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Ross Latham
State Archivist

Further Advice

For more detailed advice please contact:
Government Information Strategy Unit
Tasmanian Archive and Heritage Office
91 Murray Street
HOBART TASMANIA 7000
Telephone: 03 6165 5581
Email: gisu@education.tas.gov.au
1 DOCUMENT INTRODUCTION

1.1 Context

The information available to us is growing at a phenomenal pace every day. It is now impossible to manage all the information that touches our agencies. However, we can make it easier for ourselves by planning strategically where to put our effort and ensure that we have a culture which values information.

If our people have strong information management skills, understanding how to get the best from our high value information; if we have an integrated approach to collecting, maintaining and accessing information securely and efficiently; and if we have good systems and tools that support business requirements; then we will be much better positioned to get the best value from our information assets.

Our political leaders and our communities are increasingly expecting information held in government agencies to be available for their use or benefit. They are seeing what can be done when information is shared (safely) and new insights are gained. We need to be confident that we can provide information to them in readily accessible formats, as well as ensuring our information is easily available internally to our own teams.

We need our leaders to be confident in the management and use of information, as they are expected to be in people, financial, and risk management. We need to move to a situation where the value created from effective information management is obvious, and where we are implementing a structured plan designed to achieve our goals in a cost-effective way.

This approach anticipates that information will be managed as an asset, just as we manage human resources, buildings, and budgets.

1.2 Purpose

This Handbook is an accompanying document to the TAHO Information Management Strategic Planning Policy. The Handbook is designed to assist agencies to implement the Policy. The core Policy requirements are provided in Appendix One – TAHO Policy Requirements (p70).

Undertaking IM Strategic Planning as a part of the wider business planning process will assist agencies to understand the information needed - now and in the future, internally and externally.

The Handbook takes us through the strategic planning process that will help us lead and govern our information management environment, define our information management goals, and consider the steps we will need to take to bridge the gap from where we currently are to where we want to be. It will help us define the benefits for our organisation in doing this.

For those who already undertake strategic planning for their information environment, this Handbook may provide new ideas for developing or refreshing processes, and assist in the development of new goals.
Audience

This Handbook is intended for use by Tasmanian public sector managers who have accountability for Information Management Strategic Planning. It will also be useful for those on an Information Governance Group or Steering Committee, for Information Managers and other managers as they manage the information components of their role, and for planners.

A suggested approach to creating an Information Management Strategic Plan is for the Information Manager to manage the planning process, working with a Business Manager with strong information management accountabilities, and/or with a member of the agency strategic planning team. This would include facilitating workshops with the Governance Group and others to develop draft content for input, discussion and agreement by the SRO or accountable Executive.

Acknowledgements

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2 SPEAKING THE SAME LANGUAGE

As we embark on our IM Strategic Planning journey we want to be sure that we are speaking the same language across the organisation. This is the first thing we should do.

It is not uncommon for people to use the term “information management” but only be talking about one component of the information management discipline or function. For example, records managers may only be talking about records management, librarians about published information, and data analysts about data management. Over the last 3-5 years as big data and advanced and predictive analytics have become more widely accessible, understood and written about it would be easy to think that is what information management is all about.

Relationships - Data, Information, Knowledge and Wisdom

The following diagram may be helpful when thinking about the functional relationships between data, information and knowledge and wisdom. This concept was developed by Russell Ackoff - a systems theorist and professor of organisational change, and this diagram was developed by Bellinger, Castro and Mills to incorporate the concept of understanding.

Figure 1 Data to Wisdom - connectedness / understanding

---

Data

Data can be defined as “the representation of facts, concepts or instructions in a formalised (consistent and agreed) manner suitable for communication, interpretation or processing by human or automatic means. Typically comprised of numbers, words or images. The format and presentation of data may vary with the context in which it is used.”

Information

There are many different definitions of information. Information can come in many formats – documents (printed or digital), emails, maps, photos, audio, etc. It may also be verbal. Information can be sourced from many places – internal information in the form of written records and business information; data in systems – either raw or analysed; intranet content; externally sourced information from the web, libraries, research companies, information and data purchased from suppliers – producers and re-sellers, audio material from broadcasts and other media; information sourced from advertising, etc. Much, but not all, of the information residing in your agency is also classed as a record, whether a short term transitory record, or a record of more significant value.

In this context, we use the term information broadly and include published information records, data in business information systems, and other information assets regardless of format or source.

Knowledge

‘Knowledge is the body of understanding that is constructed by analysis of information.’ Every organisation will have knowledge based on its accumulated business experience, as well as the individual experiences of every person with whom it is associated. Capturing and exploiting knowledge remains a significant area of challenge for organisations, and it is rare that knowledge is considered as a component of an organisation’s asset base.

Wisdom

Wisdom is not something that can be managed per se. We define it as the intelligent application of knowledge, using experience and judgement often gained over time. It is useful to see it in the context of the information management environment, but it is not something we will spend time analysing.

---

2 Open public sector information: from principles to practice. Office of the Australian Information Commissioner, February 2013, p. 59

Records

Where do Records fit in the Information context?

*Records* are defined by the Records Management Standard AS ISO 154891 as “*information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business*”.4

Records Management is an important part of Information Management albeit rather a large one in the public-sector environment, and needs to be thought about strategically in the context of information and knowledge management.

Agency records are a primary source of information as the organisation conducts its business, yet Records Management is often seen as a tactical, compliance task, and a cost to the organisation, rather than providing real business value. Seeing beyond this and recognising these records as core information assets will mean the strategic approach to managing records is quite different. For example, records management staff are often seen as “backroom” administrators, where taking a more strategic view will see expectations that these roles become key in assisting the organisation to manage and access a core and valuable asset. We need to change the perception of these roles, and ensure those in them have the skillsets needed for a modern records management environment.

Information management strategic planning

The primary aim of information management is to ensure the right information is available to the right person, in the right format and medium, at the right time; and that high value information is retained and managed for future use.

*Information management strategic planning* is about ensuring there is a deliberate approach to how information which is important to our organisation is managed and governed within a culture of continuous improvement, and that this is done in the context of our organisation’s business and operating model. It is about being clear about the direction of our organisation’s business, anticipating need, prioritising resources and applying governance over the information assets which enable business and services to be delivered effectively.

IM Strategic planning will also take account of frameworks required – how it all fits together; the leadership and people capability; and the systems, tools, policies and processes needed to get the most from our strategic information asset.

IM Strategic planning will include identifying the changes needed to build new capability in information management. What needs to be done and when, at a high level; what culture we need to do this well; what knowledge we need; the scope of information we are managing - for example, data, records and perhaps including knowledge management; and the categories of information such as patents, legislation, on-line databases, registers, etc. Strategic information planning provides the opportunity to take a long-term view, setting goals and prioritising the actions to get us to those goals.

Operational information management

Operational (sometimes referred to as tactical) information management is about putting the plan into practice – implementing a road-map and providing day-to-day standard services. Operational information management is essentially 'business as usual' which includes elements of service improvement and ongoing improvement of policies, processes and systems, but is not about transformational change. It includes - amongst other things - delivery of routine data, information and knowledge management services to meet the general needs of clients, ensuring -

- policies and procedures are fit for purpose within an agreed framework
- resourcing is tailored to requirements
- systems and processes are refreshed and continuously improved
- training programmes are in place and delivered
- roles and responsibilities are clear and changed where necessary.

3 WHY IS IM STRATEGIC PLANNING CRITICAL?

“Accessible information is the lifeblood of a robust democracy and a productive economy”

Australian Information Commissioner

Agencies gather data and information, analyse information, produce new information, distribute information, re-use information, make decisions using information, change decisions based on new information, protect information, retain and preserve information for future use, and discard information which is no longer required. Yet it is rare that information is thought about as a strategic asset.

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This is changing; and the change is being driven at least in part by the realisation that the wealth of data residing in organisations is under-managed, under-utilized and growing exponentially. There is evidence in the public and private sectors that those that manage, analyse – and (in the public sector) share data and information are finding innovative solutions to new and old problems, making more informed decisions using more reliable evidence, and making more effective investments and policy choices.

3.1 Government expectations

Federal, state and local government have a raft of legislative requirements, strategies, policies and directives that make it very clear that government information should be managed as an asset, valued, and available to citizens. They expect leaders to make this happen, and through agencies such as TAHO provide advice to help to do this.

Figure 2 Government expectations for Information Management - examples
3.2 Information is growing at an exponential pace

Without information organisations cannot function; likewise too much information becomes overwhelming.

Information is growing at a rapid pace that would have been inconceivable just a few years ago. The pervasive use of email and social media and the rise of the Internet of Things\(^6\) are big contributors, but even without these the amount of data that we can now explore and manipulate through using technology is massive, and the impact of doing or not doing so is driving the success and failure of businesses.

Forty years ago, we had a very different way of managing agency information. It was an era where most of the information came in through a mail room or the library. Most of the information created went via the typing pool which while at times struggled to keep up with the workload, gave us a sense of quantity. At each point, there was a classification and routing process, where information was captured and classified, managed according to policy, and magically put in the "right place."\(^7\)

Now the creation, capture, control and governance of agency information is much more complex. Everyone in the agency needs at least a basic level of competence in saving and searching for information. The demands on information professionals are much greater and competence is not only required for information storage and retrieval, but in advanced technology and systems thinking, strategic business skills, communications skills and an ability to grasp complex concepts. Investment in people capability is essential, as is investment in critical systems.

The desire to do more with less funding, and growing customer expectations for better access to government information, result in agencies feeling overwhelmed with the size of the perceived information management task. It is crucial that Agency planning processes embrace planning for the strategic management of information.

3.3 Delivering value

The value of information strategic planning will be visible across and beyond the agency - from key decision makers (internal and external), the individuals in our agency who need the information to do the job; and to our other stakeholders and customers. These core benefits will be applicable to any agency:

- Improved service delivery and outcomes
- Innovation

\(^6\) The Internet of things is the internetworking of physical devices, vehicles buildings, and other items—embedded with electronics, software, sensors, actuators, and network connectivity that enable these objects to collect and exchange data. [https://en.wikipedia.org/wiki/Internet_of_things](https://en.wikipedia.org/wiki/Internet_of_things)

\(^7\) Huxtable, Allegra. IM Maturity Assessment 2016 - Presentation. Tasmanian Archive + Heritage Office, 2016. [Originating from – James Lappin – Thinking Records UK](https://thinkingrecords.co.uk/page/2/)
• Efficiency
• Risks mitigated or managed
• Information available for future use.

Some will be more important to our agency than others. The strategic planning process will draw out our agency priorities on where the focus needs to be. This will change over time, and therefore should be routinely revisited to review and reframe our objectives as time passes.

3.4 A foundation for wise investment and agency reputation

Improved access to information that our Agency holds will be important to our Minister, state or local authority representatives, other agencies, sector groups and the community.

Making reliable information available to them, to businesses and to our communities through providing the tools to enable fast access directly will be very good for our agency reputation, as well as being cost effective.

3.5 Good information management won't happen by accident

Incorporating information planning into our broader planning processes through developing an Information Management Strategic Plan will provide a foundation for ensuring agency investment in information is well targeted. Having the right information at the right time doesn't just happen. Ensuring quality information is available and accessible must be planned for just as budget, people capability, processes and systems are planned. The availability and use of high value information will directly influence and impact agency outcomes, organisational effectiveness and value for money. How often do we hear decision makers, advisers, analysts, customer service staff, and others say?

Achieving a well-managed information environment when starting from a base of largely unmanaged information will take time, but taking a structured, policy based approach will get us there faster, and the path will be clearer and more defined. Information risks will reduce as we progress, and benefits will be realised earlier. Failure to plan, prioritise and invest in information management will see more of the above complaints and the associated re-work, missed opportunities, etc.
4 DEVELOPING THE IM STRATEGIC PLAN – Overview

In Sections 4 - 11 we refer to each policy statement in the *Information Management Strategic Planning Policy* (see 0, Appendix 1), and outline practical steps to implementing these. Section 4 provides an overview of the key elements of the Plan.

### Information Management Strategic Planning Policy

1. Information Management Strategic Plan and High Level Road-map

   Agencies MUST develop and deliver an Information Management Strategic Plan and high-level Road-map. This is a multi-year view of the actions required to meet the Agency’s information management goals and related benefits.

   Annual plans will be developed from this, will focus on operational outcomes, and contain more specific activities.

4.1 Scope and structure

4.1.1 Scope

We may have been aware for some time that our information management environment is not what it could be and needs attention; or TAHO may have recently undertaken an Information Management Maturity ‘Health Check’ Assessment of our agency – and the results weren’t great. Either way, now is the time to develop a plan. The business benefits will be there!

So, what should the Plan cover? In Appendix Two – Information, Data, Records, Knowledge and IT Domains (p72) we show what typically falls into the Information Management domain, as well as the intrinsically linked aspects of Knowledge Management and Information Technology management. As this is a strategic Plan, the scope should aim to cover the whole of your information management environment - that which is enclosed in the purple box in Appendix Two.

This means there is a comprehensive, high level consideration of all types of information in its broadest sense including data in business systems, website and intranet content, library, records and so on. Depending on the maturity of various aspects of our information environment we may pay more attention to one type of information or one aspect of information management than another, and we may have more detailed plans focusing on just one form of information - for example, data.

We need to consider if we will also include Knowledge Management in our plan – in particular, the management of *tacit* knowledge that which lies in peoples’ heads, as this adds considerably to the scope. For the purposes of this handbook we will cover *explicit* knowledge - that which is documented - but not *tacit* knowledge.
**Information technology (IT)** is about the tools and systems required to store and manage information. It is important to ensure we have ‘fit for purpose’ systems in which to manage information and workflow, and so our IM Strategic Planning will consider IT from a high-level functional and capability perspective. IT is something which requires its own plan, or its own section in a Corporate Plan.

### 4.1.2 Timeframes

There are two time components that we need to consider -

i) **The duration of the Plan**

Agency Strategic Plans are typically three year or five year plans. Infrastructure or sector plans may be considerably longer than this, and may even be thirty year plans. If our agency is an infrastructure agency we will want to be familiar with these plans, but planning beyond a five-year timeframe for Information Management is not likely to drive much benefit as so much changes within this timeframe, especially where a technology response is required.

If our IM Strategic Plan has a 5-year timeframe (aligned to the timeframe of the Agency Strategic Plan) the content for years 4 and 5 will be very much less precise than for the initial couple of years, but will become more specific as we progress through the Plan.

It is usual to review strategic plans every year. There should not be a wholesale change to content unless the strategic direction of the Agency is changing. In an annual review the content should be updated to reflect changes in Agency priorities, new initiatives which were not on the table the previous year, new information (for example on funding, timing, risks etc.), as perhaps investigation from the previous year has provided greater clarity on these or other important matters.

ii) **The timeframe in which we need to develop our IM Strategic Plan**

As our IM Strategic Plan needs to flow from the agency Strategic Plan(s) this can be a delicate balance, with the content of the latter perhaps being refined as we work on our IM Plan. There are often only short windows in which to plan, and priority needs to be given to completing this work, otherwise opportunities for funding and other contestable resourcing can be lost.

Waiting for the Agency Strategic Plan to be finished before we start is likely to put us behind time, so we need to work on our content where we are already confident the direction is aligned, and where dependencies are less significant. For example, we should have sufficient knowledge of the agency and external drivers to be able to develop our governance frameworks, IM Vision and Principles amongst other things prior to finalisation of the Agency Plan.

Planning is an iterative process and we need to start work on our Plan so that we can consult with business groups on their priorities as well as ensure they incorporate IM priorities where it is important for them to do so. This is even more important with the annual business plans.
### 4.1.3 Presentation and Structure

Our IM Strategic Plan will comprise two parts -

a) The Plan-on-a-Page - this is an A3 page which comprises the key elements of our Plan in diagrammatic form;

b) The full Plan which provides context and sufficient detail on which to build annual operational plans.

