

Records and Information Management Strategy

DECEMBER 2020



CATHOLIC ARCHDIOCESE OF PERTH

ACKNOWLEDGEMENT

In 2017 the Royal Commission into Institutional Responses to Child Sexual Abuse demonstrated that the Catholic Church, and other religious and social institutions, had failed to protect some of their most vulnerable and often at their greatest hour of need. The Commission made many recommendations relating to the improvement of governance and leadership. The Records and Information Strategy is one part of the collective effort by the Archdiocese of Perth to respond to the Commission's recommendations, but it is also about improving services provided by us to the whole Catholic community in the Archdiocese.

Following his appointment as Archbishop of Perth in 2012, and in a tone of renewal, +Timothy Costelloe SDB has been emphatic that 'the greatest challenge facing us today is to return the Church to Christ and return Christ to His Church'. We are all called to support the Archbishop in his mission and the responses to this call will take many forms. Ultimately good management of information will preserve our collective memory of Christ's work here and now. I see this work as essential to the nourishment of our community.

The Records and Information Strategy also provides a practical opportunity for the Catholic Church in Western Australia to adopt best practice in relation to the management of its information. It will allow the Church to meet the National Catholic Safeguarding Standards which were created at the behest of the Australian Catholic Bishops Conference as the national response of the Catholic Church to the Commission. It contributes towards a safer Church for children and adults at risk.

I would like to thank Dr Janine Douglas and Shirley Cowcher, consultants from Information Enterprises Australia, and members of the executive and management at the Catholic Archdiocese of Perth Administration Centre who gave generously of their time in contributing to the development of the strategy. Particular thanks must also go to the members of the Information Management Committee which includes: Julie Fuge (chair); Greg Russo, Chief Executive Officer - Administration; Daniel Lynch, Director - Office of the Archbishop; Deacon Patrick Moore, Director - Stella Maris Seafarers Centre; Bill Leonard, Program Manager - National Catholic Safeguarding Standards; and Loc Ha, Manager - IT.

I hope this strategy serves our Archbishop and the Catholic Church in Western Australia well now and into the future.

St Lawrence, Patron Saint of Archives, Pray for us.

Yours in Christ,

Odhran O'Brien

Director - Office of Information Management and Archives

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FOREWORD

In 1597, Sir Francis Bacon wrote that "knowledge itself is power." If he were writing today, he would surely say that information is our most valuable resource. The question for Catholics is what we do with information.

First, Catholic social teaching urges us to be good stewards. Stewardship is a theme that permeates Pope Francis' *Laudato si'* and is a tradition going back to the beginning of the Bible. In Genesis 1 God gives human beings dominion over the Earth and God's creation within it. However, as Pope Francis reminds us, this is not dominion for domination, but dominion for responsibility or stewardship.

As he writes in *Laudato si'* (n159) "Once we start to think about the kind of world we are leaving to future generations, we look at things differently; we realize that the world is a gift which we have freely received and must share with others."

Secondly, as Vatican II stated, "the beginning, the subject, and the goal of social institutions is and must be the human person" (*Gaudium et Spes* n25). What permeates Catholic social teaching is the question, "How will this or that action or policy serve the dignity of people (or do them harm)?"

For information management, the law sets down legal responsibilities that are the bare minimum for any organisation. But Catholic social teaching calls us to use information for an even higher ideal; that of being good stewards who serve the good of God's people.

In that light, the strategy in this document follows a long Jewish-Christian tradition of faithful care for God's creation. The motivating question behind this document is, "How can we be faithful stewards of God's gifts, be they the Garden of Eden, or modern computer files, so that these things are used for the glory of God and the good of God's people?"

Thus, faithful stewardship and commitment to the dignity of the human person ensures that we care for information, manage it and use it well for the benefit and dignity of all people, be they ordinary Catholics in the pew, donors and trustees, clergy and employees, or Church leaders.

Yours in Christ,

Matthew C. Ogilvie, PhD



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Overview of the Key Components

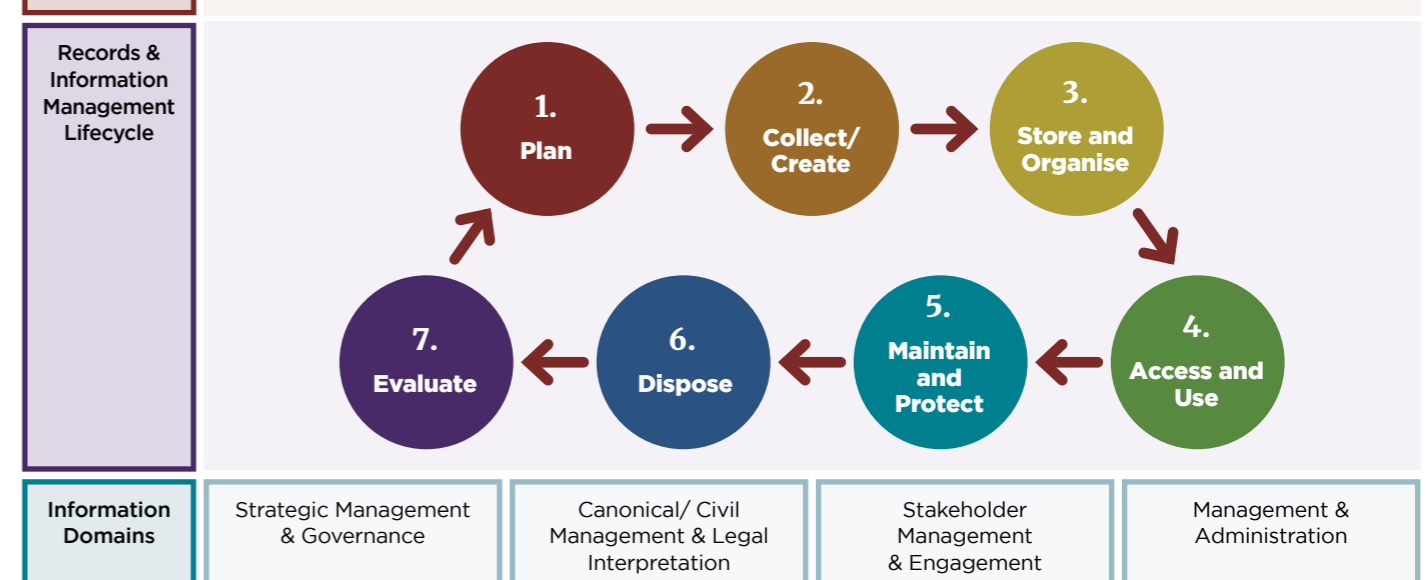
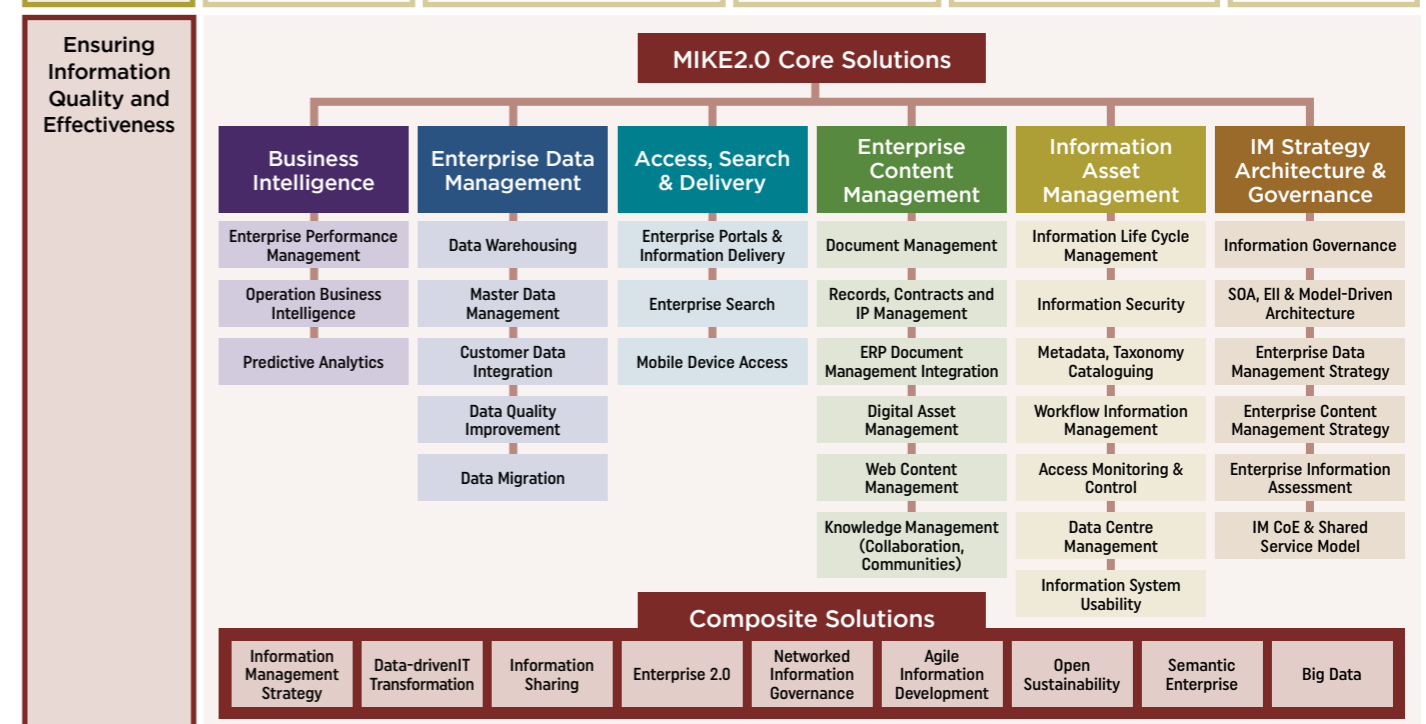
Records and Information Management Strategy

Supporting and Enabling the Archdiocese's Vision and Mission.

