

INFORMATION GOVERNANCE FRAMEWORK

1. Information governance framework

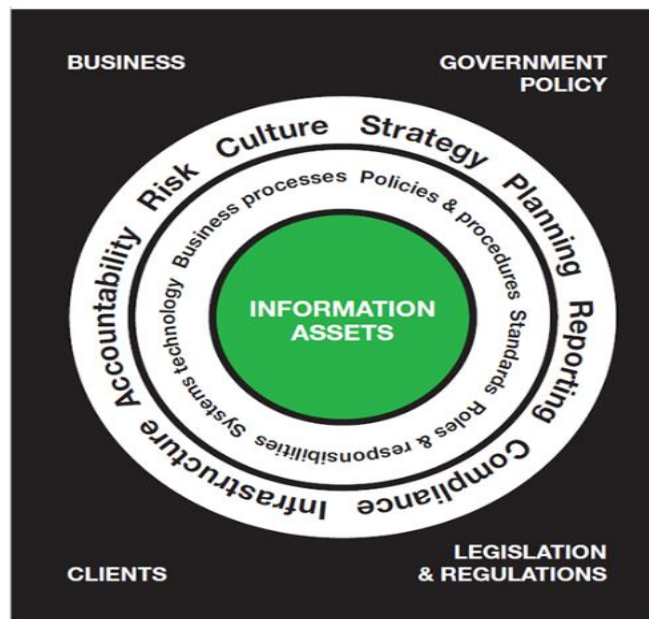
It is said, “information is the currency of the 21st century”.

Information governance and effective digital information management are central to the Australian Government’s digital transformation agenda. This document examples the principles and direction as set by the *Australian Government Digital Continuity 2020 Policy* [1].

*“Digital information governance delivers substantial benefits in efficiency, effectiveness and accountability to organisations. Compliance costs are reduced and the ability to provide accurate, timely and transparent responses to legislative and regulatory requirements is enhanced. Digital business processes also provide substantial productivity benefits over paper processes. They are quicker and more cost-effective, and enable evidence of decisions and transactions to be captured as part of the business process. However, **to realise the full potential of a digital, networked economy, government information needs to be managed effectively and efficiently in digital formats throughout its life.**” [1]*

The *Example Council* Information Governance Framework provides the legal, regulatory and business context within which information assets are created, used and managed. Documenting this for Council sets out both our approach and our commitment to implementation of governance that appropriately manages our information assets.

This document has been prepared using the National Archives Australia model for Information Governance as illustrated below. Each function or activity is addressed.



[1] http://www.naa.gov.au/Images/Report%20to%20the%20Minister%202016%20-%20Digital%20Transition%20and%20Digital%20Continuity%202020%20-%20FINAL_tcm16-95403.pdf

Purpose

The objective of the Information Governance Framework is to ensure that Council has a good understanding of their information assets and has robust systems in place to best use them, preserve them and deliver great value from them in serving our community now and into the future.

The framework will be used to:

- Guide the creation, use and management of Council's information assets
- Confirm Council's commitment to digital business as highlighted in the principles set out in this document
- Support robust decision-making, risk management and compliance with external requirements
- Confirm that information governance is an integral part of overall Council governance and is an integral part of our business
- Reinforce the message that failure to properly create, describe, capture, manage and store information exposes Council to increased risks, and that all staff, contractors, Councillors, volunteers and persons that deliver services for, or on behalf, of Council are obligated to meet their records management responsibilities. Refer [INT1763136](#) Records Management Compliance Framework.
- Reduce unnecessary spend for services, infrastructure and systems

The benefits of an information governance framework, includes:

- avoiding the need to continually re-create corporate knowledge
- improved service delivery
- reducing staff time and effort required to locate and access relevant, complete information
- quicker and more accurate response internally, and externally to government, business partners and stakeholders, and community demands and requests for information
- lower costs of compliance with freedom of information requests and other legal discovery
- protection of community and public rights
- mitigation of risks to reputation that might arise from media or audit criticism of poor information governance practices or non-compliance with legislative and regulatory obligations.
- Technology, systems and services functionality are optimised

