# Information Governance & Management Strategy 2021 - 2024

December 2021 (v3)

WAIMAKARIRI DISTRICT COUNCIL

## Revision History

| Version | Date | Type | Description/notes | Author(s) |
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| Draft | 07/01/2021 | DRAFT | First draft for input | Andy Keiller  Trish Keen |
| Draft | 13/12/2021 | DRAFT | Second draft for approval | Andy Keiller Trish Keen |
| FINAL | 13/12/2021 | FINAL | Endorsed by MTO | Andy Keiller Trish Keen |
|  |  |  |  |  |

This document will be reviewed annually.

# Contents

# Executive Summary

"Our organisation aims to be trustworthy in the way we use and manage information and records. We will fully utilise its value to improve service delivery to our community and enhance our staff's knowledge."

This Information Governance and Management IGM Strategy has been formulated to provide a framework for managing Waimakariri District Council's (WDC) programme of work for improving Information Governance and Management over the next three years. It is designed to meet WDC's business needs and legal requirements (compliance with Archives NZ Information and Records Management Standard 2016[1] and the Public Records Act 2005[2]). It sets a strategic direction that is supported by prioritised projects.

A solid foundation of good information and records management will contribute to WDC's strategic objectives by enabling:

- improved decision-making
- the marketing of our services and those of our partners
- informed risk analysis and assessment
- opportunities to conduct analytics and business intelligence to inform improvement to current services and potentially identify areas for new service delivery
- the opportunities to conduct research and promote the district history, achievements and successes
- the reuse and repurposing of information

This Information Management Strategy will align with internal strategies and plans, central government's ICT Strategy, recordkeeping compliance requirements, and help address the challenges facing local government sector in general. It will also provide for the development and implementation of a cohesive framework for managing information, records and data.

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[1] https://archives.govt.nz/manage-information/resources-and-guides/statutory/information-and-records-management-standard

[2] https://www.legislation.govt.nz/act/public/2005/0040/latest/DLM345529.html

Our Organisational Development Strategy, Tā Mātou Mauri, identifies key organisational objectives and priorities. The objectives closely linked to this IM Strategy are:

- It's fair and easy for our customers to do business with us;
- Systems and management processes are integrated, effective and reflect best practice;
- We have empowered and valued people and teams.

This document contains the key focus areas, related transformational initiatives and activities required to deliver the IGM Strategy. Underpinning this strategy is a set of goals and information management principles (See Appendix 1) that provide structure, and direction, for the implementation of our information and records management initiatives over the next three years. The following key drivers have been identified from external/internal strategies, industry trends and feedback from our staff:

- Better staff empowerment and knowledge
- Ensure WDC data and information is managed as a corporate asset
- Reduce WDC's business risk through:
  - Maintaining information and records management resourcing and tools to current industry practice levels
  - Developing and implementing records retention and disposal schedule (across formats and repositories)
  - Developing and implementing an Information Security and Access Policy and Privacy Breach Guidance
- Ensure WDC's information and records management capability is well led, motivated and respected by the wider organisation
- Improve compliance
- Ensure WDC is aligned, where appropriate with NZ Government Strategy[3]
- Ensure WDC is positioned to take advantage of shared service opportunities with other councils and public sector entities

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[3]    https://www.digital.govt.nz/digital-government/strategy/

Implementation of this strategy will ensure that WDC creates, maintains and leverages our information assets for the benefit of our community and our staff.