Information is valued and treated as a strategic asset. This strategy aims to enhance, encourage and direct the ways in which information assets are managed across the Archdiocese.

Information is:

Information Principles	A Valued Asset	Managed	Trustworthy	Shared	Accessible	Protected & Preserved
Benefits of Information Management	<ul style="list-style-type: none"> Improved Access Improved Business Processes Improved Compliance and Governance 		<ul style="list-style-type: none"> Better Informed Decision Making Reduced Costs Reduced Risks 			
Strategic Objectives	Managing Information as an Asset	Information Governance	Information Use & Sharing	Capability & Capacity	Protecting & Preserving	
Strategic Priorities	Managed as valuable and important asset.	Information governance ensures the effective and ethical management	Assets are easy to access, use, reuse and share	Improved information capability and capacity	Assets are protected and preserved	



Records and Information Management Strategy

1 INTRODUCTION

The Catholic Archdiocese of Perth (the Archdiocese) recognises that its records and information are strategic organisational assets. As such, the Office of Information Management and Archives, having responsibility for the records and information of the Archdiocese, has commissioned the development of this records and information management strategy to guide the ongoing development and maturity of its records and information management.

This strategy presents the salient and fundamental elements of records and information management required to ensure a firm foundation for acknowledging and using records and information as valuable strategic assets. From this foundation, the Archdiocese can work towards leveraging the advantages of these assets. It sets out the vision, principles and strategic priorities associated with sound records and information management, together with a selection of important tools and frameworks. In addition, it provides suggestions for implementation and ways to measure a successful records and information management program. The strategy is complemented by an information plan which identifies the activities to support the achievement of the strategic priorities and a suggested sequence for addressing these activities.

Importantly, this strategy has been informed by the new safeguarding standards produced by the Catholic Professional Standards Limited (CPSL). It has also been guided by and work of National Catholic Safeguarding Standards (NCSS) and its National Catholic Safeguarding Standards Implementation Guide (NCSSIG) as it relates to records and information management.

The strategy complements the Catholic Archdiocese of Perth Governance Framework, the Catholic Archdiocese of Perth Policy Framework and the Parish Governance Framework. Moreover, it acknowledges the nine projects (see Appendix 1) underway under the guidance of the Program Manager, NCSS, Implementation Programme. There is the potential for this strategy to be used in support of, at least, a selection those projects.

2 PURPOSE

The Records and Information Management Strategy has been developed, and will be implemented, to enhance, encourage and direct the ways in which information assets are managed across the Archdiocese and all Archdiocesan-owned agencies, organisations and parishes belonging to the Roman Catholic Archbishop of Perth Corporation Sole. As such, its purpose is to guide the Archdiocese in:

- Managing records and information in all formats as assets;
- Ensuring that the information assets are governed appropriately;
- Encouraging and supporting the use, reuse and sharing of records and information;
- Promoting and supporting information capability and capacity; and
- Protecting and preserving records and information as necessary.

3 BACKGROUND

In 2017 the Archives Office of the Archdiocese conducted a preliminary review of the records held in the Archives Office and conducted a series of interviews around the future directions for the management and use of records in the organisation. Subsequently, a project brief was drafted which recommended the development and implementation of a records and information management framework as well as the implementation of an Electronic Document and Records Management System (EDRMS). Central to this was the aim to develop a whole-of-organisation approach to the management and use of the records and information assets.

Since that time, the Office of Information Management and Archives (renamed in 2020) project team has continued its systematic review of the organisation's records and information together with activities related to records and information management policy development and implementation.

This records and information management strategy represents a response to the original recommendations of the Office of Information Management and Archives Project. It also concomitant NCSS which were established in 2019. The NCSS sets out a minimum standard for information management within Catholic organisations. This strategy plays an important role in addressing the audit of these standards across the Archdiocese in 2021 (See Appendix 2 for a list of the standards).

In establishing a strategic approach to managing its records and information together with a plan to implement the relevant strategies, the Archdiocese is seeking to meet these standards. Furthermore, by taking this approach, it is aiming to ensure the best possible support for decision-making and business outcomes and the needs of the wider Catholic community. Developing and implementing a strategy will ensure a level of consistency and efficiency across Archdiocesan-owned agencies, organisations, organisations and parishes, and optimise the benefits to be gained by managing and using records and information as assets. It will create a mandate for the Catholic Archdiocese of Perth Administration Centre (CAPAC) and the Office of the Archbishop (OA), through the vehicle of the Office of Information Management and Archives, to take on a position of leadership in relation to the Archdiocesan-owned agencies and parishes.

The Archdiocese is at a critical stage of developing the maturity of its records and information management across the organisation as a whole. This strategy is pivotal to enabling and supporting that ongoing development and in meeting the requirements of the CPSL and NCSS.

4 SCOPE

The strategy applies to all records generated by Archdiocesan-owned agencies, organisations and parishes belonging to the Roman Catholic Archbishop of Perth Corporation Sole.

In the first instance it applies to the creation, capture and management of records. It also provides a foundation for the future development of an information management capacity and capability for all Archdiocesan-owned agencies, organisations and parishes.

This strategy will be complemented by a suite of policies designed to support the management of records and information across the Archdiocese. This includes Archdiocesan-owned agencies, organisations and parishes.

Both hardcopy and digital records and information are covered by the strategy.

While the strategy, its information principles and policies do not apply directly to information technology and systems, it will provide a foundation for its selection, development and use.

5 CONTEXTUAL ELEMENTS

The elements presented in this section are those that have an impact or influence on the strategic approach to records and information management. In some instances, they also represent those parts of the Archdiocese which have the potential to benefit from a robust approach to records and information management.

5.1 Information Principles

Information is central to the strategic and operational aspects of the Archdiocese and its associated bodies. As such, it needs to be valued, managed, protected and used effectively, efficiently and consistently. To assist with ensuring that the full benefit is gained from its information, a set of information principles has been adopted by the organisation. These principles provide a robust and reliable foundation for all aspects of the management of information. They reinforce the view that the Archdiocese views its information as a valued strategic asset and manages it as such.

The information principles apply to information in all formats and through all the stages of its lifecycle. Guide the Archdiocese's approach to managing all information types in all formats to better support business outcomes and improve business processes. Using this set of principles supports the organisation in achieving business outcomes, improving business processes and promotes accountability. Moreover, the principles have a key role in protecting information from loss, inappropriate use and unauthorised access and mitigating risk.

These information principles, the objectives of this framework and its strategic priorities are interrelated and complement each other in developing and maintaining sound information management.

The Archdiocese's information principles are detailed in table 5.1 below.

Table 5.1: Archdiocesan Information Principles

Principle	Description
1 Information is a valued Archdiocesan asset	The Archdiocese acknowledges the importance of information as a strategic organisation-wide asset. Improving the way it is managed and used delivers significant value and business benefits.
2 Information is managed	Information assets are created, captured, stored, managed, protected and optimised in ways which are appropriate to their value. Robust information management will enable appropriate access and use of the assets. Information will be managed according to the information lifecycle. Information governance will be applied and compliance with statutory requirements and organisational policy ensured.
3 Information is trustworthy	Information created by the Archdiocese is of sufficient quality to meet the purpose/s for which it is intended. As such, information is accurate, valid, reliable, relevant and complete. If information is sourced from outside the organisation all reasonable care is taken to ensure it is trustworthy. Information has a single identifiable and accurate source. This is central to ensuring the trustworthiness of the Archdiocese's information. It is created once and is available to be used confidently for different purposes over time.
4 Information is shared	Information is created, collected, stored and managed with the view to promoting the sharing, collaboration and re-use of these assets. Accurate, reliable, timely and relevant information is available to share with others who have an appropriate business requirement. The Archdiocese recognises that the more an information asset is used, the more its value increases. As such, the Archdiocese prefers to reuse and build on existing information rather than recreating or re-collecting information
5 Information is accessible	Subject to security and acceptable use policies and protocols, information assets are accessible in appropriate formats. This availability will ensure that information delivers the greatest value to the Archdiocese.
6 Information is protected and preserved	Information is protected and preserved. It is appropriately secured and protected from unauthorised access, use and disclosure.

