Newfoundland Labrador

INFORMATION MANAGEMENT:
A GUIDE FOR MANAGERS

IM Services Division, Office of the Chief Information Officer

Purpose

The purpose of this course is to provide managers with an overview of their role in Information Management within their program areas.

Overview

This course provides an overview of the role
and responsibilities of managers for information management.

SECTION 1: Information Management Overview

SECTION 2: Legislation and Operational Compliance

SECTION 3: Information Management and the Employment Cycle

Overview

AT THE END OF THIS COURSE YOU WILL BE ABLE TO:

- Demonstrate knowledge of the basic Information Management principles
- Identify the basic legislative and operational requirements for Information Management
- Demonstrate knowledge of the manager's role in ensuring that information is managed and protected

INFORMATION MANAGEMENT OVERVIEW

This section will:

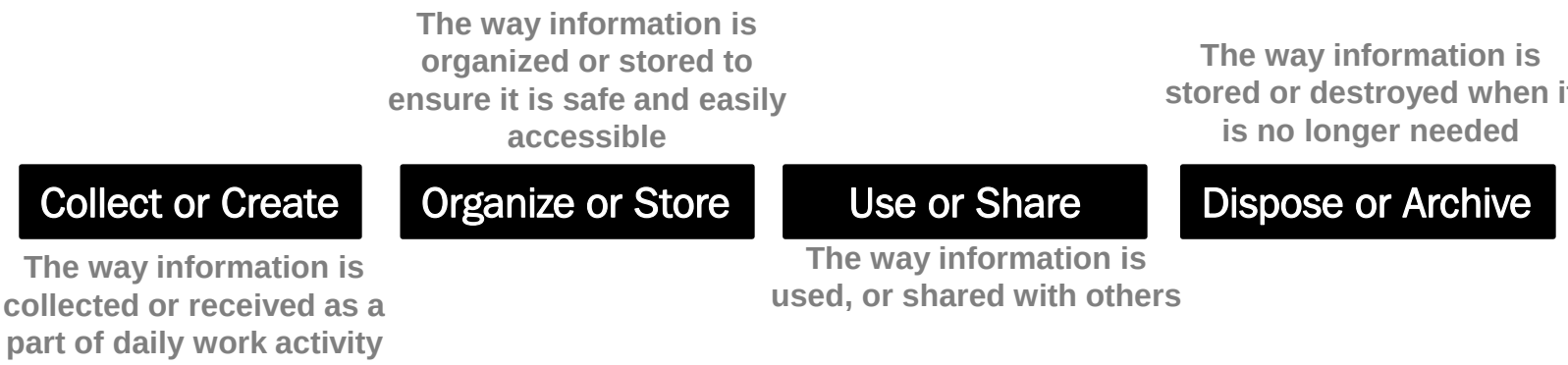
- Define Information Management and what information needs to be managed
- Outline the benefits of an Information Management program

Section One: IM Overview

WHAT IS INFORMATION MANAGEMENT?

Everyday, employees at all levels are responsible to manage and protect the information they create and use in their work. Information Management (IM) is the practices that are followed to manage and protect information.

INFORMATION LIFECYCLE



WHAT IS INFORMATION MANAGEMENT?

In your role as a manager, you are responsible for the management of assets such as human resources, financial resources, etc. Information is also a valuable asset and there are requirements for the way you manage and protect information.

Why Manage Information?

Support decision-making and the delivery of programs and services	Act as evidence of the public body's business activities	Provide a historical record of the activities of a public body

WHAT IS INFORMATION MANAGEMENT?

All information belonging to the public body needs to be managed including:

- E-mail messages, including attachments sent and received by employees
- Office records including Microsoft Word documents, PowerPoint presentations, spreadsheets, etc.
- Physical records stored onsite at workstations, file rooms, etc.
- Boxes of records in offsite storage locations
- Database records in departmental business applications

WHAT IS INFORMATION MANAGEMENT?

