

PRASC



**Project for the Regional
Advancement of Statistics
in the Caribbean**

**Projet régional pour
l'avancement de la statistique
dans les Caraïbes**

Funded by the
Government
of Canada

Canada



Information Management Train the Trainer

Project for the Regional Advancement of Statistics in the Caribbean
(PRASC)

Margaret Devey and Chantal Vaillancourt
Delivered remotely to OECS
Date

Delivering insight through data, for a better Canada



Statistics
Canada

Statistique
Canada

Canada



Module 1: Information Management Basics

Project for the Regional Advancement of Statistics in the Caribbean
(PRASC)

Suzanne Schaller
Delivered remotely to OECS
September 22, 2021

Delivering insight through data, for a better Canada



Statistics
Canada

Statistique
Canada

Canada

Sessions

- **Module 1: Information Management Basics** ← Where we are
- Module 2: IM practice: Paper records
- Module 3: IM practice: Email
- Module 4: IM practice: Electronic information
- Module 5: IM practice: Preserving and disposing information
- Module 6: IM practice: Planning and evaluation; Governance

Introduction: Module 1 Information Management Basics

- Introductions
 - Your office
 - Your role
- What you want to get from this workshop?



For the Train the Trainer session

We can skip this slide, but you will need it when you deliver your course.

Discussion

What are the biggest challenges your organization is facing relating to information management?

T *For the Train the Trainer session*

What do you think are the biggest IM challenges facing your member states?

Session Outline

- Definitions
 - Information
 - Information management
- Why manage information
- Key concepts
 - Information life cycle
 - Information Management principles
 - Information value
- Starting an IM Action Plan

What is Information?

Knowledge captured in any format, such as facts, events, things, processes, or ideas, that can be structured or unstructured, including concepts that within a certain context have particular meaning. Information includes data.

(Source: Government of Canada, Treasury Board Secretariat. [Policy on Service and Digital](#), 2019)

What is Information?

Information can be:

Reports, computer code, correspondence, telephone messages, instant messages, calendar events, building plans, maps, procedures, specifications, personnel files, images, and other “unstructured” information

Spreadsheets, datasets, completed survey forms, and other “structured” information

In formats such as:

Electronic: databases, computer files, word processing files, emails, ...

Paper: documents, forms, sticky notes, ...

Why is information important?

- Information allows a statistical organization to do its work, including
 - Collecting, processing, analyzing, disseminating, evaluating the data
 - Supporting and documenting the survey processes and programs
 - Supporting and documenting supporting functions, such as HR, finance, IT, and Information Management

Information is a key asset for all organizations



For the Train the Trainer session

What functions does information support in your organization?

What is information management?

A discipline that directs and supports effective and efficient management of information and data in an organization, from planning and systems development to disposal or long-term preservation.

(Source: Government of Canada, Treasury Board Secretariat. [Policy on Service and Digital](#), 2019)

Managing information, whether record or nonrecord, throughout its life cycle of creation, use, and destruction, while also obtaining business value from it.

(Source: ARMA International *Glossary of Records Management and Information Governance Terms*, 5th ed.)

IM definitions explained

- “a discipline that directs and supports”
 - IM is a job – it doesn’t happen by magic
 - It is strategic (we have to think about how we manage information) and operational (we have to do it)
- “efficient and efficient management”
 - IM needs to be thought through, and be embedded into business processes
 - It should not be seen as an extra requirement
- “of information and data in an organization”
 - IM includes all information, regardless of format or function, structure and unstructured
- “from planning and systems development to disposal or long-term preservation”
 - IM needs to be considered from the beginning, and throughout the life of the information
- “while also obtaining business value from it”
 - Information is used to support the organization

Discussion: Why manage information?

Business perspective

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-
-

IM perspective

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Why manage information? Some ideas...

