

Information Management Capacity Check

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Real Results – Real Progress

Managing Government Information Forum February 28, 2006

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Agenda

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- **Background**
- **Key Concepts of the IMCC**
- **Analysis of IMCC Reported Results**
- **Observations and Conclusions**
- **Real Results – Real Progress**
- **Questions / Discussion**

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- **The IM Capacity Check Tool may only be used in accordance with the following:**

The IM Capacity Check Tool has been designed for the use of Canadian federal departments and agencies, or other parties working on their behalf. This condition does not preclude third party organizations providing chargeable services utilizing this product in support of the Canadian federal government IM Capacity Check self-assessment. Third parties may utilize the IM Capacity Check for self-assessment but no third party may use this product for commercial gain outside the intended use for the Canadian federal government.

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Background (1)

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GoC IM Situation Analysis (2000)

an infrastructure of laws, policies, standards, practices, systems and people to support IM is insufficiently developed and implemented

IM Case for Action (2002)

the government's capacity to effectively manage its information resources requires urgent strengthening

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Background (2)

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- LAC develops and pilots IMCC in collaboration with OAG, TBS, CAC, CFL, Public Policy Forum, pilot departments and industry experts (2002/2003)
- LAC rolls out IMCC tool and methodology (April 2003)
- SIMB endorses the IMCC as the tool of “preference” (2003)
- TIMS endorses the IMCC and recommends that all departments and agencies undertake an IMCC (2003)
- Information Commissioner John Reid encourages all departments and agencies undertake an IMCC (2003 to present)

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Key Concepts/Characteristics of the IMCC

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- The IMCC is a self-assessment tool intended as a diagnostic for senior management (not an audit or central agency reporting mechanism)
- The IMCC allows an organization to determine its current capacities (as is) and develop a strategic plan to improve it's capabilities (to be)
- The IMCC process engages senior management and all stakeholders (including business lines).
- The Action Plan is a collective go-forward approach for all functions and jurisdictions in an organization.... "it's everyone's IM agenda"

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Capacity Check – Concept of Capabilities

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- Capabilities includes people, skills, processes, technology, policy, management framework and resources



Elements of IM Capacity

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Element Descriptions

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Organizational Context – Defines criteria to assess an organization's capacity to support, sustain and strengthen IM capabilities.

- Culture
- External Environment
- Change Management

Organizational Capabilities – Defines the criteria to assess an organization's capacity to develop the people, process and technology resources required for sound IM.

- IM Community
- Expert Advice
- IM Tools
- Technology Integration
- Portfolio Management
- Project Management
- Relationship Management

Management of IM – Defines criteria to assess an organization's capacity to effectively manage activities in support of IM as it relates to the effective delivery of programs and services.

- Leadership
- Strategic Planning
- Roles and Responsibilities
- Principles, policies and standards
- Program Integration
- Risk Management
- Performance Management

Compliance and Quality – Defines the criteria to assess the organization's capacity to ensure its information holdings are not compromised.

- Information quality
- Security
- Privacy
- Business continuity
- Compliance

Records and Information Life Cycle – Defines the criteria to assess the organization's capacity to support each phase of the records and information life cycle.

- Planning
- Collect, create, receive and capture
- Organization
- Use and dissemination
- Maintenance, protection and preservation
- Disposition
- Evaluation

User Perspective – Defines the criteria to assess the organization's capacity to meet the information needs of all users.

