**GOVERNMENT OF
WESTERN AUSTRALIA**

Information Management Framework for Western Australia

April 2024

Acknowledgement of Country
The State Records Office acknowledges and pays respect to Traditional Owners, Elders past and present and connections to land, sea, culture and knowledge across Australia and the Torres Strait.

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State Records Office Western Australia
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Foreword

Message from the Minister

Honourable Stephen N Dawson MLC

Minister for Emergency Services; Innovation and ICT; Medical, Research; Volunteering

The quality of government services provided to the community we serve depends on a clear and consistent approach to collecting and managing the information needed to deliver those services.

The WA Government recognises that respect for privacy and the need for trustworthy custodianship of information is a critical aspect of using digital technologies and other innovations for service delivery.

This Information Management Framework provides a way for WA public sector organisations to navigate the broad and complex array of requirements for managing information to support government services. Developed through a collaborative approach and building on experience and knowledge available across WA and beyond, the Framework is designed to make it easier to understand connections between relevant legislation, regulations and policy.

Making these connections opens new opportunities to streamline the way government does its work and ensure the rights and expectations of citizens are respected.

Foreword

Message from the Minister

Honourable David Templeman Dip Tchg BEd MLA

Minister for Culture and the Arts; Sport and Recreation; International Education; Heritage

Government has a special responsibility to ensure there is a secure and accessible record of the decisions we make today and into the future. This 'memory of government' is critical to transparency and accountability.

Together with the other important cultural collections managed by government and the community, this information also tells the story of who we are, where we have come from and what we have learned.

The Information Management Framework connects the day-to-day work of managing information responsibly to the broader long-term value of archival records of information to the people of Western Australia.

Everyone in the WA public sector has a role to play and the Framework provides a roadmap to help you understand your responsibilities for good information management. I encourage you to use the Framework to explore how you can contribute to better services for Western Australians today and tomorrow.

Contents

PART 1

Introduction

The term **'Information'** is used broadly in this document and encompasses the terms, 'information', data' and 'records' as used across the range of policy and legislation in Western Australia considered by the Information Management Framework. This includes data and algorithms, digital and hard copy documents, images, sound and video.

- **Data and algorithms**
- **Digital**
- **Hard copy documents**
- **Sound**
- **Video**
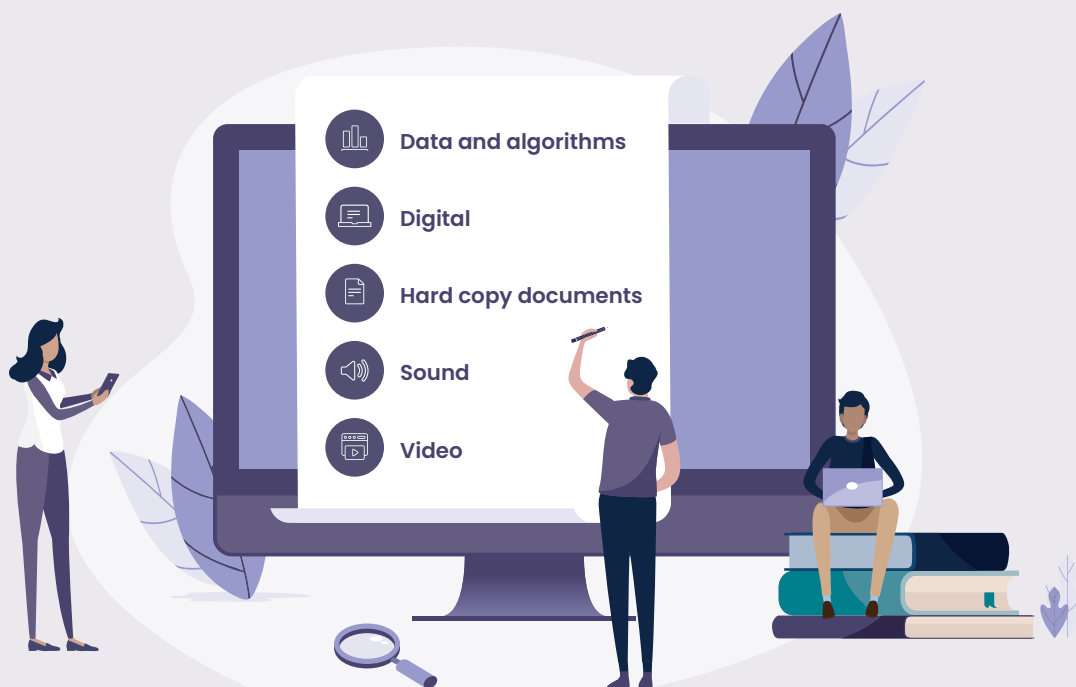
The term **'Information Management'** in this Framework is defined as activity involving:
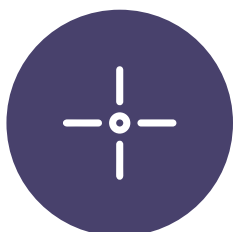
Capturing or creating

Storing (retaining), organising, and maintaining
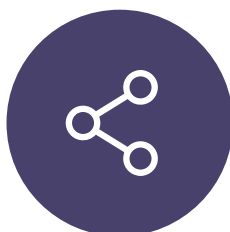
Analysing, value-adding, and sharing

Disposing of, or permanently archiving, information

1.1 What is information management and why is it important?

Today's public sector relies on information to develop policy and deliver services that provide value to the people of Western Australia.

Good information management:

- Ensures the right information is readily available to the right people and the right time.

- Enables information to be handled securely, with appropriate protections for privacy and confidentiality.

- Allows government to demonstrate that information is being created, used, maintained and disposed of ethically, with integrity - building trust in public policy, programs and services.

"Integrity is a non-negotiable to assure Western Australians that public authorities act in the interest of the community each and every day through the decisions we make and the actions we take."

