IM Aware

The Winter of Our Content Inventories

Enterprise Information Management
December 10, 2019
The Winter of Our Content Inventories

EGS Project and EIM Guideline

Ryan Warkentin, Brian Gooyers
December 2019
Agenda

- Background
- Economy & Growth Sector (EGS) Project
- Recommendations
- Enterprise Information Management (EIM) Guideline
- Questions and Discussion
Timeline

Oct 2017 - April 2018
• TBF Records Inventory Project

January 2019
• Draft inventory guideline

May - Sept 2019
• EGS Project

December 2019
• Revised inventory guideline
## Background

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inventory</td>
<td>A listing of key information regarding the content in the custody and/or under the control of a business area. Not an item-level inventory.</td>
</tr>
<tr>
<td>Content</td>
<td>Encompasses all of the records, data and/or information, regardless of format, state and/or classification, that are part of, or are affected by, a business area’s processes.</td>
</tr>
<tr>
<td>Process Analysis</td>
<td>Describes and analyzes what happens in a function/process in a specific business context.</td>
</tr>
</tbody>
</table>
• Before a business area can organize and fully realize the value of its content, it must first be aware of all content in its custody and/or under its control.

• Content inventories can support:
  – Identifying type and location of content holdings of the GoA.
  – Ensuring that content is managed in accordance with legal and security mandates.
  – Identifying risks and opportunities for improvement.
## Hierarchy of Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Function</td>
<td>Group of processes that fulfills the major responsibilities/strategic goals of an organization.</td>
<td>Facilities and Real Property Management</td>
</tr>
<tr>
<td>Process</td>
<td>One or more sequences of transactions required to produce an outcome that complies with governing rules.</td>
<td>Landlord/Tenant Notice</td>
</tr>
<tr>
<td>Transaction</td>
<td>Smallest unit of a work process, consisting of an exchange between two or more participants.</td>
<td>Processing of completed notice</td>
</tr>
</tbody>
</table>
EGS Project - Goals

• May – September 2019
• Complete and accurate inventory of volunteer business areas
• Focus on drafting supporting documentation and providing recommendations for the EIM Content Inventory Guideline
EGS Project Plan

1. Prepare (May 2019)
2. Initiate (May-June 2019)
3. Architect (June-July 2019)
4. Execute (July-August 2019)
5. Closure (August 2019)
EGS Project Deliverables

- **Project Documentation**
  - Closure Report, Recommendations Report

- **Data and Information Inventory**
  - SharePoint List

- **Consultation Materials**
  - Facilitation Manual
Inventory Fields

- Process Name
- Process Summary
  - Process Trigger
  - Process Steps
  - Process Conclusion
- Mandate
- Process Input
- Input Source
- Process Output
- Output Recipient
- Process Content
- Controller
- Custodian
- Format
- Media
- Storage Location
  - Physical Location
  - System Name
- Application Name, Support
- Security Classification
- Retention Schedule
- Personal Information Bank
- Vital Records
<table>
<thead>
<tr>
<th>Process Name</th>
<th>Process Description</th>
<th>Content</th>
<th>Controller</th>
<th>Custodian</th>
<th>Location</th>
<th>Medium</th>
<th>Schedule</th>
<th>Security Classification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Landlord/Tenant Notice</td>
<td>The purpose of this process is to send or respond to a notice to a Tenant or Landlord. The process is triggered when Leasing receives W5 Instructions from Asset Management Branch, Property Management, a Tenant, or a Landlord. The process includes preparing the notice or response. The process concludes when Leasing sends the notice to the Tenant or Landlord and a copy is delivered to the Lease Administrator for processing.</td>
<td>Clauses and precedents</td>
<td>Leasing</td>
<td>Asset Management</td>
<td>Leasing File Room</td>
<td>Paper</td>
<td>1989/108-A001.1</td>
<td>Protected A</td>
</tr>
<tr>
<td></td>
<td>Email correspondence</td>
<td>Leasing</td>
<td>Tenant/Landlord</td>
<td>Outlook</td>
<td>Electronic (.msg)</td>
<td>1989/108-A001.1</td>
<td>Protected B</td>
<td></td>
</tr>
</tbody>
</table>
EGS Project Results

• Two validated inventories of volunteer business areas.
• Drafted supporting documentation.
• Recommendations for EIM Inventory Guideline submitted to EIM.
Recommended Approach

1. Prepare
   - Form inventory team
   - Establish scope
   - Plan inventory collection
   - Prepare consultation materials