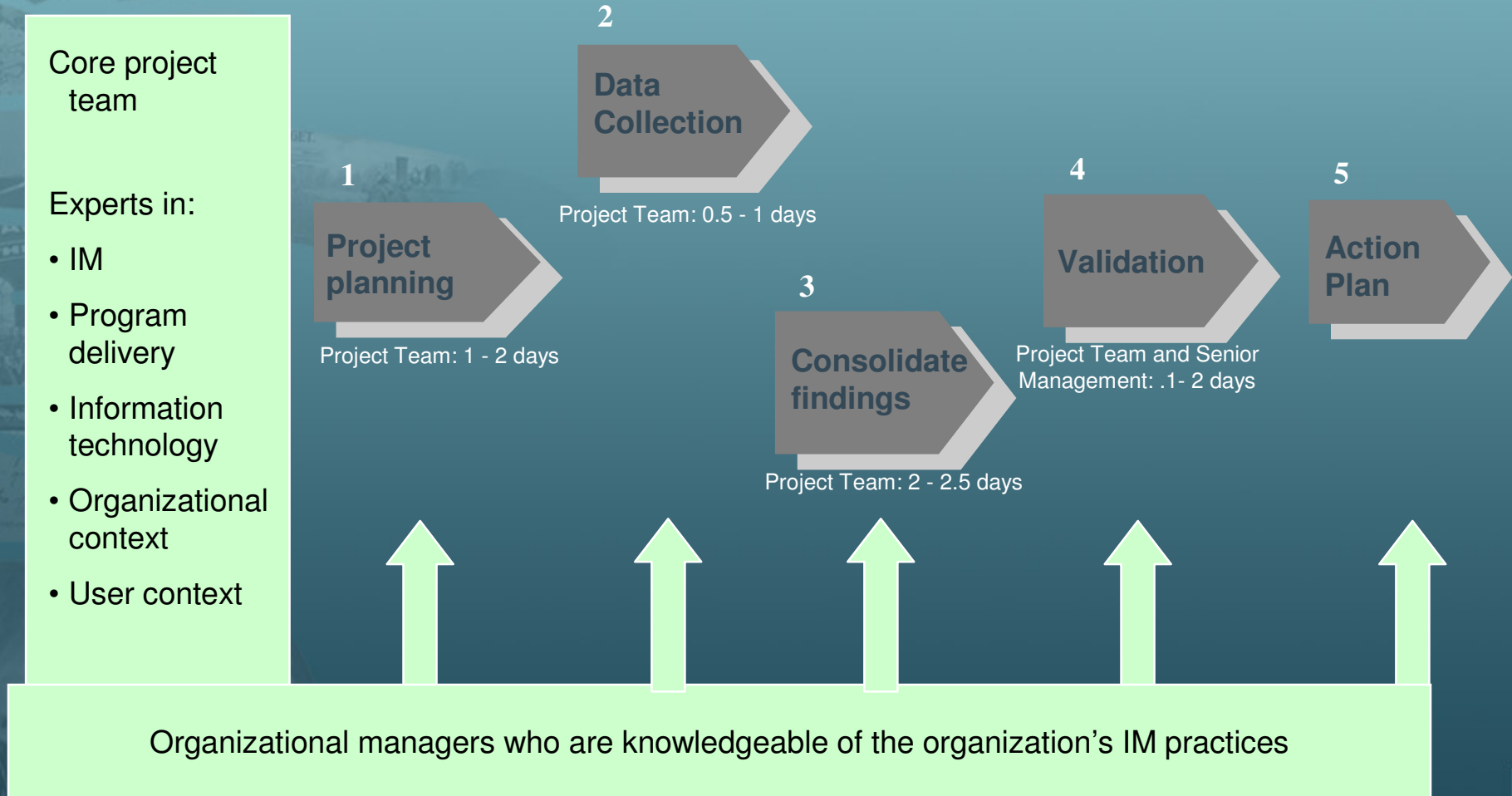
- User awareness
- User training and user support
- User satisfaction



Overall methodology and timeline for IMCC assessment (average size dept.)

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3 – 4 months



April 2005 - IMCC Results - Summary of IMCC Activity

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IMCCs Completed, Underway Or Under Consideration

- Completed  23
- Underway  5
- Planned/Under Consideration  13

Note: As of March 31, 2005 Library and Archives Canada had received 13 final reports of the 23 confirmed completed IMCCs

Balanced size mix of departments and agencies

Results will be updated April 2006



IMCC Analysis “as is” and “to be”

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As Is

General range is 1 to 2 on the IMCC scale meaning – no systematic or formal approaches exist and processes and practices are fragmented, non-existent or not applied consistently

To Be

General range is 2.5 to 4 on the IMCC scale meaning – processes and practices are defined, well understood, used consistently across the organization and are generally well managed

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IMCC Analysis of Findings – as a percentage (11 institutions*)

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Findings	Times	Percentage
IM not managed at enterprise level as strategic asset	11	100%
Lack of appropriate IM expert or specialists	10	91%
Internal Champion for IM has a low profile	9	82%
Roles and responsibilities for IM are not clearly defined or communicated	9	82%
Lack of control of the quality of information - Compliance is inconsistent	9	82%
Standardized departmental procedures not implemented	9	82%
Little formal mechanism for managing internal relationships to support effective IM	8	73%
No formal requirements to integrate IM into programs or services	8	73%
Internal IM training, awareness and education is lacking	8	73%
Management needs to ensure that an IM Vision is shared, understood and embraced by all staff	7	64%
No overall departmental performance management framework related to IM.	7	64%
No integrated risk management framework related to IM	7	64%
Difficulty retrieve information	7	64%
Long-term usability and safeguarding of IM is a source of concern	7	64%