**Sharyn O'Neill PSM,
Public Sector Commissioner**

1.2 Why is an Information Management Framework needed?

Demands on the information created and managed by the public sector are changing rapidly. The Digital Strategy for the Western Australian Government 2021-2025 calls on the WA public sector to:

> Improve the WA Government's ability to confront future challenges holistically … driven by new whole of government capabilities enabling the delivery of seamless digital services, and a public sector workforce with strong technology skills and the right internal capabilities to deliver convenient, smart and secure services for all Western Australians.

1.2 Why is an Information Management Framework needed? (cont'd)

Achieving this goal relies on secure, timely access to well-managed information; mature information management processes, practices and capability in agencies; and a consistent approach to information management across the public sector.

Public sector information management is regulated by a wide range of legislation, policy and other requirements, which are often managed by different business units within an organisation.

It can be challenging to form a view of these requirements in their entirety, and how the requirements interact with each other to deliver a comprehensive approach to information management.

Many government organisations are developing their own strategies and frameworks to coordinate information management activities within their own organisations.

It is equally important to establish a whole of government view of the regulatory landscape for information management. This will enhance understanding and awareness of information management responsibilities. It provides opportunities for government organisations to identify and respond to common challenges, pool resources, and leverage shared technology platforms.

Consistency and standardisation of information management practices will also support robust security and privacy protections and streamline safe information sharing.

1.3 What does success look like?

The outcomes of good information management are apparent to the WA community when the WA public sector can:

- Make well informed, transparent, and timely decisions.

- Deliver citizen-centric services efficiently – making the most of every resource available and every interaction between government and the community.

- Drive innovation by making information available for re-use by others, in a legally, ethically, and culturally appropriate manner – both inside and outside government.

- Be accountable through a secure and discoverable record of government that is valued by our community and used to create a legacy for future generations of Western Australians.

In supporting these outcomes, the Information Management Framework for WA (**the Framework**) aims to:

- Define a common set of principles for information management that support the development of strategies and plans at an agency level.

- Enable all public sector employees to more easily understand and navigate requirements for good information management.

- Enhance the capability of the public sector to support digital transformation by clarifying roles and responsibilities, and opportunities to collaborate within and between agencies.

While the focus of the Framework is requirements for information management, rather than the technology used to achieve this, technology is recognised as a critical enabler of information management.

1.4 How will success be measured?

The Framework will contribute to the measures of success by supporting the various strategies and policies already in place. The WA Government has existing arrangements to measure the impact and success of these strategies and policies (refer to Part 4 of this document). This Framework will not add to these existing arrangements.

The importance of continuous learning and innovation in the management of information is also acknowledged and an additional measure of success will be feedback from the intended users of this Framework – the WA public sector.

1.5 How to use this document

The Framework sets out Principles, Capabilities and Enablers to support information management and uses them to help readers navigate across the various legislation and regulations, policies, standards, strategies and other frameworks that now govern how we manage information.

Part 2 Describes the Principles, Capabilities and Enablers and explains the way these components of the Framework relate to each other.

Part 3 Illustrates how the Principles, Capabilities and Enablers relate to governance requirements of legislation, regulation and policy and describes the role everyone in the WA public sector must play in good information management.

Part 4 Describes how existing monitoring, review and reporting obligations can be used to assess progress with the maturity of information management.

1.6 Who owns the Framework and how will it be maintained?

The Framework has been developed collaboratively with other agencies and in consultation with other stakeholders

The State Records Office WA is the custodian of the Framework and will maintain it in consultation with other agencies through governance arrangements established by the Office of Digital Government.

Feedback on the Framework and suggestions for improvement are welcome via the contact details below:

State Records Office of Western Australia
Phone: 08 9427 3600
Email: sro@sro.wa.gov.au

PART **2**

Getting Started with the Framework
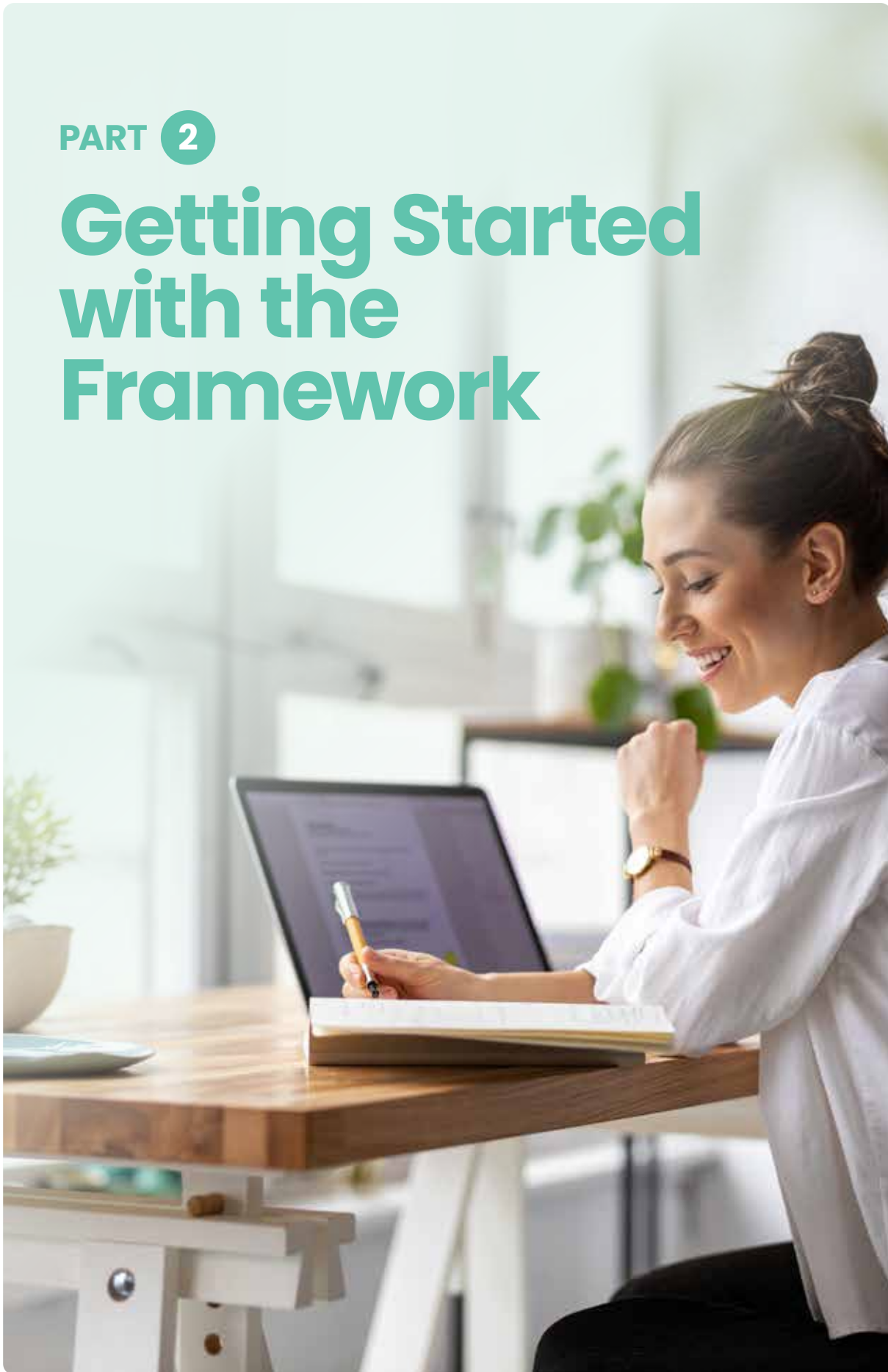
2.1 Principles

