



Office of the
Auditor General
of Canada

Bureau du
vérificateur général
du Canada

Open Government Implementation Plan

October 2018

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Executive Summary

The Treasury Board of Canada Secretariat (TBS) has identified distinct deliverables and milestones that federal organizations, including Crown corporations, are required to implement to achieve the objectives of the Directive on Open Government. TBS has allowed a five-year implementation period, with the focus in the initial year on developing the Open Government Implementation Plan (OGIP) and the methodology for establishing a data inventory. Along with these key deliverables, the Office of the Auditor General of Canada (OAG) will develop the supporting infrastructure to ensure that open government is implemented according to the TBS requirements and to achieve the stated outcomes.

The OAG Open Government Project Plan describes our timetable to complete the activities and deliverables aligned with the requirements of the Directive on Open Government, supporting the move to be “open by default.” The plan will be updated and posted online on an annual basis.

Approvals



Stéphanie Vaillancourt
Information Management Senior Official
Director, Information and Records Management
Office of the Auditor General of Canada

27 November 2018

Date



Andrew Hayes
Deputy Auditor General
Office of the Auditor General of Canada

27 November 2018

Date



Michael Ferguson, CPA, CA
FCPA, FCA (New Brunswick)
Auditor General of Canada
Office of the Auditor General of Canada

27 November 2018

Date

1. Purpose

This document describes the Office of the Auditor General of Canada's (OAG's) plan to complete the activities and deliverables aligned with the requirements of the [Directive on Open Government](#), in order to achieve full compliance by the 31 March 2020 implementation deadline.

The objective of the directive is to maximize the release of government information and data of business value to support transparency, accountability, citizen engagement, and socio-economic benefits through reuse, subject to applicable restrictions associated with privacy, confidentiality, and security. (Directive on Open Government, Section 5.1)

The expected results of the Directive on Open Government (Section 5.2) are that Canadians are able to find and use Government of Canada information and data

- to support accountability,
- to facilitate value-added analysis,
- to drive socio-economic benefits through reuse, and
- to support meaningful engagement with their government.

2. Context

Mandate and responsibilities

The OAG serves Parliament by providing it with objective, fact-based information and expert advice on government programs and activities, gathered through audits.

The Office of the Auditor General of Canada audits the federal government, including some 100 departments and agencies, ranging from small boards to large, complex organizations whose activities extend across Canada and overseas. The OAG also audits about 40 Crown corporations; the governments of Nunavut, Yukon, and the Northwest Territories; and approximately 20 territorial corporations and agencies.

Organization and regional distribution

The OAG employs approximately 570 people at its head office in Ottawa and regional offices in Vancouver, Edmonton, Montréal, and Halifax.

Information management and technological environment

The Information and Records Management team and the Information Systems and Technology (IT) team support every aspect of the OAG's activities in a diverse technological environment. The OAG environment consists of custom in-house applications, commercial off-the-shelf

applications, commercially available products, and various databases that serve to facilitate the OAG's operations.