DIKAR Model
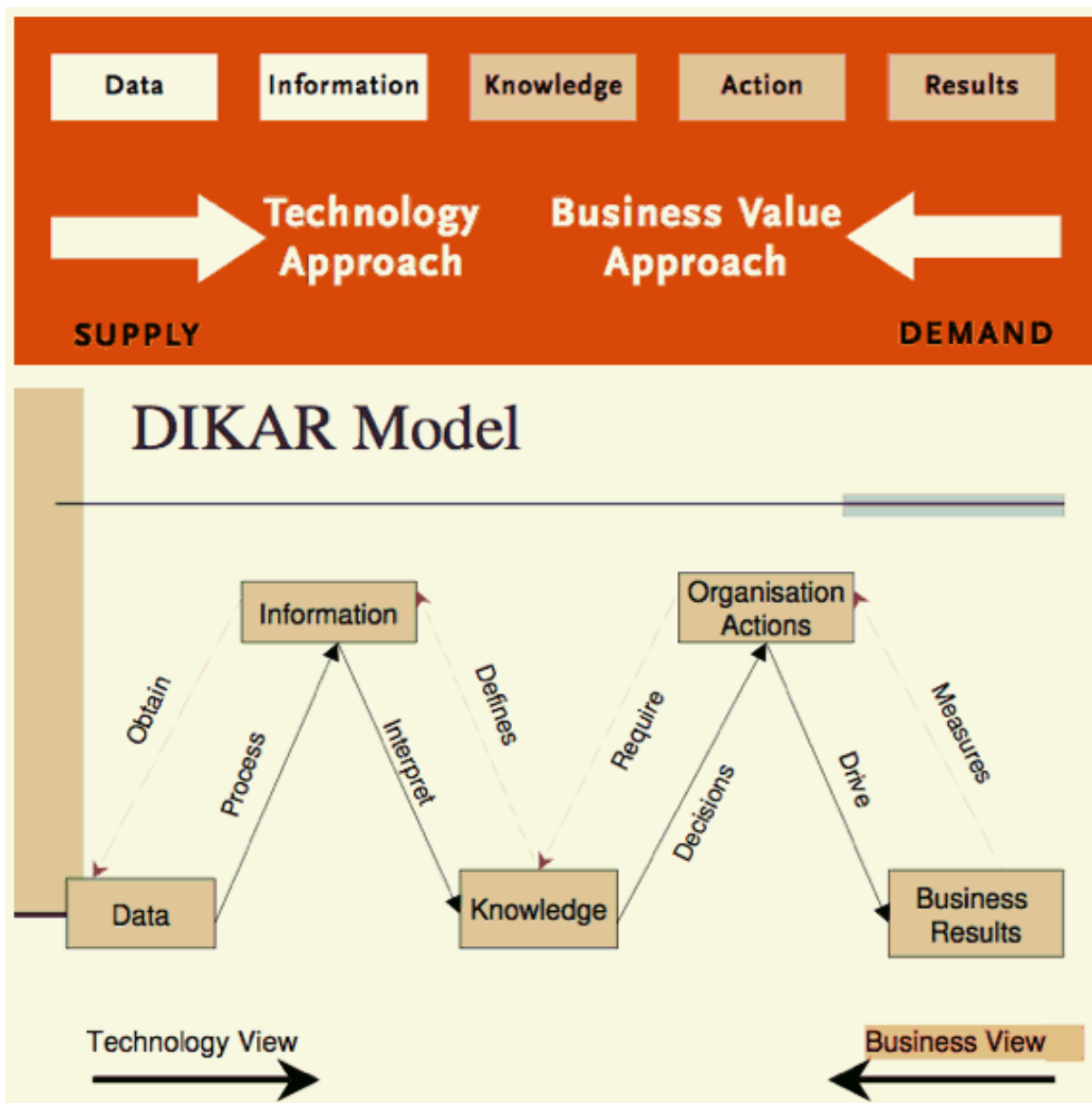
# Vision Statement

**WDC's Information Management vision is:**

> Our organisation aims to be trustworthy in the way we use and manage information and records. We will fully utilise its value to improve service delivery to our community and enhance our staff's knowledge.

## The strategic goals are:

Strategic Goal 1: **Through better management and utilisation of our information, our staff and community are easily able to get the information they need**

Strategic Goal 2: **Enable and empower all staff to better manage and utilise our information and records through improved processes, protocols and technology**

Strategic Goal 3: **Embrace and embed good digital recordkeeping practices to support wider business strategies and improved decision-making**

**The Strategic Outcomes are:**

### Waimakariri District

- The Council will be in a significantly stronger position to enable community outcomes through effective management of its information
- Able to demonstrate that the senior executive team is accountable for leading information management
- Seen by our community as a trusted custodian of public and personal information

### Waimakariri District Council Employees are:

- Aware of, and understand, the requirements for managing information
- Aware of, and understand, their responsibilities with regards to information management, privacy, security and access
- Staff are appropriately trained in the use of information management tools, policy and procedures
- Able to fully utilise our information to improve decision-making and the services that are delivered to our community

### Waimakariri Information is:

- Managed, through use of tools, in a way that reflects its status as a valuable asset
- Managed to ensure information is created, captured, accessible and remains authentic
- Integrated into business processes, systems and services
- Protected from unauthorised or unlawful access
- Monitored and reviewed to ensure it is timely, accurate and meets business needs
- Easily accessible, particularly in the event of a disaster

**Our Vision:** Our organisation aims to be trustworthy in the way we use and manage information of records. We will fully utilise its value to improve service delivery to our community and enhance our staff's knowledge

## What do we want to achieve?

**Strategic Goal 1:**

Through better management and utilisation of our information, our staff and community are easily able to get the information they need

**Strategic Goal 2:**

Enable and empower all staff to better manage and utilise our information and records through improved processes, protocols and technology processes and protocols

**Strategic Goal 3:**

Embrace and embed good digital recordkeeping practices to support wider business strategies and improved decision-making

## How will we achieve it?
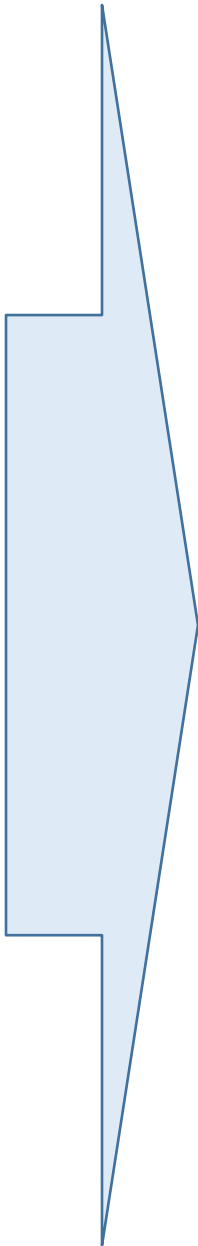
**Systems:**

- **Content Management solution introduced**
- **Develop induction and training programme**
- **Ensure all new systems, processes and procedures consider the IM requirements as part of their design**
- **Promote Open Data initiatives**
- **New systems will be capable of integrating with our EDRMS**
- **Information resources are understood and documented in our Information Asset Register**