The Framework is underpinned by a set of principles for information management. The principles are written as outcomes against which WA public sector organisations can measure their performance.

The principles are:

Information rights are respected by communicating a clear purpose when collecting or creating information, considering legal, ethical and cultural needs, upholding freedom of access, and safeguarding the privacy of individuals.

Information is managed as a valuable public asset and protected by maintaining it over time in appropriate systems and eventually disposing of it properly or retaining in perpetuity if a State archive.

Information has integrity and can be trusted as accurate and reliable to support decision-making, transparency, and accountability.

2.1 Principles (cont'd)

Figure 1 illustrates how these principles relate to measures of success for good information management.

Purpose
Good information management enables the WA public sector to:
- Make well informed, transparent, and timely decisions.
- Deliver services efficiently – making the most of every resource available and every interaction between government and the community.
- Drive innovation by making data available for re-use by others – both inside and outside government.
- Be accountable through a secure and discoverable record of government that is valued by our community and used to create a legacy for future generations of Western Australians.

Principles

1	2	3
Information rights are respected	Information is managed as a valuable public asset	Information has integrity and can be trusted

Figure 1. Principles of the Information Management Framework for WA

2.2 Capabilities

The performance of information management can be measured by assessing what is delivered by a series of capabilities. These are:

1) Information Governance – a system of regulation, policies, procedures, and reporting for information management that is part of, and aligned with, an organisation's overall governance system.

2) Strategy and Planning – an overall strategy for information management for the organisation and associated plans to realise the strategy, including risk management.

3) Information Lifecycle Management – systems and processes that encompass the capture or creation, storage, and eventual disposal or permanent retention of information as required.

4) Information Discovery, Access and Sharing – arrangements for appropriate discovery and sharing of information that consider the sensitivity of information and privacy requirements.

5) Business Intelligence and Analytics – the way in which information is used by an organisation to provide insight and generate knowledge – deriving value from information assets.

2.3 Enablers

The capabilities and performance of an organisation are enabled by people and technology, and the way these are deployed by the organisation to meet the obligations of government to the WA community. Enablers are:

1) People and Culture – encompassing the skills of an organisation's workforce and the way people in the organisation work with each other and use information to inform the delivery of services and support decision-making.

2) Technology and Design – the suite of technology used by an organisation and the design of its configuration to enable effective information management. This includes emerging capabilities for generative and other artificial intelligence.

3) Legislation, Policy and Processes – the legal and policy basis, and supporting processes, that define when and how information is captured or created, managed, shared and disposed of appropriately.

PART **3**

Putting it all together

The capabilities and the way they enable organisations to fulfil the principles are both described in Part 2 from the Framework.

Part 3 describes how the Framework can be used to understand the complex array of legislation, regulation, and policy that governs information management in WA and deliver the vision for good information management described in Part 1.

Figure 2 illustrates how all the components of the Framework relate to each other.

Purpose
Good information management enables the WA public sector to:
- Make well informed, transparent, and timely decisions.
- Deliver services efficiently – making the most of every resource available and every interaction between government and the community.
- Drive innovation by making data available for re-use by others – both inside and outside government.
- Be accountable through a secure and discoverable record of government that is valued by our community and used to create a legacy for future generations of Western Australians.

Principles

1. Information rights are respected
2. Information is managed as a valuable public asset
3. Information has integrity and can be trusted

Capabilities

1. Information Governance
2. Strategy and Planning
3. Information Lifecycle Management
4. Information Sharing and Access
5. Business Intelligence and Analytics

Enablers

1. People and Culture
2. Technology and Design
3. Legislation, Policy and Process

Figure 2. Components of the Information Management Framework for WA

3.1 Legislative requirements for information governance

There is a growing body of legislation and policy that governs public information and records management. Examples include:

- The *Public Sector Management Act 1994* establishes records and information as assets of government, subject to proper administration.

- The *State Records Act 2000* sets out the requirements for full lifecycle management of these assets.

- The *Freedom of Information Act 1992* gives the public a right to access government documents and a right to apply for amendment of their own personal information.

- The *Electronic Transactions Act 2011* recognises that government business can be carried out digitally and that digital records and information are subject to the same legal requirements as those in any other format.