3. Outcomes

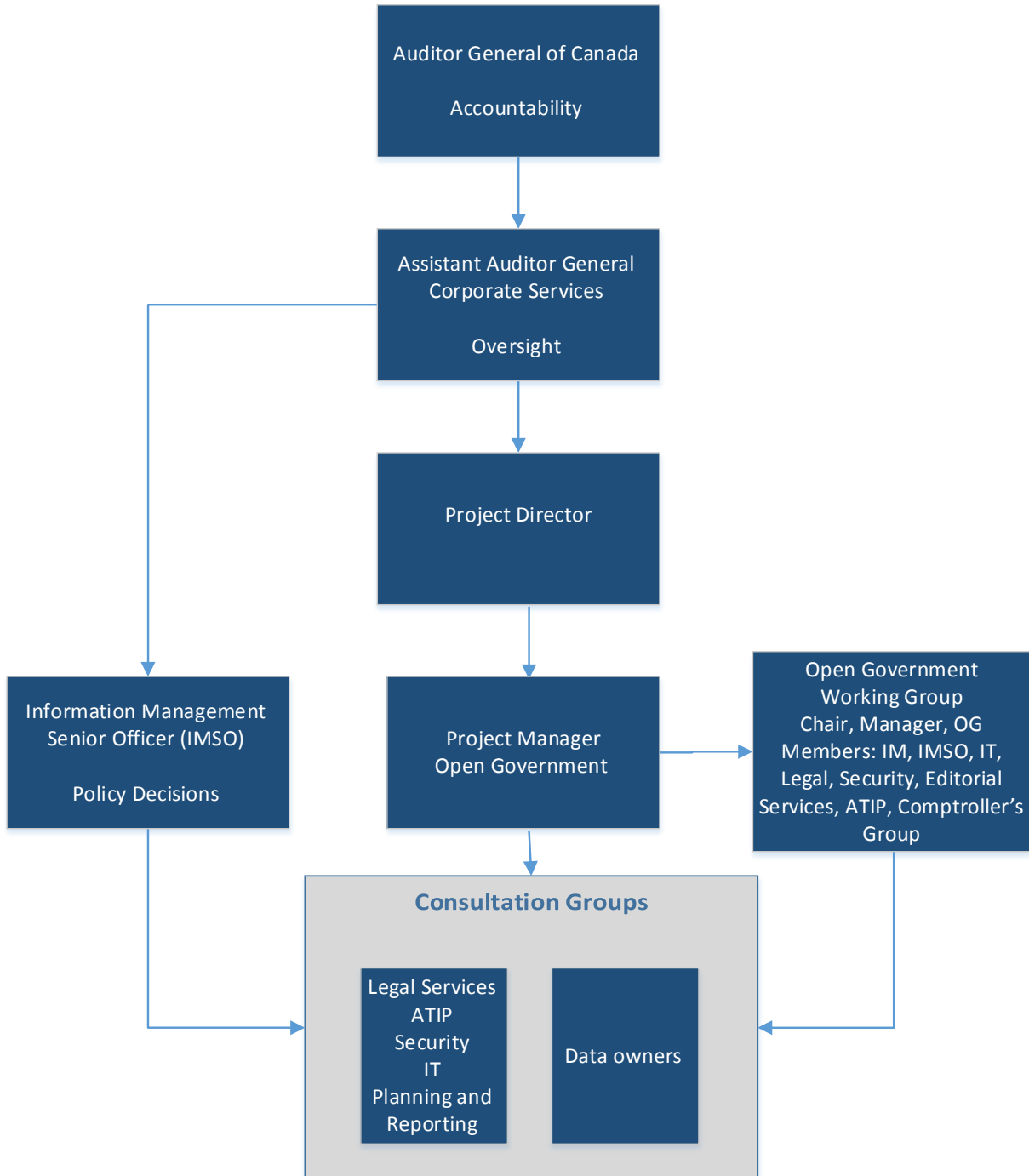
The OAG's implementation of the Directive on Open Government is expected to

- optimize the value and reusability of the OAG's data and information,
- continue to support accountability by increasing the transparency of the OAG's decisions and decision-making processes,
- possibly reduce costs associated with processing and releasing information following Access to Information (ATI) requests through adoption of the "open by default" concepts described in the [Third Biennial Plan to the Open Government Partnership](#),
- facilitate the OAG's ongoing work to reduce redundant data and reuse data where possible.

4. Governance Structures and Decision Processes

The following subsections describe the governance structures and decision processes that support open government, and how responsibilities are delegated and fulfilled within the OAG.

Open government implementation governance



4.1 Roles and responsibilities—Information Management Senior Official and Auditor General of Canada

The governance of the OAG's Open Government Implementation Plan is informed by the responsibilities identified for the Information Management Senior Official and Auditor General in sections 6 (Requirements), 7 (Monitoring and Reporting Requirements), and 8 (Consequences) of the Directive on Open Government.

Stakeholder	Roles and responsibilities
Auditor General (AG)	<ul style="list-style-type: none"> • Approve the Open Government Implementation Plan. • Support initiatives related to open government requirements. • Take action in the event of non-compliance together with the Assistant Auditor General of Corporate Services and the Information Management Senior Official.
Assistant Auditor General (AAG) of Corporate Services	<ul style="list-style-type: none"> • Accountable for implementation, monitoring, and compliance with the Directive on Open Government. • Ensure monitoring of the Open Government Implementation Plan and Open Government Project Plan to correct gaps in performance and compliance, and to report significant performance and compliance issues. • Ensure that requirements of the directive are incorporated into all of the OAG's new plans for procuring, developing, or modernizing departmental information, applications, systems, or solutions in support of the delivery of programs and services. • Alert the deputy head to any significant difficulties, gaps in performance, or compliance issues, and develop a plan to address them.
Information Management Senior Official (IMSO)	<ul style="list-style-type: none"> • Lead the Open Government Working Group. • Approve the OAG's data sets and other information for publication on the Government of Canada Open Data Portal. • Manage the open government implementation project and ensure implementation, monitoring, and compliance with the directive. • Ensure that the data governance structure and process are followed. • Monitor the Open Government Implementation Plan and Open Government Project Plan to correct gaps in performance and compliance, and report to the AAG of Corporate Services any significant performance and compliance issues. • Develop process to ensure that requirements of the directive are incorporated into all of the OAG's new plans for procuring, developing, or modernizing departmental information applications, systems, or solutions in support of the delivery of programs and services.