**People:**

- **Establish a group of trained IM Champions**
- **Develop relevant IM skills for all staff**
- **Ensure IM responsibilities are understood and embedded as daily routine**
- **IM Team to focus on governance, education, advice and support**

**Processes:**

- **Carry out regular IM Health Checks to promote good IM practice**
- **Ensure policy, processes and procedures remain efficient and effective**
- **Ensure digital continuity to enable information and record to remain accessible over time**
- **Introduce an approved Disposal and Retention schedule**

## What will our future look like?
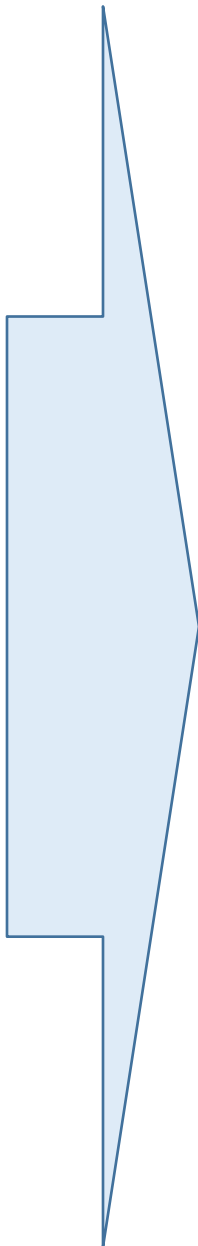
**The Council will be:**

- **The Council will be in a significantly stronger position to enable community outcomes through effective management of its information**
- **Able to demonstrate that the senior executive team is accountable for leading information management**
- **Seen by our community as a trusted custodian of public and personal information**
- **Able to demonstrate that it meets relevant legislative requirements**

**Staff are:**

- **Aware of, and understand, the requirements for managing information**
- **Aware of, and understand, their responsibilities with regards to information management**
- **Appropriately trained in the use of information management tools, policy and procedures**
- **Able to fully utilise our information to improve decision-making and the services that are delivered to our community**

**Our Information will be:**

- **Managed, through use of tools, in a way that reflects its status as a valuable asset**
- **Managed to ensure information is created, captured, accessible and remains authentic**
- **Integrated into business processes, systems and services**
- **Protected from unauthorised or unlawful access**
- **Monitored and reviewed to ensure it is timely, accurate and meets business needs**
- **Easily accessible, particularly in the event of a disaster**

# Our Strategy

## Why is the effective governance & management of our information so important?

Like any other of WDC's physical assets, information (including records) has a lifecycle. From its creation, to its use, reuse and finally to its disposal, requires an investment of time, energy and money. It also needs to be regularly reviewed to ensure that it continues to be fit for the purpose of delivering the Council's services, decision-making and supporting our partners for the benefit of the Waimakariri community and beyond.

A solid foundation of effective information and records management (See Appendix 2) will contribute to WDC's strategic objectives by enabling:

- the delivery of our Community Outcomes
- improved decision-making
- the marketing of our services and those of our partners
- informed risk analysis and assessment
- opportunities to conduct analytics, creating business intelligence that will inform improvements to our current services, and potentially identify areas for new service delivery
- opportunities to conduct research and promote of the district history, achievements and successes.
- the reuse and repurposing of information

The implementation of this strategy will ensure we leverage value from the investment made in managing our information assets.

## What factors will influence the way we manage our information?

### External

Globally, and within the local government sector, there are a number of trends and policy directions emerging which require consideration within WDC's Information Governance and Management Strategy. They are:

- **Cloud based tools** – use of cloud based tools for collaboration and convenience (such as Office 365, DropBox, etc.) is pervasive, meaning that issues of jurisdiction, control and ongoing access need to be addressed as part

of WDC policies and practices. There is often a temptation for cloud based tools to be used to solve digital storage challenges/costs, however the business and information management risks can outweigh the benefit of using such services. There must be careful consideration by all relevant parties prior to adopting a cloud based approach.

- **Email** – This accounts for most interpersonal and inter-business written communication to both internal and external parties. Email inboxes have become default filing systems (under individual staff control) containing WDC content that provides evidence of decision making, which may represent the only source of truth, and which are subject to legal requirements around discovery, access and long term management.

- **Websites and social media** – are now the preferred medium for publishing information about an organisation The functionality of websites is constantly increasing, from being an on-line publication (like a pamphlet) to a gateway to information repositories all the way to a fully-fledged portal where business can be transacted. Social media channels such as twitter and Facebook are enabling two way communications with council customers and are being increasingly used as a way to make announcements, keep customers informed, gather feedback etc. From an information management perspective website and social media generate information that must be managed and maintained over time as it creates a perception of how the council does business with its key customers and stakeholders.

- **Digital Continuity** - There is a significant trend away from hard copy records to digital records. This includes both "born digital" and "made digital" records including digital documents, databases, completely digital transactions (e.g. digital invoices and payments, online enrolments), digital photos, on-line queries and computer-generated responses/advice, and the digitisation of existing hard copy records. The majority of WDC's content is now in digital format which means there is a greater need to put in place robust technology solutions to ensure secure and appropriate access over time.