Table 1 provides further detail on key legislation governing WA public sector information management

3.1 Legislative requirements for information governance (cont'd)

Table 1. Key legislation governing WA public sector information management

Legislation	Effect on information management
Public Sector Management Act 1994	Directs the administration and management of public sector bodies.
	CEOs must ensure that the department or organisation keeps proper records – including the creation, management, maintenance and retention of records.
	CEOs must plan for and undertake financial, information and other management [and monitoring].
	Public sector bodies are to be scrupulous in the use of official information, equipment and facilities.
State Records Act 2000	Governs record keeping for all State and local government organisations. Requires government organisations to have a record keeping plan which explains how records will be created, managed, maintained and disposed.
	Establishes the State Records Commission, State Records Office and sets out responsibilities for government organisations for managing, preserving and providing access to records of information.

3.1 Legislative requirements for information governance (cont'd)

Table 1. Key legislation governing WA public sector information management (cont'd)

Legislation	Effect on information management
Freedom of Information Act 1992	Gives the public a right to access government documents, subject to some limitations and to have personal information about themselves amended if that information is inaccurate, incomplete, out of date or misleading.
	Requires agencies to assist applicants to obtain access to documents promptly and at the lowest reasonable cost.
	Outlines the processes to make a formal access or amendment application, the responsibilities of the agency when dealing with those applications and the rights of review in relation to a decision made under the FOI Act.
	Requires agencies to publish up to date information about their operations, policies and practices; the kinds of documents they hold and their procedures for giving access to those documents; and to make agency internal manuals available for inspection or purchase by the public.
	Establishes the Information Commissioner to provide independent review of decisions made by agencies; to ensure that agencies are aware of their responsibilities; and that members of the public are aware of their rights.

3.1 Legislative requirements for information governance (cont'd)

Table 1. Key legislation governing WA public sector information management (cont'd)

Legislation	Effect on information management
Electronic Transactions Act 2011	Provides a regulatory framework that recognises the importance of the electronic communication of information to the future economic and social prosperity of Western Australia; and enables business and the community to use electronic communication in their dealings with government.

Provides that any of the following matters can generally be done by electronic communication:

- giving information in writing
- providing a signature
- producing a document
- recording information
- retaining a document. |

3.1 Legislative requirements for information governance (cont'd)

These Acts apply across the entire sector. Together they address the most basic rights and responsibilities associated with public sector information – with the exception of personal privacy. The Digital Strategy for WA Government refers to a commitment to develop new laws for privacy and responsible information sharing.

This Framework focusses on legislation that impacts the whole WA public sector. It is noted that certain agency or sector-specific laws and regulations also include particular requirements for managing information relating to those functions e.g., the health sector. These requirements of these agency or sector-specific laws and regulations are best considered in agency-level strategies and plans.

3.2 Standards for Information Management

Standards can be used to support a consistent approach to information management. Using standards that are actively maintained over time either locally and/or internationally also has the benefit of ensuring your organisation stays up to date with best practice.

A list of relevant local and international standards is provided in **Attachment 1**.

3.3 Whole of Government Strategy and Reform

Over the past several years, the WA Government has been driving an accelerated program of digital transformation. An overarching strategy and suite of new policies have been developed in response to this opportunity.

3.3.1 The Digital Strategy for WA Government and Digital Capability Fund

The Digital Strategy for WA Government (the Strategy) aims to "change the way government works and make it easier for people and business to interact with the WA Government."

Secure access to reliable information is integral to the delivery of the four strategic priorities of the Strategy as outlined in **Table 2**.

Table 2. WA Digital Strategy – Strategic Priorities

Priorities	Role of Reliable Information
Better services	Streamlining the flow of information from individuals and organisations to government; government to its customers; and between agencies.
Informed decisions	Making more effective use of data and information; the need for quality assurance to support analytics; common standards to enable sharing, integration and linkage.

3.3 Whole of Government Strategy and Reform (cont'd)

Table 2. WA Digital Strategy – Strategic Priorities

Priorities	Role of Reliable Information
Safe and secure	Being transparent and accountable about how WA Government manages data and information; improving cybersecurity and introducing stronger privacy protections.
Digitally inclusive	A renewed emphasis on open data; and making government information equally accessible for everyone.

A Digital Capability Fund has been established to support digital transformation across the WA Government. There is a particular focus on the need to upgrade legacy ICT systems that present significant risk to service delivery. This will rely on a systematic approach to the disposal of these information assets.

3.3.2 Whole of Government Policies

Table 3 highlights whole of government policies directing or influencing WA public sector information management. They provide more granular requirements that reinforce the requirements in the legislation, to protect information from unauthorised access or alteration; or make information available for wider use.

3.3 Whole of Government Strategy and Reform (cont'd)

Table 3. Whole of government policy directing or influencing information management

Policy	Effect on information management
WA Government Artificial Intelligence Policy and Assurance Framework (2024)	Specifies the principles that must be applied by WA Government agencies who are developing or using Artificial Intelligence (AI) tools.
Cyber Security Policy (2021)	Specifies the measures WA Government agencies must undertake to manage cyber security risks.
Information Classification Policy (2020)	Provides a common language for agencies to identify risks and apply appropriate security controls to protect, store and share their information assets.
Cloud Policy (2020)	Establishes the expectation that government will move from being an owner of ICT assets to a consumer of technology services. Requires agencies to identify, assess and manage the risks associated with cloud services. Information risks include: privacy, security, data sovereignty, data portability, retention and disposal.
Enterprise Architecture Framework (2017)	Aligns people, processes, information and technology in support of strategic business outcomes and government priorities. Enables an agency to identify similarities with other agencies, to leverage existing and shared information or ICT resources for the delivery of its functions.

3.3 Whole of Government Strategy and Reform (cont'd)

Table 3. Whole of government policy directing or influencing information management (cont'd)

Policy	Effect on information management
Interoperability Policy (2016)	Supports system integration, information sharing, and cross-boundary collaboration. Aims to: - reduce unnecessary duplication and replication of information storage and handling. - create opportunities for data analytics and business intelligence, encouraging innovation and competition.
Open Data Policy (2015)	Encourages a well-considered and consistent approach across the public sector to opening access to data (which also ensures the privacy of individuals is adequately protected).