5.2 Records and Information Management Lifecycle

All information assets, regardless of format, go through a lifecycle process. That is, the assets are created, captured, used/reused, shared and disposed.

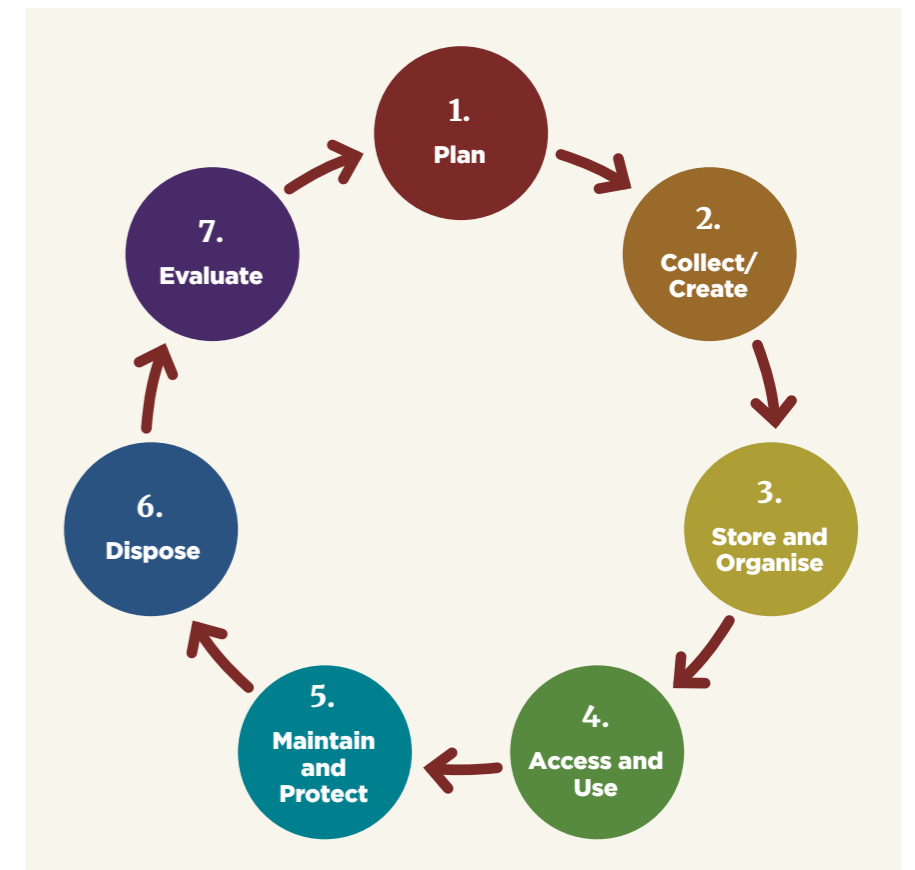
Managing information through each phase of the lifecycle optimises the creation and capture of information and maximises the opportunities to access, use and share information. Information lifecycle management also provides opportunities to reduce associated service and operational costs. It can be used as a tool to minimise risks, facilitate compliance with statutory requirements and regulations and ensure that quality information is accessible and useful.

Figure 5.1 below illustrates the seven stages of the lifecycle of information assets, namely:

- Plan;
- Create/Collect;
- Organise/Store;
- Access and Use;
- Maintain and Protect;
- Disposal; and
- Evaluate.

Figure 5.1: Records and Information Management Lifecycle

The strategies outlined in this document and the supporting actions will collectively and individually aid the Archdiocese in managing its information assets through this cycle. The sequence of processes and activities that comprise information lifecycle management can be used to guide and drive information management practices at both the strategic and operational levels.



5.3 Information Domains

An information domain is an area of activity which contains business functions and processes that create, capture and use similar or common information assets. The Archdiocese's information can be regarded as being created, managed in at least one of four high-level information domains. Understanding these domains can assist in determining information flows and how information is used and reused. This can then inform, the development and applications of processes and systems and be used to encourage information sharing across the organisation. Table 5.2 presents the information domains of the Archdiocese.

It is important to note that the information domains do not necessarily relate to the organisational structure of the Archdiocese. They represent the types of information created, captured and used by the Archdiocese. In most cases, the information domains transcend the organisational structure and may be evident in more than one area of the Archdiocese. For example, governance and risk management are pertinent to information technology and systems, information management and property management.

Table 5.2: *Information Domains (Sources: Project data gathering and analysis and Leonard, W. (2020). Information management policy, strategy and outcomes: Discussion paper and recommendations.*

Principle	Description
1 Strategic Management and Governance	The information in this domain relates to the strategic management, planning and policy development necessary to ensure that the Archdiocese fulfils its mandate. It includes all aspects of governance such as corporate governance, information governance, professional standards, safeguarding, risk management, disaster preparedness and business continuity. The legal framework as it relates to the Archdiocese is also in this domain.
2 Canonical/ Civil Management and Legal Interpretation	This domain contains information about the frameworks that govern the Archdiocesan system. It contains specialist expertise in Canonical interpretation and advice, and includes public and private binding rulings, legal interpretations and all advice that is provided to stakeholders. This information includes that which is provided in correspondence, publications, online, through face-to-face contact and through the agencies
3 Stakeholder Management and Engagement	This domain relates to information involved with interactions with and between the Archdiocese, stakeholders and the community. It includes information gathered, analysed and held about and shared with stakeholders. This includes information gathered via stakeholder contact, through transaction processing, data analytics and data and data matching from third party sources. This also includes, but is not limited to, engaging with stakeholders and the community on relevant issues.
4 Management and Administration	The information in this domain relates to internal operations. It supports the strategic and operational activities of the Archdiocese. It includes but is not limited to financial management, personnel management, communications, asset management information technology and systems performance reporting, outcome and output reporting and regulatory compliance.

6 THE VALUE AND BENEFITS OF RECORDS AND INFORMATION MANAGEMENT

6.1 The Value and Importance of Records and Information Management

Information is an irreplaceable asset. So, the ways in which it is managed and protected are central to ensuring that it is available and in a fit state to be used, reused and shared in planning and policy development, decision-making, service delivery and in demonstrating accountability and transparency. The Archdiocese's ability to have consistent access to the right information at the right time and for the appropriate person is a cornerstone, not only for day-to-day operations, but also for discharging its mandate and achieving outcomes.

In concert with managing records and information as valuable and important assets, is the need to manage these assets across the entire organisation. That is, across all Archdiocesan-owned agencies, organisations and parishes including the OA and CAPAC. By managing all its information assets consistently, regardless of form, format or location, the Archdiocese will maximise the benefits and minimise costs in terms of resources, outcomes, storage of hard copy and digital information, duplication of effort and misinformation.

By committing to a strategic approach to information management, the Archdiocese has the opportunity to enhance business benefits and mitigate the risks to business from poor information management.

Strategic information management can enable the Archdiocese to strive for and achieve the following outcomes:

- Optimisation of the value of the information assets created, captured, used and shared across the Archdiocese and associated agencies, organisations and parishes;
- Alignment of the information assets with strategic directions, business requirements and outcomes;
- The best use of existing technologies and better-informed selection of new technologies; and
- Improved support for compliance, accountability, transparency and for audit and evidential purposes.

6.2 The Benefits of Managing Information Assets

Improved records and information management has the potential to deliver, support and enable the following benefits and advantages:

- **Access**
Staff, stakeholders and volunteers have easy and transparent access to accurate, relevant, reliable and timely information. Information will be easy to locate and retrieve. This it is available to be shared, used and reused for many and varied purposes. There will be time and cost savings due to the reduced time taken to find and access information.
- **Business Processes**
Business processes are improved through faster access to and retrieval of information. Relevant information can be located easily and more quickly thus leading to overall improvements to operational efficiency. Less staff time spent trying to locate information and retrieve it. Fewer information silos mean less time searching for information and improved access to an increased amount of the right information at the right time. Better quality information is readily available for sharing, use and reuse.
- **Compliance and Governance**
Robust records and information management aids statutory and regulatory compliance and accountability measures. The cost of compliance is reduced through the improved ability to provide reliable, accurate and transparent responses to statutory and regulatory requirements in a timely manner.
- **Decision Making**
Decision making processes are better informed through improved access to and retrieval of all of the right information. Access to and use of better-quality information, guides and supports analysis, decision making, policy and planning and evaluation processes. It leads to transparency and accountability. Staff have the opportunity to understand their responsibilities and deliver quality outputs and outcomes because the right information is available at the right time to the right person.
- **Reduced Costs**
With records and information management in place organisation-wide, the Archdiocese is able to manage and use its information more efficiently. This minimises the cost of the creation, capture, maintenance, dissemination, use, sharing and disposal of information. Creating and capturing information once, minimising or eliminating duplication, and ensuring its quality, integrity, accuracy and reliability reduces the cost of handling and reworking information. The reduction in the creation, storage, retrieval of information also contributes to cost saving.

