



Office of the
Auditor General
of Canada

Bureau du
vérificateur général
du Canada

Open Government Implementation Plan (OGIP)

June 2017

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Executive Summary

The Treasury Board of Canada Secretariat (TBS) has identified distinct deliverables/milestones that each department and Crown corporation is 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 open government is implemented according to the TBS requirements and to achieve the stated outcomes.

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

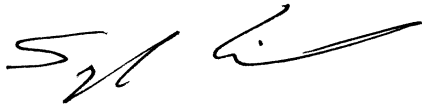
Approvals



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23 October 2017

Date



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23 October 2017

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1. Purpose

This document describes the Office of the Auditor General of Canada's (OAG) 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

The 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 some 40 Crown corporations; the governments of Nunavut, Yukon, and the Northwest Territories; as well some as 20 territorial corporations and agencies.

The Organization and Regional Distribution

The OAG employs approximately 575 people at its head office in Ottawa and four regional offices in Vancouver, Edmonton, Montréal, and Halifax.

The Information Management and Technological Environment

Information Management (IM) and Information Technology (IT) 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 its operations.

3. Outcomes

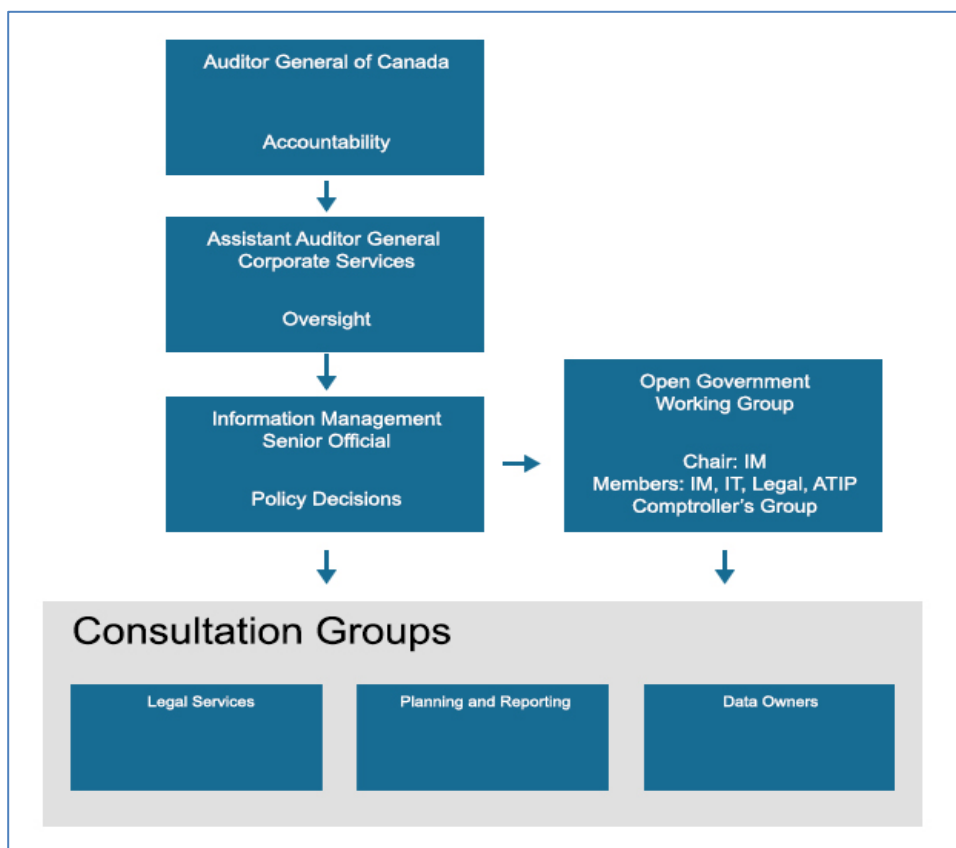
The OAG's implementation of the *Directive on open government* is expected to

- optimize the value and reusability of the OAG's data and information,
- continue to support accountability by increasing the transparency of the institution's decisions and decision-making processes,
- possibly reduce costs associated with processing and releasing information following Access to Information and Privacy (ATIP) requests when adopting the "Open by Default" concepts described in the [Third Biennial Plan to the Open Government Partnership \(2016-18\)](#),
- 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 institution.

