

IMT Policy Instrument Roles,
Responsibilities and Accountabilities:

Information Management and Technology (IMT) Policy Program

IMT Policy Program Team, Strategy and Governance

Office of the Corporate Chief Information Officer, Service Alberta

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Introduction

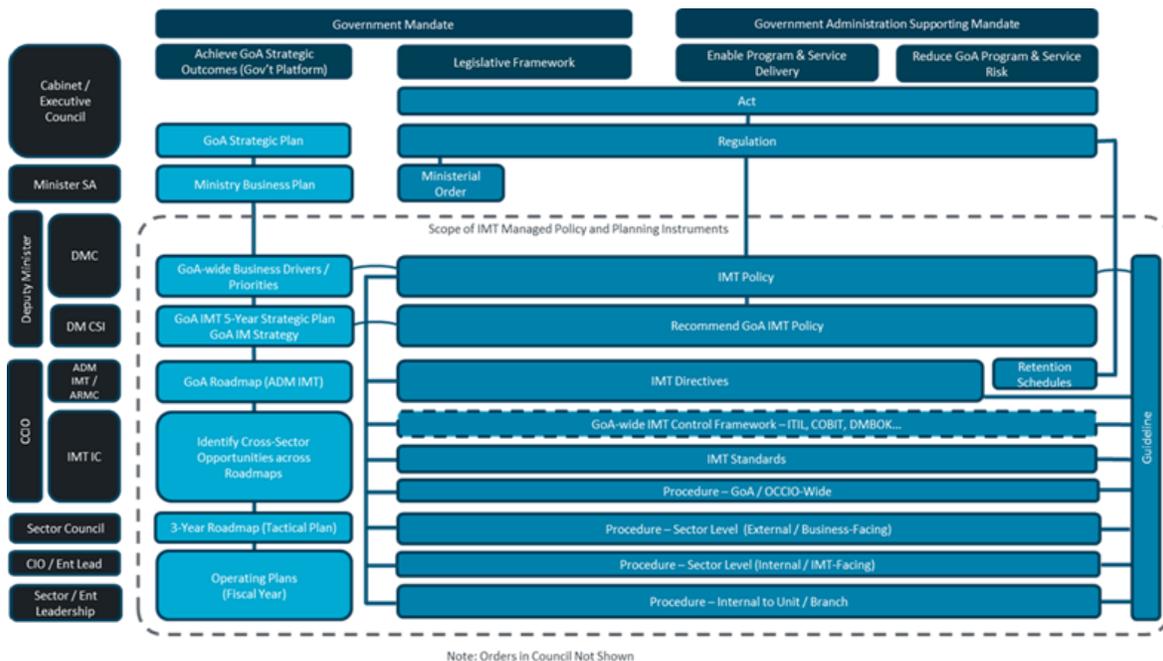
This document provides an overview of the roles, responsibilities and accountabilities of the participants in the information management and technology (IMT) Policy Instruments program. The roles, responsibilities and accountabilities matrix represents a common agreed way of doing things.

The IMT Policy Program was created to develop a consistent Government of Alberta (GoA) wide IMT Policy Instrument process and repository. IMT Policy Instruments represent a common agreed way of doing things.

IMT Policy Instruments Governance Structure

The goal of the IMT Policy Program Governance is to promote consistent service delivery and decision-making across government. Desired outcomes include improved IMT Policy instrument sharing, collaboration, and reduced IMT duplication and costs. The IMT Policy Instruments Governance provides proper oversight and establishes the responsibilities and accountabilities for the IMT Policy Program.

The model below is for new and existing IMT Policy and Planning instruments. The model shows how IMT Policy Instruments relate to each other and who is accountable for each IMT Policy Instrument type.



- The Black boxes (far left column) shows the roles and committees make decisions and are accountable for IMT Policy Instruments
- The Blue columns show the hierarchy of IMT Policy Instruments to support the elected governments mandate or government administration.
 - Planning instruments used to achieve the GoA Strategic Plan outcomes
 - The GoA Legislative Framework is used to set laws, regulations and supporting IMT Policy Instruments to enable the governments mandate
 - IMT Policy instruments may also be used to enable the Alberta Public Service to deliver government programs and service delivery or to reduce risk in how these programs and services are delivered.
- The grey dashed box shows the scope of the IMT Policy Program and the planning instruments that are developed, managed, and approved by the IMT Governance Bodies, monitored by the IMT Policy and Planning team.
- The OCCIO may contribute to Acts and Regulations related to IM and/or IT when required. However, these IMT Policy Instruments are not updated frequently and require Deputy Minister and Ministerial level coordination.