This would normally be 10-15 pages in length to enable sufficient visibility of the underlying thinking, and to be easy to digest. Visual presentation of content should be used wherever possible.

Typically, an IM Strategic Plan could be structured as follows:

<table>
<thead>
<tr>
<th>Section</th>
<th>Content</th>
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<tbody>
<tr>
<td>Purpose</td>
<td>An introductory statement about the intent behind the preparation of this IM Strategic Plan; that is why information needs to be managed well. This should be signed off by the Executive with accountability for Information Management, or by the CEO, General Manager or agency leader.</td>
</tr>
<tr>
<td>Strategic Plan-on-a-Page</td>
<td>A key resource for leaders and staff – can be used as a ready reference and core agency document.</td>
</tr>
<tr>
<td>Strategic Environment</td>
<td>An environmental scan, identifying the external and internal trends, challenges, and risks and disruptive forces that will, or are likely to, impact on your agency business. Will include agency goals over the next three to five years, or the duration of the Plan.</td>
</tr>
<tr>
<td>Desired Future State</td>
<td>What will the future (in 3-5 years) look like if you implement the Plan – in terms of business outcomes and benefits, or expected value</td>
</tr>
<tr>
<td>How will you achieve the future state</td>
<td>What are the cultural behaviours you expect to see &amp; what are the IM Principles for your agency – these two aspects may be similar but unlikely to be the same.</td>
</tr>
<tr>
<td>IM Strategic Objectives</td>
<td>The specific areas that will be the focus of development expressed as high level targets. These are developed from an assessment of current state and the gap to be bridged to achieve the desired future state.</td>
</tr>
<tr>
<td>Key Initiatives or actions</td>
<td>These are the specific initiatives (actual projects or actions) which will deliver benefits. These are what will deliver change.</td>
</tr>
<tr>
<td>Operational Risks</td>
<td>What are the major risks that may impact on achieving the Plan? It is not necessary to include these in the Plan, but they are an important governance component in managing progress towards achieving the desired outcomes.</td>
</tr>
<tr>
<td>Governance</td>
<td>How is the IM environment and progress on the Plan governed and led? What are the key measures of success?</td>
</tr>
<tr>
<td>High level multi-year roadmap</td>
<td>The roadmap visually lays out the key initiatives in the work programme and is usually structured as a timeline. The Roadmap highlights priorities and inter-dependencies; and for larger projects shows feasibility and planning phases as separate to implementation phases. The roadmap helps ensure resources are well utilized and not over-extended.</td>
</tr>
</tbody>
</table>
There are other ways we could structure the Plan – for example we could emphasise themes such as leadership, culture, skills, process and technology, decision making, etc. We would do this by assigning a page to each theme showing current state; interventions; future state, or a description of what success would look like.

4.2 Overview of the key content

4.2.1 Leadership first

The most effective way to build your plan is to take a collaborative approach, and to have strong direction and endorsement from the leadership of the agency. Engaging the leadership team in discussing why managing agency information is important, and in agreeing the desired culture and behaviours that will be needed to do this well, will lay the groundwork for a robust plan and successful change management.

Shifting to a culture where knowledge and information sharing are highly valued may be quite a big leap. Leaders need to lead the way. If they take accountability, walk the talk and are clear about the behaviours they expect, acknowledging good practice, then even if there is not a lot of funding available to improve or implement new systems, progress can still be made.

4.2.2 Understanding our Agency’s strategic environment and the information needed to deliver Agency goals

Each year our executive team is likely to review, refresh or renew the Agency strategic plan. Depending on our Agency business there may be other core strategic documents driving policy direction which include key information on local, regional or state government goals.

These plans articulate priorities and direction and can be quite specific on the outcomes sought. In developing the plans, an environmental scan is likely to have been undertaken, and thought given to what is achievable over time and within budget constraints. What also needs to be considered (and is often not) is the information needed to achieve the desired outcomes, just as we would consider other resources required. What data and information will be needed? Do we already have it? If not, how will we get it? Do we have to create it? How much will it cost? Can we afford it? How will it need to be manipulated, analysed and stored? How will it need to be protected? If we can’t answer these questions we will need a key action in our Plan to address this.

4.2.3 Developing a vision and strategic information objectives

Our IM Vision will be a common view (collaboratively developed) of our aspirations for how information will contribute to the success of our business. It is a short statement describing our desired future state for our information environment.

Our Vision will be underpinned by IM strategic objectives (or goals). These are a fundamental building block of our strategic plan and will guide what we do to achieve our Vision. Strategic Objectives are long term and measurable, and each will have a series of associated actions designed to achieve one or more objective.

Our actions will be the specific interventions which will make the greatest difference in enabling us to achieve a mature information environment.
4.2.4 Developing our information culture and capability

Our beliefs and behaviours may help or hinder us achieving an environment where information assets are valued and used to advantage. A set of IM Principles will describe clear expectations on the strategic approach to information management in our Agency. They will guide behaviours and promote our desired culture.

Critical Success Factors (CSFs) generally relate to people, process and technology. By their nature, they imply a change from the current state. Changing our culture and building our capability can be critical factors in enabling us to succeed. While we need to be realistic about our current state we shouldn’t dwell too much on this, but rather on what the essential change actions need to be.

4.2.5 Ensuring value – Identifying the benefits

We are developing a Plan which, when implemented, will deliver benefits. We need to know what these are, and whether the amount of effort that will be needed will be worth it. Benefits need to be defined in terms of the customer, not the agency. If an intervention will benefit the agency, it is likely it will also benefit the customer. We can group benefits into types or themes, and seek a balance across these.

4.2.6 Refining the Plan

This is where we define what actions will be a priority; how much can be achieved by when – at a high level; the operational risks we will need to manage and who is accountable. Prioritisation will demonstrate the building block nature of some of the initiatives, and a high-level view of phased timing for the major strategic initiatives.

Annual operating plans can then be developed which provide a more detailed level of intention, and are more specific in terms of what will be delivered than a strategic plan. (While we touch on operational plans, this is not a focus of this Handbook).

4.2.7 Measuring and monitoring

When measuring progress, we need a benchmark or starting point as well as a clear description of what constitutes success. How will we know the impact of our initiatives, and what will be evident when we have achieved our objectives? How will we know that our overall direction is positive, even if we have had some failures along the way?

There are a range of ways to measure, and it is usual to use more than one tool to assess progress. Our plan needs to outline how we will measure success and how will we report on it.

4.3 Our information environment - from Unmanaged to Managed

The following Guide shows the core elements of moving from an unmanaged to a managed IM environment at an overview level. Sections 5 - 11 provide detailed guidance on how to develop the Plan. It may be useful to print this Guide and to refer to it as we progress through the following sections. This Guide is largely sequential starting at the top left, moving down by column and finishing bottom right. You can of course work on a range of things at once.
### Information Management Unmanaged to Managed

<table>
<thead>
<tr>
<th>Executive Leadership</th>
<th>Understanding current state &amp; identifying desired state</th>
<th>Planning &amp; prioritising; getting to future state</th>
<th>Developing action plans</th>
<th>Implementation</th>
<th>Measuring success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency Secretary or General Manager appoints a Senior Responsible Officer (SRO)</td>
<td>High level review of agency’s information needs aligned to agency strategy and business functions</td>
<td>Agree functional scope: • Data management • Records management • Information management • Knowledge management? Undertake maturity modelling exercises</td>
<td>Develop a strategic multi-year plan. Apply a thematic approach, and identify the benefits. Identify success measures</td>
<td>Develop Year One Plan and high level roadmaps for Years 2 and 3.</td>
<td>Develop new products or enhance existing services, policies, processes, tools in consultation with stakeholders</td>
</tr>
<tr>
<td>SRO forms an Information Governance Group</td>
<td>Strategic assessment of the high value information currently in hand.</td>
<td>Undertake maturity modelling - • Capability Scope: • Leadership and behaviours (Culture) • People skills and capacity • Systems, processes and tools</td>
<td>Include high level prioritisation, resourcing required, identification of where business cases are needed, who will do these and when. Assign accountabilities</td>
<td>Ensure: • Clear accountabilities • Performance indicators agreed • Clear governance • Capability in place • Sufficient capacity • Sufficient funding • Dependencies understood • Risk plan in place • Regular reporting mechanisms</td>
<td>Identify training needs • Plan and deliver training programmes. Identify champions • Incorporate training into induction programme. Where appropriate measure trend information.</td>
</tr>
<tr>
<td>SRO leads a 2-hour workshop with the Executive Team on: • Aligning terminology • Why is information management important? • Information leadership – how will we (the agency) do this?</td>
<td>Identify the problem areas and how these might be solved / managed</td>
<td>Agree desired level of maturity for your agency – assessing cost, benefit, risks, outcomes. Agree changes that are needed, e.g. – Operating model, capability, systems, processes, policies Identify critical success factors</td>
<td>Agree organisational structure fit for purpose Identify issues, risks and mitigation strategies. Ensure alignment with other plans</td>
<td>Roll out the above. • Plan and deliver training programmes. • Review and modify where necessary. • Continuous improvement. • Ongoing reporting</td>
<td>Establish timely performance measures. (Give time for initiatives to be embedded before announcing success).</td>
</tr>
<tr>
<td>SRO appoints business owner/s and project managers as applicable to take responsibility for the delivery of initiatives</td>
<td>Do you have an integrated view of agency information needs and gaps?</td>
<td>Develop an Information Vision and Framework Agree Information Principles under which you will operate.</td>
<td>Executive approves strategic plan SRO &amp; Governance Group approve tactical plans and budgets.</td>
<td>Develop next year’s plan. Use performance measurement to develop continuous improvement.</td>
<td></td>
</tr>
</tbody>
</table>

**Progress and results**

<table>
<thead>
<tr>
<th>Leadership buy-in</th>
<th>Strategic alignment</th>
<th>Understanding current state, developing the vision and goals</th>
<th>Planning and agreeing the approach to moving to desired future state</th>
<th>Successful projects Organisational goals met</th>
<th>Celebrate success</th>
</tr>
</thead>
</table>
GETTING STARTED – LEADERSHIP AND ACCOUNTABILITY

Information Management Strategic Planning Policy

2. Leadership and accountability

Chief Executives MUST assign a Senior Responsible Officer (SRO) accountable for the development and delivery of the Agency’s Information Management strategic priorities. This includes preparation of an IM Strategic Plan.

The SRO SHOULD be supported by an Information Governance Group.

The Plan MUST identify the roles accountable for the delivery of the actions within the plan; and ensure the people in those roles have the capability and resources required to deliver their part of the Plan. The Plan MUST be formally approved and supported by Executive Management.

As leaders, we think about our agency and how we can most effectively deliver the services and advice we are mandated to deliver. If as leaders, we know the potential of our agency’s knowledge and information assets and we are implementing a plan to get maximum value from these, we will see greater business benefits, achieved faster. We will discuss how to identify business benefits in more detail later.

Strong leadership and clear accountabilities ensure that things get done. Establishing an Executive Team member as Senior Responsible Officer (SRO) or Executive Lead, supported by an Information Governance Group or Steering Committee, is a key step in the journey to a well-managed information environment. This role is similar in nature to that recently recommended by the National Archives of Australia.9

Leadership makes a difference. Leaders not only drive organisation results, but also drive the culture of organisations. Leading by example, being clear about the behaviours required, and recognising high performance will effect change quite quickly.

5.1 Leadership role accountabilities

The National Archives of Australia (NAA) provides a useful description of roles and responsibilities in information and records management10. While the focus is on records management, the content can equally be applied in the broader context of information management. Some content from this site has been used below.

The NAA also works with a range of other government agencies such as the Office of the Australian Information Commissioner towards the common goals of achieving full, accurate and secure information and records. This group of agencies provide useful information and resources to assist in developing our own agency and leadership accountabilities.\(^{11}\)

Next, we provide some core information management expectations for leadership roles.

### 5.1.1 The Agency Head

CEOs of government agencies and their equivalents in local government have specific compliance accountabilities in relation to information management and governance. These may be generic such as those stated in the Tasmanian Archives Act 1983 or may include legislative requirements related to line of business.

The Archives Act 1983 requires under Section 10 (1) that the relevant authority -

- (a) is to keep proper records in respect of the business of the Government department, State authority or local authority for which the relevant authority is responsible; and
- (b) is to cause all such records to be preserved and accessible until they are dealt with in accordance with this Act;

The agency head is accountable for ensuring compliance with all legislative, regulatory and administrative requirements. Each Agency must determine what additional requirements they MUST meet. TAHO provides guidance on this in State Records Guideline No 1,\(^{12}\); Advice 54\(^{13}\) and Advice 36.\(^{14}\).

Agency heads of State Departments in Tasmania are also required to meet policy requirements issued by the Office of eGovernment.\(^{15}\) These include:

- Heads of each Tasmanian Government Agency are responsible for implementation of the [eGovernment] Policy and Procedures
- The Head of each agency MUST convene an Information Security Committee composed of senior management, or assign the role to an existing senior management committee. This Committee is responsible for ensuring the Policy is applied.

In addition, the National Archives of Australia and many of the State Archives agencies also provide guidance on accountabilities for government agency CEOs. While not mandatory for CEOs and agency leads in Tasmania this guidance provides a useful reference point for ensuring strong information leadership. One example of this is the Digital Continuity 2020 Policy\(^{16}\) which states -

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12 Tasmanian Archive + Heritage Office. Records management Principles: Overview (State Guideline No 1)
13 Tasmanian Archive + Heritage Office. Toolkit for Local Government (Advice 54)
14 Tasmanian Archive + Heritage Office. Information Management Advice 36. Legislative Mapping for Information Managers.
• ‘Agency heads are accountable for information governance in their organisation.’

5.1.2 The role of the Senior Responsible Officer / Executive Lead

This is a governance role, and in many organisations the person in this role also has line management responsibility for the agency Information Manager.

The term Senior Responsible Officer is a project management term which may not be used in our agency. Whatever term we use for this role it is the one which has agency responsibility for driving the direction and achieving the desired outcomes for the organisation’s information environment. Typically, the person appointed to this role reports to the agency head / CEO, and is a member of the Executive Team.

The role of the SRO should include the following:

• Approves and champions the agency’s Information Management strategies, business model, business plans, policies, standards, business cases and capability model. (Alternatively, approval may be the domain of the Executive Team in which case the SRO supports, promotes and leads the adoption of these).
• Ensures effective governance and control frameworks are in place to meet both organisational and statutory compliance, and business requirements
• Maintains Executive Team awareness of information value through regular reporting on information management performance, value and risk
• Drives or champions an organised approach to improving the use of information and data across sector and other stakeholder organisations
• Fosters and maintains working partnerships among senior managers, information and records managers, and ICT managers to develop, review and implement systems that support creating and managing information and reliable records.
• Chairs the Information Governance Group / Steering Committee.

When developing the SRO role, it will be useful to refer to the National Archives of Australia role content for what they have called Chief Information Governance Officer. The accountabilities they describe are similar. Note that this role is not the same as the Chief Information Officer (CIO) role – a role which has a much greater focus on technology in most organisations. It could be quite confusing to have two roles with such similar titles, so using the recognised term, Senior Responsible Officer makes the role distinguishable.

5.1.3 The role of the Information Manager

The Information Manager is the lead functional specialist who - depending on the size of our agency - may be managing other functional specialists.

People in IM Manager roles will have applicable professional qualifications and several years’ relevant experience. They will understand the strategic and regulatory environment of information management in the public sector and in their agency.