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*.

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 (CS)	<ul style="list-style-type: none"> • Accountable for implementation, monitoring, and compliance with the <i>Directive</i>. • Ensure monitoring of the Open Government Implementation Plan and Project Plan to correct gaps in performance and compliance, and report significant performance and compliance issues. • Ensure that requirements of the <i>Directive</i> 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 <i>Directive</i>. • Ensure that the Data Governance structure and process are followed. • Monitor the Open Government Implementation Plan and 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 <i>Directive</i> 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. • Ensure the delivery of all milestones and deliverables (OGIP, data sets inventory, removal of access restrictions, etc.). • Create and update OAG's Open Government deliverables (OGIP, inventory, etc.).

4.2 Roles and Responsibilities—Key Stakeholders

Open Government Working Group	<ul style="list-style-type: none"> • Support the implementation project. • Collaborate with the implementation of Open Government requirements. • Alert the IMSO to any significant difficulties, gaps in performance, or compliance issues.
Planning and Reporting	<ul style="list-style-type: none"> • Collaborate and share relevant information during the implementation phase. • Approve or reject requests for data creation. • Collaborate with IM to manage the database inventory. • Keep track of data flow processes. • Provide existing data inventory.
Chief Information Officer (CIO)	<ul style="list-style-type: none"> • Ensure that the requirements of the <i>Directive</i> 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 Management (IM)	<ul style="list-style-type: none"> • Support IMSO in implementation, monitoring, and compliance with the <i>Directive</i>. • Implement and enforce data retention rules. • Alert the IMSO to any significant difficulties, gaps in performance, or compliance issues.
Legal Services	<ul style="list-style-type: none"> • Advise Working Group, committees, and users on all legal matters.
Access to Information and Privacy (ATIP) Coordinator	<ul style="list-style-type: none"> • Advise Working Group, committees, and users on ATIP matters, and determine whether data and information can be published in accordance with the <i>Access to Information Act</i> and the <i>Privacy Act</i>.
Data/business owners	<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 internal open government release process. • Ensure that requirements of the <i>Directive</i> are incorporated into all of the OAG's new plans for creating new data.
Communications	<ul style="list-style-type: none"> • Advise Working Group, committees, and users on communications matters.

Information Technology (IT)	<ul style="list-style-type: none"> • Ensure that requirements of the <i>Directive</i> 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 easily be published on the Open Government portal in a readable format. • Provide existing data inventory.
Security	<ul style="list-style-type: none"> • Collaborate throughout all steps of the implementation and data creation and deployment.

4.3 Awareness and Engagement

In 2017–18, we will clarify and define the activities to be carried out and the strategies to be used to raise employees' awareness and engagement to implement the *Directive*. Efforts have been made to engage key stakeholders to participate in the Open Government Working Group. Presentations, awareness/information sessions and progress reports will be conducted with key messages for targeted audiences.

5. Planning Table—OAG Open Government Project Plan

Directive on Open Government (DOG) Requirements

<i>Directive on Open Government</i>	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
Planning and Oversight								
6.4 <i>Open Government Implementation Plan (OGIP)</i>	Developing, posting to the designated website, implementing, and annually updating a departmental Open Government Implementation Plan.	1. Governance structures are in place to oversee the implementation of activities within OAG's OGIP.	Establish a governance model.	Information Management Senior Official (IMSO)	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	Working Group AAG of Corporate Services	2016–17 fiscal year	2017–18 fiscal year	Completed
		3. Signatures in Section 2 (Approvals) of OAG's OGIP.	Step 2—Approvals.	IMSO	AAG of Corporate Services Auditor General	2016–17 fiscal year	2017–18 fiscal year	Completed
		4. Publishing the OGIP on Open Data's website.	Step 3—Publishing.	IMSO	IT Applications	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.	OGIP is updated for monitoring and reporting, using project plan.	IMSO	Working Group AAG of Corporate Services	2016–17 fiscal year	2017–18 fiscal year	In progress
		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	Working Group AAG of Corporate Services	2018–19 fiscal year	2018–19 fiscal year	Not Started