2. Initiate
   - Acquire senior leadership support
   - Notify additional stakeholders (FOIP, SISO)

3. Architect
   - Develop engagement plan
   - Identify consultation participants
   - Background research

4. Execute
   - Consultation with business areas
   - Inventory validation

5. Operate
   - Compile and release findings
   - Maintenance strategy
## Recommendations

<table>
<thead>
<tr>
<th>DIIP Recommendations</th>
<th>EIM Action Taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish a clear purpose for the inventory.</td>
<td>Emphasized that content’s value can only be fully realized if a business area is aware of the content in its custody and/or under its control.</td>
</tr>
<tr>
<td>Define the level of detail sought in inventories.</td>
<td>Created an example of a populated inventory and ensured that comprehensive examples were included in the guide.</td>
</tr>
<tr>
<td>Reframe inventory collection and maintenance as core IM service.</td>
<td>Recommendation will inform subsequent developments and discussions regarding the future of IM in GoA.</td>
</tr>
<tr>
<td>Combine inventory information collection strategies.</td>
<td>Revised process to incorporate multiple information collection strategies. Emphasized that a single collection strategy will not work for every business area.</td>
</tr>
<tr>
<td>Compile inventory results in an enterprise database.</td>
<td>EIM is supporting the development of an enterprise database.</td>
</tr>
</tbody>
</table>
Before a business area can organize and fully realize the value of its content, it must first be aware of all content in its custody and/or under its control.
The Guideline assists with:

- planning, conducting and actively maintaining an inventory that captures key information (e.g., location, security classification, etc.) regarding the content in the custody and/or under the control of a business area;
- describing the processes (and the associated content) of a business area; and
- ensuring that the inventory process is conducted consistently GoA-wide.

Link: IMT Policy Instruments
The Facilitator’s Manual:

- outlines the processes and materials involved in the Consultation/Validation Phase of the inventory process; and
- includes important information that will assist in preparing for, conducting, and concluding consultation meetings.

Link: IMT Policy Instruments
Next Steps

- Community of Practice
- Conduct
- Database
- Maintain

Learn
Enhance
Repeat
<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process Name</td>
<td>Title of the process. May describe either the action undertaken or the purpose/outcome.</td>
</tr>
<tr>
<td>Process Description</td>
<td>A brief summary of the purpose, inputs, providers of inputs, steps involved in a process, outputs, and output recipients of the process.</td>
</tr>
<tr>
<td>Content</td>
<td>Examples of the records, data and/or information that are part of, or are affected by, a business area’s processes.</td>
</tr>
<tr>
<td>Controller</td>
<td>The area or individual (i.e., position) with the responsibility and decision-making authority for content throughout its lifecycle, including creating, classifying, restricting, regulating and administering its use or disclosure.</td>
</tr>
<tr>
<td>Custodian</td>
<td>The area or individual (i.e., position) that maintains or administers content on behalf of the Information Controller. Custodianship includes responsibility for accessing, managing, maintaining, preserving, disposing and providing security for the content</td>
</tr>
<tr>
<td>Location</td>
<td>Where the content is currently being maintained.</td>
</tr>
<tr>
<td>Mandate</td>
<td>The acts or regulations that mandate and/or direct the process.</td>
</tr>
<tr>
<td>Medium</td>
<td>The format(s) in which the content is maintained.</td>
</tr>
<tr>
<td>Personal Information Bank</td>
<td>Identify whether or not personal information (or elements that can be combined to identify an individual) is captured in the content.</td>
</tr>
<tr>
<td>Records Retention and</td>
<td>The records retention and disposition schedule (and item number) under which the content falls at the time of the inventory.</td>
</tr>
<tr>
<td>Disposition Schedule</td>
<td></td>
</tr>
<tr>
<td>Security Classification</td>
<td>Refers specifically to the security classification(s) assigned to the content at the time of the inventory.</td>
</tr>
<tr>
<td>Vital Records</td>
<td>Content that is necessary to ensure business continuity.</td>
</tr>
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</table>
Discussion

Mandatory Elements One-Pager
Questions

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Ryan Warkentin: Ryan.Warkentin@gov.ab.ca
EIM: SA.InformationManagement@gov.ab.ca
EGS IM: EG.IM@gov.ab.ca
Presentation # 2
Content Management in the Government of Alberta

Maureen Towle, Executive Director
Enterprise Information Management
Vision

“Information is: collected once; managed digitally in an open and secure environment; accessible; and used to its fullest potential.”
What’s in a name?
Content Management is…