This role will be responsible for -

- working collaboratively with business managers to identify new opportunities to increase efficiency, improve decision making and support better customer service delivery,
- analysing agency business functions, identify information management requirements, assess risks and apply results to developing, operating and reviewing business systems and processes
- influencing stakeholders to incorporate information and records management requirements when designing and developing new business processes
- integrating information management expertise and strategic business skills in developing policies, standards and systems
- ensuring that adequate documentation, training and advice on information management is provided to managers and staff so that systems are used, risks reduced and quality information is available
- working cooperatively with ICT professionals to design, implement and improve records management, information architecture and the accessibility of information
- contributing to strategy development and change management
- championing collaborative ways of working and ensuring information is sourced, captured, managed and accessible
- managing the IM team, and undertake generic management functions

5.1.4 The relationship to other information related management roles

Depending on the size of our agency there may be an equivalent Data Manager (DM) and / or Knowledge Manager (KM) role. Like the Information Manager role, these are leadership positions. These roles ideally should be at a similar level in the organisation to the CIO. The roles have a different focus to that of the CIO, and a reporting line to the CIO often results in a systems focus, rather than a focus on the cultural and information asset management approach needed in the IM, KM or DM roles.

5.1.5 Line manager accountability

All managers in our agency manage and are accountable for information in some form or another. This may be the information in a specific business system; dissemination of content about the services they are accountable for on the website, intranet or both; records created by their team; etc.

Staff take their cue from managers, so ‘walking the talk’ is an important factor in influencing behaviours. We expect our managers to:

- Recognise the importance of information and records management in the agency
- Endorse agency information management policies and procedures and direct staff to follow them
- Where appropriate actively participate in IM initiatives as ‘business owners’, and encourage team members to do so
- Actively engage with their team to ensure they understand their role in information and records management; discuss ways in which IM can better support business delivery, and ensure staff receive the IM training they need
- Ensure there are sufficient resources (time and skilled staff) to appropriately manage information so that work can be performed effectively
• Seek and act on the advice of professional information management staff in the agency.

5.2 Information Governance Accountabilities

5.2.1 Establishing and leading the Governance Group / Steering Committee

The SRO role will be much easier if there is a strong Information Governance Group working under their leadership. The Governance Group may be called a Steering Committee. Whatever the name, the role is about “steering” the boat, not “rowing” it! The name of the Group should resonate with the membership and fit with the desired culture of the organisation. It should also reflect the nature of the role, and not be confused with the role of a Project Steering Committee which usually has a single focus. The role of this governance group is strategic, with oversight of a critical agency function.

The role may be better reflected and understood if called a Governance Group or Committee.

The SRO will Chair the Governance Group and be accountable for establishing the Terms of Reference, setting relevant agendas and ensuring the Group performs well.

The role of the Group will usually include:

• Championing and embedding a culture which values knowledge, information, data, and records management across the agency
• Developing and communicating clear guiding principles which reflect an approach and commitment to creating and managing information
• Understanding the legal, regulatory, risk and business context for the agency’s information assets
• Ensuring alignment of information strategies, plans, frameworks and policies to the agency’s business, and recommending sign-off to the SRO and Executive
• Securing resources for information infrastructure, planning and management
• Reviewing aspects of information management in the Agency to ensure progress against goals, refresh the direction or advise remedial action
• Developing an information workforce plan and aligning this to capability requirements
• Ensuring effective governance arrangements are in place for major information projects and programmes of work
• Ensuring maximum benefit is delivered from information investments
• Providing advice to the SRO

5.2.2 Membership of the Governance Group

A critical success factor for the Governance Group is membership. Those selected must have the authority to make decisions at a senior level. If they are not a business group manager, they must have the trust of their business group manager and the delegated authority to commit to decisions.

Including our influential managers, and leaders with accountability for achieving information objectives on the Governance Group will help achieve strong buy-in as well as strengthening accountability. We cannot expect
our Information Manager(s) to have sole accountability for information management and governance in the
agency.

5.3 Engaging leadership

As leaders, we must understand why Information Management Strategic Planning is critical to our business. This
understanding will then help us to develop our IM vision and strategic objectives, and will help when we are
making investment decisions and prioritising what is important. This includes not just prioritising our own
information management initiatives, but also prioritising them against all our new initiatives.

To do this we need –

• a common agency view on why managing our information is important
• agreement on what this means for how we work
• to identify what we would be doing differently if we were managing our information well
• to develop a Terms of Reference for and with our Information Governance Group
  o ensuring members engage and can see how they add value;
  o so that members can identify benefits for the agency and their own business group
  o so that agendas will be relevant and interesting, and are worth prioritising time for.

This can be achieved easily and quickly by the SRO leading a series of short (1.5 – 2 hours each) workshops
with the Executive Team and the Information Governance Group.

It is also useful in the early establishment of the Governance Group to invite presentations from those in the
agency who are leading new initiatives where information management is a critical component of a changed
approach, and/or where the innovative use of information, data and evidence is driving new decision-making in
the Agency. Examples of where this has occurred elsewhere include –

• where service delivery contractors are now obliged by contract to provide the Agency with
  important information gained as a part of undertaking the contract - information which had
  previously been retained by the contractor and not shared
• where new data analysis has driven different decisions on which capital works (or other) projects
  should be funded, where previously decisions had been made on professional judgement rather than
  hard evidence.

Such presentations will help the Governance Group understand the significant impacts that applying an evidence
led focus to change can have, and how easy access to information and managing information as an asset are
critical components of this. Also, it ensures a wider knowledge in the organisation of the types of initiatives that
are producing significant benefits and could be repeatable in other contexts.
### 5.4 Action Summary – Leadership and Accountability

The following table summarises the inputs (actions), outputs and outcomes discussed above which will help engage leadership and drive successful information governance.

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Align terminology</td>
<td>Agreement on how the Agency will interpret IM terminology</td>
<td>Common understanding of terms and definitions for information management</td>
</tr>
<tr>
<td>Chief Executive appoints an SRO</td>
<td>SRO accountabilities</td>
<td>Common understanding of why managing information is critical to our business</td>
</tr>
<tr>
<td>SRO appoints IM Governance Group</td>
<td>Governance Terms of Reference</td>
<td>Commitment to planning how to achieve a well-managed IM environment</td>
</tr>
<tr>
<td>Engage leadership in workshops to explore the ‘why, how and what’ of strategic information management in the Agency</td>
<td>Brainstormed results developed into common themes, and word-smithed to form critical input for developing the IM Vision and for testing the strategic objectives in the IM Strategic Plan</td>
<td>Leaders inspired by innovative examples of using information and data to drive new outcomes</td>
</tr>
<tr>
<td>Showcase examples of evidence based innovation</td>
<td>Role clarity for leaders and managers</td>
<td>Leaders more confident to “walk the talk”</td>
</tr>
<tr>
<td>Ensure IM specialist leadership roles reflect agency need</td>
<td>Introduction to the Plan including why information management is critical to our business (on one page)</td>
<td></td>
</tr>
<tr>
<td>Review job profiles to ensure IM expectations are present and clear; and a component of every role</td>
<td>Leadership and governance arrangements (on one page)</td>
<td></td>
</tr>
<tr>
<td>Develop the Introduction to the IM Strategic Plan, and the Leadership and Governance section</td>
<td></td>
<td></td>
</tr>
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</table>
6 BUSINESS INFORMATION NEEDS AND FUTURE DEMAND

Information Management Strategic Planning Policy

3. An analysis of your current IM operating environment and future demands

Agencies MUST address how well the information they create, access, maintain and share will support business needs over the next 3-5 years (or the life-time of the plan).

The scope of this SHOULD include:

Data Management, Records Management and Information Management

In undertaking this analysis, you SHOULD consider:

- the direction of your business, the high-level outcomes agreed with government, and its goals and medium term objectives.
- legislative requirements and government expectations such as “Stats Matter” and Open Data strategies.
- the trends and challenges you’ll need to consider as you develop strategies to achieve the desired outcomes.
- how well your current information management culture, leadership and behaviours, people capacity and capability, systems, processes and tools will meet your business needs, now and in the future.
- whether your IM organisational arrangements (structure) is fit for purpose for supporting and delivering the information requirements.
- what new initiatives, projects or programmes are required to meet business delivery or organisational capability goals.
- the investment and expenditure requirements to deliver the new initiatives.

There are two core aspects to understanding the current state and developing a desired state, both of which need to be considered as we formulate our IM Strategic Plan. These two aspects are linked.

The first is about understanding what high value information we have; what we need; and what the gaps are if our Agency is to deliver its agreed outcomes. To do this we must understand the business we are in - external and internal influences; the commitments agencies have and the outcomes they have agreed to deliver. This section focuses on this.

The second is about agency culture. Our beliefs and behaviours drive decisions which may help or hinder an environment where information assets are valued and used to advantage. How our agency is structured will also have an impact on how we operate, and is an important factor in driving agency culture. Similarly, our
technical capability has a significant impact, and our culture influences how we resource our technical environment from both a systems and people capability perspective. We cover this in Section 8 (Page 41).

6.1 Understanding the business of our Agency

As we embark on strategic planning for information management we need to ensure we have a full understanding of the business of our agency. This includes being familiar with the goals, medium term objectives and the outcomes being worked towards, for the agency and for the sector. Why the sector? Our agency will be working with other agencies and may have some common goals. Or, if we are a Council entity there will be compliance issues, for example, which are common to all Councils.

We need to know and understand our Agency’s current priorities, and the likely priorities for the next 3-5 years. We need to know what key risks are facing the organisation, and may be driving priorities or a certain response. Also, we need to know how the governance environment works, and how investment decisions are made.

Gaining and maintaining an understanding of our business and our strategic environment is an ongoing, continuous process. It can be achieved through:

- Identifying and familiarising ourselves with the key strategic documents which lay out multi-year goals. These include Agency multi-year plans and any key sector plans that our agency is in the process of developing, has developed or has responsibilities to deliver - in part or whole. Examples of such plans include:
  - Hobart City Council, Capital City Strategic Plan 2015-25.
  - Healthy Tasmania - Department of Health and Human Services Five Year Strategic Plan, July 2016

- Keeping up with current affairs through the news media - changes in government policy, budget announcements, community interests or concerns which may impact on how your agency does business
- Attending organisational briefings on internal planning and challenges
- Attending presentations from visiting speakers
- Subscribing to new feeds or RSS alerts of key stakeholders
- Reading the minutes of the executive leadership team, if they are published on the intranet
- Analysing strategy documents from other parts of the business e.g.: business group plans, IT plans and the agency’s People Plan (HR or Workforce Plan).

- Ensuring we are aware of the status of current life-cycle stage of strategic planning documents - are they new or due for review/replacement?
6.2 Understanding our strategic environment, trends and challenges

No organisation makes decisions in a vacuum - our decisions and responses are determined by the context we work in. This includes looking outward to the external context and drivers of change, and thinking about how these factors or trends will enhance or detract from our business delivery to the customer, and how they could (or will) impact on our organisation internally. We need to understand the external and internal environment that the agency is operating in, and factors that may influence choices and priorities.

A common way to work this through is to brainstorm the trends across a set of externally focussed topics. This is called an environmental scan. The Executive Team may have already done this as a part of their planning process and you can re-use the result. If not, then it is important to have the leadership of the organisation represented at the environmental scanning workshop, plus representation from across the agency. This will produce a better-informed result. The environmental scan should be done through an information lens to avoid getting a long list of trends which are not relevant.

The topics to cover in an environmental scan include those below (there may be others depending on your agency business):

The political environment

What political expectations and public pressure are influencing our organisation?

For example, whole-of-government ICT planning may be leading to expectations about standardised information systems (Empower is a good example); public pressure about the security of personal information requires tightening of security requirements; a constrained or easing financial situation could influence the likelihood of budget allocations for new initiatives and projects.

The long term strategic environment and key challenges for our industry

What are the long-term trends and opportunities that our agency is researching, providing advice on, or will need to consider for new service design or policy settings?

The collaborative environment

In what ways does our agency work with other agencies, business, not-for profit organisations to deliver joint services - or on problem solving? What implications does this have for information management decisions?

For example, do we have or need collaborative tools so that we can work on the same documents together? Can we share the cost of purchasing expensive reports which will add real value to our joint work? Can we rationalise electronic journal subscriptions so that we can purchase more together than alone? Do we need to apply resources to explore this further?

The technology environment

How is technology changing and how might this impact us? For example –

- Is new data becoming available as a result of new technology (e.g. the Internet of Things) What does this mean for us? Will it change our priorities for investment?
- How do we respond to citizens expecting increasingly online service delivery?
• How is our digital capability impacting service delivery?
• Are we fully exploiting the systems we have?
• How do we know we are using cloud technologies safely – from the perspective of information security, in particular?

The statutory environment

What legislation must we comply with? Are there emerging legislative compliance issues, or do we have any substantive risks that we are not managing well? Is new legislation being introduced, or major amendments on the horizon that will impact on our information management environment? Are there requirements to meet information related whole-of-government legislation, standards or policies that we are not working on? What is the impact of Stats Matter and the Tasmanian Open Data Policy on our work?

6.2.1 Other drivers of change

Deliverables agreed with Government

We need to be familiar with the high-level outcomes our Agency has agreed with Government that we will deliver, and what the key initiatives will be that contribute to outcome delivery. Is it likely or do we know that our Agency will be taking on some new functions in the next 2-3 years? Will we be shedding any functions, passing them on to other agencies or private entities?

The Agency’s capacity and capability to deliver change.

What is the impact of constraints on staffing numbers, or the growing need for new skills such as data analytics? Skill shortages in the market may impact on our capacity to deliver change or innovation. This may be an opportunity to consider how better management and use of information could help the agency to deal with such issues.

New leadership in the organisation

The appointment of a new CEO or similar often leads to a fresh look across the organisation at how things are going - what the challenges are and whether there is an opportunity to do things differently. We need to be ready for these opportunities and to make the most of them. This is a time when we can showcase what we are doing. Having a strong plan in development or in place, being implemented and achieving benefits will stand us in good stead.

6.2.2 Responding to environmental trends and challenges

Having identified the key internal and external environment trends, challenges, and external expectations, we can now consider which of these will have such an impact that we need to be ready for them. We may respond in our Plan with specific strategic objectives and actions, or we may make an addition to our risk register, meaning we will keep the matter on the radar.

Some examples of strategic objectives and actions resulting from the above could be:
### Environmental factor | Strategic objective | Actions |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Increased expectations that information is securely managed</td>
<td>We understand our information risks and manage them</td>
<td>Refresh our information privacy and security policies and training programme</td>
</tr>
<tr>
<td>New team being formed in response to new government policy</td>
<td>Information is available – at our finger-tips</td>
<td>We plan-ahead and identify and source information needed for new work</td>
</tr>
<tr>
<td>Exponential growth of data availability</td>
<td>We focus our effort on high value information</td>
<td>Prepare a data strategy</td>
</tr>
</tbody>
</table>

### 6.3 Identifying the information needed to deliver Agency goals

Now that we have a good understanding of the environment in which our agency is operating, the challenges it is facing and the outcomes it must deliver, we need to consider how proactive information provision and management will help the Agency achieve its goals. To do this we can:

- Set up meetings with key people who were responsible for developing the strategies and plans. Engage with them about the information that is already available and highly important to them\(^{18}\), and about the information gaps which need to be filled to enable the plans to be achieved. We may also include a discussion of staff capability and whether additional training will help them work more effectively or efficiently.
- We may need further meetings to discuss the above topics in more detail, particularly in relation to gaps with critical and important information requirements. We can discuss options, priorities and resourcing.
- We can develop, implement and maintain a stakeholder engagement plan.\(^{19}\) This will help us manage these relationships, and ensure we have a planned and sustainable approach for effective engagement.

If we have not already identified our agency’s high value information, then rather than slowing down the development of the strategy, it will be more efficient to include an action for this in our plan. We will need an early delivery timeframe, as it is a critical factor in ensuring resources are directed to high value areas.

This work needs to be undertaken using the relevant TAHO materials\(^{20}\), and staff leading this can seek advice from TAHO. The process involves a formal evaluation, appraisal and risk assessment with objective results documented, and the results need to be accurate and reliable.

### 6.3.1 Confirm our high value information, and where we have gaps

We can now:

- form an integrated and agreed view of the high value information for the organisation, keeping in mind future as well as current need

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\(^{18}\) Developing an Information Asset Register. (Advice 39) 2013, TAHO.

\(^{19}\) Stakeholder Engagement Handbook. 2016, TAHO [Currently unpublished but available on request].