Example Council Information Principles

Example Council information principles provide a foundation against which information governance can be tested. These include:

1. The Information we create and receive is ready for use, and re-use, is interoperable across Council, and is available and usable for as long as needed
2. Information that must be, will be interoperable across the tiers of government (as driven by e-government policy) ^[1]
3. All information is discoverable across Council by those with legitimate need
4. Our information is accurate, up-to-date and complete

[1] <http://www.naa.gov.au/information-management/digital-transition-and-digital-continuity/digital-continuity-2020/index.aspx>

5. Our governance mechanisms ensure that information management practices support good decision making, with integrity, accountability and transparency to deliver good business outcomes
6. Our systems protect information from unauthorised alteration, deletion or misuse
7. Our people understand and appreciate the value of information as an asset for the organisation and the community, present and future, as the intellectual property of the nation and cultural heritage of our people

The broader environment

We live in a time of rapid change. Delivery of Council services, exchange of information, and demand for speedy response is unprecedented. Technology sophistication, government legislation and consumer demand is driving the pace of change, and expansion of services that Council must deliver. At the same time, Council has been charged with doing more with less, or working smarter. As well as process improvements, technology and good data and information is seen as vital for success.

MAV Local Government Information Governance Group, as a sector leader, is open to innovative ways of working. This view is shared across the sector, vendors and state government with whom we engage. In order to make savings, work smarter and more efficiently members coordinate visits and share experiences regarding the processes, technologies, software and cultural changes established within participating Councils. The objective is to avoid mistakes and replicate good practices and solutions.

Good, clean, reliable data and information that is accessible, effectively maintained, can be used and re-used is essential to provide our organization with the information assets to deliver on the government and community expectations that have been outlined in our current *Example Council* Plan 2017 – 2021 ([INT1759681](#)). Transparency and accountability are fundamental reasons for good record keeping and are the foundation of our Information Governance Framework.

The recently commissioned *Example Council* Customer Service Strategy ([INT1750165](#)) aspires to transform *Example Council* into a municipality ready to engage digitally where ever relevant. Underpinning this aspiration is the reliability of data and information that is readily accessible to our employees, that is appropriately governed with technology that supports ongoing accessibility and lifecycle management. The *Example Council* Information Communication Technology Strategy 2017 – 2020, highlights the driving forces at Federal, State and Local level promoting the digital transformation agenda “*to make it easy for people to deal with government, by helping government transform services to be simple, clear and fast. Daniel Andrews released the 2016-2020 Victorian Information Technology Strategy¹ with a focus on digitising government services to ensure Victorians can better access everyday services anywhere, anytime and improving frontline workers tools to tackle their business challenges. This approach has resulted in the development of the Services Victoria².*

¹ <http://www.enterprisesolutions.vic.gov.au/it-strategy/>

² <http://www.vic.gov.au/services.html>

With changes to technology comes challenges to information governance overall, that being clarity on:

1. Governance structure guiding management of Information Assets
2. Management of technology infrastructure
3. Management of service contracts particularly where integration is concerned
4. Management and security of data including
 - Clarity of data ownership
 - Clarity of data stewardship for quality control, sharing and interchange
 - Responsibilities of all staff to effective management of data
 - Responsibilities of all staff to effective appropriation of technology and software
5. Risks and accountabilities in data sharing, procurement of information and technology services, outsourcing of services
6. Risks and accountabilities in delivery on outward facing public access to data and information

The Information Governance Framework provides for a controlled structure including policy, strategy, procedure, structured documenting, lifecycle management, and authorization of information assets, including technology, data, software, and services.

Legislation

More than 80 pieces of legislation and regulations directly relate to our organisation and informs data and information management. See [INT1761326](#) for the comprehensive list.

