

# **Case Study: Implementing a Records/Information Management Program – Inquiry Liaison Office (PWGSC)**

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# AGENDA

- Background – Establishment of the Public Works and Government Services Canada, Inquiry Liaison Office
- Implementing a records and information management program for both paper and electronic records
- Lessons Learned – What was done right / What could have been done better

## **BACKGROUND – Establishment of the PWGSC Inquiry Liaison Office**

- February 2004 – Auditor General tables audit report before parliament
- Prime Minister responds:
  - Standing Committee on Public Accounts
  - Commission of Inquiry into the Sponsorship and Advertising Program
  - Special Counsel for Financial Recovery
  - RCMP and the Sûreté du Québec

## **BACKGROUND – Establishment of the PWGSC Inquiry Liaison Office**

Everyone needs to obtain the information required to pursue their inquiries and investigations - and everyone needs it NOW!

# Why Establish a Liaison Office?

PWGSC was required to respond to the call of the Standing Committee on Public Accounts, the Commission of Inquiry, and other investigative bodies to produce **ALL RECORDS/INFORMATION** related to sponsorship and advertising

# Why Establish a Liaison Office?

- Prime Minister cancelled the sponsorship Program and Communication Canada was dismantled.
- Records of Communication Canada related to sponsorship and advertising – now to come under the control of PWGSC.
- Volume of records gathered related to Sponsorship and Advertising  
**= 5,000 Linear Feet**

## **Inquiry Liaison Office – Primary Functions**

- Single point of contact between PWGSC and the SCOPA, COI, and other bodies investigating various aspects of the Sponsorship Program and advertising activities
- To find, organize and make available all relevant sponsorship and advertising records

# Organizing ILO's Record Holdings

- Developed and implemented an Official File Plan and system for its paper files
- Using the same Official File Plan, implemented RDIMS (E-DRM at PWGSC) for its electronic documents and e-mails

# Organizing ILO's Record Holdings

- Developed the ILO Reference Library to maintain ILO's reference materials, organizing the materials in the reference library in accordance with the Official File Plan
- Using the same Official File Plan, developed and implemented an automated Request Tracking System

# Organizing ILO's Record Holdings

- Developed and implemented work flows, for key ILO activities, that included all of the appropriate records keeping activities required to ensure the capture and preservation of the official paper and electronic records of ILO

# Organizing ILO's Paper Records

- Records Inventory – detailed listing of ILO's working files and documents
- Official File Plan – Structure that directly reflected the way that ILO did its work

# Organizing ILO's Paper Records

- Conversion Plan – mapping files and documents inventoried to the file plan
- Conversion Guidelines – Prepared to facilitate the conversion exercise and to ensure that idiosyncrasies were identified and recognized
- Filing Rules and Standards

# Organizing ILO's Paper Records

- Conversion – Working files and loose documents to the official filing system – implementation of the ILO File Plan
- Quality Assurance – Conducted a couple of months after the implementation to ensure that filing errors were corrected, missing cross-references were added, and to make sure that the structure/system worked for the ILO staff members

# Organizing ILO's Electronic Records

- Needs Assessment / Options Analysis / Implementation Plan
- Clean up of Personal Drives, Shared Drives and E-mail Folders
- E-DRM Business Rules

# Organizing ILO's Electronic Records

- **IMPLEMENTATION**

1. Training of ILO Staff – Tailored to ILO Business
2. Installation of E-DRM on desktops
3. All electronic documents, including e-mail, to be saved in E-DRM and **NOT** on shared drives, personal drives or e-mail systems

# Organizing ILO's Electronic Records

- **CONVERSION**

Electronic documents and e-mails to be converted manually to E-DRM as opposed to automatic.

- :Quality Assurance

- :Elimination of the Shared Drive

- :Personal Drives still being used

- :E-mails still being managed in 2 places

**= Compliance not 100%**

# Organizing ILO's Reference Materials

- **SIGNIFICANT NUMBER OF REFERENCE MATERIALS**

- COI Transcripts and exhibits
- Newspaper articles of interest
- Other general types of reference materials

# Tracking Requests

- Discovered early on that a system was needed to track requests in order to provide detailed reports to the DM at PWGSC
- Manual Approach VS Automated Approach
- Linking to ILO File Plan

# Developing Work Flows

- **WORK FLOW MANUAL**

:Outlined generic work flow for handling requests for information and a number of specific work flows for handling unique situations

:Included record-keeping activities

## Lessons Learned – What was Done Right

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ILO Management understood the importance of capturing, protecting and preserving the corporate record, both paper and electronic, and resourced the organization to ensure that this was done

## Lessons Learned – What was Done Right

- The IM Officer was **ACTIVELY** involved in the work flow of the business
- Procedures and control mechanisms were simplified to facilitate user access to needed information at all times (Work Flow Manual: E-DRM Business Rules, Filing Rules and Standards, Paper Mail Management, File sign-out, centralized records area)

## Lessons Learned – What was Done Right

- All ILO records holdings were organized under **ONE** organizing structure – ILO File Plan
- File Plan directly reflected the business activities of the organization – Easy for staff to understand, use and find information

## Lessons Learned – What was Done Right

- Detailed records inventory and conversion worksheet – foolproof guide to conversion from the working file system to the official file system
- Filing Rules and Standards, E-DRM Business Rules, Work Flows – Emphasis on Record Keeping

## Lessons Learned – What was Done Right

- E-DRM implementation – Well Planned and Organized!
- IM Officer - Responsible for the conversion activities
- PWGSC E-DRM Corporate Training Package  
- Tailored to the business of the ILO

# Lessons Learned – What Could have Been Done Better....

- IM/RM Program – Earlier Start
  - Records Inventory
  - Implementing the file plan
  - Hiring an IM Officer
  - Implementing E-DRM
- E-DRM
  - Usage has not been optimized
  - There is not 100% compliance
  - E-mails pose the biggest challenge!

# Thought for Today.....



It costs money to manage records.  
Sometimes, it costs a great deal more NOT  
to manage them.....