Stakeholder	Roles and responsibilities
	<ul style="list-style-type: none"> • Ensure the delivery of all milestones and deliverables (Open Government Implementation Plan, data sets inventory, removal of access restrictions, and so forth). • Create and update the OAG's open government deliverables (Open Government Implementation Plan, inventory, and so forth).

4.2 Roles and responsibilities—Key stakeholders

Stakeholder	Roles and responsibilities
Open Government Working Group	<ul style="list-style-type: none"> • Provide support, advice, guidance, and orientation on implementing the Directive on Open Government. • Collaborate with the implementation of open government requirements. • Alert the IMSO to any significant difficulties, gaps in performance, or compliance issues.
Chief Information Officer (CIO)	<ul style="list-style-type: none"> • Ensure that the requirements of the directive are incorporated into all of the OAG's new plans for procuring, developing, or modernizing departmental information applications, systems, or solutions in support of the delivery of programs and services.
Information and Records Management team	<ul style="list-style-type: none"> • Support the IMSO in implementing, monitoring, and reaching compliance. • Implement and enforce data retention rules. • Alert the IMSO to any significant difficulties, gaps in performance, or compliance issues.
Legal Services group	<ul style="list-style-type: none"> • Advise Open Government Working Group, committees, and users on legal matters.
Access to Information and Privacy (ATIP) Coordinator	<ul style="list-style-type: none"> • Advise the working group, committees, and users on ATIP matters, and determine whether data and information can be published in accordance with the Access to Information Act and the Privacy Act.
Data and business owners (including Comptroller's Group)	<ul style="list-style-type: none"> • Contribute to data inventory, data governance, and process. • Consider which data and other information assets they are responsible for releasing. • Apply open government processes. • Ensure that requirements of the directive are incorporated into all of the OAG's new plans for creating new data.
Communications team	<ul style="list-style-type: none"> • Advise the working group, committees, and users on communications matters.

Stakeholder	Roles and responsibilities
Information Systems and Technology (IT) team	<ul style="list-style-type: none"> • Ensure that requirements of the directive are incorporated into all of the OAG's new plans for procuring, developing, or modernizing applications, systems, or solutions in support of the delivery of programs and services. • Recommend, design, develop, and test tools to convert the OAG's information into machine-readable formats that comply with open data formats. • Create, maintain, and support databases. • Ensure that data can be easily published in a readable format on the Government of Canada Open Government Portal.
Editorial Services team	<ul style="list-style-type: none"> • Advise working group, committees, and users on editorial and translation matters.
Security	<ul style="list-style-type: none"> • Advise working group, committees, and users on security matters, and determine whether data and information can be published in accordance with security policies.

4.3 Awareness and engagement

In the 2018–19 fiscal year, we will maintain communications activities to raise employees' awareness of and engagement in implementing the Directive on Open Government. Efforts will continue to be made to engage data owners and key stakeholders in identifying inventories and developing processes. Presentations, awareness and information sessions, and progress reports will be conducted with key stakeholders.

5. Planning Table—OAG Open Government Project Plan

Directive on Open Government requirements

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
Planning and oversight								
6.4 Open Government Implementation Plan (OGIP)	Developing, posting to the designated website, implementing, and annually updating a departmental Open Government Implementation Plan	1. Governance structures in place to oversee the implementation of activities within the OAG's OGIP	Establish a governance model.	Information Management Senior Official (IMSO)	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2016–17 fiscal year	2017–18 fiscal year	Completed
		2. OAG's Open Government Implementation Plan	Step 1—Writing the OGIP	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2016–17 fiscal year	2017–18 fiscal year	Completed
		3. Signatures in Approvals section of the OAG's OGIP	Step 2—Approvals	IMSO	<ul style="list-style-type: none"> AAG of Corporate Services Auditor General 	2016–17 fiscal year	2017–18 fiscal year	Completed
		4. Publishing the OGIP on the Open Data website	Step 3—Publishing	IMSO	IT Applications team	2016–17 fiscal year	2017–18 fiscal year	Completed
		5. Monitoring and reporting processes for assessing progress and maintaining the currency of the OAG's OGIP	Update OGIP for monitoring and reporting, using project plan.	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2016–17 fiscal year	2018–19 fiscal year	In progress