These policies also emphasise the ways in which a holistic approach to information management supports the government's strategic direction – transforming to more digital ways of working; making better use of information across the sector; managing information more efficiently; and managing information risks more effectively.

In this Framework, legislation and associated regulations are given the highest priority regarding requirements for information management. However, the important roles of policies and standards are also considered. Figure 3 illustrates the relationships between legislation, standards, and policies.

3.3 Whole of Government Strategy and Reform (cont'd)

Figure 3: Hierarchy of legislation and administrative instruments.

Acts
(Primary
Legislation)

Regulations, Determinations,
Statutory Instruments
eg State Records Standards
(Delegated Legislation)

International (ISO), National (AS)
or Industry Standards
(may be mandatory or best-practice)

Policies, Guidelines, Procedures, MOUs; Sector or Organisation
Frameworks and Tools
(Administrative Practice)
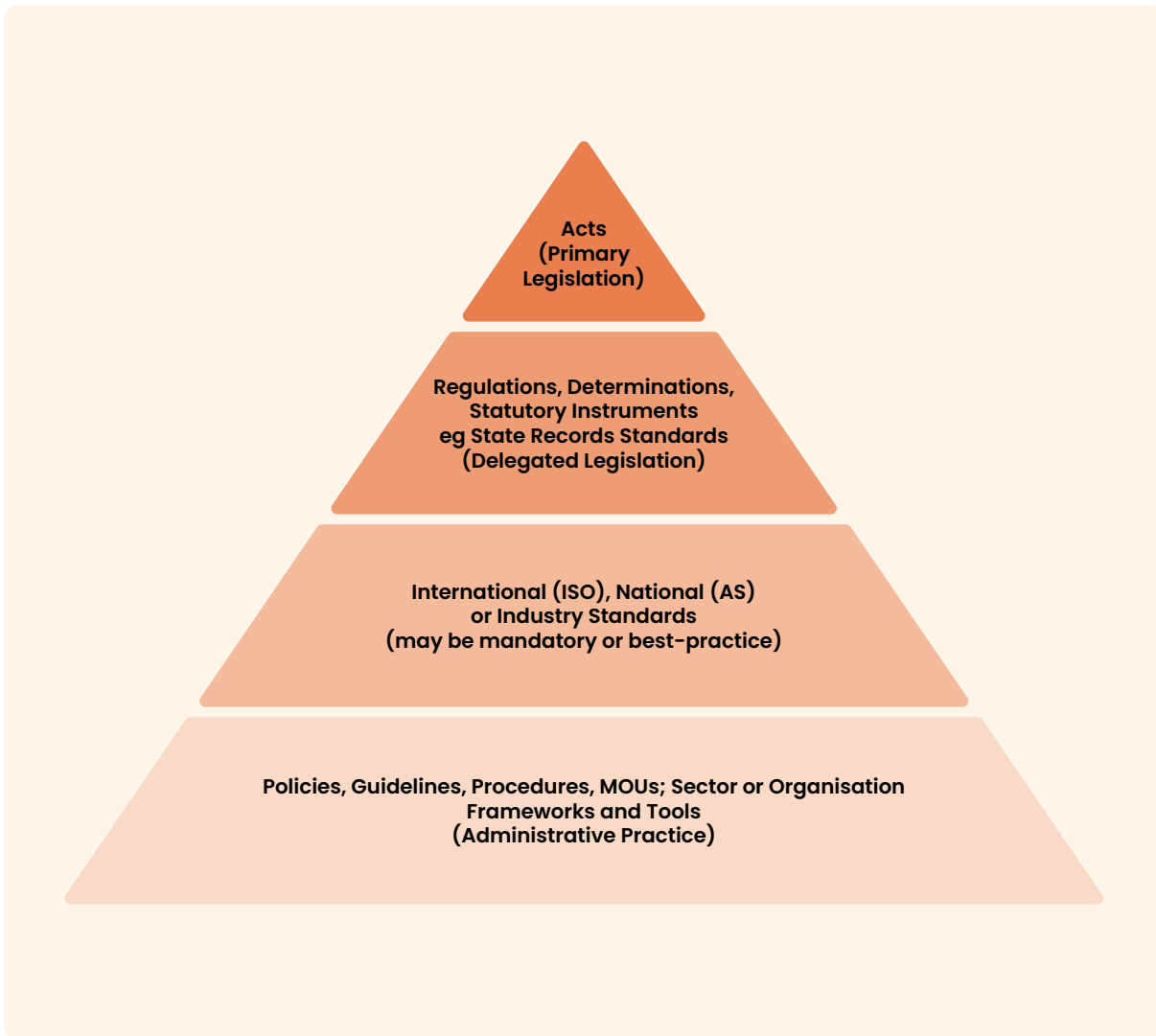
3.3.3 Open by Design Principles

Information Access Commissioners and Ombudsmen across Australia have made a joint Statement of Principles to support proactive disclosure of government-held information.

All Australian Governments (Commonwealth, State, Territory, and Local) and public institutions are strongly encouraged to commit to being Open by Design by building a culture of transparency and by prioritising, promoting and resourcing proactive disclosure.

3.3 Whole of Government Strategy and Reform (cont'd)

3.3.3 Open by Design Principles (cont'd)

These principles recognise that:

- information held by government and public institutions is a public resource and, to the greatest extent possible, should be published promptly and proactively at the lowest reasonable cost, without the need for a formal access request, and

- a culture of transparency within government is everyone's responsibility requiring action by all public sector leaders and officers to encourage and support the proactive disclosure of information, and

- appropriate, prompt and proactive disclosure of government-held information:
  - informs community
  - increases participation and enhances decision-making
  - builds trust and confidence
  - improves service delivery
  - is required or permitted by law
  - improves efficiency.