- **Reduced Risks**

Risk and business uncertainty can be influenced by managing information flows and its creation and use across the organisation. More staff will have improved access to more trusted sources of information. Managing and using information appropriately can assist with mitigating risks to the organisation's reputation, and its outcomes and business processes. Sound records and information management can also have a positive impact for business continuity, risk management and disaster management.

7 BUSINESS DRIVERS

7.1 Background

Records and information are critical to decision-making and business activities at all levels of the Archdiocese. All aspects of the Archdiocese, including the associated agencies, organisations and parishes, create, and capture information in the course of their activities. It is used, reused and shared with the various areas, across the organisation and with stakeholders, the community and other organisations. As such, there is a nexus between records, information and business activities and outcomes that means it is important to have access to and share the best quality information in the timeliest manner possible. Without accurate, reliable, and timely information, the risk to the Archdiocese is poor decision-making, compromised governance, reputational damage and financial consequences. Ensuring that quality and timely information, regardless of its format, is a central aim of the Records and Information Management Strategy.

The strategic approach to developing and delivering robust records and information management within and across the Archdiocese is driven by a number of business requirements. The following have been identified as the key business drivers:

7.2 Strategic Alignment

The current Archdiocesan Plan (2016-2021) has seven key priority areas, namely:

- Professional standards;
- Effective communications;
- Support for clergy;
- Strengthening and revitalising parishes;
- Adult faith formation;
- Outreach to those in need; and
- Archdiocesan growth and development.

The plan aimed to "provide a fresh direction in addressing each of [these] important areas." Throughout the plan there are examples of strategies and actions which require information as an input, or information as an output or information in some form or other as an element of an outcome.

Accessible, reliable, usable and reusable and timely information is integral to this Archdiocesan Plan as well as future plans. For example, the following strategies and actions from the plan have a relationship with information:

- Developing communication tools;
- Explore how data and information can be collected and harvested by an improved data collection system;
- Develop a framework and criteria for reviewing parish viability and sustainability; and
- Need for effective collaboration between agencies in the development and delivery of new initiatives and programs in Adult Faith Formation.

This strategy has been developed in alignment with this plan, and in acknowledgement of the value and importance of strategic information to overall business needs and outcomes.

The Archdiocese has a corporate governance structure in place. It includes, but is not limited to, a formal overarching governance framework, a policy framework risk management programme, internal audits and a parish governance framework. This strategy, together with the proposed suite of information management policies and a robust information governance framework is aligned to and supports the corporate governance structure.

7.3 National Catholic Safeguarding Standards

In 2019 the NCSS set out a minimum standard for information management within Catholic organisations. In 2021 the Archdiocese will be audited to assess its progress in implementing the standards.

The development and implementation of this records and information management strategy will be a key mechanism to assist the Archdiocese in meeting these standards and in ensuring the necessary high-quality support for business activities as well as the needs of the Catholic community.

The *National Catholic Safeguarding Standards Implementation Guide* requires that organisations "must have a policy in relation to information sharing and record keeping which is underpinned by the Australian Privacy Principles (APPs) contained within the Privacy Act 1988 (Commonwealth) and other relevant state or territory legislation. (p.9)

The policy needs to address:

- Requirements relating to data collection, confidentiality, use of information and data sharing;
- Record storage, maintenance, security and access; and
- Record retention requirements, including adherence with relevant legislation.

Such a policy, or suite of policies, is an essential element of information governance. Moreover, policies, guidelines and procedures are important mechanisms in encouraging and enabling the appropriate management of records and information management. This records and information management strategy aligns with and supports the NCSS requirements.

7.4 Royal Commission into Institutional Responses to Child Sexual Abuse

Volume 8, *Recordkeeping and Information Sharing*, of the final report of the Royal Commission recommended that:

"... all institutions that engage in child-related work implement ... five high-level principles for records and recordkeeping, to a level that responds to the risk of child sexual abuse occurring within the institution." (p.10)

The development and implementation of this strategy will provide direction and support for addressing the recommendation and meeting the five high-level principles for records and recordkeeping.

7.5 Existing or Proposed Projects

The Archdiocese has a change management programme underway which has several existing or proposed projects. These include, but are not restricted to projects in the areas of information technology, communication planning, safeguarding, risk management, clergy and agencies. To lesser or greater degrees, all of the projects within the change management programme have a relationship with records and information management, use and sharing which will benefit from direction in the form of this strategy.

8 STRATEGIC PRIORITIES

This strategy identifies and explains five key strategic priorities to be addressed in ensuring that the records and information across the Archdiocese, including CAPAC, the OA and Archdiocesan-owned agencies, organisations, and parishes, are managed, governed and used to full potential. These five priorities are focussed on providing the right information at the right time to the right people to enable them to undertake their work efficiently and effectively.

The strategic priorities were identified and developed as a result of a consultation process and a data collection and analysis exercise. They have been informed by the strategic directions of the Archdiocese, the business needs of the staff, proposed organisational developments, the mission of the Office of Information Management and Archives and contemporary best practice and standards in information management. The priorities address records and information in all formats. They can be applied to all records and information generated by all Archdiocesan-owned agencies, organisations and parishes belonging to the Roman Catholic Archbishop of Perth Corporation Sole.

The five strategic priorities are central to the purpose of the Records and Information Strategy and hence to the strategic directions and business needs of the Archdiocese.

While these priorities can be viewed as standalone objectives, they are interrelated and should be addressed as a package or programme of work.

8.1 Strategic Priority 1:

Records and Information are managed as valuable and important asset.

The Archdiocese recognises that its records and information are strategic organisational assets. As such, it realizes that it is necessary to deliberately and consistently manage these assets over time. This involves, but is not limited to, appropriate principles, standards, policies and processes, raising staff awareness of the value and importance of records and information, and laying the foundation for managing the assets across the Archdiocese.

Central to this appropriate management is building trust in the quality, integrity and reliability of information assets and to ensure a single source of truth.

This priority aims to make the right information available to the right person, at the right time, in order to assist staff in carrying out their duties and responsibilities.

Desired Outcomes

- Information assets are proactively and deliberately managed thus ensuring their value and reinforcing their importance to strategic directions and business needs.
- Processes in place to ensure that the Archdiocese is able to identify and define the information needed to meet strategic directions and achieve business outcomes.
- Appropriate policies, procedures and standards are in place to manage information assets.
- Staff are aware of the value and importance of information.
- Appropriate tools and technologies have been identified and implemented to manage the Archdiocese's information assets across the organisation.

8.2 Strategic Priority 2:

An information governance framework ensures the effective and ethical management of records and information.

An information governance framework will ensure that records and information is managed effectively and ethically. Information governance complements corporate governance and risk management. It is important to ensuring and providing, high-quality, authentic and reliable information assets for business activities. The security of records and information is improved by the application of information governance policies, procedures and standards.

An information governance programme is central to meeting legal and regulatory requirements and supports accountability and transparent decision making.

Desired Outcomes

- An information governance programme is in place.
- Roles and responsibilities for information management are assigned and understood. Information owners and custodians are identified and are accountable for the management of the information for which they are responsible.
- Information governance is integrated with business continuity and risk management in support of the use and management of information as a valued and important asset.
- Appropriate policies, procedures and standards are in place.
- All staff are aware of their information-related roles and discharge their responsibilities.
- An ongoing planning process is in place to address the records and information management activities to ensure alignment with strategic directions and business and to make optimal use of available resource.

8.3 Strategic Priority 3:

Records and information are easy to access, use, reuse and share

Records and information assets need to be used, reused and shared in order gain maximum value from them. Collaboration is key. Instead of working in information silos staff must be encouraged to share, reuse and augment the Archdiocese's information assets. The practice of collaboration and sharing creates improved efficiency and effectiveness. Frameworks, protocols and business processes will be developed to enable collaboration and sharing. These will apply to both the paper-based and digital environments.

Making it easier to access, use and share records and information, and improving the quality and integrity of the organisation's also engenders trust in the information assets. This in turn encourages use, reuse and sharing.

Desired Outcomes

- Information has a single point of truth.
- Information is collected once and used many times.
- The Archdiocese is able to work collaboratively, and not in silos, sharing, using and reusing information assets in order to create maximum value from them.
- The right information is available, to the right person, at the right time enabling improved business decisions, planning and policy development and analysis.
- The duplication of information assets is reduced.
- An environment in which it is easier to find, access, use and share information.

8.4 Strategic Priority 4:

The capability and capacity to manage, use, reuse and share records and information

Improvements to records and information management practice can be achieved by building each staff members capability and responsibility, together enhancing the Archdiocese's capacity and accountability. The underlying premise is records and information are recognised and managed as assets which are key to successful outcomes and business processes.

Robust records and information management practices are needed to reduce the amount of rework required and duplication of information. It will be most important to ensure that the existing records and information management staff are provided with the assistance and opportunity to develop their skills and knowledge to meet organisational needs. Moreover, staff will need to be trained and supported in making the move from the paper-based environment to the digital environment.