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		6. The OAG's third annual update to the OGIP to assess progress and to maintain currency	<ul style="list-style-type: none"> Update OGIP to reflect progress status. Publish update. 	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2018–19 fiscal year	2018–19 fiscal year	Completed
		7. The OAG's fourth annual update to the OGIP to assess progress and to maintain currency of the OGIP	<ul style="list-style-type: none"> Update OGIP to reflect progress status. Publish update. 	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2019–20 fiscal year	2019–20 fiscal year	Not Started
7.1 Monitoring and reporting	Departmental information management senior officials, as designated by the deputy heads, are responsible for overseeing the implementation and monitoring of this directive in their department.	8. Performance framework established to monitor progress against the activities and deliverables and milestones in the OGIP	Use project plan to monitor progress.	IMSO	Open Government Working Group	2016–17 fiscal year	2019–20 fiscal year	In progress
		9. Regular reporting of progress against activities, deliverables, and milestones in the OGIP to the governance structures in place to oversee the implementation	Monitor progress, using project plan to update Project Lead and working group.	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2016–17 fiscal year	2019–20 fiscal year	In progress

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		10. Performance framework established to monitor ongoing compliance with the requirements of the directive	Use project plan to monitor deliverables and assess compliance with the directive.	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2017–18 fiscal year	2019–20 fiscal year	In progress
		11. Process to ensure that significant difficulties, gaps in performance, or compliance issues are reported to the AAG of Corporate Services	Use project plan to report to Project Lead and AAG of Corporate Services about progress on gaps and compliance.	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services 	2016–17 fiscal year	2019–20 fiscal year	In progress
Inventorying								
6.3 Data and information inventories	Establishing and maintaining comprehensive inventories of data and information resources of business value held by the department to determine their eligibility and priority and to plan for their effective release	12. Process for establishing a data inventory	<ul style="list-style-type: none"> Define “data” at the OAG. Establish a process to collect data. Validate data collection process with data owners. Adjust process as required. 	IMSO	<ul style="list-style-type: none"> Open Government Working Group IT Applications team Financial Planning and Reporting team Legal Services group AAG of Corporate Services Data owners 	2017–18 fiscal year	2017–18 fiscal year	Completed

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		13. Definition of process to determine eligibility and priority for release	<ul style="list-style-type: none"> Establish a process to determine eligibility and priority for release. Integrate the release checklist. Develop a prioritization model to support the timely release of high-value data and information resources of business value. 	IMSO	<ul style="list-style-type: none"> Information and Records Management team Legal Services group Security team 	2017–18 fiscal year	2018–19 fiscal year	In progress
		14. Data inventory—detailed and itemized list that describes the volume, scope, and complexity of the data	<ul style="list-style-type: none"> Conduct pilot to assess data inventory process. Schedule data inventory collection. Collect information for data inventory. Prepare data inventory list. 	IMSO	<ul style="list-style-type: none"> IT Applications team Planning and Reporting Data owners Information and Records Management team AAG of Corporate Services 	2017–18 fiscal year	2018–19 fiscal year	In progress
		15. Renewal process to maintain the currency of OAG data inventory	<ul style="list-style-type: none"> Define business process that results in change of data (new or decommissioned). 	IMSO	<ul style="list-style-type: none"> Working Group Planning and Reporting 	2018–19 fiscal year	2018–19 fiscal year	In progress

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
			<ul style="list-style-type: none"> Develop and establish process for capturing changes in data (new or decommissioned). 		<ul style="list-style-type: none"> IT Applications team Data owners 			
		16. Evaluation of assets included in the data inventory to determine their eligibility and priority for release	Evaluate assets included in the data inventory to determine their eligibility and priority for release.	IMSO	<ul style="list-style-type: none"> Information and Records Management team Legal Services group Privacy Coordinator Data owners 	2018–19 fiscal year	2019–20 fiscal year	Not started
		17. Process for establishing an information inventory	<ul style="list-style-type: none"> Define “information” at the OAG. Establish a process to collect information. Validate information collection process with information owners. Adjust process as required. 	IMSO	<ul style="list-style-type: none"> Open Government Working Group IT Applications team Legal Services group Privacy Coordinator Information and Records Management AAG of Corporate Services 	2018–19 fiscal year	2018–19 fiscal year	In progress