For further information visit https://www.oic.wa.gov.au/en-au/Home/Open-Government/Open-by-Design-Principles

3.3.4 WA Aboriginal Empowerment Strategy 2021–2029

The WA Aboriginal Empowerment Strategy 2021-2029 sets out principles that include requirements for the provision of data to all participants in decision-making, and for accurate interpretation of data about Aboriginal people requiring an Aboriginal cultural context, which is best done in partnership with Aboriginal people.

3.3 Whole of Government Strategy and Reform (cont'd)

3.3.5 Privacy and Responsible Information Sharing

To protect the personal information of Western Australians and facilitate responsible use and sharing of government data, the WA Government is drafting privacy and responsible information sharing legislation.

The privacy and responsible information sharing legislation will provide Western Australians with greater control over their personal information and improve the delivery of government services. This legislation will enable data to be shared within government for the right reasons and provide greater accountability and transparency about how government uses information.

Information sharing increases the importance of privacy safeguards and systematic disposal practices – both to protect the rights of Western Australians and to enable WA Government to be viewed as fit to receive and manage information shared by other jurisdictions, organisations or individuals.

Agencies will need effective and consistent information management practices to be able to assure the quality of information they share and assess the quality of information they receive. They will have to account for the provenance of information and ensure timely, defensible disposal.

Broadly, the legislation introduces reforms that provide:

- guiding principles and a framework to govern the collection, protection, use and disclosure of personal information across the public sector;

- a mandatory data breach notification scheme, requiring agencies to notify a proposed Privacy Commissioner and affected individuals of serious data breaches involving personal information; and

- a mechanism that supports Aboriginal data governance in WA, by requiring that Aboriginal people and communities are involved or consulted when data about them is shared.

3.4 Joining the dots

The body of legislation and policy that now governs public information and records management is extensive and complex. The Information Management Framework Map available from the State Records Office website on wa.gov.au can help you understand the relationships between these requirements. The example illustrated in **Figure 4** shows how this can be achieved.
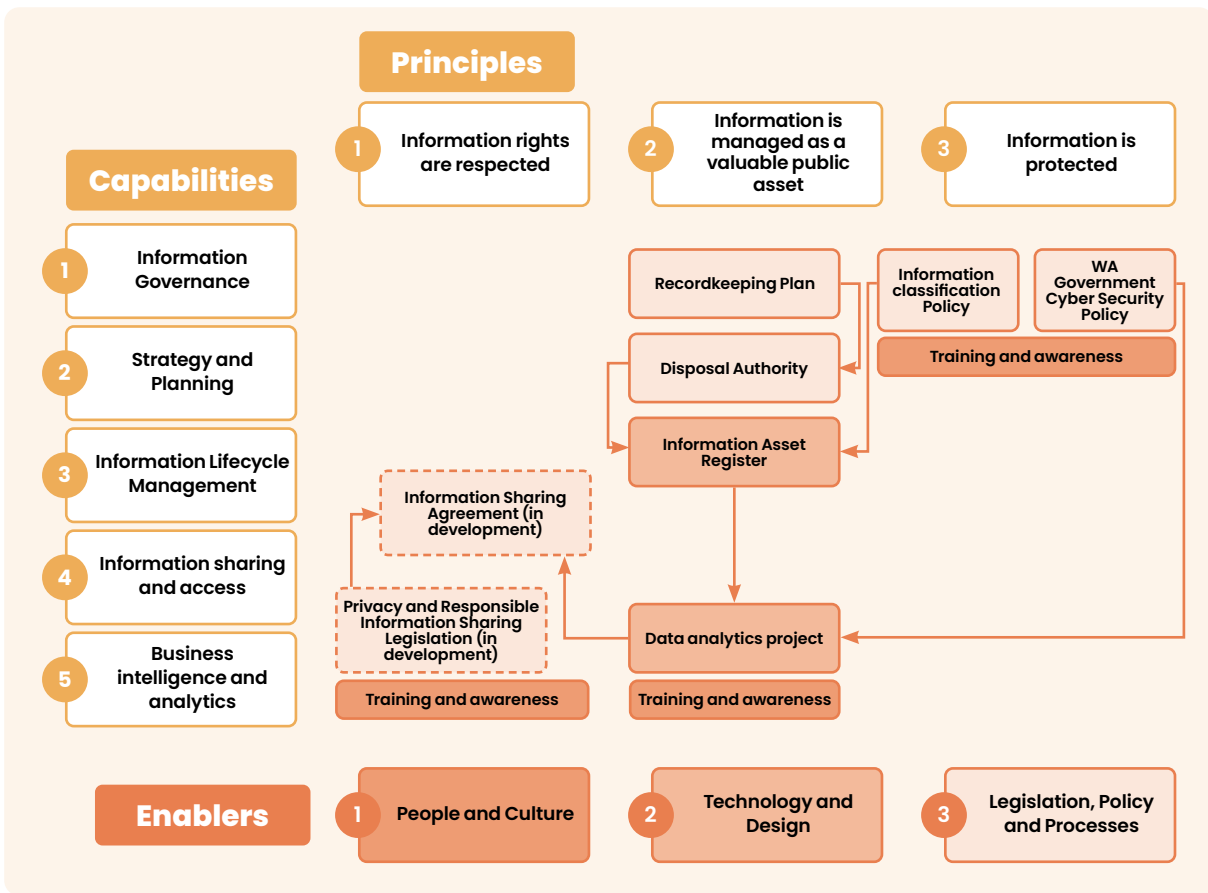
Figure 4: Using the Framework to understand requirements for information management. This example illustrates how an Information Asset Register (centre) can support requirements for cyber security (right hand side) and developing requirements for Privacy and Responsible Information Sharing. This example also shows how an agency's record keeping plan can be used to inform the Information Asset Register.

3.4 Joining the dots (cont'd)

The Map available from the State Records Office website on wa.gov.au also shows how these requirements align with the **principles** for good information management described in this Framework.By considering how the **capabilities** and **enablers** described in **Part 2** support these principles, it is possible to understand how all components of the Framework contribute to meeting our regulatory requirements for information management.