\(^{20}\) Developing an Information Asset Register (Advice39). 2013, TAHO.
• identify high value short term and long term needs
• identify the gaps and how we could fill them, considering whether we can source the information or we need to create it; how much it will cost; affordability and priority
• undertake an assessment of how well we are managing our current high value information. This can be done using maturity assessment processes, tailored to data management, records management, and information management more broadly
• formulate the strategic objectives we need for creating and managing our high value information
• add these to our IM Strategic Plan

This means we have a formal means of information gathering, and can develop evidence based strategic objectives for getting to our desired environment. A key action may be developing an Information Asset Register if we don’t already have one.

6.3.2 Vital records

Vital records are those records without which agencies cannot continue to operate; are irreplaceable, or will require significant resources to recreate. Vital records are those deemed essential to reconstruct and continue operations of the agency and to protect its organisational, legal and financial interests. They are likely to include for example:

• the agency’s disaster preparedness plan
• employee details, including contact information and payroll details
• delegations of authority
• current customer and stakeholder records and registers
• contracts, titles, and other signed original legal records
• licences, leases, permits – registers and those enabling our Agency to act or conduct business
• insurance records
• financial information e.g. current or unaudited accounting and tax records
• infrastructure plans, operational policies and procedures (including IT configuration of vital systems)
• records relating to current or potential litigation

TAHO has provided more detailed advice on how to identify and protect Vital records.21

Once we have identified our Vital records we need to assess if risks or issues exist around the management of these. For example, have we protected these records against being destroyed, lost or compromised? Can we easily access these records in the event of a disaster?

We will need to add identified risks to our Risk Register, and possibly add key actions in our IM Strategic Plan.

21 Advice 52: Identifying and Managing Vital Records, v2.0, April 2015, TAHO
6.3.3 Strategic objectives and actions for meeting our high value information needs

Some examples of strategic objectives and actions resulting from assessing the state of our high value information and Vital records could be:

<table>
<thead>
<tr>
<th>High value information state</th>
<th>Strategic objective</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Incomplete evaluation of our high value information.</td>
<td>We focus our effort on high value information.</td>
<td>Develop an Information Asset Register which confirms our high value information, how we are managing it and any associated gaps and risks.</td>
</tr>
<tr>
<td>Vital records have not been identified and we are at risk of losing these in a catastrophic event.</td>
<td>We focus our effort on high value information.</td>
<td>This work may be included as a workstream in developing our Information Asset Register.</td>
</tr>
</tbody>
</table>

6.4 Understanding and responding to key agency risks

Information Management Strategic Planning Policy

4. Issue and Risk analysis

Agencies MUST identify the strategic information issues and risks that will need addressing: analyse these, identify the likelihood and impact of the risks occurring, and outline the steps required to manage them.

6.4.1 Risk Management processes in our Agency

Most agencies will have systems in place to identify risks and apply risk management. The CEO and Executive Team are likely to be assessing agency risks on a regular basis. Programme and project managers will maintain risk and issue registers, assess risks to their programmes and projects, and report on these regularly to their sponsor and/or steering committee. Large organisations are likely to have several risk registers in use at any one time. These should (but often don’t) link to each other in a hierarchy. Some agencies will have a Risk and Audit Committee or similar body focusing on agency strategic risks.

Risk registers are the tool used to manage risks. Frequent review of risk registers will ensure timely identification of new risks; continued assessment of the likelihood and impact of identified risks; a review of how mitigation or management strategies are progressing; and whether any new responses are required.

Risk management can be as simple or as complicated as you want it to be but essentially it is a technique to identify, assess and manage risks to the organisation. It is a matter of:

- considering what might go wrong and why
- assessing likelihood and impact – how likely it is to go wrong and how serious the repercussions might be
• identifying preventive measures to reduce the chance of the risk becoming a reality, and assigning ownership to this
• deciding what should be done if, despite these preventive measures, the risk does become a reality.

(At this stage the risk has become an issue.)

We need to know if there is a risk management framework and risk register in our Agency. If there is not, then this should be raised with the SRO so it can be addressed at senior leadership level. If there is, then we need to review the register to see if there are any information management risks already identified, or whether new risks need to be added. Examples could include:

• challenges we have identified from our environmental scan
• insufficient information to be able to deliver key new initiatives effectively
• information security
• a high potential for litigation
• areas receiving high public or media scrutiny where information management or record keeping is weak
• high expenditure projects or contracts with weak processes, e.g. for recording authorisation of expenditure
• matters relating to sensitive activities
• information processes or systems that because of age, poor implementation / design etc. are creating unacceptable inefficiencies for business operations and service delivery

There may also be corporate or business risks identified in the risk register where - with targeted information - the risk could be more effectively managed or mitigated. While this is unlikely to need to be addressed in our IM Strategic Plan, we can contribute pro-actively to reducing or eliminating the risk. How we manage information, or identify and supply critical information can make a difference to our agency risk profile.

More information about Risk Frameworks and managing risk can be found in TAHO’s Advice 60 which provides advice on:

• Introduction to Risk management processes
• Applying risk management processes
• An information Risk Register Template.

### 6.4.2 Responding to information issues and risks in our Plan

Now that we have identified our agency’s strategic information issues and risks we need to consider whether these are systemic, and significant enough to include in our IM Strategic Plan. These would be included in the form of strategic objectives, and as actions in response to the strategic objectives.

---


An example of an information risk and resulting strategic objectives and actions could be:

<table>
<thead>
<tr>
<th>Systemic, strategic risk identified</th>
<th>Strategic objectives</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Insufficiently robust processes in managing information release under the Right to Information Act 2009.</td>
<td>We understand our strategic risks and manage them. Our information strategies, processes, systems and tools are fit for purpose and aligned.</td>
<td>Review our information release processes and the systems that support this and implement findings.</td>
</tr>
</tbody>
</table>

6.5 Action Summary – Business information needs and future demand

The following table summarises the inputs, outputs and outcomes discussed above which will help us understand our business information needs and lead us to developing a strategic response.

<table>
<thead>
<tr>
<th>Action Summary – Business information needs and future demand</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Inputs</strong></td>
</tr>
<tr>
<td>Review Agency strategic documents to build understanding of information needs.</td>
</tr>
<tr>
<td>Brainstorm an environmental scan.</td>
</tr>
<tr>
<td>Identify our high value information and Vital records, including any management issues arising.</td>
</tr>
<tr>
<td>Identify our information related risks and issues</td>
</tr>
</tbody>
</table>
7 CREATING A VISION AND STRATEGIC INFORMATION OBJECTIVES

7.1 Developing our Information Vision

Now we are familiar with the strategic direction of our agency, the information-related challenges and trends (external and internal) and other drivers of change that we are facing. We have identified our high value information needs or we know we need to do this. We have identified our information gaps and our strategic information risks. Now we can develop our Information Vision.

This is a common view of our aspirations for how information will contribute to the success of our business. It is a short statement describing our desired future state for our information environment. It must be memorable, aspirational, and engage staff and managers alike; and it must be endorsed by the Information Governance Group and the Executive Leadership team.

How do we do this?

An efficient and inclusive way to develop an information vision statement is to facilitate a process which engages a range of staff in one or a small number of repeated workshops. The same questions we asked the Executive Team and Governance Group will work well in this context too. That is:

Why is information management critical to our business?

What kind of culture do we need to deliver IM?

What would be different if we were managing our information well (or better)?

Lead the workshops to craft up some potential vision statements. What few words or concepts do they think would illustrate the desired future? A vision statement should be aspirational but not describe the impossible – for example a statement such as “to be a world leader in information management” is a bit pointless as it is impossible to know when you have got there. Don’t decide on a final statement at this point.

Some examples of IM vision statements –

- Right information, right when you need it
- Information agility in a complex world
- Easy-to-access information helps us make great decisions
- The right information at the right time drives quality decisions and builds knowledge

Now review the results of the workshops, looking at the common themes and words. Consider any thinking done by the Executive Leadership Team and/or Governance Group. Then, off-line work up two or three
possibilities to take to the Governance Group, seeking their advice on a final version (or two) to put to the Executive Leadership Team for agreement.

7.2 Developing strategic information objectives

We have now considered our strategic environment, our information risks, our high value information and our Vision. The next step is to underpin our Vision with a set of strategic objectives (or goals). These are a fundamental building block for our strategic plan and will guide what we do to achieve our Vision.

Strategic objectives are long term and measurable; and are summary statements of our intent expressed as an outcome or a result. It is important not to have too many strategic objectives, so that everyone understands them and can concentrate effort towards their achievement. Some agencies may only have three, others may have as many as ten. More than this means we would probably be duplicating the concepts and just describing them differently. It is helpful to think about the themes which are emerging from the thinking done so far in our environmental, agency risk and information environment. Other themes from which we may develop strategic objectives are likely to emerge as we consider the information culture and behaviours we want to see.

7.2.1 Developing actions to underpin our strategic objectives

For each strategic objective, we will develop the key strategic actions which will assist us to achieve the objective. Some actions will apply to more than one objective. These actions will also be broadly described statements which are underpinned by a range of more specific operational objectives, as outlined in the example below.

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Strategic Action</th>
<th>Operational objectives</th>
</tr>
</thead>
</table>
| Making our information available to others generates innovation | Develop and document processes whereby we can open-up our information and datasets to others through enhanced website capability | • Develop information release standards, policies and processes to ensure information is released safely and securely  
• Identify high value datasets and prioritise which to release and timeframes  
• Review dataset quality and identify remedial work which must be undertaken before release  
• Undertake remedial work  
• Review technical requirements for publishing the datasets on the website, and resourcing required  
…and so on |

The strategic actions will be included in our IM Strategic Plan, but the operational objectives do not need to be developed at this stage of the planning process and should not be included in our Plan.
7.3 Consolidating our Vision, Strategic Objectives and Actions

At this point, our Vision and Strategic Information Objectives may look like this. We have identified four themes – which could be described as:

- Acquiring the information that we need, and being able to find it
- Focussing on important information and managing it well
- Managing our information risks
- Making information available to others.

We have also identified the high-level actions which we know we can achieve, and will make a difference. There will be others, but we need to prioritise the most important.

Figure 3 Vision and Strategic Information Objectives - An example

These will not be our only strategic objectives and actions. We will identify others as we work through our culture and behaviours, and assess the changes we need to make as we move to a well-managed information environment.
### 7.4 Action Summary – Creating a vision and strategic information objectives

The following table summarises the inputs, outputs and outcomes which will help us create our Information Vision and Strategic Information Objectives.

<table>
<thead>
<tr>
<th>Action Summary – Creating a vision and strategic information objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Inputs</strong></td>
</tr>
<tr>
<td>Facilitate workshops to create an IM Vision for the Agency. Executive Leaders to agree on the Vision.</td>
</tr>
<tr>
<td>Identify potential themes for development into strategic objectives, and state these as outcomes.</td>
</tr>
<tr>
<td>Identify the key actions that will be instrumental in achieving one or more strategic objective.</td>
</tr>
<tr>
<td>Decide how to present these, and add to the draft IM Strategic Plan.</td>
</tr>
</tbody>
</table>
8 AGENCY INFORMATION CULTURE AND CAPABILITY

This section is about agency culture and developing the capability we need to move to a well-managed information environment. Our beliefs and behaviours drive decisions which may help or hinder the achievement of an environment where information assets are valued and used to advantage. The following questions will help:

- Do we have the organisational culture needed to deliver on our strategic goals?
- Is there a shared sense of ‘how we do things around here’?
- Do we have a culture of knowledge sharing? Or, is there a culture where we view knowledge as power and information as our own, preferably not to be shared?
- Is the organisational culture we need in today’s world of greater collaboration and new expectations from government, different to that we have today?
- Do we have or need collaboration tools which make it easier to work across team and agency boundaries, and to share more information with partner agencies and other stakeholders, including the community?
- Are our managers and staff clear about what is expected of them in managing and using information?
- What is the culture that we desire for our agency?
- Is cultural change resourced and supported in our agency?
- If not, how do we ensure change will be successful?

We have already done some thinking and brainstorming with our Executive Team and Information Governance Group on how we need to work to get the best from our information assets. This has included –

- why managing our information is important
- what this means for how we work, and
- what we would be doing differently if we were managing our information well.

This will have provided insights into some of the questions above. Other mechanisms we can use to foster discussion in our agency, help define direction, influence behaviours and build buy-in are –

- Develop a set of IM Principles, and
- Consider what actions will be critical to our success in building a strong IM environment
- Develop ‘personas’ of how our staff or customers will be working in the future, visualising what will be in place particularly from a workplace culture, skills, technology and policy environment. These should be specific to our agency and the roles we have. These are sometimes called ‘vivid descriptions’.

Use the results of these discussions to formulate a small set of Strategic objectives which primarily address culture and capability.
8.1 Information Management Principles

Information Principles comprise a small list (maximum of 10) of statements which form key guidance to managers and staff on the decisions and behaviours expected for managing information. They provide direction and articulate what the organisation believes is the right thing to do through a lens of legislative obligations, risk management, and good practice. They are a strong foundation from which to develop or test the Strategic objectives in our Plan. It is likely our Principles will be aspirational rather than reflecting current practice across the organisation.

Once again, our IM Principles should be developed through a collaborative process, then communicated extensively through a carefully designed training programme which covers why we have developed them; why these ones were chosen, what is the substantive scope of each, and examples and stories which help tell how they are applied in practice.

8.1.1 Developing Information Principles

There are many examples of Information Principles which can be drawn upon as we develop our own. There is no single set of Principles that are 'right' - it depends on the agency and its goals. For that reason, it is important to have an open conversation with a range of stakeholders on what they believe could be the appropriate principles to adopt.

Conducting workshops with reference groups of staff and stakeholders and providing them with some examples to aid their thinking is a proven approach to the development of agency IM Principles. We need to include staff from a range of roles and levels, across a range of business groups. Engaging staff in the thinking process will mean they will understand and buy into the concept more quickly. After conducting the workshops bring together the input of the groups and develop a draft set of Principles for discussion with the Information Governance Group. Gain their agreement before seeking endorsement from the Executive Team.

8.1.2 Examples of Information Management Principles

The following table shows some examples of IM Principles.