Business context

Example Council is a maturing organisation. In 2012 we undertook our first Municipal Association Victoria ECM Step Program audit into records management within Council. This was a whole of Council audit. Not surprisingly, the findings showed that we had much work to achieve to lift our organisation's maturity evaluation to meet PROV standards.

In 2015 a further audit was conducted which showed significant progress. That being said, the audit also highlighted several gaps in information governance. These included a formal structure to assessing across Council performance, lack of Information Asset Register, and the lack of records management inclusion in the review of technology and software projects, purchasing and decommissioning. As we become more outward facing we need to ensure these are properly addressed to protect data assets, protect privacy and avoid unnecessary exposure to risk.

The Framework applied will help *Example Council* meet strategic priorities, increases business performance and reduce risk by ensuring that information assets are properly managed in an accountable and transparent way. Stakeholders, including all staff, service providers, volunteers and Councillors are informed on their responsibilities and accountabilities. Processes of governance and management are documented, promoted, communicated, endorsed and maintained up to date as the Council evolves in digital business.

Stakeholders Consultation

Stakeholder consultation is an important part of management information assets. The ECM Step audit recommendation and the State Government recommendation via Enterprise Solutions is that every agency established an information governance committee. While this is not mandatory for Councils as yet it is considered best practice. The objective is that representatives from across business units will form the committee to support accountability, communicate back to teams on information assets matters and assist where relevant in designing solutions that help all business units maximise the value of the information that is created, received and shared across the organisation and external to the organisation.

Accountability and Roles

Accountability is at the core of an information and governance framework.

Senior Leadership Team (SLT), represented by General Manager, Corporate Services is responsible for sponsorship of the Information Governance Committee. Sign off on recommendations from the committee.

Manager, Information Services is responsible for ICT and delegates technology representation to the Information Governance Committee. Advises on new technology and software proposals, coordinates records and privacy assessments of considered systems with Team Leader, Corporate Information and initiating business unit representative.

Team Leader, Corporate Information is responsible for records management leadership and governance advice. Conducts records and privacy assessments. Coordinates and reports to committee and SLT on information and data asset projects, business unit compliance assessments, external audit reports and recommendations, prospective project opportunities to ongoing improvement.

Information Services - Technical Team – support projects and activities that consolidate our information assets reporting to Manager, Information Services.

Information Services – Corporate Information – support projects and activities that consolidate our information assets reporting to Team Leader, Corporate Information. Corporate Information is responsible for the ongoing integrity of the *HPE RM* electronic document and records management system, under the administration responsibility of the EDRMS Support Development Education Officer.

Business Units – Consult with Manager, Information Services and Team Leader, Corporate Information on new software, technology, outsourcing of services, enhancements to existing systems for information technology and records management and privacy support and guidance. Business systems specific to the service remain the responsibility of the business unit. (A list of systems owners/administrators is available in [INT1741469](#))

All Staff, consultants, contractors and councillors – must be familiar with the policies, procedures, updates in development and processes relating to technology and records/information/data assets use, transfer, exchange, disposal, and records and information assets to ensure privacy, intellectual property and public records probity is maintained.

Strategy and planning

To a large extent information governance has been built into many of council's strategies and planning requirements.

Commonwealth and Victorian Government expectations are that:

“Agencies will develop and implement a comprehensive information governance framework. This includes

1. A strategic, multi-disciplinary approach to managing information at an organisational level to ensure regulatory, business and accountability requirements are met. It means that information management will be embedded into all areas of corporate governance in agencies including risk management, security, compliance and accountability.

2. Government information will be interoperable to facilitate information sharing and re-use, promote efficiency and enable open data initiatives. Interoperability will be based on standards for functionality in systems, formats and metadata.

3. Business processes will be digital from end to end. Business decisions will be made and recorded digitally, using digital authorisations and workflows.