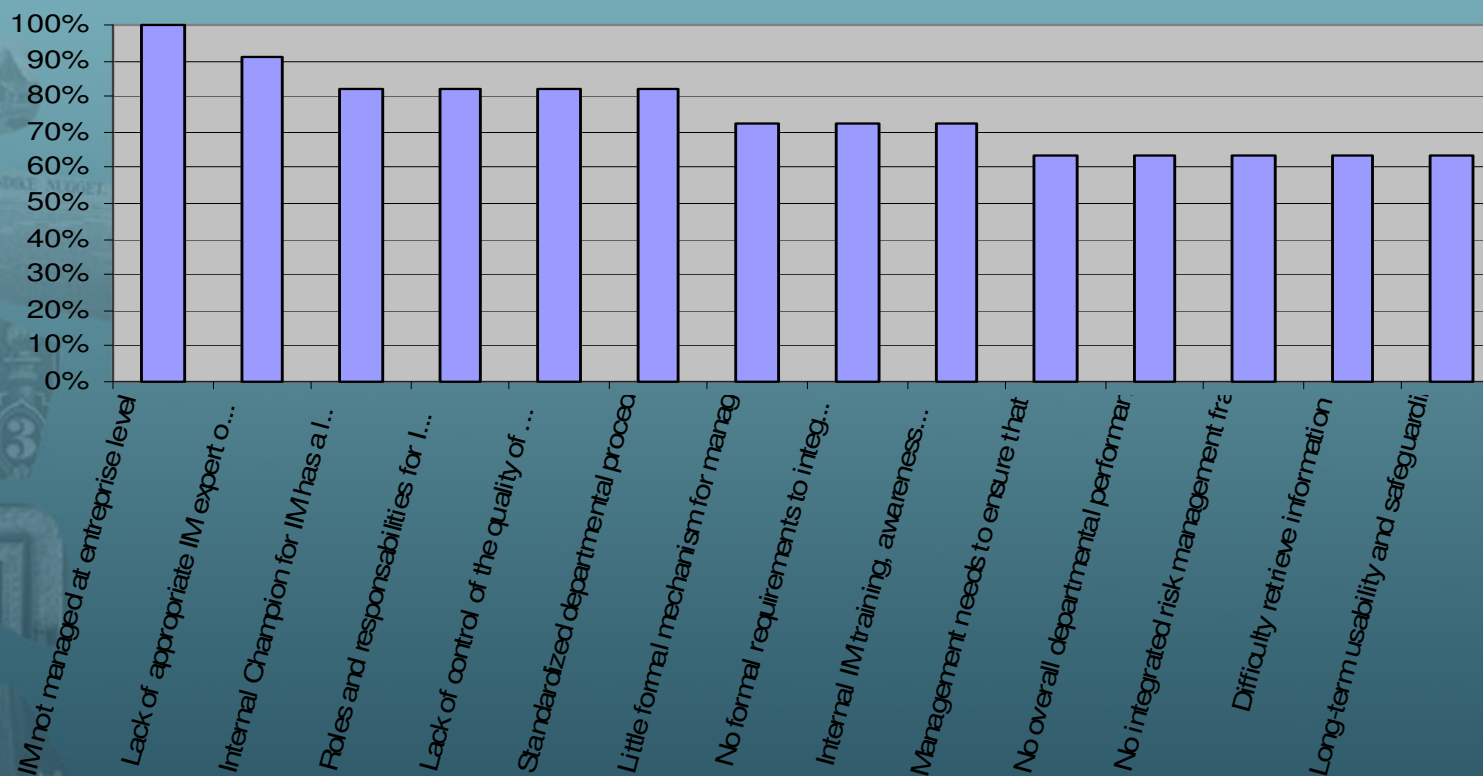
* NOTE: 2 of 13 reports received – no comparable Findings included

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IMCC Analysis of Findings – as a percentage (11 institutions*)

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* NOTE: 2 of 13 reports received – no comparable Findings included



IMCC Analysis of Priorities (13 institutions)