Business perspective

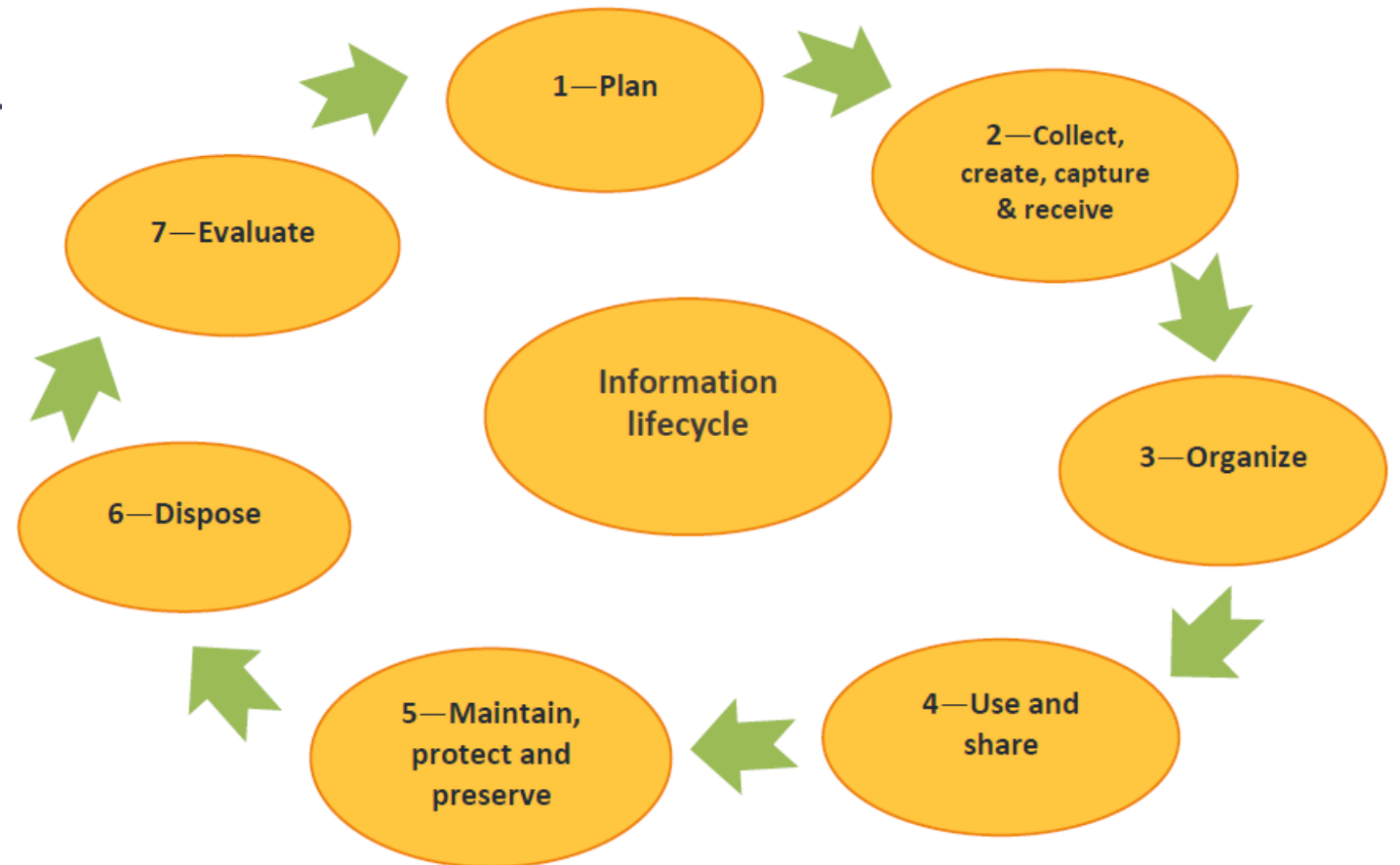
- Finding information
- Information sharing
- Business accountability (e.g., for audits, legal requirements)
- Knowledge transfer
- Efficiency – keep only what need
- Information quality

IM perspective

- Legal requirements (e.g., archival legislation)
- Preserve public trust
- Preservation
- Safeguarding for security, privacy
- Managing corporate information assets

Key Concept: Information Life Cycle

Information needs to be managed throughout its life cycle



Why the information life cycle is important

- **Plan**

- When the organization is introducing a new system, program, or function, the information management needs should be considered.
- Also, plan your IM work

- **Collect, create, capture and receive**

- Staff need to create, collect, etc., information that supports the organization's business activities and decision making – and store it!

- **Organize**

- Information needs to be organized (e.g., in a file structure, using key words)
- Organization is key for the rest of the stages of the life cycle (e.g., for staff to find, use, and share information)

- **Use and share**

- Staff need to be able to find and have access to the information they need when they need it

Why the information life cycle is important

- **Maintain protect and preserve**
 - The organization needs to guard against unauthorized access, disclosure, or destruction of information
 - The integrity of the information needs to be preserved
- **Dispose**
 - When information is no longer needed for operational or historic purposes, it needs to be destroyed using appropriate procedures
 - In the Government of Canada, we transfer information of historic value to Library and Archives Canada
- **Evaluate**
 - The effectiveness of the IM strategies and processes needs to be evaluated periodically. This includes assessing where programs have succeeded in managing their information and IM risks, and highlighting areas for improvement