Directive on Open Government	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
		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	Working Group AAG of Corporate Services	2019–20 fiscal year	2019–20 fiscal year	Not Started
7.1 <i>Monitoring and Reporting</i>	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 is established to monitor progress against the activities and deliverables/milestones in the OGIP.	Use project plan to monitor progress.	IMSO	Working Group	2016–17 fiscal year	2019–20 fiscal year	In progress
		9. Progress against the activities and deliverables/milestones in the OGIP is regularly reported to the governance structures in place to oversee the implementation.	Monitor progress, using project plan to update Project Lead and Working Group.	IMSO	Working Group AAG of Corporate Services	2016–17 fiscal year	2019–20 fiscal year	In progress
		10. Performance framework is established to monitor ongoing compliance with the requirements of the <i>Directive</i> .	Project plan will be used to monitor deliverables and assess compliance with the <i>Directive</i> .	IMSO	Working Group AAG of Corporate Services	2017–18 fiscal year	2019–20 fiscal year	In progress
		11. Process to ensure significant difficulties, gaps in performance, or compliance issues are reported to the AAG of Corporate Services.	Project plan will be used to report to Project Lead and AAG of Corporate Services about progress on gaps and compliance.	IMSO	Working Group AAG of Corporate Services	2016–17 fiscal year	2019–20 fiscal year	In progress

<i>Directive on Open Government</i>	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
Inventorying								
6.3 <i>Data and Information Inventories</i>	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, when in use. 	IMSO	Working Group IT Applications Planning and Reporting Legal Services AAG of Corporate Services Data owners	2017–18 fiscal year	2017–18 fiscal year	
		13. Define 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	IM Legal Services Security	2017–18 fiscal year	2018–19 fiscal year	
		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. Execute the data inventory collection. Prepare data inventory list. 	IMSO	IT Applications Planning and Reporting Data owners IM AAG of Corporate Services	2017–18 fiscal year	2018–19 fiscal year	

Directive on Open Government	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
		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). Develop and establish process for capturing changes in data (new or decommissioned). 	IMSO	Working Group Planning and Reporting IT Applications Data owners	2018–19 fiscal year	2018–19 fiscal year	
		16. Assets included in the data inventory are evaluated to determine their eligibility and priority for release.	Assets included in the data inventory are evaluated to determine their eligibility and priority for release.	IMSO	IM Legal Services Privacy Coordinator Data owners	2018–19 fiscal year	2019–20 fiscal year	
		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, when in use. 	IMSO	Working Group IT Applications Legal Services Privacy Coordinator IM AAG of Corporate Services	2018–19 fiscal year	2018–19 fiscal year	
		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 Execute the information inventory collection. Create the information inventory Prepare information inventory list 	IMSO	IT Applications IM Information owners	2018–19 fiscal year	2019–20 fiscal year	

<i>Directive on Open Government</i>	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
		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 IM monitoring practices. Develop and establish process for capturing changes in information. 	IMSO	IM Information owners	2019–20 fiscal year	2019–20 fiscal year	
		20. Assets included in the information inventory are evaluated to determine their eligibility and priority for release.	Assets included in the information inventory are evaluated to determine their eligibility and priority for release.	IMSO	IM Legal Services Privacy Coordinator	2019–20 fiscal year	2019–20 fiscal year	
Releasing								
6.1 <i>Maximizing Release</i>	Maximizing the release of Government of Canada open data (structured data) and open information (unstructured documents and multi-media assets) under an open and unrestrictive licence designed by the Treasury Board of Canada Secretariat as outlined in Appendix B (Mandatory Release of Government Information) of the <i>Directive</i>	21. Data Release Plan.	<ul style="list-style-type: none"> Review and assess identified releasable data sets. Develop release plan, based on prioritization. Approve Data Release Plan. Process for releasing data. 	IMSO	Working Group Legal Services IT Applications AAG of Corporate Services Security Privacy Coordinator Planning and Reporting	2018–19 fiscal year	2019–20 fiscal year	
		22. Information Release Plan.	<ul style="list-style-type: none"> Develop release plan, based on prioritization. Approve Information Release Plan. Process for releasing information. 	IMSO	Working Group Legal Services IT Applications AAG of Corporate Services Security Privacy Coordinator	2019–20 fiscal year	2019–20 fiscal year	