4. Agencies will meet standard information management professionalism and capability levels set by the Archives.” [1]

Example Council is well advanced in addressing these requirements as identified in the following documents which inform readers on their information management responsibilities and priorities for action:

- Information Communication Technology (ICT) Strategy 2017-20 [INT1757268](#)
- **Example Council** ICT Strategy on a Page [INT1757267](#)
- Records Management Strategy and Plan 2016–19 [INT1634562](#)
- Strategic Risk Review [INT1744424](#) and [INT1745671](#)
- Customer Focus Strategy Roadmap Final Report 2016 [INT1750165](#)
- Whole of Council System Review [INT1741469](#)
- 2017-2020 ICT Operational Plan [INT1757234](#).
- Business Plan 2017-2022 - Key Projects [INT1743584](#)
- General Risk Assessment [INT1758828](#)

[1] <http://www.naa.gov.au/information-management/digital-transition-and-digital-continuity/digital-continuity-2020/index.aspx>

To build on this good work we need to close the gap and build an Information Asset Register. This is now a mandate from the Victorian Office of the Commissioner for Data Protection and Privacy, who has developed a template for agencies to use. [1] [2]

An Information Asset Register will provide a baseline to build priority decisions in managing our information assets, and directing resources effectively to build an effective roadmap to meet our strategic commitments.

Public Records Office Victoria has developed the Information Management Maturity Measurement IM3 assessment tool to be used by all agencies in Victoria. This tool measures:

1. People
2. Organisation
3. Information Lifecycle and Quality
4. Business Systems and Processes

The tool is used to assess all business units and business systems. It assesses the information / data environments and our general practice, [INT1717665](#) It is an important tool to measure effectiveness of existing governance and inform on gaps in our maturity, risks and will enable us to focus on areas of priority.

Reporting and compliance

Example Council, as a member of MAV Local Government Information Governance Group, is audited on our information management practices to measure compliance to PROV Standards and legislation and regulation.

Our information governance framework provides structure for building Council's information assets resilience and maturity.

Infrastructure

- For governance advice please refer to the Information Communication Technology Strategy 2017 - 2020. Related policies are to be reviewed and updated.

Risk, audit and security

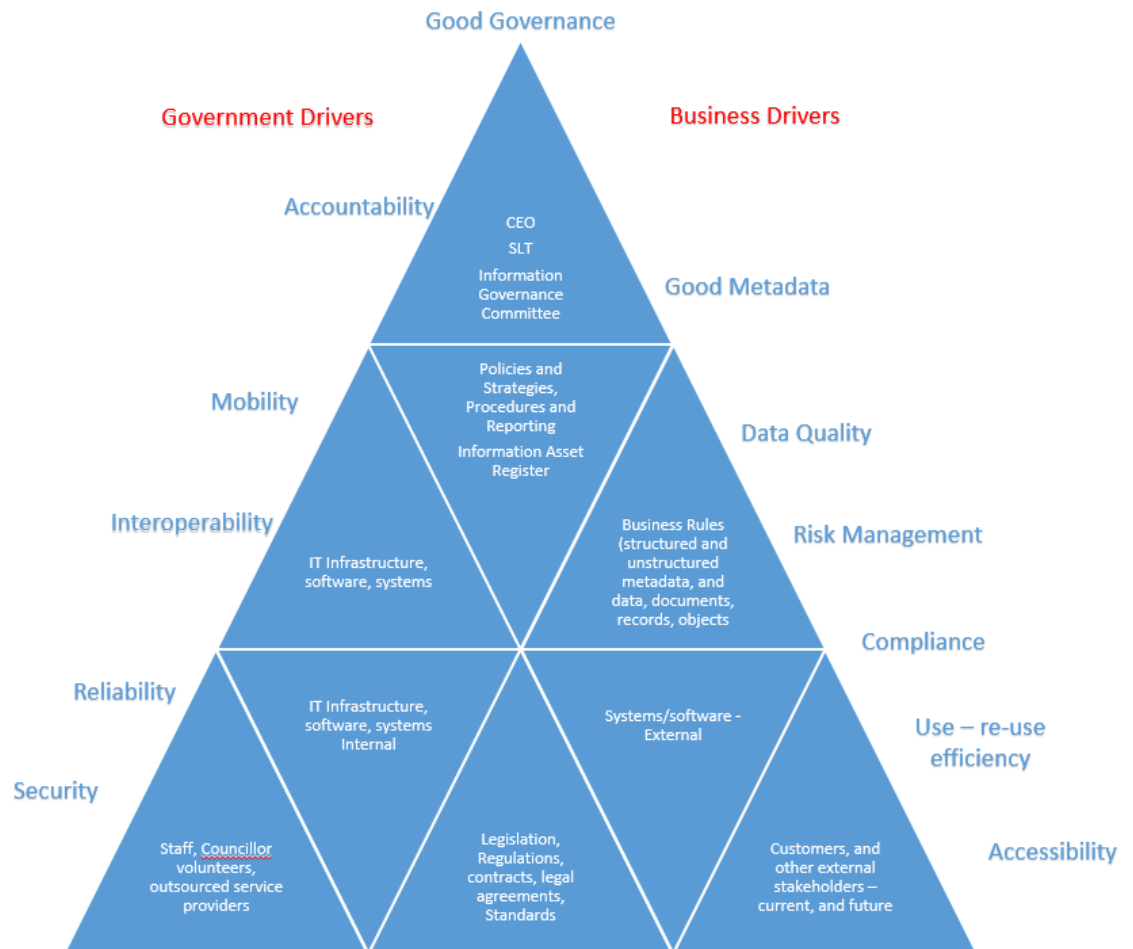
- For governance advice please refer to the Information Communication Technology Strategy 2017 - 2020. Related policies are to be reviewed and updated.

