



# Policy on Information Management

## 1. BACKGROUND

Information is vital for the Department of Public Works and Government Services Canada (PWGSC) to function and manage effectively. It is created, collected, stored and made available in numerous formats for various purposes and is to be safeguarded as a public trust and managed as a strategic asset. The availability of high-quality, authoritative information supports the delivery of efficient and effective services and results in a responsive and accountable government.

Sound management of information enables the Department to achieve and sustain its goals of providing high-quality services and programs while meeting operational and fiscal responsibilities, legal obligations and accountabilities.

PWGSC supports information management through the following eight services as stipulated in the Profile of Government of Canada Internal Services (Ref: Annex B - Government of Canada Information Management Internal Services Descriptions):

- Enterprise information architecture services;
- Records and document management services (Related departmental policies (DPs): 044 - Records Management and Information Holdings, 067 - Management of Electronic Mail, and 061 - Forms Management Policy);
- Library services (Related DP: 066 - Departmental Library Services);
- Data management services;
- Content management services (Related DP: DP 062 - PWGSC Management Framework for Communications on the Internet and Intranet);
- Archival services;
- Business intelligence and decision support services;
- Access to information and privacy services (Related DPs: 002 - Access to Information and Privacy Acts and 014 - Protection of Personal and Private Information in the Workplace).

N.B. The Profile of Government of Canada Internal Services outlines a common vocabulary and taxonomy of the Government of Canada's (GC) internal services for supporting a government-wide approach to planning, designing, budgeting, reporting and communicating internal services. These internal services are an integral element of the Program Activity Architecture of PWGSC's Management, Resources and Results Structures.

This DP is to be read in conjunction with the Library and Archives of Canada Act, the Federal Accountability Act, PWGSC's Policy on Information Technology Security (104), and the following Treasury Board Secretariat's (TBS) policy instruments: Policy Framework for Information and Technology, Policy on Information Management, and the Policy on Government Security.

## **2. PURPOSE**

The purpose of this DP is to ensure efficient, effective and continuous management of information throughout its life cycle and in support of PWGSC programs, services and activities. It ensures a common understanding amongst stakeholders of their roles, responsibilities and obligations with respect to information management. As well, it imposes specific responsibilities surrounding monitoring compliance and administering consequences for non-compliance.

This DP is the Department's over-arching information management policy that provides the foundation for other related policy instruments. It provides clear direction on information management in support of informed decision making, to manage risk to the reputation and operations of the Department and to ensure that legal, privacy and security obligations are met, and underscores the criticalness of managing information as a strategic asset. It complies with related departmental and TBS policies and other applicable laws and regulations.

## **3. POLICY**

Public Works and Government Services Canada shall:

1. establish, resource and maintain an Information Management Program to efficiently and effectively manage information as a valuable asset to support the outcomes of government programs and services;
2. ensure that information management is an integral component of PWGSC's programs, services and activities ensuring high-quality, readily available and authoritative information in support of decision making and reporting;
3. ensure that integrated governance and accountability structures with clearly defined roles and responsibilities are in place to support information management activities;
4. apply a common information management approach resulting in seamless and integrated information within the Department and, where possible, across government departments while respecting security and privacy rights;
5. ensure decisions and decision-making processes are documented to account for and support the continuity of departmental operations, permit the reconstruction of the evolution of policies and programs, and allow for independent evaluation, audit, and review;
6. endeavour to create, use, disseminate and manage information electronically;
7. communicate to all stakeholders their role, responsibilities and accountability with respect to information management;

8. continuously improve the management of information by monitoring, assessing and reporting on information management activities;
9. maintain the confidentiality and integrity of information for as long as it is required to meet operational needs and accountabilities, and ensure information is managed to respect user agreements and/or licensing conditions;
10. participate in GC wide direction setting for information management.

#### 4. SCOPE

This DP applies to departmental employees and persons engaged under contract. As well, it applies to other levels of government and companies processing government information for initiatives or contracts issued or administered by PWGSC, as included in the terms of the contract.

#### 5. DEFINITIONS

Refer to Annex A.