Roles, Responsibility, and Accountability Matrix

The matrix below describes the roles and responsibilities for approvals, exceptions, communications, implementation, and compliance by Policy Instrument type within the IMT Policy Program.

Policy Types	Final Approval of Policy Instrument	Implementing and Deploying the Policy Instrument	Communicating the Policy Instrument	Approve Exceptions to Policy Instrument	Ensures Compliance to Policy Instrument
Act	Cabinet (A)	Cabinet (A) Business / Program Area (R)	Cabinet (A) Minister's office / Internal Communications (R) Business / Program Area (R)	Cabinet (A, R)	Cabinet (A) Business / Program Area (R)
Regulation	Cabinet (A)	Cabinet (A) Business / Program Area (R)	Cabinet (A) Minister's office / Internal Communications (R) Business / Program Area (R)	Cabinet (A, R)	Cabinet (A) Business / Program Area (R)
'Schedules'	ARMC (A)	ARMC (A)	ARMC (A)	ARMC (A)	ARMC (A)

		EIM (R) Sector (R) Business / Program Area (R)	EIM (R) Sector (R) Business / Program Area (R)		EIM (R) Sector (R) Business / Program Area (R)
Policy	Deputy Minister Council (A)	Deputy Minister Council (A) Assistant Deputy Minister (R) Executive Directors (R) Information Controllers (R)	Deputy Minister Council (A) Deputy Minister/Internal Communications (R) Change Management (R)	Deputy Minister Council (A) Assistant Deputy Minister (R) (Delegated to Sector CIO / Executive Director)	Deputy Minister Council (A) OCCIO (R) Business/Program Area (R)
Directive	ADM IMT (A)	ADM IMT (A) Sector CIO (R) or, Delegated (R)	ADM IMT (A) Sector CIO (R) or, Delegated (R)	ADM IMT (A) Sector CIO (R) Executive Director(R)	ADM IMT (A) OCCIO (R) Business/Program Area (R)
Control Framework	IMT IC (A)	IMT IC (A) Sector CIO / Executive Director(R)	IMT IC (A) Sector CIO / Executive Director(R)	IMT IC (A) Sector CIO / Executive Director/ Enterprise Executive Directors (R)	IMT IC (A) Sector CIO / Executive Director/ Enterprise Executive Directors (R)

		Operational teams (R)	Operational teams (R)		
Standard	Corporate CIO (A)	Corporate CIO (A) Sector CIO / Executive Director(R) Operational teams (R)	Corporate CIO (A) Sector CIO / Executive Director(R) Operational teams (R)	Corporate CIO (A) Sector CIO / Executive Director(R) Operational teams (R)	Corporate CIO (A) Sector CIO / Executive Director(R) Operational teams (R)
Procedure	GoA/OCCIO: Corporate CIO (A) Sector: Sector Council / Sector CIO (A)	GoA/OCCIO – Corporate CIO (A) Sector: Sector Council / Sector CIO (A) Operational Teams (R)	GoA/OCCIO – Corporate CIO (A) Sector: Sector Council / Sector CIO (A) Operational Teams (R)	GoA/OCCIO – Corporate CIO (A) Sector: Sector Council / Sector CIO (A) Operational Teams (R)	GoA/OCCIO – Corporate CIO (A) Sector: Sector Council / Sector CIO (A) Operational Teams (R)
Guidelines	According to IMT policy instrument	According to IMT policy instrument	According to IMT policy instrument	According to IMT policy instrument	According to IMT policy instrument

IMT Policy Instruments Roles and Descriptions

The table below identifies the different roles in IMT Policy decision making and the creation of IMT Policy Instruments. Some not all roles contribute to the development of an IMT Policy Instrument.