The way the components of the Framework support the Digital Strategy for WA Government has also been considered. Building on the example illustrated in Figure 4, **Figure 5** illustrates how the principles of this Framework relate to the Strategic Priorities of the Digital Strategy for WA Government, key legislation and policy for information management (the regulatory environment).
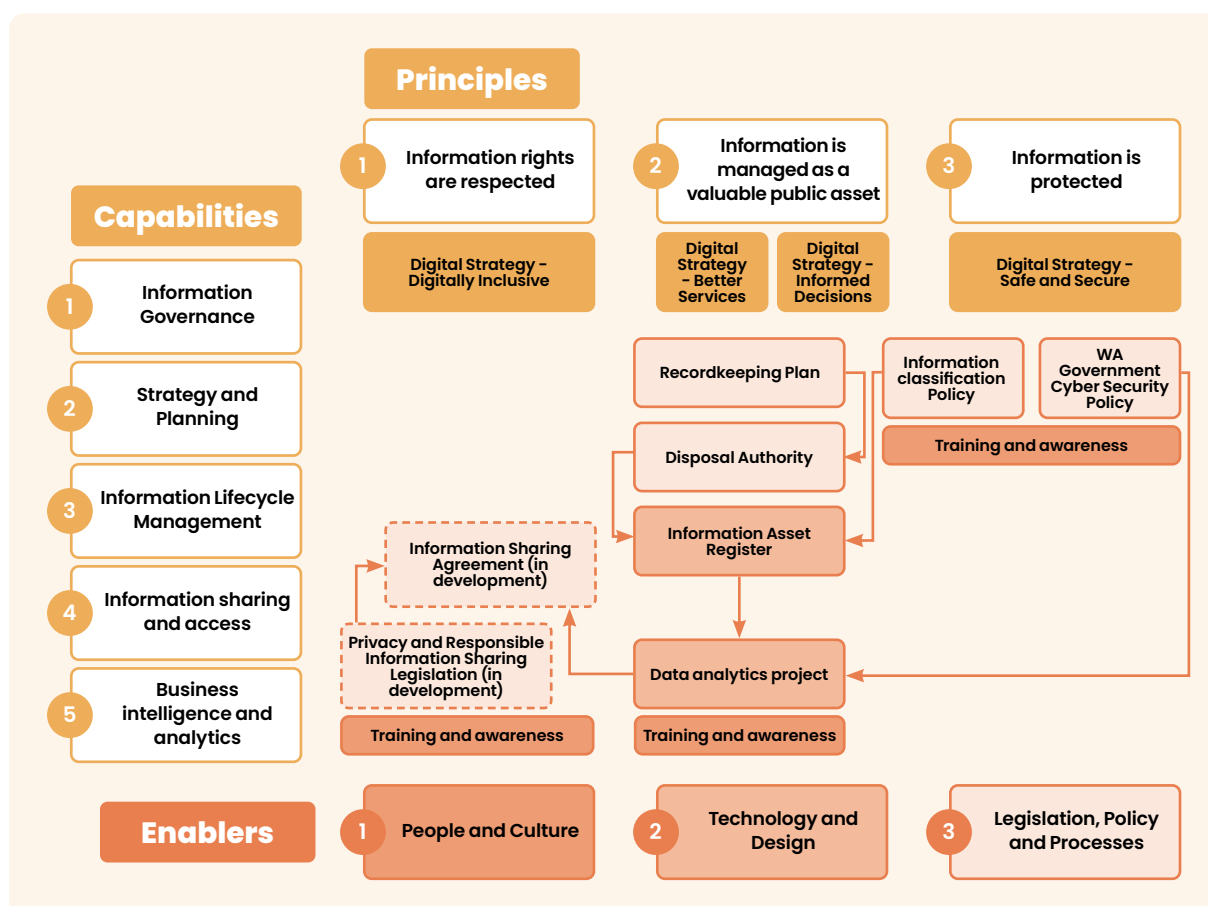
Figure 5: Requirements for data sharing and analytics illustrated using the Framework. Note the relationship between the Principles of the Framework, Strategic Priorities of the Digital Strategy for WA Government, and the regulatory environment.

3.5 Roles and Responsibilities

While the title, scope, and responsibilities of roles across organisations with regards to information management will vary, it is important that these responsibilities are clearly defined and understood across an organisation.

The following examples are included in this Framework as a guide for considering roles and responsibilities in your organisation. Sample user journeys based on this Framework are provided in **Attachment 2** to help illustrate the impact of these roles on information management.

Director General / CEO

The Director General / CEO has overall responsibility for ensuring that the organisation fulfils its legal and business obligations, including information management, and that adequate resources are available for managing and maintaining records of the organisation.

Directors / Managers / Coordinators

Leaders for each division and/or section of an organisation are accountable for the information created, received, and used within their division/section. Accountability includes ensuring the relevant legislation, policies and procedures are understood and complied with by employees.

Chief Information Officer

The Chief Information Officer (CIO), or equivalent, is often responsible for the information management function in an organisation at an executive level, and it is recommended that this function is aligned with other ICT functions.

A key role for a CIO is the consideration of technology and its design of how it is used to support good information management.

There may also be other C-suite roles with supporting responsibilities, such as a Chief Data Officer.

3.5 Roles and Responsibilities (cont'd)

Chief Information Security Officer

The WA Government Cyber Security Policy 2021 states that 'the chief executive officer/chief employee of an organisation is its accountable authority for cyber security' and that 'the accountable authority must … 'appoint or assign an executive member of the organisation with the responsibilities or to the role of Cyber Security Executive'. This executive is often the Chief Information Security Officer (CISO) or equivalent.

Information Communication and Technology (ICT) staff

The effective management of information is not possible without technology to enable it. The ICT team is usually responsible for maintaining systems on which records of information are stored, including undertaking system backups and developing, maintaining and testing the relevant parts of an organisation's disaster recovery plan.