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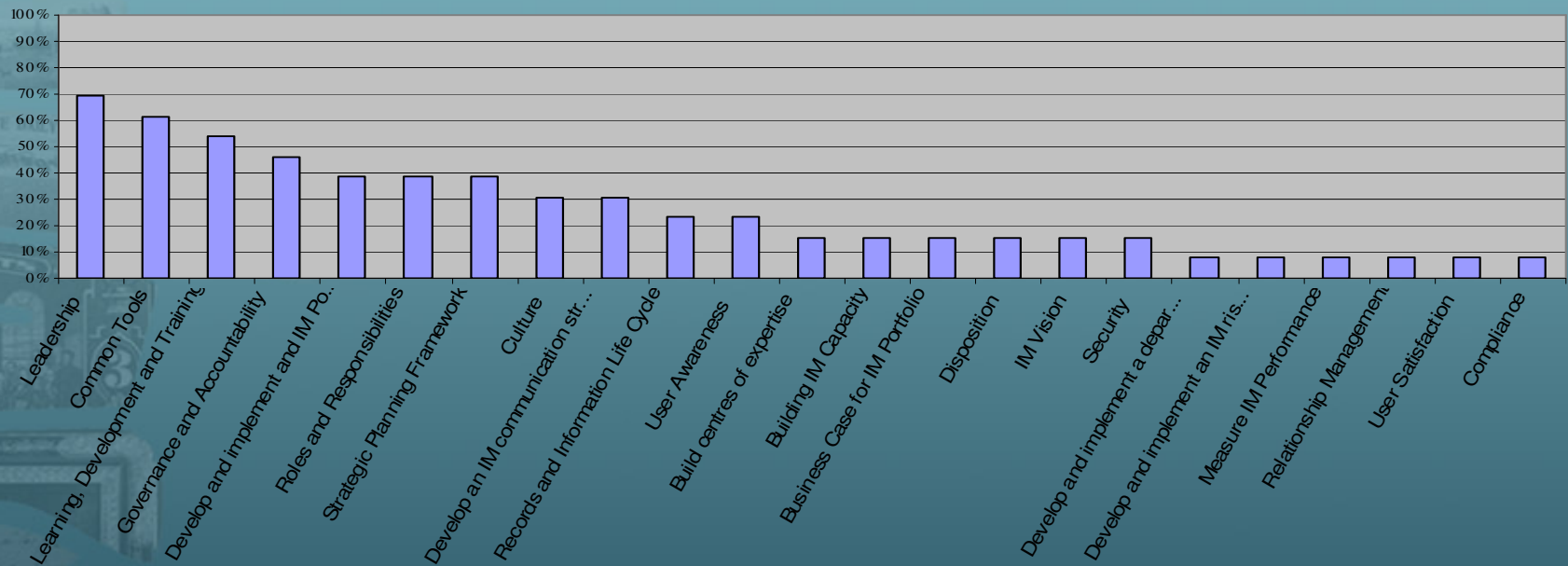
Priorities	Times Appeared	Percentage
Leadership	9	69%
Common Tools	8	62%
Learning, Development and Training	7	54%
Governance and Accountability	6	46%
Develop and implement and IM Policy Framework	5	38%
Roles and Responsibilities	5	38%
Strategic Planning Framework	5	38%
Culture	4	31%
Develop an IM communication strategy	4	31%
Records and Information Life Cycle	3	23%
User Awareness	3	23%
Build centres of expertise	2	15%
Building IM Capacity	2	15%
Business Case for IM Portfolio	2	15%
Disposition	2	15%
IM Vision	2	15%
Security	2	15%
Develop and implement a department-wide information architecture	1	8%
Develop and implement an IM risk management framewok	1	8%
Measure IM Performance	1	8%
Relationship Management	1	8%
User Satisfaction	1	8%
Compliance	1	8%

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IMCC Analysis of Priorities (as a percentage)

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Note: Based on the IMCC priorities of 13 institutions



Key IMCC Observations

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- No consistent view/understanding of IM
- Organizational culture, skills and resources are issues
- Leadership is lacking
- Vision and governance structure often missing or inadequate
- Individuals do not understand the role they play in IM
- IM tools are often inappropriate or lacking

Note: *IMCC reports were gathered over two years – results have remained consistent.*

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Key IMCC Message

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- Within GoC institutions, IM issues continue to be a blend/mix of strategic and operational (e.g. leadership, governance and IM tools)
- The work agenda of the central agencies, IM committees and IM communities must continue to recognize and address both of these perspectives and needs.



