

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF MARCH 31, 2011**

CHIEF FINANCIAL OFFICER			
AUDIT OF COMPREHENSIVE INTEGRATED DOCUMENT MANAGEMENT (CIDM) (08/19) <i>AEC APPROVAL DATE: May 14, 2010</i>			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. User Awareness:</p> <p>Observation: There exists a lack of user awareness surrounding appropriate document classification, user responsibilities and support, and the benefits of prioritizing this activity.</p>	<p>Action: INAC's IMB will embark on a re-invigorated approach to change management and governance to minimize the knowledge gap as it relates to system usage. More effort will be concentrated on persistency of uptake, including endorsement/enforcement by senior management. In the short term, IMB will conduct a series of user forums and surveys to garner input and suggestions from departmental employees on where they see specific areas of improvement being required.</p>	<p>(September 2010)</p>	<p>Update/Rationale: As of 31/03/2011:</p> <p>IMB is utilizing the departmental management committee structure to reinforce global IM awareness. A presentation was recently made to the Operations Committee on e-Discovery, which focussed on IM (and subsequently CIDM) as being a fundamental pillar in INAC meeting its obligations. A presentation was made to ITSG in March 2011, planned presentations include DGIOC (Directors General Implementation & Operations Committee) and OC (Operations Committee). IMB trains on average 35 users per week on CIDM as part of its ongoing training/awareness activities. A user survey has been drafted for dissemination in Q1 of 2011/12 to solicit CIDM user feedback, and a series of exposés on IM (with input from ATIP and LMRB) are slated for INAC Express (departmental coverage). Both the survey and the exposés will be cross linked via IMB's intranet site.</p> <p>(CIMD RECOMMENDS THAT ITEM BE CLOSED)</p> <p>AES: Implementation is on-going. Recommendation will be assessed for closure upon completion of user survey and implementation of INAC Express exposés.</p>
<p>2. Retention and Disposition</p>	<p>Action: IMB will work with the Regions and program areas to ensure that</p>	<p>(December 2010)</p>	<p>Update/Rationale:</p>

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<p>Observation: INAC's standardized retention and disposition policies are not being consistently followed across the department.</p>	<p>existing Retention and Disposition Authorities (RDA's) are applied consistently to CIDM document collections. This work will be conducted in parallel with departmental activities currently underway with Library and Archives Canada (LAC) on updating many of the existing RDA's.</p>		<p>As of 31/03/2011:</p> <p>This work is ongoing, and will culminate with detailed in-person discussions with the regions as part of the annual National IM/IT Conference (June 2011). An MOU has been signed with LAC to ensure completion of all outstanding RDA's by December 2012. Due to structural realignments within INAC (the inclusion of ABC and IRSRC into the department as examples), a few of the existing RDA's require reassessment and validation by departmental and LAC senior leaders. LAC has recently completed the appraisal of the Resolution section of RIAS, and IMB continues to work with LAC on other outstanding appraisals.</p> <p>AES: Implementation on-going.</p>
<p>3. Business Value of Information</p> <p>Observation: CIDM's mandatory save environment is leading to an overabundance of transitory materials being captured and stored.</p>	<p>Action: IMB will develop a strategy which focuses on identification of business versus transitory materials, which will include the identification of an appropriate storage facility for transitory records. Also, IMB will lead in the development of an enterprise search strategy which can comb all departmental repositories in support of ATIP and e-Discovery.</p>	<p>(December 2010)</p>	<p>Update/Rationale:</p> <p>As of 31/03/2011:</p> <p>Work on this front continues, including the creation of a draft departmental enterprise search strategy in support of ATIP, e-Discovery and Information Management. IMB and LMRB are the co-Chairs of the E-Discovery working group, whose work will focus primarily on the identification of holdings deemed to be of true business value in accordance with LAC policies, practices and guidelines. Terms of Reference and participants are nearly completed, and the first meeting of the working group/steering committee is scheduled for Q1 of</p>

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			<p>2011/12. IMB is in discussions with a local firm on developing a methodology for the identification of information deemed to be of true business value, starting with mapping of business processes. This work is in concert with the CIDM Evolution initiative.</p> <p>AES: Implementation on-going.</p>
<p>4. Document Security</p> <p>Observation: Confusion exists within the department around appropriate document security protocols, profiling and business rules.</p>	<p>Action: Since the conclusion of the audit, IMB and the Security and Occupational Health and Safety Division (SOHSD) have partnered together in an effort to better educate, measure and monitor the handling of electronic documentation. To that end, steps have been taken to include more frequent messaging around appropriate document security levels. In particular, changes have been made within the CIDM training curriculum to aid users in better identifying appropriate document security designations.</p> <p>Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation.</p>	<p>Immediate and ongoing</p>	<p>Status: Complete</p> <p>Update/Rationale: As of 30/09/2010:</p> <p>Changes have been made within the CIDM training curriculum to aid users in better identifying appropriate document security designations (including direct integration of core messaging by SOHSD).</p> <p>Additionally, a new tri-fold "Understanding Security Levels, Access Controls and CIDM" was developed in concert with SOHSD and distributed electronically to IM Regional counterparts and is now included in all NCR New Employee Orientation packages.</p> <p>Over the long term, IMB will continue to partner with SOHSD to further improve education, measurement and monitoring of the handling of electronic documentation.</p> <p>AES: Close - Fully Implemented</p>

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5. Naming Conventions and Profiling Observation: There exists inconsistent application of naming conventions and access controls.	Action: In the short term, IMB will educate and clearly disseminate to the Regions INAC's best practices and standards as they relate to naming conventions, while at the same time promoting more openness within the document access controls. This will be measured through IMB's Regional and Sectoral Scorecarding exercise on an ongoing basis.	(September 2010 and ongoing)	Status: In Progress Update/Rationale: As of 30/09/2010: This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop. AES: Close
6. Performance Observation: Improvements should be made in the measurement, monitoring and remediation of CIDM performance and response times.	Action: IMB will establish and coordinate a national review process in collaboration with Regional service partners to identify factors affecting system performance. Once this process has been established, IMB will lead in the ongoing measurement, monitoring and remediation of performance and response times across all Regions.	(September 2010 and ongoing)	Status: In Progress Update/Rationale: As of 30/09/2010: This is a Q3 initiative, which will include validation and feedback with Regions at the Annual National IM/IT Workshop. AES: Close
7. Licensing Observation: There were at the time of the audit, more active users than actual licenses.	Action: Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap.	(December 2010 and ongoing)	Status: Complete Update/Rationale: As of 30/09/2010: Since the conclusion of the audit, IMB has remitted to PWGSC the required dollars to cover the identified gap. AES: Close - Fully Implemented