The operational environment

Council function to an activity based work model. To enable us to work effectively to this model Council invested significantly in IT infrastructure, building design, mindfulness and culture training and adopted a paper independence approach. Because of this approach significant benefits in records management health have resulted. This framework documents many processes, activities, policies, strategies achieved to date and presents them in a structured collection for ongoing guidance. See diagram below.

1. https://www.cpdp.vic.gov.au/images/content/pdf/data_security/20160628%20VPDSF%20Framework%20June%202016%20v1.0.pdf
2. <https://www.cpdp.vic.gov.au/menu-resources/resources-data-security>

Example Council Information Governance Framework Model



Standards

Example Council records management falls under the governance of the Public Records Office Victoria (PROV), whose authority comes from the Public Records Act (Vic) 1973 who share responsibility for Victorian public records with National Archives Australia. More than 200 standards have been developed by the PROV to assist agencies navigate the complexities of data and information management in this evolving technology and digital transforming environment.

The MAV ECM Step Program is the model framework that has been adopted by Victorian Councils to guide and measure against our records, information and data management maturity.

The ISO AS 15489 Standards for Records Management is the industry standard that has been applied and adopted across all government agencies. The newly formed Victoria Government Enterprise Solutions Agency that is responsible for the Information Management Framework for the whole of Victorian Government informs in technical infrastructure, digital maturity and interchange of data standards. For name and address and data standards the Australia Post Standards for Addressing and the AS 4590 Client Data Interchange Standard has been recommended for data management, cleansing and interchange.

As Council moves into Digital by Design and works to provide client interface with their data as an available service, it is critical that the standards are applied across all data sets that are to be shared across the tiers of government or opened to the public. The Information Governance Framework will provide the structure to ensure that considerations on metadata, information, records and document management standards as well as risk management and quality assurance standards are made for each data cleansing project, system upgrade or procurement, information or data sharing or mining and analysis is conducted to standards and protects against risk, while providing desired results.