<table>
<thead>
<tr>
<th>Information Management Strategic Planning Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Information Management Principles</td>
</tr>
<tr>
<td>Agencies MUST develop a set of Information Management Principles to underpin expectations and behaviours.</td>
</tr>
<tr>
<td>Information Management Principles describe clear expectations on the strategic approach to information management in the Agency. They drive behaviours and promote the desired culture. It is recommended these are developed in consultation with internal stakeholders; and are well communicated and understood.</td>
</tr>
<tr>
<td>Information Management Principles MUST be endorsed by Executive Management.</td>
</tr>
</tbody>
</table>

Exposure draft
**Examples: Information Management Principles**

<table>
<thead>
<tr>
<th>Tasmanian Government Open Data Policy 2016</th>
<th>Office of the Australian Information Commissioner</th>
<th>New South Wales Government</th>
<th>UK Public Sector</th>
<th>University of the Sunshine Coast</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open by design</td>
<td>Open access to information - a default position</td>
<td>Governed</td>
<td>Information is a valued asset</td>
<td>Our information resources are managed as valuable assets</td>
</tr>
<tr>
<td>Protected where required</td>
<td>Engaging the community</td>
<td>Collected</td>
<td>Information is managed</td>
<td>Our information management initiatives and investments align with and support our strategic priorities</td>
</tr>
<tr>
<td>Free where appropriate</td>
<td>Effective information governance</td>
<td>Organised</td>
<td>Information is fit for purpose</td>
<td>Our information initiatives are suitably resourced and planned and implemented to leverage existing infrastructure / systems where possible</td>
</tr>
<tr>
<td>Prioritised</td>
<td>Robust information asset management</td>
<td>Secured</td>
<td>Information is standardised and linkable</td>
<td>Our information is easy to find, access and use</td>
</tr>
<tr>
<td>Discoverable</td>
<td>Discoverable and useable information</td>
<td>Used</td>
<td>Information is reused</td>
<td>Our information is created, collected and organised in a manner that ensures its integrity, quality and security</td>
</tr>
<tr>
<td>Usable</td>
<td>Clear reuse rights</td>
<td>Shared</td>
<td>Information is published</td>
<td>Our information is managed in accordance with internal policy and external regulatory requirements</td>
</tr>
<tr>
<td>Primary</td>
<td>Appropriate charging for access</td>
<td>Maintained</td>
<td>Citizens and business can access information about themselves.</td>
<td>Our information management roles and responsibilities are clearly defined.</td>
</tr>
<tr>
<td>Trusted and authoritative</td>
<td>Transparent enquiry and complaints processes.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Timely</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Least restrictive licensing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Engaging</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
You will see from the examples in the Table that while they have similarities, each set has been developed in the context of their agency or agencies. Also, when we develop our own set of principles we need to take account of external expectations such as the Tasmanian Open Data Policy, as well as the internal culture we wish to develop and foster. Some additional characteristics of the examples above that we can consider are –

| The principles of the **Tasmanian Government Open Data Policy**[^23] are designed to be applied across all Tasmanian State Government Departments, so if they apply to our Agency we need to think about how to incorporate the intent of these into our principles. If they do not apply, they still may be useful to assist our thinking. |
| The Office of the Australian Information Commissioner notes that "The **Principles on open public sector information** form part of a core vision for government information management in Australia. They rest on the democratic premise that public sector information is a national resource that should be available for community access and use."[^24] These will provide good food for thought as we develop our set of IM Principles. We may decide to use the concepts and word them differently, or we may decide that these are not the most important information principles for our agency. But, it is important to know they exist and we have considered the points they raise. |
| The **New South Wales Government**[^25] has adopted an outcomes-driven approach to data and information management for NSW, and its information principles are very simple and easy to remember. They are each supported by a descriptive statement. |
| The **UK Government**, like NSW, have developed a common set of Information Principles for government agencies enabling agencies to become increasingly aligned in their use and management of information.[^26] Each Principle has a brief descriptor. In addition, the UK has developed a resource base of extensive references relating to each principle providing guidance in best practices, standards etc. |
| The **University of the Sunshine Coast** has a vision which is supported by Information Principles designed to guide all information management decision-making, policy development and projects across the University.[^27] |

[^27]: The University of the Sunshine Coast Information Management Framework - Version 6.0
Each IM Principle should be as succinct as possible and able to stand-alone, however it is common and useful for a descriptive statement to be applied to each, enabling clear interpretation of the intent and scope. If you refer to the sources provided for each agency, you will see how this has been done. As an example, the UK Government's IM Principle no 1 - "Information is a valued asset" is described further as "Information is an asset which is fundamental to the efficient and effective delivery of public services".28

As we develop our agency principles it is important to be clear about what we mean. This helps avoid ambiguity, and may describe aspects of a principle that may otherwise not be considered by those applying them.

A hierarchy of Information Principles?

Our agency may already have a set of principles for data management, records management, information security or another specific IM area, so do we need over-arching IM Principles? Ideally one set could cover what is needed across the different aspects of information management, with the addition of anything specific as a subset or addendum.

Using our IM Principles as a reference point for our emerging IM Strategic Objectives

As we worked through the process of developing our IM Principles we will have identified areas where we have weak strategic or tactical understanding, weak processes or systems, or insufficiently skilled staff. We need to consider whether these factors have already been addressed in our draft Strategic Objectives, or whether new objectives or key actions are required.

8.2 Critical success factors

Critical success factors are those things that, if not well managed, will severely impact our ability to achieve our goals. These are often grouped into the themes of People, Process and Technology. Here we will take a slightly different approach and take a combined look at Processes, Systems and Technology as they often integrated, and we will add the leadership theme –

- People and Skills
- Processes, Systems and Technology
- Leadership, Accountability and Organisational Structure.

Again, we will workshop with others what the critical success factors will be for our agency and use the results to develop our strategic capability objectives. The following sections 8.2.1 through to 8.2.3 provide guidance on what we need to consider. It could be useful to use a simple maturity matrix and seek the views of staff and managers on what they consider to be

28 http://www.nationalarchives.gov.uk/information-management/manage-information/planning/information-principles/
the current state in terms of capability. This can help define realistic targets over the timeframe of the Plan. An example of a maturity matrix is available in TAHO’s Record’s Management Handbook – Appendix B.29

8.2.1 People and Skills

Do we have the right skills, or enough of them?

What are the information competencies that reside in our organisation, and how does that match what we need? Information skills are needed at all levels but the nature of the skills required will be different depending on role. Executive Team and Information Governance Committee members need strategic skills which enable them to make wise choices on priorities. Managers need information skills just as they need financial, people and risk management skills. Specialist information staff need to keep up-to-date in trends, tools and techniques that allow them to deliver professional advice and/or analytical results.

All staff need to have a clear understanding of the information environment. This includes what is expected of public servants working with information every day; information access; policies and procedures for using the information entrusted to them; the use of systems and technology (including a reasonable level of ‘digital literacy’)30, and ensuring information they create, use and save can be found, exploited and secured if necessary.

It is important that as you workshop what the future will look like that there is recognition of the above points. Good progress will be stymied if not impossible if the leadership is not there, or if those in specialist positions or who provide specialist services do not have the skills to do this (e.g. if records management is undertaken by untrained administrative staff).

How can we ensure we assist staff to be successful?

This is about how our current staff become and remain competent in the skills we require of them, and the information experience and competencies they bring to the organisation; how the organisation approaches recruitment and induction, how our people are subsequently developed and careers managed. How are our people encouraged and indeed expected, to reach their potential?

Having staff members leave is costly. In this context, identifying the critical success factors that can draw on staff experience, and build individual and team competencies will provide a win-win. Staff feel valued, and the organisation advances its ability to harness knowledge across the organisation, creating a greater corporate memory and being better placed with greater succession choices when people leave. Encouraging initiatives that create new avenues for information sharing, collaboration and building a strong knowledge base provides individual and business benefit.

29 Records Management Handbook, Appendix B. 2016, TAHO. [as yet unpublished but available on request]
8.2.2 Processes, systems and technology

Our business processes are likely to include workflows where we add information into business systems, extract information (or enable others to extract information), provide a related customer service within a framework, develop policy, manage projects, ensure appropriate audit trails etc. Our processes need to be designed so that information can be entered easily, extracted easily, secured & protected easily, and re-used where appropriate. Most systems are information systems to some degree, if not entirely. Most are business-critical and if they are not, then we need to consider their value. Our policies need to reflect the nature of the information which is used to conduct our business. For example, if we are dealing with information about people, we need to ensure we have policies and procedures to keep that information secure.

We also need to ask - are our information systems and tools fit for purpose? Which ones are nearing end-life? Which do we need to upgrade or enhance? Which function well, but staff don’t really get the best from as training hasn’t been great or particular capability has not been deployed in our environment? What system capability do we need but don’t have, or don’t currently use? Which should we agree to explore through the business case process? This is also a conversation to be had with our IT manager(s) as they develop the agency’s IT plan. We may already have the technology capability that we need.

Our policies and procedures will include management controls, budgeting and financial management, people management, risk management and the use of technology. We need to identify the critical factors in our process and systems environment which are causing issues or risks. At the strategic planning stage, we are not concerned with small matters that can be fixed quickly, but more substantive things that require resource inputs beyond the day-to-day.

Developing an Information Framework

While undertaking IM Strategic Planning it is useful (and good time management) to create at least 'the bones' of an Information Framework. An Information Framework is "a coherent set of standards, policies, guidelines and procedures which are implemented either manually or, where possible, automated through technology. This will allow data and information to be managed in a secure, structured and consistent manner."31 Appendix Three (p73) is an example of an Information Framework on a Page – but there is a considerable amount of content which underlies this.

The benefit of having a Framework is that it helps systematically identify the internal and external guides which contribute to effective information management, and a one-page summary overview provides visibility to any overlaps or gaps in coverage which may occur.

31 NSW. Information management: a common approach. July 2013
8.2.3 Leadership, Accountability & Organisational Structure

We have already covered Executive Leadership and Governance in Section 5. Here we focus more on leadership in relation to organisational structure.

Does it really matter how the information management functions in the organisation are structured and whether they are centralised or decentralised? Our information management may be:

- centralised in a corporate business group
- decentralised by line of business
- decentralised by geographical location
- a mixed model - for example with records management being centrally managed in a corporate services group, and data and knowledge management being managed by business leadership
- fragmented across the organisation.

The Information Management function reaches across the organisation and information specialists are often located with other corporate functions including IT, Communications, Human Resources and Risk Management. Or they may form a unit within an Information Services Group reporting to the CIO.

Location of a function in an organisation does have an impact on how it is perceived. For example, when IM is part of the IT group it can be difficult to convey to users that information management is not ‘all about IT’, and it is not a sub-set of IT, but rather an equivalent service.

If IM is stand-alone in a corporate structure and managed by a person of some seniority, the function is afforded a greater importance in its own right. While the IM function does not usually reside within a line-of-business group, IM Managers and staff need to build strong relationships with all business groups.

Physical location also makes a difference. If the team is situated in an out of the way corner, isolated and ignored, then it will struggle to make any progress in lifting capability.

Large organisations with a federated structure and or a wide geographical spread with regional and local offices will require a different approach to IM delivery than those with a single location and centralised corporate service delivery. Whatever the operating model, we need to apply deliberate consideration to how IM can best be delivered.

With a new opportunity to build information management maturity in our agency, we can consider:

- Do we have the best organisational structure or operating model to deliver on our information programme?
- Will it make a difference if we change the key leadership reporting lines?
- Is new capability and fresh thinking needed?
- Is there a need for a Chief Knowledge Officer or Chief Data Officer? What leadership arrangement will work best for us?
- Have our organisational structure and roles failed to keep pace with change?
- Are our job titles appropriate for the roles?

Do the questions posed above indicate that a change in approach is necessary to fully achieve the desired future state? Do we need a significant intervention in the way we have structured our information function?

### 8.3 Developing personas or vivid descriptions

This is a helpful technique to use to describe what the future in year 20NN would be like for our organisation, staff in particular roles, or for certain types of customers. These are written as if we are there, in the future and this is what it is like.

An example for Jane, an agency operations manager could begin – “Now that I am really clear about the information which is of most value to me and my team in decision making I can be confident that we are collecting and managing this well, applying quality standards and ensuring our systems make it easy for us to save and retrieve our information quickly. We are proud that we are stewards of this information and are ensuring it is available for our customers. We know how they prefer to access it, and that the information will be available for use by others in the future…."

We can use this to help us to decide our strategic objectives, or to test if those we have decided upon will actually get us to where we plan to go. These can be written by our Information Manager in conjunction with those who do the role.

### 8.4 Deciding our strategic capability and culture objectives

As we have discussed the capability of our agency to deliver our future state, we will have identified some key things that we need to do to change our culture or to create an environment which will help our staff to manage information more easily. As we pull these together we can group them into themes and describe these as a desired future state, forming our strategic objectives and accompanying key actions.

A resulting set of Strategic Capability Objectives and Actions may look like this:
Figure 4 Vision and Strategic Information Capability Objectives - An example

Our leaders value our information assets, and drive a culture which supports quality information

Establish clear expectations of our leaders in managing information as an asset, and as a result they -
- expect evidence-based advice to underpin decision making
- are regarded as information savvy, understanding the skillsets required in their teams to manage information well
- are achieving greater business benefits faster

We find, use and manage information with skill and confidence

Tailor our information skills training so that it is role based

Develop our manager's information skills just as we do financial, people and risk management skills

Ensure we understand the specialist skills we need, and train or recruit for these

Our information strategies, processes and tools are fit for purpose and aligned

Ensure managing information is embedded into our business processes

Invest in fit for purpose technology and train people to use it competently

Improve our information policy and compliance environment through establishing an information framework, and associated training

We collaborate and share our knowledge effectively striving to achieve maximum value

Determine the changes we need to make to enable easy collaboration for our staff, and implement these

Resource and support collaboration as a core way of working

Ensure we are future focused and our role as stewards of information is well understood

Our VISION
The right information at the right time drives quality decisions and builds knowledge
8.5 Action Summary – Agency information culture and capability

The following table summarises the inputs, outputs and outcomes which will help us consider our information culture and capability and behaviours and choices we need to make to reach our desired information environment.

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
</table>
| Develop IM Principles and craft these to ensure clarity on scope and application. Communicate the Principles ensuring staff know what is expected of them. | Assessed IM Principles which motivate staff and help them in their decision making. | Our IM Vision and Principles:  
- Guide decision making  
- Provide consistency in approach  
- Direct our behaviours  
Depending on the Principles this will (for example) -  
- Reduce incidents of sensitive information release  
- Result in more information being shared safely  
- Improve information governance |
| Add the IM Principles to the IM Strategic Plan. Add to our future state scenario(s) by including our thinking on how we will be working and the behaviours we will see as we move to a well-managed information environment. Define the factors which will make or break success in implementing our desired information environment. Construct these as strategic objectives. Identify the key actions required. Prioritise these and add the critical few to the strategic plan. | IM Principles added to our Plan. Completed future scenarios. | Agreed Critical Success Factors, resulting Strategic objectives and Key Actions are included in our Plan. |

We will be clear about our strategic objectives leading to our future state, and the actions needed to get us there. We will be confident that if we address the actions now identified we will achieve our strategic objectives.
This brings us back to the important question - why are we doing this? What will be the value achieved from investing in managing our information more deliberately? What will our stakeholders and customers see that is different? Work these questions through with the Information Governance Group using the points raised below and Appendix Four to prompt discussion.

Appendix Four – Information Strategic Planning Drives Benefits (p74) shows how we can connect the actions we take (Inputs) to specific and measurable benefits. It takes each of the generic themes below and gives examples of more specific benefits that could result from each. We could use these themes, or others that may be more relevant to our agency.

**We and our stakeholders will see –**

<table>
<thead>
<tr>
<th>Innovation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service Improvement</td>
</tr>
<tr>
<td>A more efficient agency – more for less</td>
</tr>
<tr>
<td>Risks managed - greater public confidence and improved agency reputation</td>
</tr>
<tr>
<td>Information available and accessible</td>
</tr>
</tbody>
</table>

These core benefit themes would be applicable to any agency that is improving its information management environment. Some themes or resulting benefits will be more important to our agency than others. The strategic planning process will help draw out our agency priorities on where the focus needs to be. This may change over time.
Identifying clear benefits is critical if you want to convince decision makers to provide funding for new initiatives.

We will now look at each of the above themes and provide some examples of where opportunities lie, and identify some pitfalls and misconceptions common in agencies. We can use these points as prompts for discussion, as we consider the benefits we want to see our agency achieve.

9.1 Innovation

New information is being created at an unprecedented level and by 2020 it is estimated that there will be six terabytes of data for every person on the planet. That is the equivalent of 390 million, nine-page word documents! At the same time while technical capability and capacity struggles to manage and make this information accessible, our ability to do this is far better than it has been. Now it is commonplace for data to be manipulated to provide predictive analytics as well as trend data.

Opportunities

- Many governments are opening-up their datasets for increased agency to agency, community and business collaboration. New insights are being generated through partnerships between government, businesses, and/or community organisations as data is shared across these entities.
- New and easier access to the information collected by other agencies, whether through public websites or through agency-to-agency protected links.
- The use of predictive analytical tools, and the increased training opportunities using these tools and interpreting the results, is enabling data to be linked in new ways and innovative solutions being found to long standing problems.

Common traps

- With Government driving greater release of information – particularly datasets which have long been only accessible to single organisations – data governance issues are coming to the fore. The lack of priority given to applying information standards, and to documented processes and procedures is evident in the poor quality of considerable amounts of data. Agencies are reluctant to share data which they know lacks quality and may lead users to incorrect conclusions.