Policy Roles	Description
Cabinet	<p>The Cabinet is the framework in which members of Executive Council put government policies into practice.</p> <p>Cabinet ministers are MLAs in charge of specific government ministries. Beyond approving Orders in Council, Cabinet ratifies policy matters and is the final authority on issues related to the day-to-day operation of government.</p> <p>The Premier chairs Cabinet.</p>
Minister of Service Alberta	<p>Champion and provide governance for information management technology (IMT) in the GoA and for setting overarching IMT policy;</p> <p>Raise significant IMT issues at an appropriate level of government;</p> <p>Ensure the appointment of a Corporate Chief Information Officer for the GoA with authority to set directives, standards and guidelines as supplementary policy instruments to IMT policy; and</p> <p>Establish, maintain, and promote policies, standards, and procedures for the creation, handling, control, organization, retention, maintenance, security, preservation, disposition, alienation and destruction of records.</p>
Deputy Minister of Service Alberta	<p>Champions, as senior executive, all aspects of IMT in the GoA;</p> <p>Chairs the Deputy Minister's Corporate Services Innovation Committee;</p> <p>Approves proposed strategies, policies, plans, and service standards impacting GoA IMT services;</p> <p>Supports investment in appropriate IMT skills, competencies and development plans; and</p>

<p>Deputy Minister's Council (DMC)</p>	<p>DMC supports the GoA's strategic agenda and provides leadership across the APS and specifically on key cross government functions.</p> <p>The committee is comprised of Deputy Ministers from the departments of a sector.</p>
<p>Deputy Minister</p>	<p>Represents their ministry's views and needs to the Deputy Minister's Council.</p> <p>The deputy minister supports the GoA's strategic agenda and provides leadership their ministry.</p> <p>Champions all aspects of Information Management and Technology in the GoA.</p> <p>Set policy instruments for their departments, which supplement or complement GoA IMT policy instruments.</p> <p>Ensure compliance and take appropriate action to remediate non-compliance.</p>
<p>Deputy Minister's Corporate Services Innovation Committee (DMC CSI)</p>	<p>DM CSI recommends to DMC corporate policies related to corporate service delivery innovation – including IMT and enterprise planning with close ties to finance and human resources governance bodies.</p> <p>Reviews and recommends investment decisions, and ensures a government-wide approach to these integral strategic and operational functions, with particular focus on leadership for a streamlined customer and citizen-centric experience.</p> <p>The committee is comprised of Deputy Ministers from several ministries and Executive Council Senior officials.</p>

<p>Assistant Deputy Minister's Information Management and Technology Committee (ADM IMT)</p>	<p>ADM IMT is responsible for the implementation of IMT strategies and policies. It oversees corporate policies related to IMT, approves, evaluates and monitors investment decisions.</p> <p>Ensures there is a government-wide approach to integral strategic and operational functions (privacy, security, access to information, etc.).</p> <p>The committee is comprised of two Assistant Deputy Ministers from each Sector.</p>
<p>Assistant Deputy Minister</p>	<p>Represents their ministry's views and needs and supports the Deputy Minister.</p> <p>The assistant deputy minister supports the GoA's strategic agenda and provides leadership their ministry.</p>
<p>Information Management and Technology Integration Committee (IMT IC)</p>	<p>IMT IC is responsible for implementing the GoA IMT strategic plan roadmap. It provides overall direction and oversight in prioritization and financial commitment of IMT initiatives for the sectors.</p> <p>The committee is comprised of the Corporate CIO, Sector CIO's, and the Executive Lead of Enterprise IMT Services.</p>
<p>Sector Council</p>	<p>Sector councils set the priorities for its sector, and provide oversight to the sector operating and capital portfolio. It approves the sector's roadmap.</p> <p>Recommend to sectors, strategies to coordinate resources, reducing duplication of IMT services where applicable, and ensure that services are provided cross-government in a timely and efficient manner.</p> <p>The committee is comprised of the Sector CIO's, and the Assistant Deputy Minister from each department of a Sector.</p>
<p>Alberta Records Management Committee (ARMC)</p>	<p>The Alberta Records Management Committee (ARMC) is a decision-making committee whose purpose is to provide corporate oversight to the Government of Alberta (GoA) records and information management program for the Minister of Service Alberta.</p>