- **Obsolescence** - As new information systems and services proliferate, organisations find that the life span of technologies and applications can be shorter than planned. Changes to supplier support models, changes in the ownership or strategic direction of currently used information management solutions, and upgrades to one application impacting on other interconnected applications will also affect WDC's ability to plan and to continue to use existing technologies and subsequently its information. The risks posed by obsolescence can be mitigated by regular application upgrades, effective data migration and preservation strategies as well as the implementation of regular authorised disposal. Digital continuity planning, as part of a continuum approach to information lifecycle management, is critical to ensuring ready access to stored information both now and in the future.

- **Reform** – WDC will need to continually assess the impact that local government reforms will have on the information it manages. At the time of writing this strategy three major reviews are currently under way:
  - 3 Waters
  - Resource Management Act
  - Future of Local Government

It is important for WDC to maintain awareness and a working knowledge of relevant technology and information management trends so that it continues to be agile and responsive to any changes. This will enable WDC to adjust and review plans and proposals appropriately; for example ensuring that information is in a form that can be migrated (complete with its metadata integrity assured) to new technology solutions.

## Internal

In addition to external factors as outlined above, there are a number of internal drivers within WDC which shape the priorities for the IGM Strategy. The drivers listed below influence the foundation of managing information effectively to support council business.

- Ensuring WDC data and information is managed as a corporate asset to improve quality, availability and accuracy to support business decision making, compliance and providing value added information and services to WDC's stakeholders
- The need to empower and enable staff to manage, and utilise, records and information for the benefit of our communities.
- Deliver return on investment relating to the digitisation of hard copy records, those already digitised and those that could be digitised in order to support WDC's mobility strategy and a "paperless" environment
- Increase value obtained from content management technology through greater understanding, by the business owners, of business needs, processes and requirements.
- Reduce WDC's business risk through:
  - maintaining information and records management resources and tools to current industry practice levels
  - developing and implementing records retention and disposal schedule (across all formats and repositories)
  - developing and implementing an Information Security and Access Policy and Privacy Breach Guidance
- Ensure WDC's information and records management capability is well led, motivated and respected by the wider organisation
- Improve compliance without stifling change or impacting on service delivery
- Ensure WDC is aligned, where appropriate, with the strategies of DIGITAL.GOVT.NZ[4]
- Ensure WDC is positioned to advance shared service opportunities with other councils and public sector entities, where appropriate.

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[4] https://www.digital.govt.nz/

# Why do we need standards, policy and process?

Only when we govern and manage our information effectively will we see the value it can bring to supporting strategies and improving both decision-making and service delivery.

Archives NZ released an updated mandatory Information and Records Management standard in July 2016[5]  This standard is underpinned by three principles:

1. Organisations are responsible for managing information and records.
2. Information and records management supports business.
3. Information and records are well managed.

A requirement of this standard is that all Councils appoint a designated Executive Sponsor, WDC's Executive Sponsor is the Manager, Finance and Business Support.

The role of the Executive Sponsor is to champion the importance of information and records management among the organisation's leadership. The aim is for everyone in an organisation to see information and records management (IM) as an integral part of a business operating effectively, i.e. IM needs to be ingrained in all that we do. Ensuring that IM:

- is considered when developing organisational strategy and policy;
- is practical and business focused - Aligning information and records management with the corporate objectives and business activities of the organisation.
- is part of BAU - Liaising with business units to ensure that information and records management is integrated into work processes, systems, projects and services;
- has sufficient resources and budgets to deliver value;
- has the right expertise available – ensure that staff with appropriate skills, and capacity, are available to implement IM and records strategies.

Information and records management services and standards in the local authority sector in New Zealand are directed, to a large extent, by the requirements of the Public Records Act 2005 and the standards released by the Chief Archivist under that legislation. There is also a growing body of international standards and practices that position information and records management as a core business discipline that is an enabler to the delivery of an organisation's core business.

WDC is obliged to meet a series of legislative requirements governing the management of information and records. The IGM Strategy supports compliance with

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[5] https://archives.govt.nz/manage-information/resources-and-guides/statutory/information-and-records-management-standard

these legislative requirements as well as supporting the delivery of effective services to our communities.

## What do we need to successfully deliver this strategy?

The following factors will be critical to the successful implementation of the Information Governance and Management Strategy:

- Commitment and support from the WDC Senior Management Team
- Commitment and support from all staff
- Effective and consistent communication with WDC staff
- Appropriate and effective training for all staff
- Ensuring that appropriate skills, experience and strategic thinking are available to support our initiatives that impact our information and records assets
- Appropriate resourcing e.g. people, budgets, skills and time
- Continued investment in information governance and management
- Effective change management
- A strong focus on governance and education, delivered by a team that can advise and enable staff to manage, and utilise, their information in a way that supports good decision-making and great service delivery

## What do we need to do to deliver our future state?

A significant amount of effort has been put into identifying what the current state is with regards to our three strategic goals. This has led to the identification of a number of transformational activities (see Appendix 1) that will move WDC towards its desired future state at the end of the three year period that this strategy covers.