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		18. Information inventory—detailed and itemized list that describes the volume, scope, and complexity of the information	<ul style="list-style-type: none"> • Plan information inventory. • Collect information for inventory. • Merge templates to create inventory. • Prepare inventory for external publication. 	IMSO	<ul style="list-style-type: none"> • IT Applications team • Information and Records Management team • Information owners 	2018–19 fiscal year	2019–20 fiscal year	Not started
		19. Renewal process to maintain the currency of OAG information inventory	<ul style="list-style-type: none"> • Assess opportunity to integrate renewal processes into current information management monitoring practices. • Develop and establish process for capturing changes in information. 	IMSO	<ul style="list-style-type: none"> • Information and Records Management team • Information owners 	2019–20 fiscal year	2019–20 fiscal year	Not started
		20. Evaluation of assets included in the information inventory to determine their eligibility and priority for release	Evaluate assets included in the information inventory to determine their eligibility and priority for release.	IMSO	<ul style="list-style-type: none"> • Information and Records Management team • Legal Services group • Privacy Coordinator 	2019–20 fiscal year	2019–20 fiscal year	Not started

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
Releasing								
6.1 Maximizing release	Maximizing the release of Government of Canada open data (structured data) and open information (unstructured documents and multimedia assets) under an open and unrestrictive licence designated by the Treasury Board of Canada Secretariat as outlined in Appendix B of the directive (Mandatory Release of Government Information)	21. Data release plan	<ul style="list-style-type: none"> • Review and assess identified releasable data sets. • Develop release plan according to priorities. • Approve data release plan. • Establish process for releasing data. 	IMSO	<ul style="list-style-type: none"> • Open Government Working Group • Legal Services group • IT Applications team • AAG of Corporate Services • Security team • Privacy Coordinator • Planning and Reporting 	2018–19 fiscal year	2019–20 fiscal year	Not started
		22. Information release plan	<ul style="list-style-type: none"> • Develop release plan according to priorities. • Approve information release plan. • Establish process for releasing information. 	IMSO	<ul style="list-style-type: none"> • Open Government Working Group • Legal Services group • IT Applications team • AAG of Corporate Services • Security team • Privacy Coordinator 	2019–20 fiscal year	2019–20 fiscal year	Not started

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		22.5. Bill C-58 implementation	<ul style="list-style-type: none"> • Provide awareness. • Establish and implement process. • Conduct pilot to assess process. • Release proactive publications on portal. 	IMSO	<ul style="list-style-type: none"> • Information and Records Management team • Legal Services group • Access to Information and Privacy Coordinator • Editorial services team • Auditor General • Executive Office • Parliamentary Liaison • Comptroller 	2017–18	2018–19	In progress
6.2 Formats, websites, and services for release	Ensuring that open data and open information are released in accessible and reusable formats through the Government of Canada websites and services designated by the Treasury Board of Canada Secretariat	23. Listing of accessible and reusable formats (for data and information) to be used at the OAG	<ul style="list-style-type: none"> • Confirm Treasury Board of Canada Secretariat (TBS) format requirements. • Assess and select formats appropriate to OAG context. • Pilot selected formats. 	IMSO	<ul style="list-style-type: none"> • IT Applications team • Information and Records Management team 	Data: 2018–19 fiscal year	Data: 2019–20 fiscal year	In progress
		24. Conversion protocol (or protocols) for data	<ul style="list-style-type: none"> • Confirm TBS format requirements. 	IMSO	<ul style="list-style-type: none"> • IT Applications team 	Data:	Data:	Not started