LAC Planned Continuous Improvement for IMCC Tool and Methodology

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- Ensure alignment with MGI Implementation Strategies and IM Program development
- Harvest lessons learned to address issue of sustainability (focus groups)
- Share expertise between organizations
- Continuously monitor standards and best practices (national / international)
- Share IMCC tool, methodology and lessons learned with other jurisdictions

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The IMCC – Real Results – Real Progress

It is making a difference

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- “The IMCC is the best thing to hit ---. We now have an IM Plan that is endorsed by and actively supported by senior management.”
- “We at --- are fully committed to the IMCC. We plan to do one every 2 years.”
- “recommended that XXX conduct an IM Capacity Check in 18 months to measure the success and impacts.....long term plans may be modified or fine tuned accordingly.” CSPA
- “project team should reconvene annually to review current and desired state, adjust priorities and feed into strategic and operational planning processes”.

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The IMCC – Real Progress

Moving the IM Agenda Forward

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- Dept. XXX completed a three day planning retreat involving all stakeholders to develop project plans for the six identified IMCC priorities.
- The IMCC has garnered significant interest and use in the public and private sectors, nationally and internationally.
- The IMCC is still the tool of choice in the GoC
- “It is the first time we have been invited into the DM’s office to tell the IM story” NRCan – let’s look at some of the progress

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IM Capacity Check Pilot at NRCan Background...

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❖ I-Governance framework development underway.

❖ NRCan Best Practices for Information Management

❖ Subject Classification Structure being developed.

❖ IM Issues Action Plan

❖ Clean-up Procedures and Disposition of Information Held in Private Offices.

❖ IM Requirements for NRCan's Personal Information Holdings

❖ NRCan Metadata Standards

❖ IM Compliance Assessment and Risk Analysis

❖ IM in an Electronic Environment

❖ ATIP Information Collection Guidelines

❖ RDIMS Readiness at NRCan

❖ E-Mail Guidelines

❖ Draft IM Policy and Access to Knowledge Policy

❖ IM Readiness Survey

❖ Program Integrity for both IM and IT



Summary of IM maturity levels at NRCan

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The chart indicates the “As Is” and “To Be” capability level for each of the 30 criteria of the IM Capacity.

The “as is” level represents the current assessment of NRCan’s capabilities for each criterion.

The “to be” level represents the desired capability level that could realistically be achieved within the next three years.

A higher capability level is not any better than a lower capability level. The ideal capability level for any criteria is dependent on the needs and goals of the organization.

“To be” levels at level 4 or higher represent those management practices where NRCan needs to excel. These are: Culture, and Information Quality.

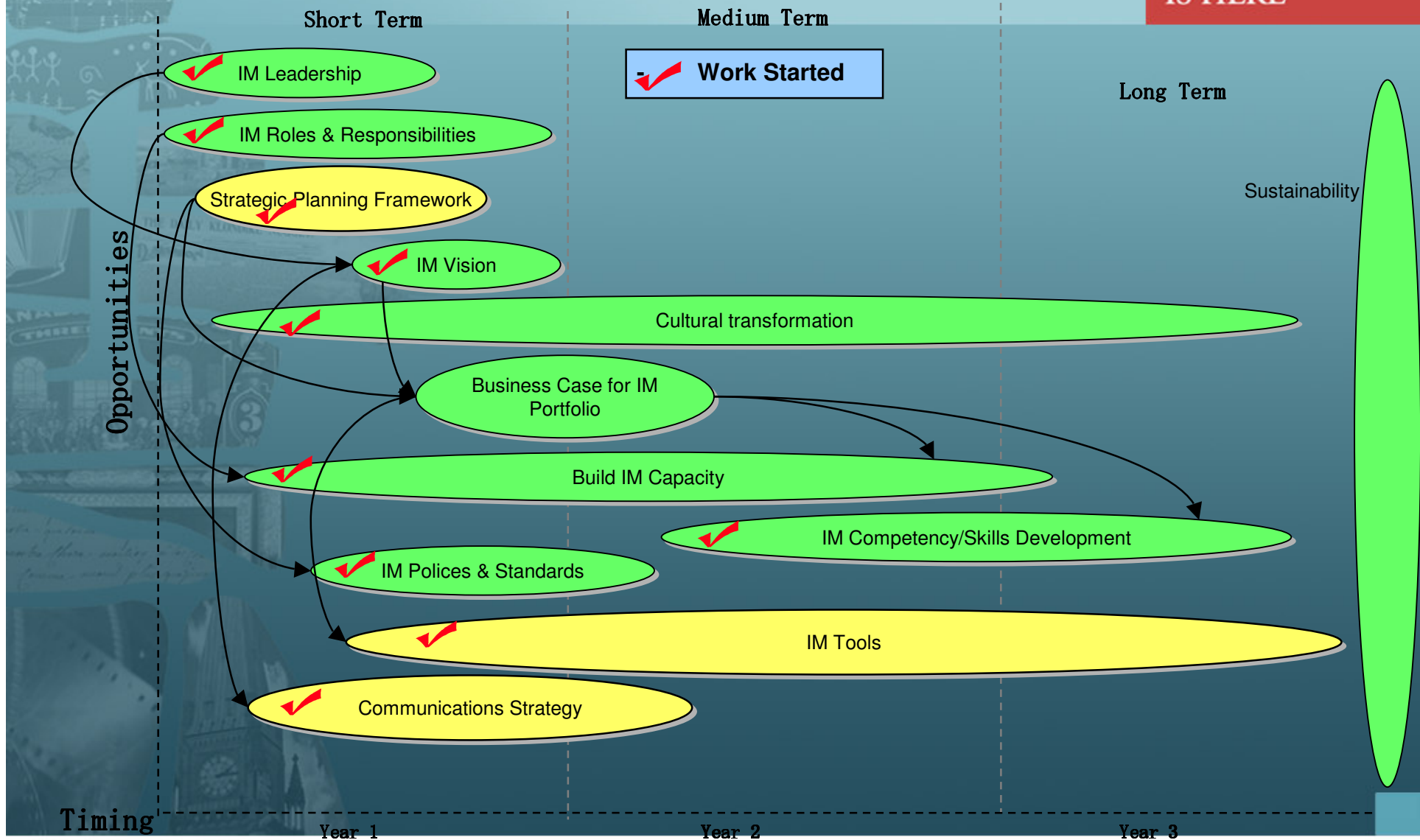
Level 5 reflects best practices, and is therefore the exception.