Information Management Principles

- **Accountability**
 - Have a senior executive responsible for oversight of IM
- **Transparency**
 - Document business processes and activities, and make information available to personnel and to other stakeholders as appropriate
- **Integrity**
 - Manage information in a way that provides a reasonable guarantee of authenticity and reliability
- **Protection**
 - Have an appropriate level of protection for private, confidential, secret, classified, essential, etc., information

(Source: ARMA International. *Implementing the Generally Accepted Recordkeeping Principles*. 2017)

Information Management Principles

- Compliance
 - Comply with applicable laws or other binding authorities, and with the organization's policies
- Availability
 - Manage the information to ensure its timely, efficient and accurate retrieval
- Retention
 - Maintain information for the appropriate time, taking into account legal, operational, historical, etc., requirements
- Disposition
 - Provide secure disposition of information no longer required according to its retention

(Source: ARMA International. *Implementing the Generally Accepted Recordkeeping Principles*. 2017)

What does this mean for my organization?

- **Accountability and Compliance**
 - Have a senior person whose job it is to oversee IM and play an active role
 - Have rules in place (e.g., policies), and ensure these rules will meet external requirements (e.g., legislation)
 - This will help with planning, resourcing (\$\$), making sure that information is properly managed
- **Transparency and Protection***
 - These need to be balanced
 - If information is not protected or sensitive, it should be available for your colleagues to access and use
 - Protected information needs to be managed on a “need to know” basis
 - You need rules and guidance to determine what access is appropriate

*More about this later

What does this mean for my organization?

- Availability
 - Have ways of making information readily available, within the context of transparency and protection
- Integrity
 - Need to ensure that you can:
 - trace the origin of the information (who created it and why)
 - ensure that a final document has not been altered over time
 - ensure the information can be read
 - verify the information is correct and can be trusted
- Retention and Disposition*
 - Establish how long the information needs to be kept, based on legislation and business needs
 - Have processes to destroy or transfer information

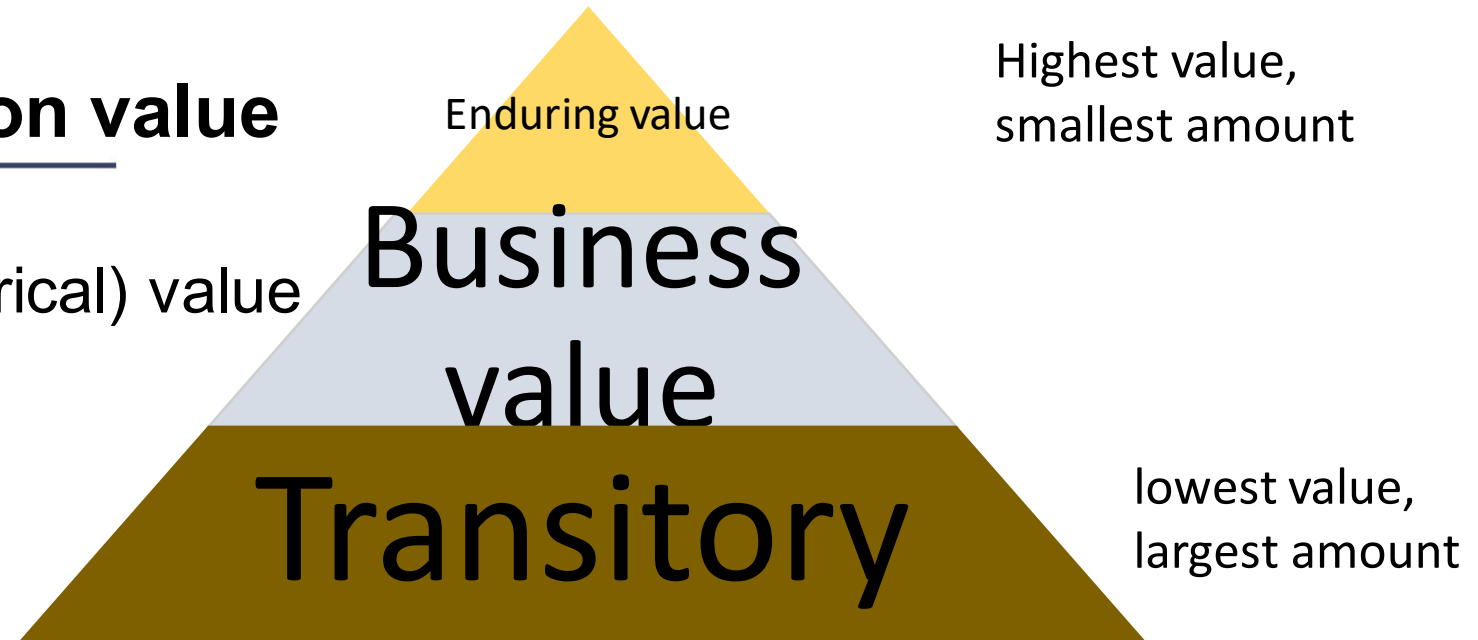
*More about this later

Reflection / Discussion:

- Does anything in the information life cycle or the IM principles relate to your IM challenges?