Desired Outcomes

- Good information management practices are promoted and supported across the Archdiocese.
- Information management skills are recognised, valued and encouraged.
- All staff have an awareness and understanding of records and information management. They are trained to undertake records and information management tasks appropriate to their roles and responsibilities in the Archdiocese.
- Improved levels of information capabilities have enabled staff to collaborate and share information and maximise their use of information.
- Records and information management specialists are appropriately qualified and skilled and are supported by an ongoing skills development program.
- A reduction in the duplication of information and the amount of reworking required has been achieved by having records and information management practices embedded in core business processes.

8.5 Strategic Priority 5: Records and information are protected and preserved as necessary and appropriate.

At present the Archdiocese has an archival collection and an archival programme. The Office of Information Management and Archives has a mandate and a mission to protect records of archival value and to facilitate appropriate access to them. In addition, the Office's responsibilities extend to the management of current records and information. Therefore, the Office plays an important role in protecting and preserving current and archival records and information to ensure that these assets are well managed, accessible and protected during their lifecycle. It is important that such management includes records in all formats, particularly those born digital records. Managing current and archival records, in all formats, from the point of creation or capture, assists in protecting and preserving evidence and the memory of the Archdiocese over time. Such early interventions improve the quality and appropriate quantity of archival records for future access by the Archdiocese and stakeholders.

Desired Outcomes

- Records and information in all formats and locations are managed through their lifecycle to ensure appropriate security, storage, retention and disposal.
- Business systems and applications are interoperable, secure and meet business and information management requirements.
- An infrastructure has been established with responsibility for managing, protecting and preserving the records and information assets of the Archdiocese. Relevant staff across the Archdiocese have been assigned roles and responsibilities and all staff are aware of their responsibilities towards creating, using and sharing information assets.

9 KEY SUPPORTING ACTIONS AND ACTIVITIES

The various actions and activities which contribute to and support the strategic priorities and desired outcomes are presented in Section 13.1. Each key action/activity is aligned to a strategic priority. In the first instance that alignment is with the priority that is most relevant and appropriate. However, there are cases where the key action/activity may also contribute to another priority. For example, an information security classification both protects information assets and contributes to the information governance programme. Nonetheless, in support of practical and logical implementation it is only cited once. Please note that the key actions/activities do not appear in any particular order under each strategic priority.

While there is a one-to-one relationship with the strategic priorities and the desired outcomes, there is not necessarily a similar relationship between the desired outcomes and the key actions/activities. The desired outcomes may be achieved through a range of actions/activities or through the implementation of a single key action/activity.

Section 13.2 is a listing of the key actions/activities in a suggested order of implementation. This order is based on the importance of providing a solid foundation for developing records and information management maturity across the Archdiocese. The initial key actions/activities provide the building blocks for future growth and development. It also recognises that the organisation will still need to address its day-to-day business activities and operations as well as any one-off projects.

10 INFORMATION MANAGEMENT TOOLS AND FRAMEWORKS

There are a number of mature and high-quality management tools and frameworks which can be referred to and employed to assist with the implementation of this strategy as well as guide to ongoing development and monitoring of a sound records and information management programme. The following are examples of such tools and frameworks.

The contextual elements addressed in Section 5 can also be considered as means and method to assist with implementation and ongoing development and monitoring.

10.1 Ensuring Quality and Effectiveness of Records and Information Management – Plan-Do-Act-Check

The Plan-Do-Check-Act (PDCA) Cycle is a key tool used to guide and support the introduction of records and information management projects and practices at both the strategic and operational levels. The PDCA is an approach to effecting change, problem solving and the ongoing improvement of processes and systems. It is a measured and methodical approach to problem solving and implementing solutions. Adopting the PDCA approach will assist in ensuring the quality and effectiveness of records and information management. Figure 11.1 presents the PDCA cycle.

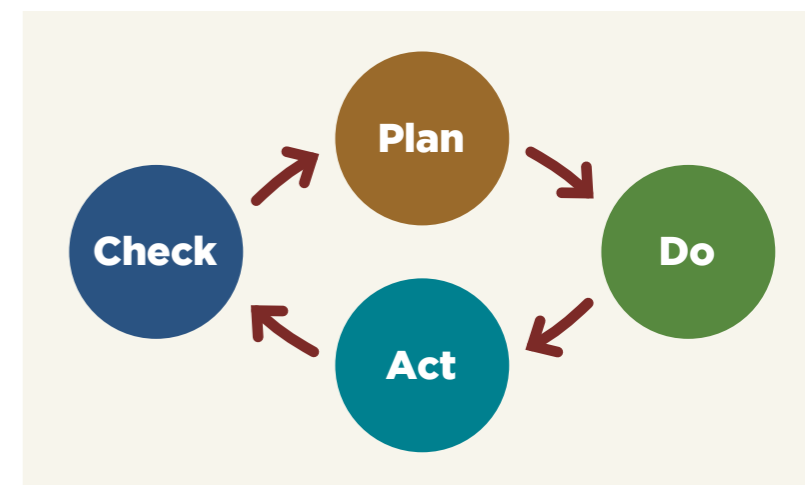


Figure 11.1: The Plan, Do, Act, Check Cycle

10.2 Ensuring the Quality and Effectiveness of Information as an Asset

The Method for an Integrated Knowledge Environment, MIKE 2.0, is a methodology for Enterprise Information Management that provides a framework of information development and management across the entire organisation. Importantly, the method focusses on a common business strategy, information architecture and delivery across all information management projects. In the context of the Archdiocese's records and information management programme, MIKE 2.0 will be valuable in ensuring that the information projects from the records and information management strategy are effective and of high-quality.

The MIKE 2.0 Methodology was designed and built to support the concept of information as one of the most crucial assets of a business. While the Archdiocese may not make immediate use of this methodology, it would be a worthwhile consideration for future developments in records and information management. Figure 8.2 below outlines the components. Further information and advice are available from the MIKE 2.0 website.

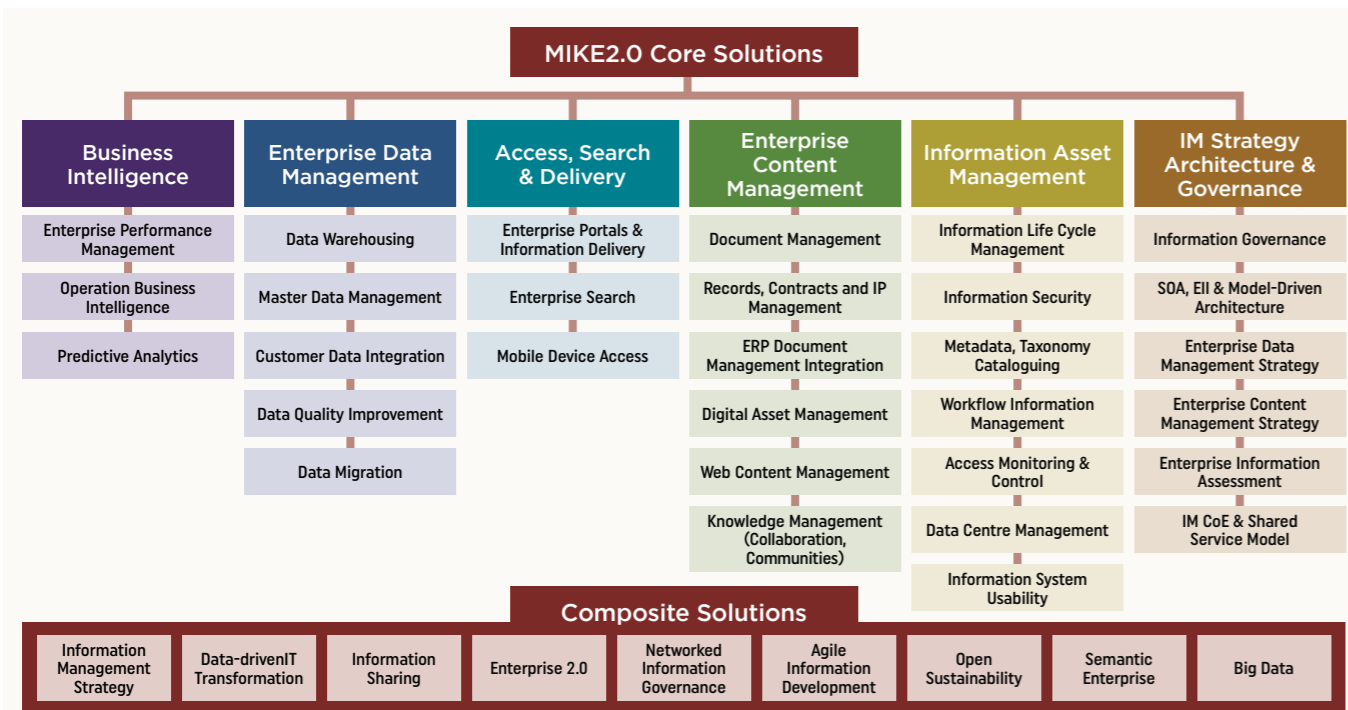


Figure 8.2: MIKE 2.0 (Source: MIKE2.0. The open source standard for information management mike2.openmethodology.org/)

10.3 Records and Information Management Maturity Models

Maturity models are helpful tools which can be used to measure and assess the progress and impact of any records and information projects or plans. There are models specific to information management which can be applied in monitoring, measuring and assessing the impact and relevance of the Records and Information Management Strategy as well as the associated projects and activities. The Archdiocese may also find it useful in assisting and assessing the growth and development of information management as a practice, particularly in relation to the aim of applying the strategy to records and information generated by Archdiocesan-owned agencies, organisations and parishes.