This will not necessarily be the end of the information journey for WDC but it will set us on a trajectory that will increase our level of maturity with regards to management and leverage of our information assets.

An annual review of this strategy will ensure that it remains relevant to the strategic objectives of the Council and make certain that industry trends with regards to information management, and technologies, are assessed and adopted where necessary.

# What does success look like?

**Fully utilising information for service improvement**

- Staff will have the tools and skills to be conducting analytics to provide new business insight into service delivery
- Improving our staff's knowledge through the application of our information, E.g. project staff will be able to gain insight from previous projects through access to lessons learned reports
- Business decisions are de-risked due to more accurate and timely information being available to those making these decisions.

**Information Management is well understood by all of our staff**

- Staff will be able to demonstrate that they understand the roles and responsibilities for information management as they will be clearly defined and communicated.
- Staff will be aware, and have an appropriate understanding, of the policy and processes for managing information and records
- Staff will have the tools and skills to manage their information and records in a way that will preserve the authenticity and allow easy access
- IM Team are proactively supporting staff in their use of information processes rather than reacting when they are not followed.

**Managing our information in a trustworthy manner**

- Policy, process and appropriate tools are being used ensure that Information will be managed in a way that reflects its status as a valuable asset
- Information will be managed to ensure it is created, captured, accessible and remains authentic
- Information principles will be integrated into business processes, systems and services
- Appropriate levels of security will protect information and records from unauthorised or unlawful access
- Privacy guidelines will minimize the risk of accidental release of personal information
- Quality assurance activities, e.g. health checks, audits, etc., will give confidence that information is being monitored and reviewed to ensure it is timely, accurate and meets business needs
- Information will be easily accessible, particularly in the event of a disaster

**Meeting our regulatory compliance requirements**
- Ability to demonstrate that we meet the requirements of the Public Records Act 2005
- Ability to demonstrate that we meet the minimum requirements of the Archives NZ Information and Records Management Standard 2016

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**Meeting our regulatory compliance requirements**
- Ability to demonstrate that we meet the requirements of the Public Records Act 2005
- Ability to demonstrate that we meet the minimum requirements of the Archives NZ Information and Records Management Standard 2016

# Appendix 1: Roadmaps

## Strategic Goal 1: Through better management and utilization of our information, our staff and community are easily able to get the information they need

### Current State

- IM Team are acting as gatekeepers with regards to Folder Creation, Folder content auditing/verification and Quality Assurance of naming.

- There is limited integration between Technology One and our EDRMS creating additional work for the IM Team around Property and Land maintenance within the EDRMS.

- Due to operational focus, other information management activities,
e.g. retention, disposal, audits etc., are not being carried out.

- IM Policies exist but are not widely read and understood amongst staff

- Staff confusion around "What is a Record" is leading to the retention of unnecessary information and potential destruction of critical information.

### Transformational Activities

**Systems:**
- Recast how the roles within the EDRMS are assigned - "IM Champions"
- Explore the longer term pathway for TRIM and which digital document and records management product WDC should use
- Work with TechOne to ensure that IM considerations and workflows are automatically built into the product
- IM Team to retain the current role of EDRMS business owners

**People:**
- Reframe the IM Team career pathway and fully utilise current capabilities – Training, Technical support, Advisory
- Establish a IM Champions group
- Provide training and support for IM Champions
- Move some day to day EDRMS administration activities to the business units to help with their efficiency
- Maintain the current role as EDRMS experts and first tier EDRMS help desk for all staff
- Introduce Information Management induction and refresher training for new users and refresher workshops for existing staff.

**Processes:**
- Carry out annual departmental IM Health Checks to promote IM good practice and review user needs
- Set up regular monitoring and reporting processes to ensure that established process are effective
- Maintain and enhance the current EDRMS reporting and analysis activities

### Future State

- The business is leading changes (with IM Team advice and support) to the EDRMS to support their needs

- The IM Team are a business support team delivering an advisory and technical service to individuals, teams and the entire organisation.

- IM Champions are able to deliver IM guidance to wider teams.

- IM Champions carry out regular administrative tasks around document maintenance, metadata quality control to ensure effective IM

- Staff have a greater awareness of personal responsibility for the effective management of their information and records

- The IM team spend more time on education/advice to support staff to effectively use of the EDRMS system

## Strategic Goal 2: Enable and empower all staff to better manage and utilise our information and records through improved processes, protocols and technology

### Current State

- Provision of EDRMS training with a very brief IM Policy section.