• Enterprise Information Management
• Enterprise Content Management
• Content Services
Benefits

- Data Analytics
- Information Sharing
- Reduced Disclosure of Sensitive Information
- Source of Truth
- FOIP/litigation readiness
- Increased efficiencies
Where to start?
The case for ECM
Jurisdictional Scan
### Overview

<table>
<thead>
<tr>
<th>Single ECM Solution</th>
<th>Pre-Qualified Solution</th>
<th>Centralized Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>A single, enterprise-wide ECM has been implemented across all departments and/or ministries.</td>
<td>Departments or ministries choose the ECM solution (from a list of prequalified vendors) that best meet their unique needs.</td>
<td>Individual ministries or departments implement ECM solutions, with guidance from a centralized department.</td>
</tr>
</tbody>
</table>

### Delivery Model

<table>
<thead>
<tr>
<th>Enterprise</th>
<th>Shared Services</th>
<th>Departmental</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Government of British Columbia</td>
<td>Government of New Zealand</td>
</tr>
<tr>
<td></td>
<td>Government of Ontario</td>
<td>Government of New South Wales</td>
</tr>
<tr>
<td></td>
<td>Government of Canada</td>
<td>Government of Australia</td>
</tr>
<tr>
<td></td>
<td>Bell Canada</td>
<td>Government of the United States</td>
</tr>
<tr>
<td></td>
<td>Pearson plc (UK Publisher)</td>
<td></td>
</tr>
</tbody>
</table>

### Entities

- Government of British Columbia
- Government of Ontario
- Government of Canada
- Bell Canada
- Pearson plc (UK Publisher)
- Government of New Zealand
- Government of New South Wales
- Government of Australia
- Government of the United States

### Benefits

- Standard requirements are identified across all ministries or departments, and one solution enables content to be managed.
- Individual departments and ministries are responsible for assessing their requirements against the available solutions, and select the most appropriate option. In the case of New Zealand, ECM is offered as a service based on three product offerings.
- Departments and ministries have information, directives and policies to help inform their decisions, and to ensure compliance with the Government’s ECM strategic direction.
Current challenges

Manual processes that are ineffective and inefficient in achieving business objectives.

The collection of duplicate information from Albertans across and even within Departments.

An inability to locate and access required information to provide high-quality service delivery.

An inability to demonstrate consistent, government-wide compliance with relevant information acts and regulations.
How to prepare?
# Principle-Based Approach

<table>
<thead>
<tr>
<th>Principle</th>
<th>Objective</th>
<th>ECM Enabled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collected Once</td>
<td>The Government of Alberta is a trusted steward of information held on behalf of Albertans.</td>
<td>• is authentic&lt;br&gt; • is reliable&lt;br&gt; • has integrity</td>
</tr>
<tr>
<td>Managed Digitally</td>
<td>Digital information is the official government record.</td>
<td>• is classified&lt;br&gt; • is usable&lt;br&gt; • is available&lt;br&gt; • is shareable</td>
</tr>
<tr>
<td>Open</td>
<td>As much information as possible is available to support a transparent government.</td>
<td></td>
</tr>
<tr>
<td>Secure</td>
<td>Information is able to have holds applied (i.e., litigation, FOIP requests).</td>
<td>• is organized&lt;br&gt; • has metadata&lt;br&gt; • is disposed of appropriately</td>
</tr>
<tr>
<td>Accessible</td>
<td>Information must be managed in a format that ensures access for as long as required.</td>
<td>• is on useable media</td>
</tr>
<tr>
<td>Used to its fullest potential</td>
<td>Information is collected for an original purpose, but used many times.</td>
<td>• secondary use&lt;br&gt; • data analytics</td>
</tr>
</tbody>
</table>
ECM Program and Outcome Model

• Purpose
  – Provides stakeholders with line-of-sight to the outcomes the program will achieve

• Why use it?
  – To show the key outcomes that will be achieved
  – To show how the program aligns to department/sector/GoA priorities
  – To show what major initiatives are required to achieve these outcomes
Accomplishments to date...

• Policy Instruments
  – Data and Information Security Classification Standard
  – Core Content Metadata Standard
  – Work Process Analysis Standard
  – Data and Information Management Policy

• Tools
  – IM Assessment Tool for Systems and Applications
Accomplishments to date continued

- Request for Information (RFI) process, including demonstrations of software products concluded in February, 2019
- Exploring how to leverage existing technologies
Required technical functionality

- **Workflow**
  - The entire business process is in one system

- **Search and retrieval**
  - A user is able to find information with one keyword search, no longer looking in email, shared drives, and databases

- **Automated organization**
  - No more manual filing!