There are several different maturity models. The one developed by the Queensland Government Chief Information Office is provided as an example. It is presented in Table 8.1 below.

Table 8.1: Queensland Government Chief Information Office Information Management Maturity Model. (Source: tinyurl.com/ycjb9pov)

Maturity Rating	Description
Level 1 - Ad Hoc	The organisation has no common information practices. Any pockets of information management maturity that the organisation has are based on the experience and initiatives of individuals.
Level 2 - Repeatable	The organisation has little in the way of enterprise information management practices. However, certain sections are aware of the importance of professionally managing information assets and have developed common practices used within their projects. At the enterprise level, a level 2 organisation reacts to data quality issues as they arise.
Level 3 - Defined	The organisation has a significant degree of information management maturity. Enterprise awareness, policies, procedures, and standards exist and are generally utilised across all enterprise projects.
Level 4 - Managed	The organisation manages information as an enterprise asset. The business is heavily engaged in information management procedures and takes responsibility for the quality of information that they manage. A level 4 organisation has many mature and best-in-class practices and utilises audits to ensure compliance across all projects.
Level 5 - Optimised	The organisation considers information to be as much an enterprise asset as financial and material assets and human resources. A level 5 organisation has best-in-class information management practices that are utilised across all enterprise projects. The distinguishing characteristic of a level 5 organisation is the focus on continuous improvement. At level 5, all data management practices and assets are regularly measured and the results are analysed as the basis for process improvement.

There are also maturity models specific to records management. The maturity model developed by the State Records Office of Western Australia (SROWA) is presented in Table 8.2. It can be used to measure and assess developments in records management across the Archdiocese.

Table 8.2: Records Management Maturity Model (Source: SROWA tinyurl.com/y7bwkkjm)

Maturity Rating	Description
Level 1 - Inadequate/ Sub-standard	Practice is not formalised or documented. Processes and practices are fragmented or non-existent. Where processes and practices exist, they are applied minimally or in an ad hoc manner and are not effective.
Level 2 - Acceptable but Requires Development	Processes and practices are defined to varying degrees but are not applied consistently. Basic management controls and disciplines are in place.
Level 3 - Effective	Effective Processes and practices are defined, documented, well understood and used consistently across the organization. Meets the minimum compliance requirements of SRC Standard 2.
Level 4 - Optimal	Optimal Processes and practices are actively managed and routinely measured and evaluated to ensure delivery of desired results. Processes and practices are continuously improved through innovation and organizational learning based on ongoing monitoring and review.

The Archdiocese may decide not to adopt maturity models at present to monitor, measure and assess the application of the strategy and the growth and development of records and information management as practices. Nonetheless, it would be worthwhile to consider using it in future developments in records and information management.

11 IMPLEMENTATION

The Records and Information Management Strategy has the potential to make a positive contribution to the Archdiocese's strategic directions and to the management and use of records and information generated by Archdiocesan-owned agencies, organisations and parishes. In order to realise this potential and to ensure the practical application of the strategic priorities, the strategy must be converted into a plan suitable for use in the operational environment. This means addressing the strategic priorities presented herein, via the vehicle of an implementation plan spanning a number of years. This, in turn will be translated into operational plans and supporting project plans as necessary. The operational plans need to balance out the activities associated with the strategic priorities with the day-to-day operations and one-off demands and projects of the organisation.

This section does not stipulate timeframes for implementation. Decisions about the implementation will be made by the Archdiocese in the light of its business needs and available resources.

11.1 Records and Information Management Plan

The Records and Information Management Strategy will be supported by an implementation plan which will outline the deliverables over a number of years to be determined by the Archdiocese. It will highlight those deliverables which need to be achieved first in order to provide a firm foundation for records and information management generally and the strategic priorities specifically. It should align with current and future Archdiocesan Plans.

Associated with this strategy is a preliminary implementation plan which identifies those activities needed to support the strategic priorities. The implementation plan does not have any associated timeframes as these will be for the Archdiocese to determine these based on business needs and resources. See Section 13.1.

11.2 Operational Plans

Operational plans will be drawn down from the overarching implementation plan. The operational plans will include roles and responsibilities, accountabilities, priorities, milestones and resource allocations. In addition to those activities from the implementation plan, the operational plan will also include the day-to-day activities and one-off projects which need to be delivered during the nominated time period. Such an approach ensures that all activities have been costed, resources have been made available and that all the necessary operational activities and processes can be accommodated.

It is not necessarily the case that the planning process falls to one area of the Archdiocese. In some instances, it may be necessary to take a more collaborative approach to addressing and achieving the activities. For example, some activities around the EDRMS may involve a team comprising staff from the information systems branch as well as the Office of Information Management and Archives.

11.3 Opportunities for Early Achievement

In developing the implementation plan and considering the first operational plan, it is likely that there will be some activities or projects which could be commenced quickly and completed in the first 4-6 months. These are identified in the attached overview of the implementation plan. Any early achievements will serve to promote and substantiate the value of the strategy as well as that of records and information management.

11.4 Ownership of the Information Management Strategy

To ensure that the Records and Information Management Strategy is endorsed and implemented, a member of the archdiocesan management will be designated as the owner and project sponsor. Prior to implementation, and as part of the planning process, a project manager will be appointed to oversee the roll-out of the plan. This will be the Director of the Office of Information Management and Archives.

12 MEASURING PERFORMANCE AND EVALUATION

It is most important to monitor and measure the implementation of the strategy. This will ensure that strategies and associated activities are appropriate and deliver results. It also provides the opportunity to confirm that the resources involved are being used appropriately and are sufficient.

Regular monitoring and measurement will demonstrate the extent to which records and information management programmes, projects, policies and procedures are improving and are being used across the organisation. Such monitoring and measuring can also be designed to demonstrate whether or not improved records and information management is having a positive effect on strategic directions and business outcomes. It is also important to the ongoing revision of the strategy and supporting plans.

In concert with performance measurement, an evaluation process to systematically address the relevance, achievement and impact of the strategy and its activities is a worthwhile exercise. It can be used to confirm the outcomes of the previous strategic direction and activities, as well as client and stakeholder requirements. In addition, it can be used to identify appropriate courses of action required to achieve the outcomes required or to build on the outcomes

There is no one way in which to evaluate the strategy and supporting plans. The important point is the select and apply an approach that is fit for purpose and meets the needs of the Archdiocese.

13 IMPLEMENTATION PLAN

This section presents the suggested activities required to deliver the strategic priorities and the associated desired outcomes. It is presented in two parts, namely:

- The key activities aligned to the strategic priorities. It also includes potential risks to achievement together with management strategies for mitigating the risks. Performance measures to confirm the achievement of the priorities are suggested; and
- The key activities in suggested order of implementation. The order suggests importance as well as dependencies and relationships.

13.1 RECORDS AND INFORMATION MANAGEMENT IMPLEMENTATION PLAN



Information Management Implementation Plan

Supporting and Enabling the Archdiocese's Vision and Mission.

Information is valued and treated as a strategic asset. This plan supports the Records and Information Management Strategy. It aims to enhance, encourage and direct the ways in which information assets are managed across the Archdiocese.

The strategy and plan align with and support the current Archdiocesan Plan (2016-2021)

Strategic Priorities	Managed as valuable and important asset.	Information Governance	Building Information Capacity & Capability	Building Information Capacity & Capability	Protecting & Preserving Information
Potential Risks to Achievements					
Reduction in funding or no additional funding available for the implementation plan, including any new systems.					
Current staff will not engage in the changes needed. There will be some resistance to change.					
Limited or no access to the capability & capacity to deliver the strategy.					
Limited or no support from senior management.					
Performance Measures					

Potential Risks to Achievements

Reduction in funding or no additional funding available for the implementation plan, including any new systems.

Current staff will not engage in the changes needed. There will be some resistance to change.

Limited or no access to the capability & capacity to deliver the strategy.

Limited or no support from senior management.

Management Strategies

Strategy, implementation plan and operational plans are revised; The possible limitations to achieving outcomes are raised with the decision-makers; Ensure robust business plans and specifications for any systems development.

Senior staff provide support and active encouragement of staff participation; Senior staff to model necessary behaviours; A communication/change management program is implemented; Appropriate training is provided; Consequences of not engaging are made clear and are applied; Performance managed through the formal performance management systems in place.

The possible limitations to achieving outcomes are raised with the decision-makers; Consider alternative options to securing the necessary expertise.

Keep high level decision-makers informed throughout the process; Close communication and liaison with key stakeholders.