Key Concept: Information value

- Information of enduring (historical) value
- Information of business value
- Transitory



Not all information is of equal value, and how you manage will depend on its value

Transitory

- What it is:
 - Information needed for a short period of time, but has no lasting value
- Examples:
 - a meeting invitation received; a email you are cc.'d on; a working draft; a copy of a document that is captured elsewhere
- How it needs to be managed:
 - User perspective:**
 - Keep only for as long as needed, then delete
 - Keep in personal space or shared space, depending on who needs access to it
 - IM perspective:**
 - Need rules for identifying and deleting transitory information

Information of business value

- What it is:
 - Information that enables and documents decision-making in support of programs, services and ongoing operations, and supports departmental reporting, performance and accountability requirements.
- Examples:
 - record of decision; report; specification; survey questionnaire; policy; budget; contract; agreement; procedure; test case; statistical data master files; documentation; information required by a legal agreement or contract;

Information of business value

- How it needs to be managed:
 - **User perspective:**
 - Need to be able to find, retrieve easily
 - Need to be able to store easily
 - **IM perspective:**
 - Information needs to be documented, organized, protected
 - Integrity and authenticity needs to be maintained over its life cycle

Information of enduring (historical) value

- What it is:
 - Information you need to keep for a very long time (basically forever)
 - For legal requirements (e.g., archives legislation)
 - For business requirements (e.g., for longitudinal studies)
- Examples:
 - In Canada, the Census of Population is of enduring value. The data is transferred to Library and Archives Canada after 92 years

Information of enduring (historical) value

- How it needs to be managed:

User perspective:

- Need to be able to find, retrieve
- Need to be able to store

IM perspective:

- Information needs to be documented, organized, protected
- Integrity and authenticity needs to be maintained on a permanent basis

Module 1: Key Take-Aways

- Information includes data, emails, business reports, images, documents, etc., regardless of format
- Information is an important business asset that needs to be managed
- Not all information is of equal value, and how you manage it will depend on its value
- Information needs to be managed from its creation/capture through to disposition
- Information management needs to be planned and evaluated
- Key principles define how information should be managed

Reflection / Discussion

- Review the IM challenges you identified. Are there any you need to add or change?

IM Action Plan

- To help you prepare to address the key IM challenges in your organization, you will be developing an IM Action plan
- At each session, you will review and add to your IM Action Plan

IM Action Plan Template

| Theme | Challenges | Solutions / Best practices | Activities | Priority |
|-------|------------|----------------------------|------------|----------|
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IM Action Plan – Identify Challenges

- Consider the IM challenges you have already identified
- Take notes as the workshop progresses on any new challenges you think of
- Organize the challenges by theme (this could be the Module titles; or the IM life cycle)

IM Action Plan - Identify Solutions

- Identify the appropriate IM best practice(s) or other solution discussed
- List the activities that would lead to the solution
 - This will shed light on the complexity of implementing best practices and may impact how you prioritize items to address

IM Action Plan - Prioritize Activities and Solutions

- Is the action urgent?
- Consider the risks related to:
 - Type of information
 - Location of information
 - Security of information
 - Preservation of information
 - Handling of information
 - Complexity of the implementation
 - Other?

IM Action Plan - Prioritize Activities and Solutions

- Have we the ability to do the work?
- If not, what needs to be in place before we can do it? (*These may be additional issues*)
- Consider the:
 - Level of knowledge and skills in IM
 - Level of employees' and managers' IM awareness
 - Capacity – financial and non-financial
 - State of IT infrastructure and support
 - Opportunities
 - Quick wins / gains for little effort
 - Support from senior management

For next session

- Take your IM challenges and enter them into the IM Action Plan template provided
- At each session, you will review and add to your IM Action Plan

T *For the Train the Trainer session:*

Ask the member states about their IM challenges and add these to your list.

You can contact the PRASC team at:

statcan.prasc-prasc.statcan@canada.ca