- Limited provision of expert advice provided on some projects involving the capture, storage or management of information and integration opportunities

- Maintaining an overview of the file classification structure that ensures the filing system structure is working at optimum level

- Manage records storage space in the building; ensure security, cleanliness, safety

- Coordinate appraisal and destruction of any records

- Actively manage Council Archives according to archival requirements and processes

- Development and promulgation of up to date policy and procedure documentation (RDS) across paper and electronic

### Transformational Activities

**Systems:**
- Provide IGM guidelines for the use of information repositories, Information Security and Access etc..
- Monitor and analyse the use of information repositories
- Encourage the implementation of business systems that can provide integration with Council's EDRMS

**People:**
- Review the IM SLAs to support transition to a team of expert advisors
- IM Team retain the responsibility and oversight for records management in WDC
- IM specific induction and refresher training programmes are available for WDC staff i.e. IGM Policy & Procedures, Public Records Act, Privacy Act

**Processes:**
- Vital records are identified and processes are in place to manage these over time
- Finalise & implement a retention and disposal schedule over multiple classes of information held in multiple repositories

- IGM Policies and Procedures are regularly reviewed to ensure they are fit for purpose

- .
- Dispose of already digitised records that meet the digitisation standard

### Future State

- The IM team has a mandate to provide governance, education and expert advice for IM to all WDC Staff

- The IM team & IM Champions promote and raise Information management awareness amongst individuals, teams and the wider organisation

- Staff are educated and confident in undertaking good IM practices within WDC

- The IM team is viewed as a proactive and expert team that enables WDC to best fulfil its information management requirements

- WDC realises efficiency gains or effectiveness from IM projects, e.g. disposal of non-current records

- IM Team is involved with the access, retention and disposal of information/data from legacy systems e.g. NCS, etc.

## Strategic Goal 3: Embrace and embed good digital recordkeeping practices to support wider business strategies and improved decision-making

### Current State

- Hard copy mail is physically delivered within the Rangiora campus and couriered between Services Centers once a day

- Multiple repositories hold information throughout the business without a central register i.e. CAD, images, databases

- IM expertise is rarely sought in technology projects leading to a lack of, or late, consideration to information requirements.

### Transformational Activities

**Systems:**
- Research technologies for information/ content management
- Ensure IGM considerations are automatically built in to technology projects at an early stage
- Work proactively with the wider organisation to ensure IM requirements are built in to new procedures, processes and software solutions
- Be proactive in the support of Open Data initiatives identifying privacy impacts .i.e. property info online

**People:**
- Undertake regular IM "Health" Checks to evaluate current practice and offer advice and support for individuals & business units IM needs
- Actively seek out new IM opportunities and developments in line with Tā Mātou Mauri
- IM team to assess the impact of industry changes and raise new opportunities with the business

**Processes:**
- Develop and Maintain an Information Asset Register to identify the value of information sources to enable their management throughout their defined lifecycle
- Explore digital continuity issues and develop an approach to enable WDC digital records to be accessible over time
- Install one pick up/drop off location for hard copy inwards mail distribution.

### Future State

- Information/Content Management systems will be easy to use and fit for purpose

- There is an organisation-wide approach to IGM that is cohesive and reduces silos

- Staff have access to what they need, when and how they need it

- All staff have the right level of training

- IM practices are intuitive and seamless

- Staff take a more holistic view of information which supports improved decision-making and service delivery

- Electronic information will take priority over physical.

- Information in all formats, in all repositories will be managed, protected and accessible

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# Appendix 2: Information Principles

Underpinning the robust and effective management of information, data and records at WDC is a set of five information management principles which provide context and set expectations. Any initiatives, projects or programmes of work involving WDC information, data and/or records must abide by the principles outlined below.

Principle 1 - **WDC information is a strategic asset**

Principle 2 - **Information created and received by WDC is equitably available and accessible**

Principle 3 - **Information and records management policies apply irrespective of format and storage media**

Principle 4 - **Information is well managed and has appropriate levels of security and access applied**

Principle 5 - **Information has a single source of truth**

## Principle 1 – WDC information is a strategic asset
This means:

- As an organisation, WDC recognizes that managing information requires the same level of investment and skills across the organisation as other asset management disciplines such as finance, HR or capital works
- Generation, sharing and use of information leads to enhanced and informed decision-making, better informed policy, future planning and engaged customers and stakeholders.
- Processes and systems are in place for ensuring the integrity, quality, protection and dissemination of information
- All employees must use and manage information appropriately and efficiently to carry out WDC's business.
- Staff are trained in how to use and manage information required for their jobs
- All employees must ensure that all information that supports the business of WDC is collected and created for specified purposes and that the reasons for collection and creation are transparent.
- Staff understand that information and records are owned by WDC

## Principle 2 - Information created and received by WDC is equitably available and accessible
This means:

- Information will be available and accessible to all employees (including contractors, consultants and authorised third parties) unless there is a specific reason to preclude access (i.e. considerations of privacy, legal professional privilege, commercial sensitivity, statutory requirements, conflict of interest declaration etc.)
- Access to information by members of the public and external organisations is governed by specific legislation (namely the Local Government Information and Meetings Act 1987 and the Privacy Act 1993) and may be subject to other legal considerations.
- Privacy and confidentiality of individuals and commercial interests are known and protected
- Employees (including contractors, consultants and authorised third parties) will be held accountable for accessing information inappropriately (i.e. without a valid business reason)

## Principle 3 - Information and records management policies apply irrespective of format and storage media
This means:

- Information management policies are consistently applied across all formats and all systems and platforms
- Policies are developed and disseminated for all information repositories to support consistent management of information
- The primary format for information within WDC is electronic. This means that employees (including contractors, consultants and authorised third parties) are expected to manage electronic information for all activities within WDC's business systems according to information management policies and procedures.