All departments are required by the *Management of Information Act (MOIA)* to have their own IM program. An IM program includes the policies and procedures to ensure that information is managed and protected:

IM Programs Include:

- Best practices for managing the information life cycle
- Appropriate procedures for information handling are a regular course of business
- Compliance with legal and operational requirements for IM
- Reporting on IM activities to regulatory bodies as required

WHAT IS INFORMATION MANAGEMENT?

Managing and protecting information properly ensures that:

- Information is available to support efficient decision-making and timely service
- The risk of information breaches or violations is minimized
- The risk of legal consequences, with regard to the appropriate disposal of information is minimized
- Resources are used effectively:
  - Time and resources for search and retrieval to support daily activities
  - Resources required to process information in the event of litigation, audit, or requests for information made under the Access to Information and Protection of Privacy Act
  - Office and storage space used appropriately, rather than for inactive records storage
  - Electronic resources including storage and recovery of information

Module Highlights:

Implementing an IM Program has the following benefits:

- Minimizes risk of legal consequences resulting from inappropriate disposal of information
- Information is readily available for service provision
- Minimizes breaches of information

Module Highlights:

The Information Lifecycle Includes:

- Collect and create information
- Organize and store information
- Use or share information
- Dispose or archive information

Module Highlights:

Examples of information that needs to be managed:

- E-mail messages
- Microsoft Word documents, PowerPoint presentations, spreadsheets, etc.
- Physical records
- Boxes of records in offsite storage locations
- Database records

Section Two: Legislative and Operational Compliance

LEGISLATIVE AND OPERATIONAL COMPLIANCE

This section will:

Examine the legislation and operational requirements that apply to Information Management.

LEGISLATION AND INFORMATION MANAGEMENT:

There are three types of Legislation that managers should be familiar with:

Information Management Legislation

- Mandates the unique programs and services administered by each department
- Departmental legislation may have IM requirements

Government-Wide Legislation

- Specific to Information Management
- Applies to all departments
- Includes:
  - *Management of Information Act*
  - The Rooms Act

Section Two: Legislative and Operational Compliance

LEGISLATION AND INFORMATION MANAGEMENT:

Departmental Legislation

- Mandates government-wide processes, including IM
- Applies to all departments
- Examples Include:
  - Access to Information and Protection of Privacy Act
  - Financial Administration Act
  - Public Tender Act

IM - RELATED LEGISLATION

Legislation specific to Information Management:

- *Management of Information Act*
- The Rooms Act

MANAGEMENT OF INFORMATION ACT

The *Management of Information Act (MOIA)* requires that every department or public body:

- Implement an IM program to manage and protect records
- Comply with the rules for retaining and disposing of records established by the Government Records Committee (GRC)
- Ensure that retention, disposal and removal of records is a part of ongoing operations

http://www.assembly.nl.ca/legislation/sr/statutes/m01-01.htm

Section Two: Legislative and Operational Compliance

THE ROOMS ACT

The Rooms Act directs The Rooms Provincial Archives Division to preserve the archival records of departments and other public bodies and to provide access to them for research purposes.

The Rooms Provincial Archives Division works with departments and the OCIO to identify records of archival value and ensure their preservation.

http://www.assembly.nl.ca/legislation/sr/statutes/r15-1.htm

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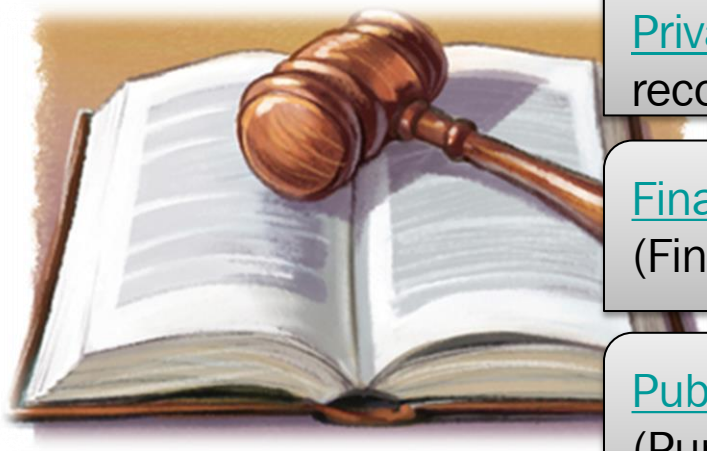
THE ROOMS ACT

Archival Value

Archival records are usually identified during the creation of a Records Retention and Disposal Schedule; which is the recommended means for the disposal of records of a public body.