#### 6. ROLES AND RESPONSIBILITIES

1. The **Deputy Minister (DM)** is responsible for:
  1. ensuring effective management of information and promoting a culture that values information;
  2. allocating financial resources to ensure sustainability of department-wide information management activities;
  3. ensuring management, governance and service delivery structures are established to safeguard information as a public trust and manage information as a strategic asset;
  4. supporting ongoing information management communication initiatives with respect to roles, responsibilities and accountability;
  5. ensuring the Information Management Program is monitored and assessed as to its effectiveness, whether its objectives were achieved, and if it meets the current needs of the Department;
  6. reporting information management concerns to TBS in a timely manner;
  7. designating a senior executive responsible for information management. In PWGSC the responsibilities of the information management senior executive are jointly vested between the Chief Information Officer (CIO), Information Technology Services Branch (ITSB) and the Assistant Deputy Minister (ADM), Corporate Services and Strategic Policy Branch (CSSPB).
2. Collaboratively working towards integrated departmental information management, and

individually for the services under their purview, the **senior executives** designated responsible for information management by the DM are responsible for:

1. co-ordinating, promoting and directing information management within the Department including activities such as service delivery, development of policy instruments, training and development for employees, and information management awareness;
  2. developing, monitoring, assessing, adjusting, if necessary, and reporting on the Information Management Program;
  3. ensuring the appropriate management direction, processes and tools are in place to efficiently manage information under the control of the Department;
  4. monitoring compliance to the GC and PWGSC information management policy instruments and managing the outcome associated with non-compliance in a quick, fair and decisive manner as well as ensuring that appropriate remedial action is taken to address deficiencies;
  5. actively participating on PWGSC and GC information management committees, liaising with TBS and Library and Archives Canada and other central agencies as well as evaluating and adapting, as applicable, government-wide solutions and best practices;
  6. ensuring information management requirements are identified and addressed during the Department's strategic planning and in the planning phase of program and system design as well as seizing opportunities to create and manage information electronically;
  7. ensuring that information management functional specialists are available as corporate resources to provide support for the effective management of departmental information;
  8. ensuring that accountability structures are clearly defined when information is shared with other federal government departments, other governments or non-governmental organizations;
  9. ensuring the security of information under the control of PWGSC in accordance with GC security-related policy instruments and departmental security policies.
3. The **Chief Information Officer (CIO), Information Technology Services Branch (ITSB)**, is responsible for:
1. providing information management leadership and strategic planning in alignment with program outcomes and departmental priorities;
  2. leading, coordinating as well as reporting on the progress of the Information Management Program as an integrated departmental initiative and for assigning an individual to represent PWGSC to the TBS for the purposes of TBS *Policy on Information Management*. This responsibility has been assigned to the Director General, Office of the Chief Information Officer;
  3. leading and delivering enterprise information architecture and data management

services in a responsive, effective and cost-efficient manner and coordinating the implementation with stakeholders;

4. providing information management technical solutions and services in support of departmental strategic and operational plans;
5. establishing, monitoring and reporting against information management performance measures to the DM.

4. The **Assistant Deputy Minister (ADM), Corporate Services and Strategic Policy Branch (CSSPB)**, is responsible for:

1. providing leadership and direction on managing information as a vital strategic business resource to support program and service delivery;
2. leading and delivering the following suite of enabling services in a responsive, effective and cost-efficient manner and coordinating the implementation with stakeholders:
  - records and document management services,
  - library services,
  - content management services,
  - archival services,
  - business intelligence and decision support services,
  - access to information and privacy services;
3. providing expert advice and direction on organizing, managing and controlling information in a manner that respects individual privacy, meets legal obligations as well as departmental operational requirements.

5. **Branch/Agency Heads, Regional Directors General, Directors General and Regional Directors** are responsible for:

1. establishing objectives for sound information management in support of business and ensuring an environment that encourages informed and acceptable practices in accordance with this DP;
2. ensuring information management services and tools are provided and appropriately funded and resourced and that information management functional specialists are properly engaged in business activities in a timely manner;
3. communicating, promoting and supporting this DP within their daily operations;
4. assessing and monitoring organizational compliance to policy instruments and managing the outcome associated with non-compliance in a quick, fair and decisive manner as well as ensuring that appropriate remedial action is taken to address deficiencies;
5. reporting on non-compliance to policy instruments in their organization to information management senior executives.

6. **Directors, managers and supervisors** at all levels are responsible for:

1. managing information as a key component of program and service delivery and leveraging its strategic value to achieve successful program outcomes;
2. ensuring employees and persons engaged under contract understand and apply effective information management in day-to-day operations;
3. ensuring employees receive appropriate information management training;
4. ensuring business processes are analyzed and the resulting information management requirements, as well as information management issues, are communicated to information management functional specialists;
5. ensuring information management requirements are included in the contractual terms and conditions for contractors and others engaged in work on behalf of the GC;
6. ensuring that appropriate arrangements are put in place for the management of information received from other federal departments and agencies and from individuals and entities outside of the federal government (e.g., private citizens, the private sector and other jurisdictions);
7. ensuring proper and complete transition of information upon departure of employees and persons engaged under contract.