# Principle 4 - Information is well managed

This means:

- Creation, collection, use, retention and disposal of information is subject to business and legal requirements
- Information is accurate, relevant, timely and consistent
- All information management disciplines are actively involved through appropriate governance channels, to determine that information management requirements and needs are being met with the introduction of any new systems and tools
- Staff (including contractors, consultants and authorised third parties) must use WDC's business systems and information management processes to ensure that all private and sensitive information is appropriately classified and protected against unauthorised access *(refer QP-C305 Acceptable Use of Communications & Technology Policy 170126007188, Draft Information Privacy & Access Policy 171204131400)*

# Principle 5 - Information has a single source of truth

This means:

- WDC will actively work towards establishing and maintaining master data sources to act as a single source of truth for all information
- Information is collected and created once into a prime authoritative data source, then used many times
- WDC information holdings are known and information repositories and recordkeeping systems are documented (information asset register as per ict.govt.nz website)
- Staff know which repository to use for which kind of information

# Appendix 3: The Role of Information Management

The Information Governance & Management Strategy encompasses all of the information and records management governance, architecture, activities and services that are provided within WDC's physical and digital systems. The strategy provides the framework within which the management of information and records will be improved and will support other strategic business initiatives.

Information Governance & Management is the framework to cover principles and practices employed to manage information as assets including both structured and unstructured information and data. Information assets are objects which may include, but are not limited to:

- Records, both digital and paper
- Archives
- Knowledge base information
- Digital assets e.g. audio, video, image etc.
- GIS data
- Database content
- Intranet and internet content
- Microsoft Teams sites

Within the context of this strategy, the discipline of information and records management encompasses management of records, archives, digital assets, data and metadata. Effective information and records management informs and supports information technology systems selection and design.

Information management is often used as an 'umbrella term' to encompass a number of disciplines that rely and support one another in relation to the management of information assets.

| Information Management | | |
|---|---|---|
| Information Governance | Information Management | Data Management |

*Figure 1 - Information Management*

Managing information and records proactively (as opposed to reactively) will allow WDC to take advantage of its content for:

- reuse and repurposing

- improved decision-making
- marketing
- risk analysis and assessment
- analytics and business intelligence (including management reporting)
- research and promotion of the district history, achievements and successes

Proactive management of information and records ensures that it is managed through its entire lifecycle - from creation through to disposal. It also ensures that WDC is managing its past information, current information and is planning for the management of future information.
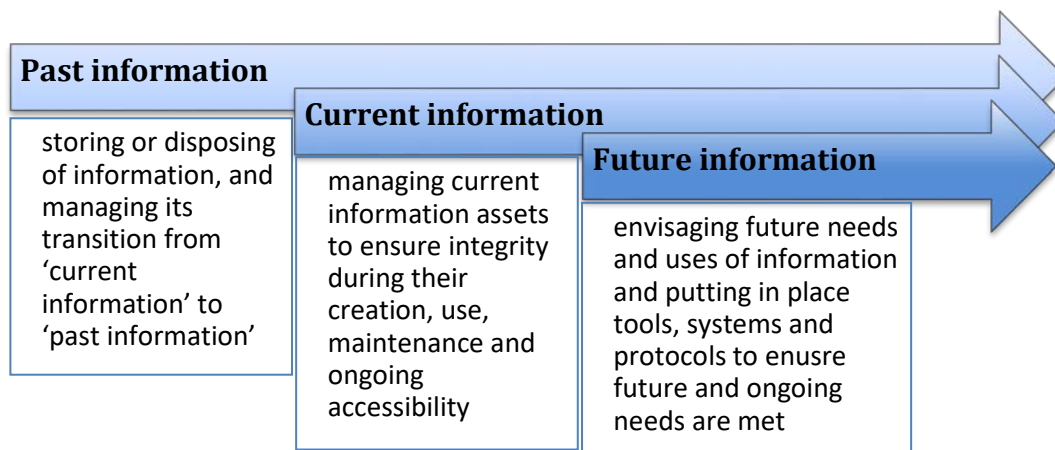
**Past information**

storing or disposing of information, and managing its transition from 'current information' to 'past information'

**Current information**

managing current information assets to ensure integrity during their creation, use, maintenance and ongoing accessibility

**Future information**

envisaging future needs and uses of information and putting in place tools, systems and protocols to enusre future and ongoing needs are met

*Figure 2 - Information Groupings*

## The future of EDRMS

TRIM has been WDC's EDRMS since 2006 so has now been in use for 15 years. Within the next 2-3 years, WDC need to do a formal review on whether TRIM is still "fit for purpose" and research other EDRMS options available.

The EDRMS of the near future brings some major changes, e.g.:

- *Better search replaces containers*. At the moment TRIM is setup for browsing with containers and multiple sub-containers for each subject. New EDRMS systems tend to move away from placing documents into a hierarchy of containers (folders), relying instead on a powerful search functionality to find files by the "tags" associated with documents.
- *The move to an "as a Service" model for EDRMS systems*. As part of All of Government (AoG) WDC can access Enterprise Content Management as a Service (ECMaaS) which currently comprises three hosted solutions.

# Appendix 4: The Role of an Information Management (IM) Champion

Information and records management is the discipline that allows information and record assets to be governed, protected, and prioritised. It helps to build business capability and increases the strategic value of information and records. Information and data are the core of business and are key strategic assets.