GOVERNMENT-WIDE LEGISLATION

In addition to legislation that directly addresses Information Management, there is other government-wide legislation that guides the way information is handled.



- Access to Information and Protection of Privacy Act (Personal and confidential records)
- Financial Administration Act (Financial Records)
- Public Tender Act (Purchasing Records)

KNOW THE LEGISLATIVE REQUIREMENTS

Managers/directors must be aware of legislative requirements related to IM. Incorporating IM considerations into departmental business processes will increase compliance with legislative requirements. For example:

- Consider the requirements around the collection of personal information as per the Access To Information and Protection of Privacy Act when creating a new form or template
- Know the IM requirements for different record types such as budget documents, Cabinet Submissions, Briefing Notes, etc.
- Dispose of all records according to the requirements identified in the *Management of Information Act*

Legislation is available on the House of Assembly website where it can be searched alphabetically or by department name.

GOVERNMENT-WIDE IM PRACTICES

Certain policies, directives, standards and guidelines related to managing and protecting information apply to all departments. While policies, directives and standards require mandatory compliance, guidelines are recommended best practices.

All policies, directives, standards and guidelines are available on the OCIO website and include:

- Information Management and Protection Policy
- E-mail Management
- Corporate Records and Information Management Standards (C-RIMS)
- "For Your Information" quick reference material on IM topics
- IM @ Work - e-learning course on IM practices (accessible by employees)
- Acceptable Use of the Government Network and Information Technology Assets Directive
- Managing Departmental Information Through the Employment Cycle Guideline

DEPARTMENTAL/ORGANIZATIONAL REQUIREMENTS

Development of new operational policies, procedures or documentation must reflect the requirements of the department/organization and the requirements of the information that needs to be managed or protected.

- Departmental/Organizational Needs
- Legislative Compliance
- Government-wide policies, directives, standards and guidelines
- Operations/Flow of business
- Commitments, such as legal agreements or contracts may include specific requirements related to the types of information required, length of availability, etc.
- Recognized specific industry standards

DEPARTMENTAL INFORMATION PROTECTION REQUIREMENTS

Development of new operational policies, procedures or documentation must reflect the requirements of the information that needs to be managed or protected. Things to consider:

- Information Protection Needs
- How long should the information be retained and why?
- How will the information be used?
- Who should have access to this information?
- Is there a form or template that can be used?
- Are there any safeguards or special requirements for security ensuring that the information is protected?

Module Highlights:

A number of documents have been located in a remote storage area. These documents have been deemed to have no value. Which one of the legislation listed below would address the disposal of these documents?

- Access of Information and Protection of Privacy Act
- The Rooms Act
- *Management of Information Act*

The *Management of Information Act* is the legislation that addresses the disposal of information

Module Highlights:

The best source to access government legislation is the House of Assembly Website

Module Highlights:

The individual in Government who determines whether records are archival is the Government Records Archivist

INFORMATION MANAGEMENT AND THE EMPLOYMENT LIFECYCLE

This section will examine the role of managers in ensuring that employees follow good Information Management practices.

INFORMATION MANAGEMENT AND THE EMPLOYMENT LIFECYCLE

Managers/directors play an important role in ensuring that employees follow good Information Management practices, starting from an employee's orientation, to the transfer or departure of an employee.