- Records and Information requirements, protocols and standards are embedded in relevant systems and processes.
- Information governance is a complement to the organisational risk management framework and business continuity plan &/or integrated with them.
- Decrease in the use of personal and external drives with more information being captured and stored in official systems including the records management system.
- The records management system is easier to use and more staff are using it.
- Staff are aware of and developing their information capacity and capability.
- The risks related to information assets have been identified and a strategy to manage them has been developed.



Key Activities

1.0 Managed as valuable and important asset.	2.0 Information Governance	3.0 Accessing, Using & Sharing Information	4.0 Building Information Capacity & Capability	5.0 Protecting & Preserving Information
1.1 Promote the Records and Information Management Strategy.	2.1 Conduct an information audit	3.1 Develop & implement projects to reduce access & use issues related to the accumulation and duplication of records and information. (e.g. records disposal, legacy systems, records kept as paper-based & digital.)	4.1 Identify the competencies required for improved information management practice for general staff and records & information management staff.	5.1 Finalise a retention and disposal schedule.
1.2 Review, develop & implement information policies, standards and guidelines as appropriate, including those to ensure privacy of personal information held by or used by the Archdiocese.	2.2 Develop & implement an Information Asset Register	3.2 Identify ways in which capturing records in the records management system is seen as a natural part of business processes.	4.2 Define & develop a comprehensive records & information skills and competency framework.	5.2 Develop & implement information security classifications.
1.3 Develop a business plan and business specification for a records and information management system.	2.3 Develop & communicate an information governance program.	3.3 Create guidelines to support the sharing of information internally & externally	4.3 Develop & implement a skills and knowledge development program specific to the records & information management staff.	5.3 Identify & assign security roles and responsibilities.
1.4 Finalise & implement Business Classification Scheme in records management system. Extend the use of the BCS to the Windows & Microsoft environments.	2.4 Develop a set of business rules for information governance.	3.4 Develop a procedure for eliminating the use personal and external drives for business-related information.	4.4 Develop a training and awareness program to ensure staff understand their responsibility for managing records & information both for business outcomes and to underpin accountability.	5.4 Develop and implement a policy and guidelines to assist staff in sharing and protecting information in line with the security classifications.
1.5 Establish a metadata model and standards.	2.8 Map, review and revise business processes.	3.5 Develop a mechanism for establishing connections between related projects across the Archdiocese.	4.5 Ensure that records & information management responsibilities are included in the induction program and position description forms.	5.5 Develop policies & procedures to ensure that the records & information created, stored & used in email, social media, messaging technologies & mobile devices are appropriately managed.
1.6 Review the structure, staffing and responsibilities of the Archives Office in the light of the strategy.	2.9 Map information flows across the Archdiocese.	3.6 Establish a mechanism to ensure that all project management documents are subject to appropriate management and control.	4.6 Communication Develop a succession plan to ensure that qualified, skilled and knowledgeable records and information management staff are available.	5.6 Evaluate business systems to determine compliance with records & information management requirements.
1.7 Establish a protocol for contracts created and used by the Archdiocese to ensure that contractors, consultants & organisations abide by records and information management requirements	2.10 Develop an information custodian/stewardship model.	3.7 Review internal and external web content and policies and procedures for ongoing management.		5.7 Develop a strategy to manage records & information in business systems that is at a high risk of loss, corruption or inappropriate access.
1.8 Develop a set of Standard Operating Procedures specific to records & information management.	2.11 Identify & assign records & information management roles and responsibilities	3.8 Identify ways of encouraging knowledge sharing across the Archdiocese.		5.8 Develop guidelines for assisting the development or procurement of business systems which are compliant with legislative requirements.
1.9 Develop & implement a strategy & plan to encourage use of existing records & information management system or any new system.	2.12 Promote and support awareness of and adherence to information governance policies, business rules and practices.			5.9 Develop checklists and guidelines for the purchase or development of new technologies such as cloud computing, mobile devices and social media.
1.10 Develop a training plan for assisting staff to use the records & information management system	2.13 Liaise with business continuity & risk management staff to ensure integration of information governance			5.10 Develop a Disaster Preparedness & Recovery Plan.
1.11 Review and revise the strategy & implementation plan to guide the next level of required development	2.14 Develop an information architecture.			5.11 Establish a Vital Information & Knowledge Register.
				5.12 Revise the policies for archives management to include born digital records and a digitisation programme.
				5.13 Develop a digitisation plan.

13.2 Suggested Sequence of Implementation

Please note: this is a suggested linear sequence, that in practice may be interpreted and actioned as groups of activities and projects. Some of these activities may be done simultaneously and/or collectively as part of a single project. For example, activities 1&2 can be done together as could activities 3&4 and activities 10,11 & 12 could be done as one project. Some activities may be done as part of the Archdiocese's wider change management project.

As mentioned previously, the sequence in which the activities are addressed will be influenced by the available resources and other projects underway at the Archdiocese.

1	1.1 Promote the Records and Information Management Strategy.	11	5.3 Identify & assign security roles and responsibilities.	21	1.2 Review, develop & implement information policies, standards and guidelines as appropriate, including those to ensure privacy of personal information held by or used by the Archdiocese.	31	3.1 Develop & implement projects to reduce access & use issues related to the accumulation and duplication of records and information. (e.g. records disposal, legacy systems, records kept as paper-based & digital.)	41	4.2 Define & develop a comprehensive records & information skills and competency framework.
2	2.1 Conduct an information audit.	12	5.4 Develop and implement a policy and guidelines to assist staff in sharing and protecting information in line with the security classifications.	22	2.11 Identify & assign records & information management roles and responsibilities	32	5.10 Develop a Disaster Preparedness & Recovery Plan	42	4.3 Develop & implement a skills and knowledge development program specific to the records & information management staff.
3	2.2 Develop & implement an Information Asset Register.	13	3.3 Create guidelines to support the sharing of information internally & externally.	23	5.8 Develop guidelines for assisting the development or procurement of business systems which are compliant with legislative requirements.	33	5.6 Evaluate business systems to determine compliance with records & information management requirements.	43	4.5 Ensure that records & information management responsibilities are included in the induction program and position description forms.
4	2.9 Map information flows across the Archdiocese.	14	2.10 Develop an information custodian/stewardship model.	24	1.11 Review and revise the strategy & implementation plan to guide the next level of required development	34	3.4 Develop a procedure for eliminating the use personal and external drives for business-related information.	44	5.12 Revise the policies for archives management to include born digital records and a digitisation programme.
4	2.8 Map, review and revise business processes.	15	2.12 Promote and support awareness of and adherence to information governance policies, business rules and practices.	25	5.9 Develop checklists and guidelines for the purchase or development of new technologies such as cloud computing, mobile devices and social media.	35	5.7 Develop a strategy to manage records & information in business systems that is at a high risk of loss, corruption or inappropriate access.	45	2.14 Develop an information architecture.
5	1.4 Finalise & implement Business Classification Scheme in records management system. Extend the use of the BCS to the Windows & Microsoft environments	16	1.5 Establish a metadata model and standards.	26	2.13 Liaise with business continuity & risk management staff to ensure integration of information governance.	36	3.6 Establish a mechanism to ensure that all project management documents are subject to appropriate management and control.	46	5.13 Develop a digitisation plan.
7	5.1 Finalise a retention and disposal schedule.	17	1.3 Develop a business plan and business specification for a records and information management system.	27	1.6 Review the structure, staffing and responsibilities of the Archives Office in the light of the strategy.	37	3.5 Develop a mechanism for establishing connections between related projects across the Archdiocese.	47	3.2 Identify ways in which capturing records in the records management system is seen as a natural part of business processes.
8	2.3 Develop & communicate an information governance program.	18	1.9 Develop & implement a strategy & plan to encourage use of existing records & information management system or any new system.	28	1.8 Develop a set of Standard Operating Procedures specific to records & information management.	38	3.7 Review internal and external web content and policies and procedures for ongoing management.	48	4.6 Develop a succession plan to ensure that qualified, skilled and knowledgeable records and information management staff are available.
9	2.4 Develop a set of business rules for information governance.	19	1.10 Develop a training plan for assisting staff to use the records & information management system	29	5.5 Develop policies & procedures to ensure that the records & information created, stored & used in email, social media, messaging technologies & mobile devices are appropriately managed	39	1.7 Establish a protocol for contracts created and used by the Archdiocese to ensure that contractors, consultants & organisations abide by records and information management requirements.	49	3.8 Identify ways of encouraging knowledge sharing across the Archdiocese.
10	5.2 Develop & implement information security classifications.	20	4.4 Develop a training and awareness program to ensure staff understand their responsibility for managing records & information both for business outcomes and to underpin accountability	30	5.11 Establish a Vital Information & Knowledge Register.	40	4.1 Identify the competencies required for improved information management practice for general staff and records & information management staff.		<i>Left Blank Intentionally</i>

APPENDICES

APPENDIX 1: Related Projects - Planned and in Progress

(Source: Email (July 8, 2020) from the Program Manager, National Catholic Safeguarding Standards Implementation Program.)