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		identified for release whose native format is not accessible and reusable	<ul style="list-style-type: none"> Identify gaps between the OAG inventory and TBS requirements. Evaluate level of effort to address gaps. Develop and approve required conversion protocols. 		<ul style="list-style-type: none"> Planning and Reporting 	2019–20 fiscal year Information: 2019–20 fiscal year	2019–20 fiscal year Information: 2019–20 fiscal year	
		25. Conversion protocol (or protocols) for information identified for release whose native format is not accessible and reusable	<ul style="list-style-type: none"> Confirm TBS requirements. Identify gaps between OAG inventory and TBS requirements. Evaluate level of effort to address gaps. Develop and approve required conversion protocols. 	IMSO	<ul style="list-style-type: none"> IT Applications team Planning and Reporting 	Data: 2019–20 fiscal year Information: 2019–20 fiscal year	Data: 2019–20 fiscal year Information: 2019–20 fiscal year	Not started
		26. Release process to support publication of the OAG’s data inventory	<p>Establish a process for the release of data that includes</p> <ul style="list-style-type: none"> reviewing requirements and identifying critical process steps, and 	IMSO	<ul style="list-style-type: none"> Open Government Working Group Planning and Reporting AAG of Corporate Services 	2018–19 fiscal year	2019–20 fiscal year	Not started

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
			<ul style="list-style-type: none"> • approving the data release process. 		<ul style="list-style-type: none"> • Legal Services group • IT Applications team • Security team • Privacy Coordinator 			
		27. Release process to support publication of the OAG's information inventory	<p>Establish a process for the release of information, using TBS requirements:</p> <ul style="list-style-type: none"> • Establish governance for open information. • Evaluate options for releasing information. • Develop the information release process. • Approve the information release process. • Pilot the release process. 	IMSO	<ul style="list-style-type: none"> • Open Government Working Group • AAG of Corporate Services • Legal Services team • IT Applications team • Privacy Coordinator • Security team 	2019–20 fiscal year	2019–20 fiscal year	Not started

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		28. Release of data	Publish data.	IMSO	<ul style="list-style-type: none"> • IT Applications team • Information and Records Management team • Security team 	2018–19 fiscal year	2019–20 fiscal year	Not started
		29. Release of information	Publish information.	IMSO	<ul style="list-style-type: none"> • IT Applications team • Information and Records Management team • Security team 	2019–20 fiscal year	2019–20 fiscal year	Not started
Maintaining								
6.5 Access restriction on information resources of enduring value	Maximizing the removal of access restrictions on departmental information resources of enduring value prior to transfer to Library and Archives Canada (LAC) as part of planned disposition activities	30. Process for the removal of access restrictions from data and information resources of enduring value prior to transfer to LAC	Develop the process for removing access restrictions for data and information of enduring value prior to transfer to LAC.	IMSO	<ul style="list-style-type: none"> • Information and Records Management team • Legal Services group • Security team 	2019–20 fiscal year	2019–20 fiscal year	Not applicable
		31. Disposition plans and procedures updated to reflect the process for the removal of access restrictions from data and information resources of	Integrate process for removing access restrictions from data and information resources of enduring value prior to their transfer to LAC into the	IMSO	<ul style="list-style-type: none"> • Information and Records Management team • Legal Services group 	2019–20 fiscal year	2019–20 fiscal year	Not applicable

Directive on Open Government (section number and topic covered)	Compliance requirement	Deliverables and milestones	Activities	Lead	Resources	Start	End	Status
		enduring value prior to their transfer to LAC	OAG's disposition plans and procedures.		<ul style="list-style-type: none"> Security team 			
6.6 Departmental application, systems, and solutions	Ensuring that open government requirements in sections 6.1 to 6.5 of this directive are integrated in any new plans for procuring, developing, or modernizing departmental data or information applications, systems, or solutions in support of the delivery of programs and services.	32. Governance structures in place to oversee the implementation of open government requirements in any new plans for procuring, developing, or modernizing departmental information applications, systems, or solutions in support of the delivery of programs and services	Establish governance structures to align the procurement, development, and modernization of information systems with open government requirements.	IMSO	<ul style="list-style-type: none"> Open Government Working Group AAG of Corporate Services IT Applications team Legal Services group Contracting and Procurement team Security team 	2018–19 fiscal year	2019–20 fiscal year	In progress
		33. Open government requirements integrated into procurement, development, and modernization processes for data and information applications, systems, and solutions.	Integrate the open government requirements into procurement, and into the development and modernization process related to information and data applications, systems, and solutions.	IMSO	<ul style="list-style-type: none"> Legal Services group IT Applications team Contracting and Procurement team Open Government Working Group Security team AAG of Corporate Services 	2018–19 fiscal year	2019–20 fiscal year	In progress