An IM Champion is like a cheerleader for Information Management. They will be able to demonstrate the value of IM within specific Business Units and identify new ways that we can bring things to the teams that we may not have thought of before.

## Information Management Champion is responsible for:

- Raising awareness of information and record management principles and systems to assists users in managing their responsibilities with respect to the information.

- Understands personal responsibility for managing the knowledge and information in accordance with policy and procedures and can explain it to other staff members in the organisation.

- Understands and complies with rules on transferring, sharing, protecting and handling information securely and advises on this in relation to their role.

- Recognises the sensitivities around personal or corporate ownership of documents and records and handles them appropriately.

- Reports suspected or actual information security issues through the appropriate channels.

## EDRMS (Trim)

- Is able to use the systems and processes for managing information effectively and can assist others.

- Has a higher access to modify and move bulk information within the EDRMS.

- Understands the basic principles of organising information using a function & activity based classification.

- Displays a working knowledge of how metadata should be applied.

## Legislation

- Aware of the Public Records Act 2005.

- Aware of Archives New Zealand's mandatory information and records management standards.

- Aware of relevant legislation, associated responsibilities regarding handling personal information as per the Privacy Act 1993, LGOIMA.

**If you want us to help drive forward IM initiatives and support your colleagues and Business Units, then with a small amount (3 x 1 hour) of further training and some additional TRIM access you can! (see Champion Session Plan TBC)**

# Appendix5: Where is the information stored?

## What information is where?

### Technology One (T1)

**P&R**
- Building Consents △
- Resource Consents △
- Licences △
- Dogs △
- Cemetery△
- Service Requests

- Property & Land △
- Applications △
- Debtors
- Rates △
- LIM
- Leases △

**Finance**
- GL
- Accounts Payable

**HR and Payroll**
- Personnel records & files

**Assets**
- Fixed
- Operational
- Utilities △
- Greenspaces △
- Task costing

✗ - Neither TRIM or the paper files have the complete picture

△ - Source of true for attribute data is T1, source of truth for spatial location is GIS

Text in RED has similar types of (or duplicate information) in multiple resources

#### Off-site
- Archives & non-current records

#### Databases
- Submissions.com
- WINZ
- Log sheets (meter reading)
- Consents (ECAN)
- Chemical results
- Scada
- Links – Pools
- BI – Business Intel.

### In the Cloud (SaaS)
- Acconex -Used for roading contract management
- Canto – used for photo/media management
- Revera – CCTV & long term low access information
- Archive Social-social media archive
- Mimecast – email archive
- Datacom Sphere – mobility documents, H&S
- Kotuhi -Memberships & bookings for Library
- Links - Memberships & bookings for Library
- Teams & O365 - documents
- Active Directory – login info
- Mango - Building Unit Quality documents & data
- Sharepoint Online - documents
- Swimdesk – data
- State3 – data
- Promapp - data
- Jira – documents & data
- Snap Send Solve - data
- Surveillance software - footage
- InfoAssets – CCTV footage & data
- Outlook – working documents, business decisions

### TRIM (HP Content Manager)
- Scanned property files
- Subject files
- Deskfiles
- Plans
- Historic plan cabinets
- HR – Personnel files

- Agenda & minutes
- RC ✗
- Licences ✗
- Leases ✗
- Submissions
- Projects
- Contracts
- Policies

#### Paper Files
- RC ✗
- Licences ✗
- Leases ✗
- Duplicates

- Council Property
- Deskfiles
- Diaries
- Publications

#### Network Drives
- As-builts/drawings
- "Working" files
- Personal files
- Duplicate of TRIM structure
- Policies & Quality documents
- Vault - Revera

- CCTV
- Photos
- Deskfiles
- Plans
- Databases
- pst files (email)
- Images

### Browser based

**Internet**
- RAMM
- Facebook
- Agenda & Minutes
- Plans

**Intranet**
- Policies & Quality documents
- Deskfiles
- SOP IT
- Photos

### GIS
- Property & Land △
- Addresses △
- Rates △
- Rates Boundaries
- Cemetery △
- Hazards
- Aerial Photography and LiDAR
- Infrastructure and Greenspaces △
- Utilities / 3Waters Assets △
- AMP Boundaries
- Resource Consents △
- Licence to Occupy △
- Building Consents △
- District Plan△

Access Only (via webservices & WAIMAP):
- ECAN
- Stats NZ
- LINZ

# GLOSSARY OF TERMS:

**AOG**              All of Government supplies contract

**CCTV**             Closed-circuit television, media footage

**ECMaaS**           Enterprise Content Management as a service

**EDRMS**            Electronic Document Records Management System                    *Currently TRIM*

**GIS**              Geographic Information System                                    *Currently WAIMAP*

**IM**               Information Management

**IGM**              Information Governance & Management

**IM Health Check**   1:1 or Departmental evaluation of IM practise to identify training & support needs & promote PRA compliance

**.pst files**       Personal Storage Table, a file format used to store copies of messages, emails and calendar events

**PRA**              The Public Records Act 2005

**SaaS**             Software as a service us a software delivery model which is licensed on a subscription basis and is hosted in the cloud

**TechOne**          Current WDC business system managing Finance, Property & Rating and Customers