Undertaking planning – strategic and tactical - can help agencies to identify priorities and implement projects to bring their high value information to a suitable standard to be used with confidence. Data does not have to be perfect but it does have to be fit for purpose.

9.2 Service improvement

Government agencies (whether policy or service delivery agencies) require information and evidence for advice, decision making, service design, delivery and improvement. Expertise,
experience and judgement are applied in deciding what information is the ‘right’ information for the matter in hand.

**Opportunities**

- Applying fit for purpose processes, systems and common data standards will ensure data and information can be easily searched, found, compared, and discarded when no longer required. Time spent in doing this will considerably outweigh time lost and information risks arising from not doing so. Good quality, well targeted data and information will be trusted and used with confidence. Revisiting decisions will be less common, and services will be improved.

**Common traps**

- Staff who don’t save their documents in agency systems or who have difficulty finding information often blame the IT system – saying it just doesn’t work well enough. This is sometimes the case, but mostly it is not. It is usually the data and information in (or not in) the system which requires remedial attention. Issues of data quality, document version control, clutter of low value content, will deliver low value information and lead to poor decision making.
- Also, systems are as good as the people who configure them. If implementers take the time to document and analyse business processes, understanding the business needs and look for opportunities to streamline and optimise the system, then investment in the system will pay off much faster, and the service improvement desired will be likely to occur. If an agency implements a system using vendors who do not adequately analyse business processes and needs, then no matter how good the data; the system will be a source of frustration, avoided by users, shadow systems will appear, and service improvement will be inhibited.

**9.3 Efficiency**

The strategic planning process helps us prioritise what is most important so that we don’t spend time on the unimportant.

**Opportunities**

- Identifying the high value information that we need to achieve business outcomes and prioritising the management of this information. Identifying what needs to be done to create, collect and manage this information over time will provide efficiency benefits.
- Searching for information across numerous systems and document types takes time, and critical information can be missed if it has not been described well (poor metadata), or it may not even have been filed or kept. Staff may not have spent the time to learn how to search effectively or they may think that everything they need can be found by a search on the web, not realising that someone has already researched the subject and written an authoritative paper which if re-used, updated or re-packaged will save weeks of time.
• Time will be saved and information will be more readily available when staff:
  o have fit for purpose systems and search tools available
  o know and put in practice the behaviours expected of them in managing information
  o have and apply data quality standards
  o have the information skills they need, relevant to their role; and
  o are recognised for good practice.

• Employ skilled, professional IM people. Employing staff who can work efficiently, knowing what they are doing really pays off. IM today, is a complex task. It is not an administration role.

Common traps

• “I need that information but I’m sure it is of no value to anyone else, so I won’t put it in the system”

Information sharing and ensuring information is openly available (unless there is a good reason not to) are key factors in working efficiently and in fostering innovative thinking. The concept of ‘my information’ has no place in government agencies. Having a set of Information Principles will assist in driving a culture of information sharing and availability.

• “I don’t have time to file that now – I’ll do it later”

It is important in both business-as-usual and project planning to allow time for information to be managed. This will benefit everyone and see a range of efficiencies. For example, early thinking about what information may be requested under the Right to Information Act and planning how the information is kept will save many hours of time later. Adding IM capability and responsibility into position descriptions and performance management plans, and measuring performance in this area will change behaviours and staff will need permission to make time to do this well.

• “I like the old system better so I’ll just keep working in that.”

When implementing new information management systems, it is important we ensure people receive targeted training at the right time (not months before go-live); training must include why and how, and on-going training and help needs to be available (not everyone will adapt to the new way of working at the same pace). Old systems should no longer be an available option as human beings will always take the ‘path of least resistance’ and use what they know instead of investing time in learning a new system – which they may see as complicated and something that will slow them down. Confident use of systems saves large amounts of time and compliance does not become an issue.
9.4 Risks managed

Information governance addresses how an agency’s information assets are managed to support agency outcomes. It ensures that risk and compliance issues are identified and addressed not just for current needs, but also considering future use of the information for the agency and for the community more broadly over time.

Managing information wisely is complex. There are many legislative, regulatory and government policy requirements to consider. This could include requirements specific to the type of information your agency collects, as well as more generic state government requirements for information types - for example, records and information standards. Fortunately, there is also guidance and advice. Some of these instruments are in place to ensure sensitive and private information is kept secure. Our agency staff need to fully understand the risk environment in relation to the information they handle. Ensuring our agency data is trusted is critical to our reputation.

Opportunities

- Most government agencies (if not all) will have risk management frameworks, strategic risk plans, and risk identification and management as a core part of project planning. Now is a good time to check if IM risks are identified and being actively managed.
- Mitigating some risks can turn into opportunities. For example, alleviating a business risk by hiring more people with skills in information analytics, brings new insights resulting in changed priorities.
- Developing an Information Framework will provide visibility to gaps in our programme
- An ongoing IM training programme ensures staff understand information risks and issues and act to minimise these; and performance is monitored to ensure staff apply in practice what they have learned.

Common traps

- Policies are in place but they’re hard to find. The intranet - our go-to place for policies - needs an overhaul. Finding them in the EDRMS is even more difficult.
- We don’t have a continuing education programme in place for managing and using sensitive information. Our workflows don’t have alerts, and peer review of information release is only applied in an ad hoc manner. Sensitive information is inadvertently released, the media is on to it - and we ask ‘How did this happen?’

9.5 Information available and accessible

When we spend money on a product of some kind we usually expect to be able to use it more than once. We’ll feel we’re getting our money’s worth. It is no different with information. Whether we purchase or create it, the more value we get from it the better. The value of the information may increase or decrease over time. Information use and re-use is reliant on good stewardship – that is, how the information is cared for and managed over its life-time.
Opportunities

- Information can be combined, ‘mashed up’ and revised to form new information and insight. Managing our high value information well, appraising its current and future value, and organising it for future use pays off.
- Much of the information created and used in government today has a future, as well as a current, value. It may save re-work; provide insight to future researchers into critical decisions of government; or be a vital piece of evidence in a court case. Government agencies have a stewardship role on behalf of citizens to preserve documentary evidence and make this information available.
- Today, many - if not most - active government records are held in digital systems. Digital continuity is the ability of organisations to maintain digital information in such a way that the information will continue to be available, as needed, despite changes in digital technology. There is opportunity here to ensure our Information Manager and staff are skilled practitioners in this field, and that we plan and resource an ongoing programme to ensure availability.

Common traps

- Keeping everything – it is easy to box up file records and put them into storage. Sometimes this is done without even accurately labelling the boxes or keeping an inventory. This is then left in a back-room or in off-site storage, added to but otherwise forgotten. Developing and applying retention and disposal policies and procedures will significantly reduce the amount of information that needs to be kept, and will ensure that which is kept is well organised and accessible. It is much cheaper and more efficient to manage information well right from the start. Likewise with out-of-date library materials taking up vital shelf space. Redundant information costs money and makes it harder to locate the information we really need.
- The same principle applies for electronic information in systems. Out of date information - not needed for future use clutters up systems – both in terms of making it difficult to identify the required data, and in the impact on the system performance for end users; and we are paying for unneeded storage including backups.
- Not keeping the right stuff – it is also easy not to keep information which is important to the organisation. Lack of adequate training adds to the perception it is ‘too hard’ to make the effort to store information in the system, so people create their own files outside the system (often in structures that make sense only to them), and that information gets lost as people move on, and/or the information does not get backed-up or adequately secured and managed.
## 9.6 Action summary – Identifying benefits

The following table summarises the inputs, outputs and outcomes discussed above which will help us understand our business benefits and lead us to developing a strategic response.

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workshop with the Governance Group to identify the specific benefits our agency would want to achieve through implementing our IM Strategic Plan. As a part of that, identify opportunities and explore common traps which may be time-wasters and misconceptions in our agency which are hampering progress. Test our draft Strategic objectives to ensure they are the right ones to deliver the benefits we want to achieve.</td>
<td>Agreement on the benefits we are seeking to achieve. Confirmation of our IM Strategic objectives Completion of these sections of our IM Strategic Plan</td>
<td>Clarity on our strategic direction Clarity on the benefits we seek to achieve, and a basis for developing how we will measure our performance.</td>
</tr>
</tbody>
</table>
10 REFINING THE PLAN

At this point we are well on the way to having our Plan near completion. It is time to prioritise our actions and to confirm that we are confident our strategic plan can be delivered over its proposed timeframe.

10.1 Prioritisation

10.1.1 Impact versus effort

As we have conducted a range of workshops and developed our IM Strategic objectives, we will have also gathered together a range of actions and initiatives to achieve the objectives. It is likely we will have:

- too many to include in our Strategic Plan
- some which are different ways of achieving the same thing
- some which are very tactical or operational in nature and could be achieved quickly as ‘quick wins’
- some which seem to be so big or expensive that we fear will never get started, and so on.

We need to prioritise these with a view to identifying which are going to provide the most value (impact) and which are going to require significant effort and resource, perhaps delivering a comparatively low value, etc. Mapping our identified actions and initiatives onto the following simple quadrant will help us decide what should be in our strategic plan.

10.1.2 Balance, dependencies and timing

Once we have identified our key strategic initiatives and some quick wins, we need to develop a roadmap or timeline indicating when each initiative is planned to begin and end. We will break down some larger and more complex initiatives into phases.

For some initiatives, our timeline will be indicative rather than exact. For others, it will be about right, especially if driven by a fixed deadline. This is a living document but it will also be setting
expectations, so it needs to be well thought through. The benefits of mapping out the timeline will –

- force us to think about why an initiative is important and what is driving the timing. Is it that our initiative is addressing a mandatory or fundamental gap in our environment which is causing operational problems? Is it addressing a current issue, or setting in place a process to address an impending risk? And so on.
- enable us to easily see if we are over committing staff resources, either our team, another team or across the agency. We may for example, be demanding too much of those with a particular skill set, or be expecting staff to attend too much training within a particular month, or have a clash with other agency priorities
- identify dependencies – what needs to be completed before something else can start? What will need a business case and new funding?
- provide motivation to staff – once we have published our timeline through our Plan, it is motivating to show that we have estimated our timeframes well and can deliver to expected timeframes.

The following table provides some potential categories that will help us put some order around our proposed (example) initiatives. It will help us to produce our three-year Roadmap. Appendix Five (p75) shows an example of what a Roadmap or Time-line looks like.

<table>
<thead>
<tr>
<th>Category</th>
<th>Example Actions</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quick wins</td>
<td>Develop an Information Framework-on-a-Page to inform our Policy and Process gaps. Set up an Information Release permissions process Complete our identification of vital records, and review the management of these</td>
<td>Not all quick wins can be done in Year One or you will have no time left to undertake other initiatives. New quick wins will be developed for Years 2 and 3.</td>
</tr>
<tr>
<td>Mandatory Requirements</td>
<td>Release data in accordance with the Open Data Strategy</td>
<td>Some data can be released in Year One, but other data release is more complex and requires technology capability which is not yet in place.</td>
</tr>
<tr>
<td>Foundations and Frameworks</td>
<td>Implement training programme for embedding our IM Principles Develop an Information Asset Register Develop and implement a prioritised programme for IM policy and process development using our Information Framework Develop a data strategy</td>
<td>We have several foundations and frameworks to put in place and do not have the capacity to do them all in Year One. These will need to be prioritised as a category by risk and value, and spread across the three years.</td>
</tr>
<tr>
<td>Dependencies</td>
<td>Develop an information investment plan Improve our business intelligence capability</td>
<td>Makes sense to do the Information Asset Register first Makes sense to do data strategy first</td>
</tr>
<tr>
<td>Category</td>
<td>Example Actions</td>
<td>Comment</td>
</tr>
<tr>
<td>-------------------</td>
<td>----------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Business risks</td>
<td>Replace our current EDRMS with a modern ECMS and sophisticated Search tool.</td>
<td>Our EDRMS is a mess, no-one uses it and the software no longer maintained by the vendor. This is a multi-year project for which we will require a business case and funding.</td>
</tr>
<tr>
<td></td>
<td>Develop a strategy to increase analytical skills available to us, and implement the strategy</td>
<td>Skill shortages are hampering our ability to meet key goals</td>
</tr>
<tr>
<td></td>
<td>Develop a role-based, comprehensive IM training programme</td>
<td>Training is a priority - a foundation for enabling cultural change, for reducing business risks and for enabling efficiency gains.</td>
</tr>
</tbody>
</table>

**10.2 Alignment with other plans**

*Information Management Strategic Planning Policy*

7. **Alignment to other agency plans**

The Information Management Strategic Plan and Roadmap MUST align to the Agency Strategic and Business Plans.

Other agency plans such as Financial, People, Communications, Risk Management and the IT Strategic Plan need to be aligned and dependencies acknowledged and managed. For example, the IT Plan will need to deliver the technology required to enable the Information Management targets to be met. These Plans may be joined up in an overarching Corporate Plan.

We must ensure that there is a clear line of sight from our IM Strategy to our Agency Strategy and any other sector or similar strategies. There should be nothing in our Plan that does not contribute to the advancement of Agency strategy and business.

It is likely there will be a suite of business group and functional plans which respond in more detail to the Agency Strategic plan. All the plans need to link. Developing plans in isolation will mean initiatives are likely to fail because resources are not allocated, people don't receive the training they need, timeframes across plans are unconnected, dependencies are missed etc. We must align with other plans across our agency, and as plans are agreed there should be a flow down into individual performance plans.

In addition, changed expectations need to be communicated, and managers and staff will need guidance on what the new expected behaviours look like, and how to recognise and measure performance.

Often in organisations there will be one corporate / business services / organisational development strategy and annual Plan. In this case, this is where the content of our Information Strategy may reside. These Plans, and even individual parts of them, are usually put together by
different people and it is easy for them to be insufficiently connected. It is therefore very important to have conversations with the owners of other Plans across the agency, and to follow-up to ensure agreed content is included and correctly and clearly described, and the timing of dependencies aligned.

The following diagram shows a typical planning framework in a government agency.

**Figure 5. A typical planning framework in a Government agency**

10.2.1 **Flow through to individual performance plans**

Every staff member needs a line of sight from their individual performance plan through to the strategic goals of the organisation as expressed in the Agency Strategic Plan. For people who work in corporate, business services or organisational development teams it can be more difficult to achieve the line of sight, but it is important to make the effort to do this.

For IM staff this becomes relatively simple once the IM Strategic Plan is in place, providing as it does a clear connection between their activities and the agency’s objectives. This helps motivate staff as they can see the impact of their role in the wider organisational context. Where there are no IM operational or strategic plans it is much harder for IM staff to make the connections on how they contribute to the big picture, and this generally results in a lower level of engagement, and a poorer perception of the value of the work of IM staff by other areas of the business.
10.2.2 Budget implications and funding streams

Financial planning is a multi-year task, and the earlier funding requirements are signalled the more likely it will be that funding will be available (assuming a genuine case for funding). You may need to do some research on the potential cost of initiatives prior to doing the substantive work on a business case – which will help firm up costs. Talking with our own finance people, information professionals and the SRO in other agencies which are ahead of us in this work can be helpful, as can talking with vendors, although the latter needs to be done with care.

10.3 Developing the Year One Operational Plan

The prioritisation process drives the Year One Operational Plan. It is important we become familiar with the draft plans of other groups or corporate functions, so that an initiative in those plans doesn’t end up hi-jacking our planned programme.

As we have completed the Strategic Plan, the Year One Operational Plan should be very quick to complete. As subsequent years come closer we will revise the Strategic Plan to ensure it takes account of any emerging issues or requirements, and we will review progress on the Year One work to pick up any lagging or deferred actions.

10.4 Implementation risks

Now that we have a Plan, we want to be sure we can implement it successfully – this is important to our credibility, and will motivate staff as they will feel they have made a difference.

