



INFORMATION GOVERNANCE CASE STUDY

ONTARIO PROVINCIAL PUBLIC SECTOR CORPORATION

Records Management Program Project

SITUATION

This provincially owned public sector organization needed to address its current Records Management program to meet the obligations under its existing MOU with the Ontario government. Their records program did not address electronic records.



THE MAIN REASONS FOR UNDERTAKING THE PROJECT WAS

Compliance – need to update their records program to comply with their MOU

Program Assessment – they needed a neutral assessment of their current records program and a gap analysis to identify the issues that needed to be addressed, and a roadmap to identify how and when to address the issues identified

Skills Gap – they needed to understand the type and number of resources required to manage a records program

Governance Structure – they needed recommendations for a governance structure which would manage the records program within their organizational structure

Risk Management – They wanted to address their records program as quickly as possible to mitigate potential risks.

Service Delivery – They needed a robust records program to meet the needs of their staff requesting guidance on managing their electronic records.

REQUIREMENTS

The client wanted outside expertise to do the following:

- Develop a detailed project plan, scope and schedule
- Do a current state/needs assessment of records management processes, guidelines, policies, and applicable legislation; current records management strengths and an inventory of existing business and information systems including the extent to which they address the organization's records program
- Recommend a future state for their records program including: a SWOT analysis; details of an enterprise-wide Records Management program; review of how the recommended future state will ensure the organization complies with its statutory obligations as well as recommended guidelines from the Archives of Ontario.
- Recommended implementation plan for the future state which include: design and roadmap; organizational structure of the proposed records program; an intermediary plan to address maturity gaps; communication plan; requirements for Records Management software.

CHALLENGES

This engagement was challenging for several reasons:

- This was a highly regulated environment with highly compartmentalized departments
- The organization needed a comprehensive high level solution

- There was time limits as one of the key staff was temporarily leaving the organization
- The organization also managed personal health information which has its own set of regulations
- The organization had undergone rapid growth and was slowly implementing the necessary infrastructure to address the increased staffing and expanded roles.

ACTIONS

In order to achieve the objectives, the following was required:

1. Conduct interviews with stakeholders and representatives across the organization to assess their knowledge of and compliance with current records policies and procedures; to identify the type of information they managed, to identify where personal information and personal health information was kept, to assess the volume of paper record they managed and to identify any applications and storage media where records would be kept.
2. Review all the current records management policies and procedures, the associated legislation and MOU that impact the records program, and conduct a GARP analysis of their records program.
3. Review their current governance structure and records management staff resources.
4. Develop recommendations for a future state based on their business needs, compliance requirements, technology resources, and timeframe.
5. Do a gap analysis to identify what was required to achieve the future state.
6. Develop a roadmap to identify the required tasks and timeframes required to achieve the future state
7. Do a cost analysis to identify the budget required to develop the necessary internal resources for the records program
8. Describe the ECM functional requirements in general and specifically to manage the lifecycle of paper and electronic records

RESULTS:

The report was accepted by the client and its recommendations are being implemented and concrete actions were implemented as a result.