinforce what employees learn in orientation;
- Communicate new requirements including policies, directives, standards and guidelines;
- Communicate new IM tools including departmental classification, records retention and disposal schedules, etc.;
- Communicate events like managing transitory records activities; and
- Share success stories.

When initiating awareness activities leveraging IM related information already published by other organizations such as OCIO, professional associations, industry experts as well as other public bodies.

Consider providing awareness activities on an annual basis but also as required to provide strategic support for new initiatives, projects, and policy instruments. Some sources of re-usable IM awareness include:

- Monitor the OCIO website for new initiatives/content that would be helpful for employees
- Leverage OCIO-produced campaigns and marketing materials

Ensure that messages are timed appropriately to ensure maximum effectiveness. For example, promoting a clear out day in December when business slows may have a better response than at a very busy time of year.

Engage appropriate resources to help create or distribute information. Employees are more likely to take the time to review material if it comes from recognized leaders including senior management or subject matter experts.

4.2 Define Roles and Responsibilities

Having a clear definition of the roles and responsibilities related to IM education and awareness for employees is critical to planning and implementation.

Some of the important responsibilities to be defined include:
Who is responsible for education and awareness for the department or other public body, and what will their role be?
Who needs to approve education and awareness activities and associated deliverables? This may not be solely the responsibility of the Director / Senior Manager responsible for IM.
Who will develop, approve and oversee implementation of education and awareness activities?
Who needs to be engaged and when?

Participants in the awareness function that may need their roles defined include:

- Director / Senior Manager responsible for IM Employees
- Staff responsible for internal communications
- Staff responsible for organizational development
- Additional resources as required

4.3 Identify Education and Awareness Requirements

Identifying the needs for education and awareness is the first step in developing a plan.

Questions that must be answered include:
What are the components of the existing IM Program? Are there existing Education or Awareness materials to support these?
What IM activities have been identified as a priority by the department or other public body?
Have individuals been directed to OCIO’s IM education and awareness resources?

Questions that must be answered include:
Are there organization-level IM tools that require education or awareness at this time? Are there any planned?
Where are the gaps related to IM education and awareness in the department or other public body?

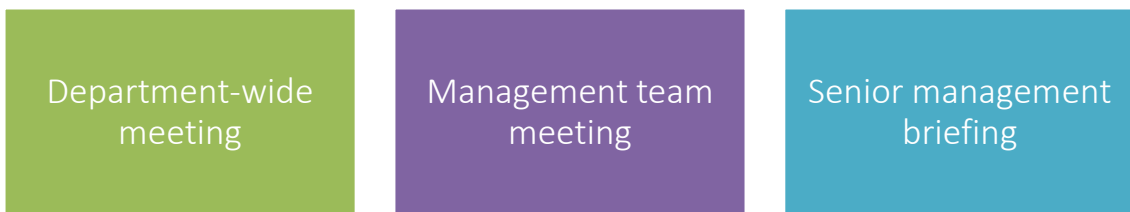
Sources for this information may include:

- Results of an Information Management Capacity Assessments that highlight areas of organization-level IM risk.
- Consultation with IM staff, management team, etc. to understand where they see priorities.

4.4 Identify Communication Platforms and Tools

Education and awareness relies on communication platforms and tools that best support the delivery of relevant to employees. A platform is the location or mechanism used for the delivery of education or awareness materials.

Platform examples may include:



When identifying platforms, helpful information for planning includes:

- Key contact responsible for planning agenda and scheduling session
- Audience (e.g. all managers and directors)
- Purpose of the platform

- Frequency (e.g. monthly, quarterly, bi-annual, annual, etc.)
- How useful has a particular platform been in the past?
- Are there departmental requirements for how these individuals are engaged?

A tool is a product that supports education and awareness initiatives. Examples of tools may include:



When identifying tools, helpful information for planning includes:

- Organization-level and government contacts that must be consulted (e.g., communications, program area)
- Who needs to approve content (e.g. Head of the public body, Deputy, CEO, or delegate)
- Costs associated with production
- Estimated turnaround time
- How beneficial has their use been in the past?
- Are there requirements at the organization-level for how these individuals are engaged?

Maintaining a reference listing of communication platforms and tools is recommended. Reference the template and example in the appendices for additional support. Having identified both appropriate tools and platforms, planning for implementation may begin.

4.5 Annual Planning

An IM Education and Awareness Plan will identify and coordinate activities, support the metrics gathering and reporting needed to demonstrate increased IM capacity, and provide the direction needed to focus on specific initiatives. It is likely that one or more planning sessions with identified stakeholders will be required to complete this plan.

Elements that may be included are:

Elements	Description
Overview of the Current Environment	Outline where IM education and awareness is to date. At the outset, findings from the Information Management Assessment may provide a synopsis. Use reports and metrics from previous years as a basis.
Objectives	What are the objectives of IM education and awareness? These objectives can be used to identify priority areas and to evaluate the effectiveness of the program.
Roles and Responsibilities	Roles and responsibilities need to be defined for: <ul style="list-style-type: none"> ○ Executive responsible for the organizations IM Program ○ Director, manager and other staff responsible for IM ○ Organizational Development staff ○ Communications staff

Elements	Description
Standard Approach	<p>Identify how different types of education and awareness requirements will be handled. Consider existing organization-level protocols, past experiences, geographic restrictions, etc. Defining a standard approach will make it easier to deal with new business and ensure consistency in the way information is processed.</p> <ul style="list-style-type: none"> ○ Standard approach to developing education and awareness within the organization ○ Standard approach (if any) to disseminating new government-wide policies, directives, standards, guidelines, etc.
Identify/Prioritize the Organization’s Needs	<p>Based on the earlier analysis, provide a list of the education and awareness needs along with where they are seen as a priority.</p>
Planned Activities	<p>Identify the activities planned for this year based on priorities, objectives, etc. Include activities, sequence, resources and target dates, etc.</p>
Reporting and Metrics	<p>Determine how metrics related to the success of the program will be gathered (e.g., survey to gage IM awareness, interview with employees, before and after reporting tools, etc.). How will this information be reported, when and to whom?</p>

Reference the template and example for an IM Education and Awareness Plan in the appendices. This document should be updated annually or as required and shared with appropriate stakeholders.

4.6 Monitor and Verify

A review and validation of program compliance, performance and capacity are the mechanisms for monitoring and verifying IM. The IM Education and Awareness 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.
- Support the inclusion of Education and Awareness in the organization's IM Program.

Directors responsible for IM

- Align organization-issued materials with the guidance provided by the OCIO in the development and implementation of an education and awareness program.
- Ensure all individuals working on behalf of the organization have received initial and continuous IM education and awareness.

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 Education and Awareness Plan.

Supporting Materials and Version History

Supporting Materials

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

Management of Information Act

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

Information Management and Protection Policy

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

OCIO Website

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

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
2011-04-04	1.0
2015-03-31	2.0
2021-06-14	3.0

Appendices

Appendices listed below directly relate to the Guideline IM Education and Awareness for Employees 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 Education and Awareness for Employees - Checklist
B	Quick Reference - Records and Information Management System
C	IM Education and Awareness Plan – Template and Example
D	IM Education and Awareness Communication Platforms and Tools List – Template and Example
E	IM Orientation – Template and Example
F	Sample IM Campaign – Declutter Challenge - Template and Example

Other GuideBook References:

IM Policy Instruments
 Education and Awareness for IM Professionals
 IM Legal and Regulatory Framework
 IM Performance Measurement
 IM Vision, Mission and Guiding Principles