Projects are to be undertaken in the following areas:

Project	Status
1. Policy Decisions	Underway
2. Communication Plan	Being developed
3. Risk Management	Underway
4. Information Management Records etc., ICT	Underway
5. Personal Resource Management	1st stage completed
6. Safeguarding	80% completed
7. Clergy	Initiation Stage
8. Agencies	Initiation Stage
9. Audit	Being planned

APPENDIX 2: Standards and Legislation

Key standards and pieces of legislation applicable to records and information management and this strategy are presented below. (Sources: *Standards Australia* www.standards.org.au and *Archives Office Retention and Disposal Research and Recommendations, 2020*)

Standards	Brief Description
AS 5044: 2010	AGLS Metadata Standard.
AS 5090: 2003	Work Process Analysis for Recordkeeping.
AS/ ISO 15489.1: 2017	Information and documentation - Records management - Part 1: Concepts and principles.
AS /ISO 23081.1:2018	Information and documentation — Records management processes — Metadata for records.
AS/NZS/ ISO 16175.1:2012	Information and documentation - Principles and functional requirements for records in electronic office environments.
AS/NZS/ ISO 30300-30302: 2012	Information and documentation - Management systems for recordkeeping.

Legislation	Brief Description
Australian Charities and Not-for-Profits Commission Act 2012 (Cth)	Pertains to particular financial Records, statements for audit, Records that correctly record its operations.
Child Support (Registration and Collection) Act 1988 (Cth)	Relates to recording and explaining all amounts deducted or required to be deducted from salary or wages.
Copyright Act 1968 (Cth)	Records that relate to copyright compliance.
Disability Discrimination Act 1992 (Cth)	Proof of compliance with this Act
Evidence Act 1906 (WA)	This Act does not impose any document retention requirement. What it does is define the word business record and document.
Fair Work Act (Cth) Fair Work Regulations 2009 (Cth)	Pertains to various employee records.
Fringe Benefits Tax Assessment Act 1986 (Cth)	Records relation to Fringe Benefits Tax Liability.
Legal Deposit Act 2012 (WA) Legal Deposit Regulations 2013 (WA)	Publishers are required to deposit copies of their publications in the State Library of Western Australia. The Act applies to material published in Western Australia; by a person who is resident in Western Australia, or whose principal place of business is in Western Australia. A publication is any work that has been made available to the public.
Long Service Leave Act 1958 (WA)	Involves records of employment that inform long service leave.
Minimum Conditions of Employment Act 1993 (WA)	Some specifications around employment records.
Occupational Safety and Health Act 1984 (WA)	Pertains to records about informing and training etc employees about hazards; notification of accidents and medical information; employees reporting hazards.
Paid Parental Leave Act 2010 (Cth) Paid Parental Leave Rules 2010 (Cth)	Pertains to records about paid parental leave.
Payroll Tax Assessment Act 2002 (WA) Payroll Tax Assessment Regulations 2003 (WA)	Stipulates the returns required on specifying the amount of the WA taxable wages paid or payable by the employer.
Privacy Amendment (Private Sector) Act 2000 (Cth)	The Commonwealth <i>Privacy Amendment (Private Sector) Act 2000</i> has strict standards for the way in which private sector organisations should manage personal information.
Sex Discrimination Act (Cth)	Records need for proof of compliance with the Act.
Taxation Administration Act 1953 (Cth)	Records that prove compliance with tax law.
Taxation Administration Act 2003 (WA)	Pertains to the records that are necessary to enable the person's tax liability under a taxation law.
Work Health and Safety Regulations 2011 (Cth)	Involves information, training and instruction provided to a worker, the workplace risks and risk assessments, emergency planning and other records related to the employee, equipment and the workplace.
Workplace Gender Equality Act 2012 (Cth)	Relates to reporting information about the gender equality indicators.

APPENDIX 3: Key Records and Information Management Elements Defined

This section provides definitions of and information about the key terms used in this strategy. To promote a consistent appreciation of the spirit and intent of the strategy and its priorities, it is helpful to have a clear and common understanding of the central terms as they are used herein.

Archives

The records of organisations and individuals that have been selected for indefinite retention on the basis of their continuing value for legal, administrative, financial or historical research purposes. (Bettington, J. (2008). *Appraisal & disposal*, in *Keeping Archives* (3rd ed.) (pp. 137-206). Australian Society of Archivists Inc.

Information

Information is any collection of data that is processed, analysed, interpreted, classified or communicated in order to serve a useful purpose, present fact or represent knowledge in any medium or form. This includes presentation in electronic (digital), print, audio, video, image, graphical, cartographic, physical sample, textual or numerical form. (Queensland Government Enterprise Architecture. (2020). *Glossary*. www.qgcio.qld.gov.au/publications/qgea-glossary)

Information Assets

Information relevant to an enterprise's business function, including captured and tacit knowledge of employees, customers or business partners; data and information stored in highly-structured databases; data and information stored in textual form and in less-structured databases such as messages, e-mail, workflow content and spreadsheets; information stored in digital and paper documents; purchased content; and public content from the Internet or other sources. (Gartner. (n.d.). *Gartner glossary*. www.gartner.com/en/glossary)

Information Governance

The activities and technologies that organisations employ to maximise the value of information while minimising associated risks and costs. It includes the following elements: cybersecurity; information management; records management; data governance; privacy; eDiscovery; data analytics; and risk and compliance. Information Governance is a subset of Corporate Governance – it is a strategic rather than tactical discipline, which aligns information management with business strategy and processes. (Information Governance Initiative. (2017). *A practical guide to information governance*. www.infogovanz.com/information-governance/a-practical-guide-to-information-governance/#intro)

Information Management

Information management is the means by which an organisation plans, collects, organises, governs, secures, uses, controls, disseminates, exchanges, maintains and disposes of its information; as well as any means through which the organisation ensures that the value of that information is identified and exploited to its fullest extent. (Queensland Government Enterprise Architecture. (2020). *Glossary*. www.qgcio.qld.gov.au/publications/qgea-glossary)

Offering a stronger strategic and business focus is the following definition:

Information management concerns the identification, optimization, custodianship and connection of information and information-intensive processes to innovate, achieve competitive advantages, generate business and customer value, and thrive/survive in an era where information is a core business asset without which no business goals can be achieved and an economic good as such. (i-Scoop. (n.d.). *Information management and strategy – an executive guide*. www.i-scoop.eu/information-management)

While the terms information management and information technology are often used interchangeably, they are not the same and do not perform the same function. Nevertheless, they are interrelated.

In short, information management focuses on understanding and identifying the information needed to conduct the business of an organisation and support the achievement of strategic outcomes. Information technology, on the other hand, is the structure that supports it. Information technology is the enabler of information management as it the vehicle used for creating, capturing, organising, storing, sharing, disposing of and using information.

Record/s

Information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business. (Australian Standards. (2018). *AS ISO 15489.1: 2017 Information and documentation – Records management: Part 1: Concepts and principles*. Standards Australia.)

Records Management

The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. (Australian Standards. (2018). *AS ISO 15489.1: 2017 Information and documentation – Records management: Part 1: Concepts and principles*. Standards Australia.)

Records System

An information system which captures, manages and provides access to records over time. ... A records system can consist of technical elements such as software, which may be designed specifically for managing records or for some other business purpose, and non-technical elements including policy, procedures, people and other agents, and assigned responsibilities. (Australian Standards. (2018). *AS ISO 15489.1: 2017 Information and documentation – Records management: Part 1: Concepts and principles*. Standards Australia.)

APPENDIX 4: Excerpt of Methodology and Approach

This is an excerpt of methodology and approach used by Information Enterprises Australia's Associate Consultant, Dr Janine Douglas, to develop the Records and Information Management Strategy. Further information may be found in the project quotation provided in April 2020

Methodology and Approach

Overview

Our proposed approach has been guided by the scope of work provided. Moreover, in designing the approach we have also taken into consideration the current and future contexts in which the Archdiocese and the Office, does and will, continue to operate. This includes, but is not limited to:

- Existing and future compliance environment;
- The importance of information governance and risk management;
- Industry standards and best practice;
- The ever-changing digital environment and the implications for information management;
- Existing investments in information management and information as an asset and the technology which enables its use and reuse.

To ensure a consistent way of working and high-quality deliverables our proposed methodology is based on openness and transparency, quality processes, clear documentation, risk management and sound project management.

The consultant assigned to the project will work closely with the Office to ensure that the scope is addressed in its entirety and the outcomes are delivered.

The overall approach to developing the Framework and the policy suite will involve seven key stages. The proposed stages are:

- **Stage 1:** Confirm and finalise the scope of the project;
- **Stage 2:** Conduct a desktop analysis as needed, review relevant reports and documentation;
- **Stage 3:** Prepare for and undertake targeted interviews with key staff to ensure relevance of the deliverables;
- **Stage 4:** Develop the framework and supporting documents. Submit drafts for discussion and feedback;
- **Stage 5:** Finalise and present the Framework and supporting documents;
- **Stage 6:** Develop the policy suite. Submit drafts for discussion and feedback; and
- **Stage 7:** Finalise and present the policy suite.

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