Corporate CIO	<p>Advises the Deputy Minister of Service Alberta on GoA IMT policy and sets GoA-wide directives, standards, and guidelines;</p> <p>Identifies a baseline level of GoA-wide IMT controls, control objectives, and control practices;</p> <p>Develops and publishes performance measures for GoA IMT policy instruments and regularly reviews the effectiveness, efficiency, and any potential unintended or undesired effects of IMT policy instruments;</p> <p>Enables compliance at a GoA-wide level and manages a process for exceptions; and</p> <p>Manages IMT policy instruments according to the principles laid out in the 5 Year IMT Strategy.</p>
Sector CIO's	<p>Represents their sector's views and needs to the Sector Council.</p> <p>Ensure compliance with the GoA IMT policy instruments, including the Records Management Regulation;</p> <p>Represent their sectors' views and needs to the CCIO and provide advice on GoA IMT policy instruments;</p> <p>Responsible for communicating and implementing GoA-wide policy instruments within their sectors;</p> <p>Responsible for interpreting the needs of the department's business units and creating prioritized IMT initiatives; and</p> <p>Ensure information is secure, reliable, and sustained in an environment that is compliant with relevant policy instruments, and respectful of privacy and confidentiality.</p>

Peer Groups	<p>Peer Groups provide IMT Sector and Enterprise staff with a roundtable-based forum to discuss issues, opportunities and solutions associated to the subject matter of their peer group with their peers.</p> <ul style="list-style-type: none"> • IMT Sector Peer Groups: • Business Relationship Management (BRM) • Project Delivery (PD) • Information Management (IM) • Governance and Strategy (GS) • Integration and Operations (IO) • IMT Finance (FIN) • Enterprise Architecture (EA) • Project Management (PM) • Vendor and Contract Management (VCM)
Chief Information Security Officer	<p>Responsible for monitoring and reporting security risk across the GoA; and providing advice and recommendations to Ministries regarding these risks, treatment plans, and security controls.</p> <p>Chief Information Officers assigned to a particular Sector are responsible to the Deputy Minister of the Ministries under their portfolio for delivering secure solutions.</p>
Sector Information Security Officers	<p>Act as liaisons to the Corporate Information Security Office.</p> <p>Responsible for overseeing all aspects of security for Government of Alberta information technology systems including monitoring and reporting security risks, and providing advice and recommendations to their assigned ministries.</p> <p>Enforcing compliance with information security policy instruments.</p>
Enterprise Information Management Branch	<p>Leads the information management program for the Government of Alberta by providing advice, direction and services.</p>

Information Controller (Information Owners)	Have the responsibility and decision-making authority for information throughout its life cycle, including creating, classifying, restricting, regulating and administering its use or disclosure.
Information Custodians	Maintain or administer information resources on behalf of the Information Controller. Custodians hold responsibility for accessing, managing, maintaining, preserving, disposing and providing security for the information resource.
Program Executives, Directors, and Managers (Heads of Divisions, Branches or Units)	<p>Ensure that the proper levels of security and privacy protection are applied to information, based on policy instruments, privacy impact assessments and security threat/risk assessments and any additional access requirements across the GoA.</p> <p>Ensure legislative and policy requirements are in place and followed by employees and contractors regarding the proper collection, creation, access, use, protection, disclosure, dissemination, retention and disposal of information.</p>
Business / Program Area	<p>Responsible for interpreting the needs of the department's business units and creating prioritized IMT policy instruments for their Business/Program.</p> <p>Responsible for communicating and implementing the policy instruments within their Business/Program areas.</p> <p>Ensure compliance with the Business/Program area policy instruments.</p> <p>Ensure their business/program area policy instruments are current and reliable in an environment that is compliant with relevant policy instruments.</p>
Operational Team	Responsible for interpreting the needs of the business units, creating and maintaining prioritized IMT policy instruments for their Business/Program.

Policy Program Roles	Description
IMT Policy Program	<p>The owner of the IMT Policy Program. Responsible for;</p> <ul style="list-style-type: none"> • Oversight and support for IMT effectiveness of the policy instrument • Manage the policy instrument review cycles • Maintain the IMT Policy Instrument repository • Organize the scheduling and collaboration with committees • Manage issues related to the policy instrument • Policy Instrument Assessment • Consultations related to writing new policy instrument, existing the policy instrument, the policy instrument processes • Assess next steps for a policy instrument
IMT Policy Instrument Policy Owner	The Owner of the policy. Responsible for the content in the policy.
IMT Policy Instrument Policy Reviewer	Subject Matter Experts (SME) responsible for reviewing proposed policy instruments and updates made to existing policy instruments.
IMT Policy Instrument Policy Authority	Provides the Final Ratification or Approval of the policy instrument.