		Legend As-Is: To-Be: 				
		1	2	3	4	5
Organizational Context	Culture					
	Change Management					
	External Environment					
Organizational Capabilities	IM Community					
	IM Tools					
	Technology Integration					
	Portfolio Management					
	Project Management					
	Relationship Management					
Management of IM	Leadership					
	Strategic Planning					
	Principles, Policies & Standards					
	Roles & Responsibilities					
	Program Integration					
	Risk Management					
	Performance Management					
Compliance & Quality	Information Quality					
	Security					
	Privacy					
	Business Continuity					
	Compliance					
Information Life Cycle	Planning					
	Collect, Create, Receive & Capture					
	Organize, Use & Disseminate					
	Maintain & Preserve					
	Dispose					
User Perspective	User Awareness					
	Expert Advise					
	User Training & Support					
	User Satisfaction					



Transition Map – Strengthening the IM Foundation

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IM Governance Framework

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Formalizing IM Governance model

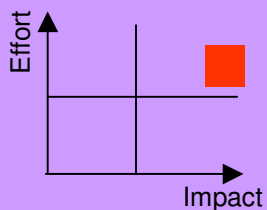
Assigning governance and accountability of IM and information stewardship throughout all levels of the Department.

Staff: 3.25 FTE

Prof Services: \$0K

Status of Progress:

Low- Medium



Goal: Developing a structured approach by assigning governance and accountability of IM and information stewardship throughout all levels of the Department.

Benefits: Using resources more effectively, improving decision making, increasing awareness of committee mandates and responsibilities throughout the IM life-cycle, clarifying of accountabilities, and complying with MGI requirements.

Key elements:

- Formalizing a department wide approach to committee management
- Defining committee mandates, timetables, roles and responsibilities
- Integrating efforts across committees
- Communicating throughout department and with stakeholders
- Complying with MGI framework

Proposed action items:

- Establishing and implementing I-Governance framework and communicating its associated matrix of accountabilities.
- Strengthening IM leadership by establishing IM Steward/Champion and formalizing an IM vision for the Department.
- Integrating and evaluating IM roles and responsibilities as part of senior management and staff accountabilities.
- Creating a recognition and reward program for IM stewardship.

Risks of not doing it:

- Inconsistent management of horizontal issues will increase risk associated with delays, lack of decision making, lack of visibility
- Inability to leverage investment of resources, knowledge across the Department to meet business goals
- Not complying with the MGI



- Where you can find information on the web

www.collectionscanada.ca

www.collectionscanada.ca/06/060_e.html

- How to get in touch with our IMGI Centre

imgi@lac-bac.gc.ca

or (819) 934-7519



Questions - Discussion

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