- **Automated standardization**
  - Terms mean the same across the organization, reconciled by the system controls
What’s next?
Perseverance!
Questions?
EIM Updates

1) Electronic Transactions Act Regulation consultation
   • The Regulation sets out several exceptions to the Act - No substantive amendments have been made to the regulation since the Electronic Transactions Act was first introduced in 2003.
   • EIM is proposing the repeal of the majority of exceptions, as a result of extensive consultations) in the Regulation to ensure the GoA is:
     i. keeping pace with the expanded role of electronic transactions and electronic records; and
     ii. in alignment with comparable legislation in other jurisdictions.
   • In addition to the proposed repeal, EIM is requesting a 1 year extension to the expiration date to allow adequate time to consult on the remaining provisions in the Regulation.

2) Electronic Signatures Standard
   • This standard is nearing the review/feedback stage and will be circulated shortly.
   • The standard, and supporting documentation, outlines the steps that are to be taken to identify requirements for the use of electronic signatures, and considerations to mitigate risk.
   • EIM is currently working with Enterprise Architecture to develop a technical standard that will focus on the technology requirements for electronic signatures in the GoA.

3) Content Inventory guidance
   • This guidance has been published to the IMT Policy site.
   • Feedback can be sent to SA.InformationManagement@gov.ab.ca

https://alberta.ca/enterprise-information-management.aspx
Security Classification: Public
December 2019
4) File Room Management
   - With the recent changes and ministry staff movement there has been a significant increase in loose documents sent to the file rooms for inter-filling.

<table>
<thead>
<tr>
<th>Fiscal</th>
<th>Documents Filed</th>
</tr>
</thead>
<tbody>
<tr>
<td>2019-2020- (Apr to Oct)</td>
<td>209,970</td>
</tr>
</tbody>
</table>

5) Forms and Application Management
   - Using a competitive bidding process through procurement, the Forms and Application Management team have secured a contract with an outsourced vendor to deliver forms, print, and warehousing services. If you or your area are affected, you will have received an email outlining timelines regarding this change of services. If you have any questions, please feel free to contact Sue Dion, Manager of Forms and Application Management at 780 427 4502 or email at sue.dion@gov.ab.ca

6) Five Information Management eCourses are now mandatory
   - We are pleased to advise that the following information management (IM) eCourses are mandatory for all Government of Alberta employees to complete every two years:
     - Information Management-What is Information Management
     - Information Management-How to Manage Information
     - Information Management-Risks and Benefits of Information Management
     - Information Management-Data and Information Security Classification
     - Information Management-Managing Information in Email
• Please note that our four Records Disposition eCourses will remain as optional eCourses.
• We’ve also updated all IM eCourse names to include ‘Information Management’ before the course name. This means that if you search for the eCourses in Noverant using ‘information management’ all available IM eCourses will be returned in the search.

7) Management Competency Development (MCD) Training
• Government Services sector and Enterprise Information Management have teamed up to facilitate the IM portion of the new Management Competency Development or MCD training which is being offered by the Public Service Commission (PSC). This training began in November and PSC expects to offer two MCD sessions per month. The IM course is designed to help new or current managers understand their IM responsibilities throughout the lifecycle of their records.

8) IM Completion Reporting
• Reporting on IM eCourses continues to be a challenge to produce complete and accurate reports for sectors and departments. EIM continues to work with PSC and Noverant to meet our business requirements. The last couple of months the EIM branch has been working on an interim solution to help make reporting easier for departments and sectors. This continues to be a work in progress. If you have any feedback, questions or concerns on the reporting please send it to SA.InformationManagement@gov.ab.ca.
EIM Community Updates

- The Provincial Archives has an upcoming exhibit that we would like mentioned:

**BRReathtaking Images of a Winter City**

- Snow, ice, and chilly temperatures are a seasonable part of Alberta’s winter wonderland. Come and check out photographs by award-winning Edmonton photographer Nick Ochotta, which document the beauty, the fun, and the drudgery of living in a winter city.

- On display at the Provincial Archives of Alberta Dec 7th – March 31, 2020

- The PAA welcomes the opportunity to give tours; to arrange one, please contact the GR team GR_reference@gov.ab.ca or Glynys Hohmann at Glynys.hohmann@gov.ab.ca.
sa.informationmanagement@gov.ab.ca

https://www.alberta.ca/enterprise-information-management.aspx