Directive on Open Government	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
6.2 <i>Formats, Websites, and Services for Release</i>	Ensuring that open data and open information are released in accessible and reusable formats via 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 OAG.	<ul style="list-style-type: none"> Confirm TBS format requirements. Assess and select formats appropriate to OAG context. Pilot selected formats. 	IMSO	IT Applications IM	Data 2019–20 fiscal year Information 2019–20 fiscal year	Data 2019–20 fiscal year Information 2019–20 fiscal year	
		24. Conversion protocol(s) for data identified for release whose native format is not accessible and reusable.	<ul style="list-style-type: none"> Confirm TBS format requirements. Identify gaps between OAG inventory and TBS requirements. Evaluate level of effort to address gaps. Develop and approve required conversion protocols. 	IMSO	IT Applications Planning and Reporting	Data 2019–20 fiscal year Information 2019–20 fiscal year	Data 2019–20 fiscal year Information 2019–20 fiscal year	
		25. Conversion protocol(s) 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	IT Applications Planning and Reporting	Data 2019–20 fiscal year Information 2019–20 fiscal year	Data 2019–20 fiscal year Information 2019–20 fiscal year	
		26. Release process to support the publication of OAG's data inventory.	<p>Establish a process for the release of data, which includes</p> <ul style="list-style-type: none"> reviewing requirements and identifying critical process steps 	IMSO	Working Group Planning and Reporting AAG of Corporate Services Legal Services IT Applications	2018–19 fiscal year	2019–20 fiscal year	

<i>Directive on Open Government</i>	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
			<ul style="list-style-type: none"> approving Data Release Process. 		Security Privacy Coordinator			
		27. Release process to support the publication of OAG's information inventory.	Establish a process for the release of information, using TBS requirements: <ul style="list-style-type: none"> Establish governance for open information. Evaluate options for releasing information. Develop the Information Release Process. Approve Information Release Process. Pilot release process. 	IMSO	Working Group AAG of Corporate Services Legal Services IT Applications Privacy Coordinator Security	2019–20 fiscal year	2019–20 fiscal year	
		28. Release data.	Publishing.	IMSO	IT Applications IM Security	2018–19 fiscal year	2019–20 fiscal year	
		29. Release information.	Publishing.	IMSO	IT Applications IM Security	2019–20 fiscal year	2019–20 fiscal year	
Maintaining								
6.5 <i>Access Restriction on Information Resources of Enduring Value</i>	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	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 the removal of access restrictions for data and information of enduring value prior to transfer to LAC.	IMSO	IM Legal Services Security	2019–20 fiscal year	2019–20 fiscal year	
		31. Disposition plans and procedures reflect the process for the removal of access restrictions from data and information	Integrate process for the removal of access restrictions from data and information resources of enduring value prior to their	IMSO	IM Legal Services Security	2019–20 fiscal year	2019–20 fiscal year	

Directive on Open Government	Compliance Requirement	Deliverables/Milestones	Activities	Lead	Resources	Start date	End date	Status
	disposition activities.	resources of enduring value prior to their transfer to LAC.	transfer to LAC into the OAG's disposition plans and procedures.					
6.6 <i>Departmental Application, Systems, and Solutions</i>	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/information applications, systems, or solutions in support of the delivery of programs and services.	32. Governance structures are 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	Working Group AAG of Corporate Services IT Applications Legal Services Contracting and Procurement Security	2019–20 fiscal year	2019–20 fiscal year	
		33. Open government requirements are integrated into procurement, development, and modernization processes for data/information applications, systems, and solutions.	Integrate the open government requirements into procurement, as well as in development and modernization process related to information/data applications, systems, and solutions.	IMSO	Legal Services IT Applications Contracting and Procurement Working Group Security AAG of Corporate Services	2019–20 fiscal year	2019–20 fiscal year	