There are risks to achieving our Plan. We need to anticipate these and to have some mitigation strategies up our sleeves reduce the risk of these occurring; and some management strategies that can be implemented to minimise the impact should the risks come to fruition. So, we will develop a Risk Register. This should include only risks that have a medium to high likelihood of occurring, and will have a medium to high level impact should they occur. This Risk Register should not be included in our plan, but it is an important management tool for ensuring a successful implementation.
The following is an example of what our Risk Register will look like -

<table>
<thead>
<tr>
<th>Risk</th>
<th>Likelihood</th>
<th>Potential Impact</th>
<th>Mitigation &amp; management strategies</th>
<th>Mitigated Likelihood and Impact</th>
<th>Risk Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>When key people resign information and knowledge gaps slow the momentum</td>
<td>M</td>
<td>H</td>
<td>Knowledge sharing culture Documentation up to date and easy to find</td>
<td>M /M</td>
<td>Programme Manager</td>
</tr>
<tr>
<td>Unexpected new projects take precedence over planned projects</td>
<td>M</td>
<td>M-H</td>
<td>Ensure alignment of plans across the Agency to reduce surprises</td>
<td>L / M</td>
<td>SRO</td>
</tr>
<tr>
<td>Agency faces funding cuts which impact on resourcing for IM initiatives</td>
<td>M</td>
<td>H</td>
<td>Maintain approved criteria for prioritisation, and understand which initiatives are lower priority</td>
<td>M / M</td>
<td>SRO</td>
</tr>
<tr>
<td>Scope creep on projects results in over commitment of budgets</td>
<td>H</td>
<td>H (for large projects)</td>
<td>High quality governance in place &amp; Steering Committee members understand their role</td>
<td>H / L</td>
<td>Project Sponsors</td>
</tr>
</tbody>
</table>

10.5 Strategic Plan on a Page

We are now ready to develop our Strategic Plan on a Page. See Appendix Six (p 76) for an example. This is a good way to communicate the core components of our Plan as it can be read at almost a glance. It does not stand alone as it is underpinned by our more substantive Plan, which in turn has some supporting documentation and processes. But it will be the document to which our staff can refer on a regular basis and have close at hand.

We need to decide which components of our Plan will be most important to be included in our ‘one pager’. Agencies may select different components, but it would be usual to include the relevant agency strategic statements, IM Vision, IM Strategic Objectives and the IM Principles as core components.

In presenting the Strategic Plan on a Page we will be mindful of our agency style and include appropriate logos. This should be presented as an agency strategic document, not a team document or plan.

Presentation is important and so making the page interesting and colourful is good. If our agency has a strategic infographic which can incorporate the core elements of our Plan that would be excellent. Then we would use a refined IM infographic conveying a deeper view than possible on a more broad-based agency picture. Whatever we do, our Strategic Plan on a Page must link very clearly to the agency Strategy.
10.6 Action summary – Refining our Plan

The following table summarises the inputs, outputs and outcomes discussed above which will help us understand our business information needs and lead us to developing a strategic response.

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prioritise key initiatives and actions and add those that are most important to the IM Strategic Plan</td>
<td>Actions prioritised by input versus effort Timing impacts considered and understood Timeline drafted for inclusion in Plan</td>
<td>Colleagues consulted and aware of the content in the draft IM Strategic Plan, and more likely to be engaged and committed to implementation</td>
</tr>
<tr>
<td>Consult others over alignment to related agency plans</td>
<td>An aligned draft IM Strategic Plan</td>
<td>Budget requirements (and uncertainties) clearly identified and able to be included in budgeting process</td>
</tr>
<tr>
<td>Consider budget implications and funding streams</td>
<td>Noted budget requirements, uncertainties, constraints</td>
<td>Reduced risk of implementation failures</td>
</tr>
<tr>
<td>Consider implementation risks</td>
<td>Mitigation and management strategies identified, and ‘risk owners’ assigned</td>
<td>One page strategic document – easy for all to use. Easy to communicate</td>
</tr>
<tr>
<td>Design our Strategic Plan on a Page</td>
<td>Strategic Plan on a Page</td>
<td></td>
</tr>
</tbody>
</table>
11 EVALUATION AND MEASUREMENT

**Information Management Strategic Planning Policy**

8. Evaluation and measurement

Agencies MUST identify how progress will be monitored, measured, and reported on. Key Performance Indicators MUST be developed and SHOULD be included in the Agency annual report, and other core governance reporting processes.

IM Strategic Planning is an ongoing process, and not just done once. It is an integral part of the agency strategic planning process and as such will be updated and reviewed on the same basis.

Measuring performance provides evidence to our stakeholders that progress is being made towards agency goals and objectives. Also, it provides motivation to staff as they see the progress that they have made. It is otherwise so easy to lose sight of what has been achieved over time.

The process of developing performance measures helps us think about the benefits we are seeking to achieve, and this in turn focuses us on measuring meaningful progress.

There are several ways to measure performance, and we may already be undertaking meaningful measurement into which we could incorporate some of our new initiatives. However, it is also likely we will need some new key measures, and could possibly drop some of the old ones. We may also need new reporting frameworks.

We will now cover some common ways to measure and report how well we are progressing with developing and implementing our strategic plan. It would be usual to use more than one of the methodologies described below.

**Key performance Indicators (KPIs)**

KPIs are an effective and easy way to ensure we are on-track to meeting our goals, and KPIs can be developed to measure progress on strategic goals through to activity based targets. In all cases, they need to be meaningful and measure progress in either a qualitative or quantitative way: measuring something that matters. KPIs are particularly helpful -

- in a changing environment where evidence of the impact of change will influence future decisions or responses
- where trend information will impact changes to service delivery, resourcing levels, etc
- in demonstrating whether an initiative is making a difference
- in providing evidence for a business case
- in demonstrating if actions undertaken to mitigate or manage risks have been successful or not, and so on.
In the strategic environment KPIs need to measure agency wide strategic value. Selecting the wrong KPIs can result in counter-productive behaviour and less than favourable outcomes. Measures need to be realistic and cost-effective to measure. It is important also that they are specific and unambiguous, meaning the same thing to everyone. The targets set for each measure must be achievable and observable. There should be no doubt that they have - or have not - been achieved or that measurable progress has been made towards them.

There is considerable advice available on how to construct KPIs. In summary, the following steps need to be undertaken -

- Identify KPIs for key strategic objectives – not for everything that you do. What are the key results that our agency needs, and how can we measure that we are achieving these results?
- Identify a manageable number of key performance indicators that together tell a story of progress and achievement
- Establish benchmarks – where are we at now, what is the baseline?
- Is the current measurement of the benchmark the best way to measure progress going forward? If not, what is the best measure or suite of measures?
- Be clear about the target. What is the optimum desirable performance and the timeframe in which the target can be met?
- How will we gather the information needed to measure progress? What is our methodology and how often do we apply this?
- Who is responsible for achieving the target; and who will do the measurement?
- How often will we report on progress?
- Who will be interested in the progress made, and in what format will they receive the information?

Appendix Seven (p 77) provides an example of a KPI measurement and reporting framework. TAHO’s Introduction to Key Performance Indicators, 2016 is available on request to assist with developing KPIs.

**Return on investment (ROI) analysis**

The new focus on Information Management will not be without cost. We may need to:

- recruit new people with different skill-sets to lift the capability across the organisation
- buy some contract resource for short-term gap filling, or
- buy consultancy resource to provide specialist advice
- run agency-wide training on critical policies and procedures
- enhance system capability, for example purchase a search tool so that information can be found more easily
- invest in a new agency-wide system to replace ad hoc systems, spreadsheets and databases that are currently only available to a small number of people, and;

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32 Introduction to Key Performance Indicators. 2016. TAHO (As yet unpublished)
- pay for additional off-site storage for paper records, pay retrieval costs and other operational costs

Assigning a multi-year budget to implement this plan, understanding current costs and savings that can be made will provide a benchmark for measuring return on investment. Return may be in financial and non-financial benefits, and identifying and tracking both these categories is important. Analysing potential return on investment is undertaken as a standard process when writing a business case. It can be a deciding factor on whether to proceed with an initiative, and can help with prioritisation.

Appendix Eight (p 78) shows a simple example of a ROI analysis. Note, this is hypothetical and not based on real costs or savings.

**IM Maturity Assessments**

Conducting an information management maturity assessment is a fundamental step for any agency embarking on the preparation of an information management strategic plan. This assessment will help us assess the current state of organisational resources and skills applied to information management, the governance environment, current issues and risk exposure.

There are a small number of Australian-based maturity models available for assessing how well government agencies are progressing in achieving identified standards in information management, and likewise the UK has a suitable tool. Some are more broadly focussed on strategic information management and others are more technically focussed, particularly on records management. TAHO has such a tool for self-assessment which is based on the tools they use in undertaking formal agency Information ‘Health Checks’\(^3\), so this is a useful place to start for a self-assessment. Contact TAHO if you would like to use these tools as they are currently being refined.

These tools describe the features expected to be in place at each level of maturity for a given function. Agencies can use them to evaluate their current state and to identify what would be typical features of the next levels of maturity. An IM Maturity model is a reference tool to assist agencies identify where they want to be and what it will take to get there.

The results of our self-assessment will assist our agency with our IM strategic planning process – to help identify and prioritise initiatives and effort, to get the most value, and to minimise the greatest risks. The Government Information Strategy Unit, TAHO (GISU) are available to assist and advise in this process.

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\(^3\) [https://www.informationstrategy.tas.gov.au/Services/Pages/HealthCheck.aspx](https://www.informationstrategy.tas.gov.au/Services/Pages/HealthCheck.aspx)
Formal Assessment

GISU also undertake formal assessments and provide a detailed report with recommendations for priority actions specific to each agency. They have defined five levels of maturity and each level’s definition has been developed to provide a broad snapshot of the information environment and practices typically found at the corresponding level. The results of their first audit provide a baseline measurement, and a direction for incremental improvements. This can provide a strong foundation for developing a programme and culture of continual improvement, and from which to start working on our Information Management Strategic Plan.

11.1 Action summary – Evaluating performance

The following table summarises the inputs, outputs and outcomes discussed above which will help us track progress and evaluate our performance.

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertake an IM Maturity Assessment</td>
<td>A clear view of the agency’s current state – a baseline from which to develop.</td>
<td>Consultation and participation in these processes will build engagement</td>
</tr>
<tr>
<td>Develop KPIs for our strategic objectives</td>
<td>KPIs described in our IM Strategic Plan.</td>
<td>A clear picture of IM current state</td>
</tr>
<tr>
<td>Undertake ROI analyses</td>
<td>Clear understanding of whether investment will provide value</td>
<td>Frameworks for tracking progress and taking remedial measures if needed.</td>
</tr>
<tr>
<td>We are now ready to complete our substantive IM Strategic Plan</td>
<td>Measurement and Evaluation section of our Plan completed. Plan reviewed and finalised. Plan agreed by Governance Group and Executive Leadership Team.</td>
<td>Clear understanding of value provided or to be gained will engage leadership interest and support. Clear understanding of value provided or to be gained will help secure investment.</td>
</tr>
</tbody>
</table>

We are now ready to deliver on our IM Vision

*The right information at the right time drives quality decisions and builds knowledge*
Appendix One - TAHO Policy Requirements

Information Management strategic planning is about planning for, and organising the information that is important to your organisation, in a way that ensures the information is easily available for current and future use. It is about anticipating need, prioritising resources and applying governance over the information assets which enable your business and services to be delivered effectively and efficiently. Undertaking the process to produce the strategic plan will also drive the development or refresh many of the components of your information framework.

When undertaking Information Management Strategic Planning in your Agency you must address the following elements.

1. **Information Management Strategic Plan and High Level Roadmap**

   Agencies MUST develop and deliver an Information Management Strategic Plan and high-level Road-map. This is a multi-year view of the actions required to meet the Agency’s information management goals and related benefits. Annual plans will be developed from this, will focus on operational outcomes, and contain more specific activities.

2. **Leadership and accountability**

   Chief Executives MUST assign a Senior Responsible Officer (SRO) accountable for the development and delivery of the Agency’s Information Management strategic priorities. This includes preparation of an IM Strategic Plan.

   The SRO SHOULD be supported by an Information Governance Group.

   The Plan MUST identify the roles accountable for the delivery of the actions within the plan; and ensure the people in those roles have the capability and resources required to deliver their part of the Plan. The Plan MUST be formally approved and supported by Executive Management.

3. **An analysis of your current IM operating environment and future demands**

   Agencies MUST address how well the information they create, access, maintain and share will support business needs over the next 3-5 years (or the life-time of the plan).

   The scope of this SHOULD include: Data Management, Records Management and Information Management.

   In undertaking this analysis, you SHOULD consider:

   - the direction of your business, the high-level outcomes agreed with government, and its goals and medium term objectives.
   - legislative requirements and government expectations such as “Stats Matter” and Open Data strategies.
   - the trends and challenges you’ll need to consider as strategies evolve to achieve the desired business outcomes.
   - how well will your current information management culture, leadership, behaviours, people capacity and capability, systems, processes and tools meet your business needs, now and in the future.
   - whether your IM organisational arrangements (structure) is fit for purpose for supporting and delivering information requirements.
   - what new initiatives, projects or programmes are required to meet business delivery or organisational capability goals.
   - the investment and expenditure requirements to deliver the new initiatives.
4. Issue and Risk analysis

Agencies MUST identify the strategic information issues and risks that will need addressing: analyse these, identify the likelihood and impact of the risks occurring, and outline the steps required to manage them.

5. Information Management Principles

Agencies MUST develop a set of Information Management Principles to underpin expectations and behaviours.

Information Management Principles describe clear expectations on the strategic approach to information management in the Agency. They drive behaviours and promote the desired culture. It is recommended these are developed in consultation with internal stakeholders; and are well communicated and understood.

Information Management Principles MUST be endorsed by Executive Management.

6. Benefits identification

Agencies SHOULD identify the expected benefits resulting from the initiatives in the Plan. These may include whether savings can be found through changing an approach, implementing new processes or systems, sharing resources, or improving training, for example. Non-financial benefits should also be identified, such as better quality advice to the Minister or improved customer satisfaction through the ability to access new information.

Identifying the benefits prior to finalising the Plan will assist with prioritisation. Benefits should be clearly articulated and measurable.

7. Alignment to other agency plans

The Information Management Strategic Plan and Roadmap MUST align to the Agency Strategic and Business Plans.

Other agency plans such as Financial, People, Communications, Risk Management and the IT Strategic Plan need to be aligned and dependencies acknowledged and managed. For example, the IT Plan will need to deliver the technology required to enable the Information Management targets to be met. These Plans may be joined up in an overarching Corporate Plan.

8. Evaluation and measurement

Agencies MUST identify how progress will be monitored, measured, and reported on. Key Performance Indicators MUST be developed and SHOULD be included in the Agency annual report, and other core governance reporting processes.

IM Strategic Planning is an ongoing process, and not just done once. It is an integral part of the agency strategic planning process and as such will be updated and reviewed on the same basis.
## Appendix Two – Information, Data, Records Knowledge and IT Domains

<table>
<thead>
<tr>
<th>Information Management</th>
<th>Knowledge Management (tacit)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Information Technology</strong></td>
<td><strong>Knowledge Management (explicit)</strong></td>
</tr>
<tr>
<td><strong>Data Management</strong></td>
<td><strong>Information assets – use &amp; reuse</strong></td>
</tr>
<tr>
<td><strong>Records Management</strong></td>
<td><strong>Business value</strong></td>
</tr>
<tr>
<td><strong>Information management (published formats)</strong></td>
<td><strong>Knowledge culture</strong></td>
</tr>
<tr>
<td><strong>Typical Interests</strong></td>
<td><strong>Integrity</strong></td>
</tr>
<tr>
<td><strong>Systems &amp; Databases</strong></td>
<td><strong>Info privacy/security</strong></td>
</tr>
<tr>
<td><strong>Tools</strong></td>
<td><strong>Policies/standards/guidance</strong></td>
</tr>
</tbody>
</table>

### Information Technology
- Databases & data warehouses
- Email
- Shared & personal drives
- Web hosting
- Software
- Hardware
- Security, performance

### Data Management
- Data generated or owned by us
- Data imported from external (often public) sources
- Data shared with us by other agencies (formal data sharing)
- Data governance

### Records Management
- Records generated or owned by us
- Records owned by others that we are the custodian of
- Information governance

### Information management (published formats)
- Information published by others but of interest to us
- Information published by us
- Information sourced through access to external commercial databases, websites etc.