Orientation | Ongoing Operations | Transfer / Departure

Managers/directors need to ensure that:

- Employees have an understanding of their role in managing and protecting information
- Employees have the resources required to comply with IM legislation and policy
- Appropriate components of the departmental IM program exist within their program area
- Activities related to the disposal of information are managed appropriately

IM AND THE EMPLOYMENT CYCLE: ORIENTATION

When a new employee joins your program area, it is critical that they understand how to receive, create, use, share, destroy or archive information.

Managers should ensure that new employees:

- Are aware of what Information Management is and why it is important
- Are aware of legislative and operational requirements for the information that they handle
- Understand the components of the departmental IM program
- Know where to find help with questions related to Information Management

Orientation | Ongoing Operations | Transfer / Departure

IM AND THE EMPLOYMENT CYCLE : ONGOING OPERATIONS

Managers/directors should ensure that good IM practices are followed as a regular course of business. Employees should have the information and tools they need to manage and protect information, such as:

- An understanding that they are individually accountable for the information they maintain
- Knowledge of their responsibilities
- Time needed to manage e-mail and the filing of paper and electronic records
- An ongoing review of Records Retention and Disposal schedules
- Tools and equipment needed to access and secure information

Government Issued Computers

Secure Devices for Remote Access

Encrypted Portable Storage Devices

IM AND THE EMPLOYMENT CYCLE : ONGOING OPERATIONS

Employees are responsible for any information they create, and in their custody. This includes:

- Managing e-mail and attached government records
- Knowing the practices governing the creation, use and disposal of government records
- Knowledge of the legislation that guides the management of information
- Identification and reporting of the potential issues that impact the management of information

Orientation | **Ongoing Operations** | Transfer / Departure

IM AND THE EMPLOYMENT CYCLE: EMPLOYEE TRANSFER

Records are the property of each department and must be retained to ensure appropriate management as per departmental requirements.

When employees transfer within government, or even within a department, they may not have a business need or right to access information from their previous position.

Continuing to access information without a legitimate business need may be considered an information breach.

Complete a *Request for Electronic Records Access* form and notify the OCIO Service Desk to modify or close an outgoing employee's network or e-mail account.

Orientation | Ongoing Operations | **Transfer / Departure**

IM AND THE EMPLOYMENT CYCLE: EMPLOYEE DEPARTURE

Prior to a transfer, retirement, resignation or termination, managers should complete a review of the information to which the employee has access and determine how/what information should be transferred to another employee.

This includes:

- Information stored on the computer hard drive, shared drives or personal network drive
- Information stored in e-mail mailbox (both inbox and sent mail)
- Physical records retained at a workstation or in an office
- Business applications to which the employee has access
- Storage media including CD's, DVD's, etc.

Orientation | Ongoing Operations | **Transfer / Departure**

IM AND THE EMPLOYMENT CYCLE: EMPLOYEE DEPARTURE

In the event there is no notice of an employee departure:

- It may be necessary to notify the OCIO service desk to modify access to the departed employee's e-mail, network drives or business applications.
- Complete an inventory of what the employee has in their office and work with your team to identify how/what to transfer to another employee(s).
- Request access to the employee's e-mail account and personal drive by submitting the appropriate form through the service desk.

Orientation | Ongoing Operations | **Transfer / Departure**

Module Highlights:

It is necessary to complete a review of information to which an employee has access, and to determine how/what information should be transferred to another employee in the following instances:

- When an employee is terminated
- When an employee resigns
- When an employee retires
- When an employee transfers

Module Highlights:

When implementing an Information Management protocol in your department that is consistent with the OCIO guidelines around securing information when employees work away from the office, the following tools are methods to keep information secure:

- Encrypted Portable Storage Devices
- Government Issued Remote Access Devices (VPN)
- Government Issued Laptops

Summary

Everyone plays a role in the protection and management of information as it moves through the organization.

Information is also a valuable government asset, and there are requirements for the way you manage and protect information and managers should be aware of these requirements, including how to direct employees on IM matters.

Protection and Management of Information is Everyone's Business

Summary

Questions and inquiries can be sent To im@gov.nl.ca

More information is available at the OCIO Website: WWW.OCIO.GOV.NL.CA