7. **Departmental employees and persons engaged under contract** are responsible for:

1. applying and adhering to GC and PWGSC information management policy, directives, standards, procedures, guidelines, tools and best practices in an efficient and effective manner for all of the information they collect, create and use in the performance of their duties;
2. documenting business activities and decisions;
3. organizing, filing and storing information, ensuring it is accessible, and that privacy and security requirements are met;
4. sharing and re-using information to support collaboration and facilitate business operations while respecting all legal and policy requirements.

## 7. COMPLIANCE

Monitoring on the effectiveness of this DP will be carried out in a variety of ways including, but not limited to, assessments under the Management Accountability Framework, and reviewing the results of audits.

Consequences of non-compliance can include any measure allowed by the Financial Administration Act.

## 8. REFERENCES

### **Acts and Regulations:**

- *Access to Information Act;*
- *Canada Evidence Act;*
- *Copyright Act;*
- *Criminal Records Act;*
- *Emergency Preparedness Act;*
- *Federal Accountability Act;*
- *Financial Administration Act;*
- *Library and Archives of Canada Act;*
- *Official Languages Act;*
- *Personal Information Protection and Electronic Documents Act (Part 2);*
- *Privacy Act;*
- *Security of Information Act;*
- *Statistics Act.*

### **Treasury Board Secretariat Publications:**

- *Common Services Policy;*
- *Communications Policy of the Government of Canada;*
- *Federal Identity Program Policy;*
- *Directive on Information Management Roles and Responsibilities;*
- *Directive on Recordkeeping;*
- *Guideline for Employees of the Government of Canada: Information Management (IM) Basics;*
- *Management Accountability Framework;*
- *Policy on Access to Information;*
- *Policy on Government Security;*
- *Policy on Electronic Authorization and Authentication;*
- *Policy on Evaluation;*
- *Policy on Information Management;*
- *Policy on Internal Audit;*
- *Policy on Language of Work;*
- *Policy on Learning, Training and Development;*
- *Policy Framework for Information and Technology;*
- *Policy on Management of Information Technology;*
- *Policy on Management, Resources and Results Structures;*
- *Policy on Official Languages for Human Resources Management;*
- *Policy on Privacy Protection;*
- *Policy on the Duty to Accommodate Persons with Disabilities in the Federal Public Service;*
- *Policy on the Use of Official Languages for Communications with and Services to the Public;*
- *Profile of Government of Canada Internal Services.*

### **PWGSC Publications:**

- *Departmental Guide to Classification and Designation of Information;*

- *DP 002 - Policy on Access to Information and Privacy Acts;*
- *DP 013 - Departmental Telecommunications - Use of Government Intercity Calling Services (GICS), Commercial Long Distance Service, and Use of Authorization Codes and Calling Guides in PWGSC;*
- *DP 014 - Protection of Personal and Private Information in the Workplace;*
- *DP 019 - Work Related Accommodation for Persons with Disabilities;*
- *Framework for Managing PWGSC Communications;*
- *DP 044 - Records Management and Information Holdings;*
- *DP 051 - Departmental Security Program;*
- *DP 052 - Corporate Security Program;*
- *DP 053 - Reporting of Actual and Suspected Breaches and Violations of Security;*
- *DP 054 - Industrial Security Program;*
- *DP 056 - PWGSC Corporate Identity;*
- *DP 061 - Forms Management Policy;*
- *DP 062 - PWGSC Management Framework for Communications on the Internet and Intranet;*
- *DP 066 - Departmental Library Services;*
- *DP 067 - Management of Electronic Mail;*
- *DP 068 - Ministerial Correspondence;*
- *DP 083 - Verbal Enquiries from Parliamentarians;*
- *DP 093 - Policy on the Handling of Contract Security Incidents;*
- *DP 104 - Policy on Information Technology Security;*
- *DP 113 - Policy on Official Languages and Linguistic Duality.*

## **9. INQUIRIES**

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**Original Signed by  
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François Guimont  
Deputy Minister and  
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## DEFINITIONS

**Employee** (*employé*) is a person employed at PWGSC on an indeterminate, specified period (term), casual or seasonal basis; a person on assignment or secondment to PWGSC; a person employed under a Student Employment Program or a person employed under the Part-time Exclusion Approval Order (persons not required to work more than half of the normal prescribed hours of work). Persons hired to provide services under contract, such as temporary help contracts, are not considered employees under the terms of this policy.

**Information** (*information*) is a corporate asset or resource which is defined as data, facts or knowledge that is recorded, irrespective of form, recording media, or technology used.