### Knowledge Management (explicit)
- Documented knowledge generated and owned by us, found in documents, databases, ECMMS

### Knowledge Management (tacit)
- Knowledge embodied in people
- Thoughts, insights, intuition, understanding, experience, judgement

### Typical Scope
- That the technology is fit for purpose, easy to use and work anytime, anywhere
- Timely device and system support and help

### Business Expectations
- Agreed data integrity/quality
- Fit for purpose systems and tools
- Data owners
- Analysis to support service delivery & operational efficiency
- Data privacy

### Specialist Functions & Processes
- Technology leadership
- Managing the technical environment including: IT architecture
- Implementing & upgrading applications
- Device management & mobility
- Identity & security management
- Server & database management
- Telecommunications
- Web channels
- Enterprise Storage
- Change Management (System)
- License management
- Back-up & recovery
- Security Audit

### Systems & Databases
- All electronic systems / databases
- Procurement of software and applications
- Installation, development, configuration & integration of software and applications
- Business owner for IT infrastructure

### Tools
- All electronic tools
- Service Desk capability
- Development & test environments
- Change Control

### Designated Information Governance & Accountability
- Strategic Alignment
- Information architecture
- Compliance
- Policies/standards/guidance

### Information Management Strategic Planning Handbook
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# Appendix Three - Information Management Framework

## Information Vision

<table>
<thead>
<tr>
<th>External Environment</th>
<th>Internal Environment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legislative and Government Policy requirements</td>
<td>Business Strategies</td>
</tr>
</tbody>
</table>

## Information Governance

- Strategies
- Principles
- Policies
- Risk Management
- Quality Management
- Monitoring and Compliance
- Roles and Accountabilities

## Information Principles

<table>
<thead>
<tr>
<th>Knowledge Management</th>
<th>Information Access and Use</th>
<th>Record Keeping</th>
<th>Data Management</th>
<th>Information Security</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge Transfer</td>
<td>Sourcing / Creation</td>
<td>Record creation and capture</td>
<td>Data capture</td>
<td>Access management – permissions etc.</td>
</tr>
<tr>
<td>Succession Planning</td>
<td>Sharing and availability</td>
<td>File creation, policies &amp; principles</td>
<td>Data Cleansing</td>
<td>Authentication</td>
</tr>
<tr>
<td>Mentoring</td>
<td>Search and discovery</td>
<td>Access and retrieval</td>
<td>Integrity</td>
<td>Remote access</td>
</tr>
<tr>
<td>Collaboration</td>
<td>Security classification</td>
<td>Retention and Disposal / Archiving</td>
<td>Data Modelling</td>
<td>Incident detection, management reporting</td>
</tr>
<tr>
<td>Research</td>
<td>Legislative constraints</td>
<td>Preservation and Conservation</td>
<td>Integration</td>
<td>&amp; response</td>
</tr>
<tr>
<td>Data mining</td>
<td>Publishing</td>
<td>Digital Continuity</td>
<td>Migration</td>
<td>Physical and environment security</td>
</tr>
<tr>
<td>Analytics</td>
<td>Licensing &amp; Rights Management</td>
<td></td>
<td>Conversion and transformation</td>
<td>Change management /version control</td>
</tr>
<tr>
<td>Reporting</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Information Asset Management

- Investment strategy
- Information Asset Register
- High Value Information
- Custodianship
- Storage

### Supporting technologies, tools and processes

- Capability – skills & understanding, user training
## Appendix Four - Information Management Strategic Planning drives benefits

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Outcomes</th>
<th>Benefits (Themes)</th>
<th>Benefits (Examples)</th>
</tr>
</thead>
<tbody>
<tr>
<td>High value data and information is identified, sourced, managed, analysed</td>
<td>Data from different sources is explored for new insights</td>
<td><strong>INNOVATION</strong></td>
<td>New data enables (for example) improved child safety outcomes</td>
</tr>
<tr>
<td>Investment in systems and data exchange</td>
<td>New data, information and knowledge is created</td>
<td></td>
<td>New regulatory approach (for example) for xxx industry drives economic and environmental returns</td>
</tr>
<tr>
<td>Access to specialist research databases and other resources improved</td>
<td>Information overload effect is reduced</td>
<td></td>
<td>New evidence based advice drives changes (local or state) government priorities</td>
</tr>
<tr>
<td>Leaders and managers drive a culture which values information and knowledge</td>
<td>Improved data access, quality and use</td>
<td><strong>IMPROVED SERVICE PROVISION AND OUTCOMES</strong></td>
<td>External customers have easy access to better information enabling them to provide better services</td>
</tr>
<tr>
<td>Investment is made in developing staff information skills, and in systems and processes which help staff to manage information effectively</td>
<td>Trusted data and information</td>
<td></td>
<td>Time saved through more effective information management enables faster turn-around times for customers</td>
</tr>
<tr>
<td>Clear accountabilities through Information governance</td>
<td>Staff know what is expected of them</td>
<td></td>
<td>Improved data quality enables targeted customer services</td>
</tr>
<tr>
<td>Knowledge transfer is actively managed</td>
<td>Staff apply information skills and knowledge required for their role</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information life-cycle decisions managed end-to-end Information is stored in fit for purpose business systems</td>
<td>Managers and staff value information and knowledge and implement common systems, processes and practices to make IM easy</td>
<td><strong>EFFICIENCY</strong></td>
<td>Reduced storage costs result in significant cost savings</td>
</tr>
<tr>
<td>Workflow design includes information management, information security and information accessibility</td>
<td>Staff can search effectively, less time is taken, more relevant content is found</td>
<td></td>
<td>Time saved through more effective information management enables greater productivity and Improved staff engagement</td>
</tr>
<tr>
<td>Search tools applied across all information repositories</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information risks are included in the agency risk register</td>
<td>Information risks controlled, managed or mitigated</td>
<td><strong>RISKS MANAGED</strong></td>
<td>Reduced privacy and security breaches</td>
</tr>
<tr>
<td>Training programme in place covering information risk identification, management and mitigation; information security and information privacy</td>
<td></td>
<td></td>
<td>Increased public confidence and improved agency reputation</td>
</tr>
<tr>
<td>Information is collected and managed using fit for purpose systems, tools and processes</td>
<td>Information is available for reuse now and in the future</td>
<td><strong>INFORMATION AVAILABLE AND ACCESSIBLE NOW AND IN THE FUTURE</strong></td>
<td>Information required for legal purposes is easily found. Positive agency outcomes achieved. No loss of reputation</td>
</tr>
<tr>
<td>Information is available for reuse now and in the future</td>
<td>Vital knowledge is not lost</td>
<td></td>
<td>Easily found information reduces re-work and informs new work</td>
</tr>
</tbody>
</table>
## Appendix Five - Initial RM Roadmap

<table>
<thead>
<tr>
<th>Priority</th>
<th>Effort</th>
<th>Initiative</th>
<th>201M /MM Jan-Mar</th>
<th>Apr-Jun</th>
<th>Jul-Oct</th>
<th>Nov-Dec</th>
<th>201N/NN Jan-Mar</th>
<th>Apr-Jun</th>
<th>Jul-Oct</th>
</tr>
</thead>
<tbody>
<tr>
<td>Med</td>
<td>Low</td>
<td>Develop an Information Framework</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td>Med</td>
<td>Develop the content of the Framework</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High</td>
<td>Low</td>
<td>Manage our Vital Records</td>
<td>Complete identification</td>
<td>Review management</td>
<td>Implement recommendations</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High</td>
<td>Low</td>
<td>Develop IM Principles</td>
<td>Develop</td>
<td>Communicate and initiate training</td>
<td>Ongoing training programme</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High</td>
<td>High</td>
<td>Replace EDRMS with modern ECMS</td>
<td>Prepare project mandate and seek funding approval for business case</td>
<td>Initiate business case preparation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td>High</td>
<td>Develop our Information Asset Register</td>
<td>Research &amp; Initial Draft</td>
<td>Consult and finalise</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td>High</td>
<td>Develop a data strategy and implement</td>
<td>Develop strategy</td>
<td>Refine open data strategic objectives</td>
<td>Address technical issues</td>
<td>Implement open data initiatives</td>
<td>Ongoing</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td>Med</td>
<td>Increase our analytical skill capability and capacity</td>
<td>Write job specs</td>
<td>Upskill current staff and recruit for gaps and specialists</td>
<td></td>
<td></td>
<td>Implement ongoing training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td>Med</td>
<td>Improve our business intelligence capability</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High</td>
<td>Med</td>
<td>Develop an information investment plan</td>
<td>Develop plan. Approve plan.</td>
<td>Seek funding</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td>Low</td>
<td>Add IM Planning to Project Management guidelines</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High</td>
<td>High</td>
<td>Develop a role based, comprehensive IM training programme</td>
<td>Training quick wins (e.g.: tips)</td>
<td>Design and consult</td>
<td>Pilot &amp; review</td>
<td>Communicate and schedule</td>
<td>Pilot, review and implement rolling programme</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td>Low</td>
<td>Other quick wins (Prioritised to business need)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Note** – this would be a three-year timeline - or duration to match the timeframe covered by our IM Strategic Plan
Appendix Six – Strategic Plan on-a-Page (A3)

[Agency name]  Vision / Purpose

Agency goals (or core strategies which Information Strategy will underpin)

We will be known for -
- Our curiosity
- Our good judgement & advice
- Agile decision making
- Getting it right

Our Information Vision

The right information at the right time drives quality decisions and builds knowledge

Our Strategic Objectives

<table>
<thead>
<tr>
<th>Our leaders value our information assets and drive a culture which supports quality information</th>
<th>We find, use and manage information with skill and confidence</th>
<th>We collaborate and share our information and knowledge effectively striving to achieve maximum value</th>
<th>Our information strategies, processes, systems and tools are fit for purpose and aligned</th>
</tr>
</thead>
<tbody>
<tr>
<td>The information we need is at our fingertips</td>
<td>We focus our effort on high value information</td>
<td>Making our information available to others generates innovation</td>
<td>We understand our information risks and manage them</td>
</tr>
</tbody>
</table>

Our IM Principles

- Valued as a strategic asset
- Central to our decisions
- Easy to find, access and use
- Trusted and authoritative
- Open by design, protected where required
- Useable and re-useable
- Effectively governed
- Digital by default

What will success look like?

- We plan-ahead, identifying and sourcing information needed for new work
- We are implementing our digital continuity plan and our information investment
- Information Governance is done well.
- Our people have the information skills they need for their role and we have an ongoing training and learning programme
- We are managing the information lifecycle effectively
- Our information stewards ensure we have quality data where it matters
- Our skilled staff ensure information they have created is available in our systems for re-use by others
- Safe sharing of information is enabled through robust privacy and security processes and frameworks
- Information and knowledge sharing brings innovative results
- We have well understood processes for capturing and managing our information.
- Our well-designed systems mean our information is easy to access.
- We invest in our business systems and train people to use them competently.
- We understand and meet our compliance requirements

We will be achieving measurably better value, improved stakeholder and customer feedback, less risk & better outcomes for [sector/functions]
### Appendix Seven – Key Performance Indicators [example]

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Performance Measures</th>
<th>How we will measure progress</th>
<th>Who is responsible (1)</th>
<th>Reporting method</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Our leaders value our information assets and drive a culture which supports quality information.</td>
<td>Maturity Model - Agency meets annual IM maturity targets 6 monthly Staff engagement survey - Improved results from x to x (2)</td>
<td>IM Manager</td>
<td>Annual to the CEO, Leadership team and IM Governance Group 6 monthly to the CEO, Leadership team and IM Governance Group</td>
<td>(1) Responsibility for the measurement and reporting process (2) The six-monthly survey is a focussed IM survey for all agency staff.</td>
<td></td>
</tr>
<tr>
<td>We find, use and manage information with skill and confidence.</td>
<td>Staff have the information skills they need for their role X time saved per week through more effective information management</td>
<td>SRO</td>
<td>6 monthly to the CEO, Leadership team and IM Governance Group Quarterly report to SRO</td>
<td></td>
<td></td>
</tr>
<tr>
<td>We collaborate and share our information and knowledge effectively striving to achieve maximum value.</td>
<td>X time saved per week through more effective information management % of high value data released on website, or agency to agency</td>
<td>IM Manager</td>
<td>Annual to SRO and IM Governance Group</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Our information strategies, processes, systems and tools are fit for purpose and aligned.</td>
<td>Staff have the tools needed for the job</td>
<td>SRO</td>
<td>6 monthly to the CEO, Leadership team and IM Governance Group</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The information we need is at our fingertips.</td>
<td>IM embedded in all business processes IM embedded in all business systems X % IM Investment Plan recommendations accepted in agency budget round</td>
<td>IM Manager</td>
<td>Quarterly to SRO / Quarterly report to IM Governance Group As above Annual to SRO and IM Governance Group</td>
<td></td>
<td></td>
</tr>
<tr>
<td>We focus our effort on high value information.</td>
<td>Our information stewards ensure we have quality data where it matters Improved data quality enables improved customer services</td>
<td>IM Manager to collate Business Unit managers’ quarterly reports As above</td>
<td>Quarterly to SRO / Quarterly report to IM Governance Group</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Making our information available to others generates innovation</td>
<td>Known instances of innovative use of uploaded data</td>
<td>IM Manager</td>
<td>Quarterly to SRO / Quarterly report to IM Governance Group</td>
<td></td>
<td></td>
</tr>
<tr>
<td>We understand our information risks and manage them.</td>
<td>Reduction in discovered (and reported) instances of system security breaches Improved agency reputation with stakeholders</td>
<td>CIO</td>
<td>Monthly CIO reports to SRO Quarterly to SRO / Quarterly report to IM Governance Group</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(1) Responsibility for the measurement and reporting process
(2) The six-monthly survey is a focussed IM survey for all agency staff.
(3) Responsibility for an annual stakeholder survey will vary according to agency stakeholder management accountability
## Appendix Eight – Return on Investment [example]

<table>
<thead>
<tr>
<th>Input Costs $</th>
<th>Savings $</th>
<th>Non-financial returns</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>One-off</td>
<td>Per annum</td>
</tr>
<tr>
<td><strong>System improvement</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Enhancements</td>
<td>125,000</td>
<td></td>
</tr>
<tr>
<td>- License reductions</td>
<td>50,000</td>
<td>30,000</td>
</tr>
<tr>
<td>- Enterprise Search tool licensing</td>
<td>45,000</td>
<td>30,000</td>
</tr>
<tr>
<td>- Better utilization of current capability</td>
<td></td>
<td>65,000</td>
</tr>
<tr>
<td><strong>Improved training programme for using systems</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- New salary</td>
<td></td>
<td>60,000</td>
</tr>
<tr>
<td>- Staff training @ 5 hrs each</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Associated staff time saved (e.g.: [300] staff save 1 hr per week x [$30] per hour average rate)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Data quality improvement</strong></td>
<td>30,000</td>
<td>10,000</td>
</tr>
<tr>
<td><strong>Associated staff time saved (e.g.: [100] staff save .5 hr per week x [$40] per hour average rate)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>More efficient use of current EDRMS / ECMS saves 0.5hrs per week for 150 staff</strong></td>
<td>5,000</td>
<td>108,000</td>
</tr>
<tr>
<td><strong>Two fewer serious information security incidents per annum ( @ 20 hrs management time &amp; 20 hrs staff time per incident)</strong></td>
<td></td>
<td>11,000</td>
</tr>
<tr>
<td><strong>Records storage net cost through applying retention and disposal schedules</strong></td>
<td>30,000</td>
<td>3,000</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td>280,000</td>
<td>188,000</td>
</tr>
<tr>
<td><strong>Net estimated annual productivity costs / savings after Year One</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>