Policies and procedures

Policies and Procedures that are already part of our Information Governance Framework include:

- Records management Policy [INT1027206](#)
- Records Management Strategy [INT1634562](#)
- Information Privacy Policy [INT1549892](#)
- Working from Home Policy [INT176571](#)
- General Managers Corporate Credit Card [INT1677141](#)
- Information Communication Technology Strategy [INT1757268](#)
- Fraud and Prevention Policy [INT1425518](#)

Policies and procedures that intersect and need to be reviewed as part of our information governance framework include:

- Records Management Business System Compliance Framework [INT1761992](#) and [INT1761988](#) and [INT1761987](#) and [INT1761985](#) (In Draft)
- Social Media Acceptable Use Policy [INT1434760](#)
- Social Media for Business Use Policy [INC149174](#)
- Protected Disclosure Policy [INT1343906](#)
- OHS Records and Document Control Procedure [INT1340557](#)
- Cash Handling Policy [INT1326944](#)
- Information Security Policy [INT1419416](#) and [INT1631336](#) (In Draft)
- IT Acceptable Use Policy [INT1428526](#)
- IT Access and Control Policy [INT1428527](#)
- IT Anti-virus Policy [INT1428528](#)
- IT Business Continuity DR Policy [INT1428529](#)
- IT Cloud Computing Policy [INT1428530](#)
- IT Communication and Mobile Devices Policy [INT1428531](#)
- IT Equipment and Computer Use Policy [INT1428532](#)
- IT Computers for Councillors Policy [INT1428533](#)

- IT Cyber Crime and Security Incident Policy [INT1428534](#)
- IT Email Policy [INT1428535](#)
- IT Encryption Policy [INT1428536](#)
- IT Firewall Management Policy [INT1428537](#)
- IT Hardware Management Policy [INT1428538](#)
- IT Information Management Policy [INT1428539](#)
- IT Internet Use Policy [INT1428540](#)
- IT Laptop and Tablet Security Policy [INT1428541](#)
- IT Legal Compliance Policy [INT1428542](#)
- IT Network Management Policy [INT1428543](#)
- IT Online Services Policy [INT1428544](#)
- IT password and Authentication Policy [INT1428545](#)
- IT Personnel Management Policy [INT1428546](#)
- IT Physical Access Policy [INT1428547](#)
- IT Remote Access Policy [INT1428548](#)
- IT Software Management Policy [INT1428549](#)
- IT Special Access Policy [INT1428550](#)
- IT Support Policy [INT1434848](#)
- IT Strategy Policy [INT1434847](#)
- IT Risk Management Policy [INT1434846](#)
- IT QA Policy [INT1434845](#)
- IT Project Management Policy [INT1434844](#)
- IT Cost Management Policy [INT1434843](#)
- IT Contract Management Policy [INT1434842](#)
- IT Compliance Management Policy [INT1434841](#)
- IT Change Management Policy [INT1434840](#)

When policies have been reviewed and updated they must be promoted across the organisation to raise awareness of roles and responsibilities to information management.

Business processes

Information governance is generally maintained during the function of regular business. Our everyday business processes generally interact with systems and technology. Each system and business process must include governance on:

1. good metadata
2. interoperability
3. accessibility
4. data quality.

It is the intend of Corporate Information, with the support of the Information Governance Committee, to conduct an Information Asset Review and prepare a Register which will inform on next steps to ensure that each and all of our systems progress to meet the 4 elements listed above.

Systems and technology

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This review will assess and register details on business systems owned and maintained by our organisation and on our premises, as well as systems and technology hosted in the cloud, via social media and mobile devices.

Promotion of the framework document

All staff will be made aware of the framework document, via their Managers, after it has been launched at Managers Forum. Corporate Information will promote the document through *EXAMPLE Council intranet* and visits to all business units, as they commence the Information Asset Register review.

SLT will be kept updated on progress through the Information Governance Committee and Digital Business Monthly Reports.

Review intervals for our framework

We will review the framework periodically to ensure that it remains current. In addition, the framework will be reviewed after events that might affect information governance arrangements, such as major administrative changes.

Senior management endorsement

HPRM number	INT1761989		
Policy owner	Information Services – Corporate Information		
Adopted by	SMT (internal)		
Adoption date	Click to select date	Scheduled review date:	Click to select date
Publication	CardiNet		
Revision/version number	Draft v 1.0		