**Information life cycle** (*cycle de vie de l'information*) the life cycle of information management encompasses the following: planning; the collection, creation, receipt, and capture of information; its organization, use and dissemination; its maintenance, protection and preservation; its disposition; and evaluation.

**Information management** (*gestion de l'information*) is a discipline that directs and supports effective and efficient management of information in an organization, from planning and systems development to disposal or long-term preservation.

**Information management functional specialist** (*spécialiste fonctionnel en gestion de l'information*) is an individual who carries out roles and responsibilities that require function-specific knowledge, skills and attributes related to managing information such as those found in records and document management, library services, archiving, data management, content management, business intelligence and decision support, information access, information protection and information privacy. The roles and responsibilities of information management functional specialists support departmental objectives and programs with planning, tools and/or services which provide accurate, reliable, current, and complete information to the appropriate people, in the appropriate format, at the appropriate time.

**Management, Resources and Results Structures** (*structure de gestion, des ressources et des résultats*) are a common government-wide approach to the identification of programs and to the collection, management, and reporting of financial and non-financial information relative to those programs.

**Program activity architecture** (*architecture des activités de programmes*) is an inventory of all the program activities undertaken by a department. The program activities are depicted in their logical relationship to each other and to the strategic outcome(s) to which they contribute. The program activity architecture is the initial document for the establishment of a Management, Resources and Results Structure.

**Record** (*document*) for the purpose of this policy, records are information created, received, and maintained by an organization or person for business purposes, legal obligations, or both, regardless of medium or form.

**Senior executive** (*cadre supérieur*) is an executive level resource designated by the deputy head of the institution to provide a department-wide focus on the management of information.

## Government of Canada Information Management Internal Services Descriptions

N.B. Descriptions provided by the Information Management Services Working Group, Chief Information Officer Branch, Information Management Division, Treasury Board Secretariat (TBS).

- **Enterprise information architecture services** support the efficient and effective development of business solutions to ensure the effective use of information resources in the delivery of programs and services. Activities typically associated with these services include the structuring of the information components of an enterprise, the identification of interrelationships, and the principles and guidelines governing their design and evolution over time to support the sharing, reuse, horizontal aggregation, and analysis of information. (Source: Adapted from Enterprise Information Architecture Framework).
- **Records and document management services** support the efficient and effective records and document management by an organization or person for business purposes, legal obligations, or both. Activities typically associated with these services include the creation, acquisition, capture, management in departmental repositories, and use of information resources of business value and documents as a strategic asset to support effective decision making and facilitate ongoing operations and the delivery of programs and services. (Source: Adapted from TBS Directive on Recordkeeping - 3.1).
- **Library services** support the efficient and effective management of published material. Activities typically associated with these services include the acquisition, classification, usage, preservation and de-accessioning of published material to support research, internal services and public program/service delivery. (Source: Adapted from the *Library and Archives of Canada Act*, Article 7 - Objects and Powers).
- **Data management services** support the efficient and effective management of data used by systems for government operations and administration. Activities typically associated with these services include the development and execution of architectures, policies, practices and procedures to support the full data lifecycle needs of an organization. (Source: Data Management Association, DAMA - dama.org).
- **Content management services** support the efficient and effective management of Web content in support of government program/service delivery. Activities typically associated with these services include the collaborative creation, edit, review, version control, storage, indexing, search, publication and archival of Web content to support the management and control of large, dynamic collections of Web material (including text, graphics, video or audio, and application code). (Source: Adapted from Wikipedia.org)
- **Archival services** support the efficient and effective management of information resources having legal or historical long-term value. Activities typically associated with these services include the organization, preservation and provision of access to archives to support evidence needs and the corporate memory of an organization. (Source: Adapted from the *Library and Archives of Canada Act*, Article 7 - Objects and Powers)
- **Business intelligence and decision support services** provide for the efficient and effective management of information used to support proactive decision-making, priority setting, the meeting of reporting requirements, and anticipating actions. Activities typically associated with these services include data organization, data mining, business analytics, query and reporting. (Source: Adapted from Government of California EA, educause.edu,

Competitive-Intelligence.net, CIO.com, Wikipedia.org)

- **Access to information and privacy services** support the efficient and effective management of practices and procedures that ensure authorized access to government records and the protection of personal information. Activities typically associated with supporting the processing of requests under these services include the conduct of comprehensive search of government records, the identification of necessary exceptions, and the disclosure of information available to the public to support the right of access to information and the protection of personal information. (Source: Adapted from TBS *Policy on Access to Information*, and TBS *Policy on Privacy Protection*)