Corporate Information Coordinator

This role is usually responsible for managing the information management function of an organisation at an operational level, and the custodian of the relevant policies and procedures.

Business Process Owner

This role, or an equivalent lead role responsible for designing and managing key functions and processes, can play a key role in good information governance. Business Process Owners are responsible for the role of people, technology and information in delivering these processes.

3.5 Roles and Responsibilities (cont'd)

All employees (including contractors and volunteers)
All employees of the organisation, including contractors and volunteers, have a responsibility to ensure information that they create and receive as part of their business role is complete, accurate and managed in accordance with the record keeping plan, policies and procedures.

PART **4**

Measuring Performance

The WA Government has arrangements in place to measure the impact and success of a range of existing strategies and policies considered by this Framework.

This section describes opportunities to leverage existing evaluations to assess progress towards good information management.

The importance of continuous learning and innovation in the management of information is also acknowledged and an additional measure of success will be feedback from the intended users of this Framework – the WA public sector.

4.1 Leveraging Records Management

All agencies currently undertake regular assessments of their record keeping plans and associated policies and procedures to support good information management.

Agencies are encouraged to leverage this process to assess the performance of their information management more broadly.

For example, record keeping plans already require agencies to list and describe existing information systems and plans for new systems. These can be used to report on and inform strategies and plans for information management capabilities and enablers as outlined in this Framework.

These plans also require a retention and disposal program and authority that lists the various types of records (data and information) collected, created and managed by the agency. These lists can be used to inform the development of other tools like information asset registers.

> The regular legal destruction of temporary records (data and information) minimises risks associated with the retention of information, such as breaches or unauthorised release of personal information. It also reduces the complexity and associated costs of managing these records.

4.2 Agency Capability Review

The Public Sector Commission has launched an Agency Capability Review Program to drive excellence and continuous improvement in the public sector. It is based on a framework that identifies the capabilities needed to be a high performing agency in the WA context. The framework is illustrated in **Figure 6**.

Reviews under the program aim to provide a clear understanding of an agency's current capabilities, including strengths and areas for improvement. The program seeks to lift overall public sector capability; set standards for high public sector performance; create a strong culture of governance, support and accountability; and identify trends and challenges in public sector management and administration and sharing strategies to meet them.

The framework is built around five significant areas of public sector administration. Information is one of the key capabilities identified under Resources and Risk.

This area is focused on planning and managing public resources to meet current and future demands and challenges; and having strong integrity and risk systems to protect public resources from loss, damage or compromise.

4.2 Agency Capability Review (cont'd)

The framework asks key questions in relation to information and data practices, to ascertain capability:

- Are information and data planned, acquired and used as strategic assets?
- Are information and data managed ethically, including to maintain privacy?
- Are information and data shared across and beyond government?

The Agency Capability Review Program offers an opportunity to baseline current levels of information management maturity and develop a targeted approach to improvement.

4.2 Agency Capability Review (cont'd)

Figure 6: Agency Capability Framework, Public Sector Commission.

For further information on the Agency Capability Review program visit https://www.wa.gov.au/organisation/public-sector-commission/agency-capability-review-program

PART 5

Attachments

Attachment 1
Standards for Information Management

International Organization for Standardization (ISO)

Standards Australia. (2022). Information and documentation - Information Governance - Concept and principles. (AS/NZS ISO 24143:2022).

Standards Australia. (2022). Information and documentation - Metadata for managing records, Part 2: Conceptual and implementation issues. (AS/NZS ISO 23081.2:2022).

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Australia

Australian Cyber Security Centre Essential Eight

Western Australia

State Records Commission Principles and Standards – State Records Office

Attachment 2
Roles and Responsibilities – User Journeys

While the title, scope, and responsibilities of roles across agencies with regards to information management will vary, it is important that these responsibilities are clearly defined and understood across an agency.

The following examples are included in this Framework as a guide for considering roles and responsibilities in your agency.

Director General / CEO

Under the *Public Sector Management Act 1994* s.29(1)(c), the function of CEOs and chief employees include a requirement to 'plan for and undertake financial, information and other management in relation to that agency and monitor the administrative and financial performance of that department or organisation. There is also an obligation at s.29(1)(n) for the CEO, subject to the *State Records Act 2000,* to ensure that the agency keeps proper records.

The Director General / CEO is required under the *State Records Act 2000* to ensure that business systems used for storing business information are fit-for-purpose in accordance with relevant legislation and standards. The Director General/CEO is also required under the same Act to ensure that records are not destroyed or disposed of except in accordance with an approved disposal authority.

The *Local Government Act 1995* s.5.41(n) includes a similar requirement for Local Government CEOs to 'ensure that records and documents of the local government are properly kept for the purposes of this Act and any other written law'.

Figure 7 illustrates how a CEO can use the framework to navigate requirements for information management.

Attachment 2
Roles and Responsibilities – User Journeys

Navigating Information management responsibilities of a CEO …

Amy is the CEO of a new State government agency …

Amy needs to ensure information is well managed in her agency to meet her obligations under the *Public Sector Management Act 1994.*

One of those requirements is to ensure that her agency keeps proper records – including the creation, management, maintenance and retention of records.

The Records Management (or keeping) Plan managed by an Information Management Coordinator (or equivalent) should document how this requirement is met.

This plan can also be used to assist Amy's team (including the CIO and CISO) to plan and manage information classification and cybersecurity, Freedom of Information obligations and design and delivery of digital services.

Proactive use and management of a Records Management (keeping) Plan and associated reporting enables Amy's agency to monitor performance of its information management and identify opportunities for improvement.

Figure 7: Navigating CEO responsibilities for information management using the Framework.

Attachment 2
Roles and Responsibilities – User Journeys

Directors / Managers / Coordinators
Leaders for each division and/or section of an agency are accountable for the information created, received, and used within their division/section. Accountability includes ensuring the relevant legislation, policies and procedures are understood and complied with by employees.

Figure 8 illustrates the relationships between key legislation and policy impacting information management and the technology used to deliver information as illustrated by the Framework.
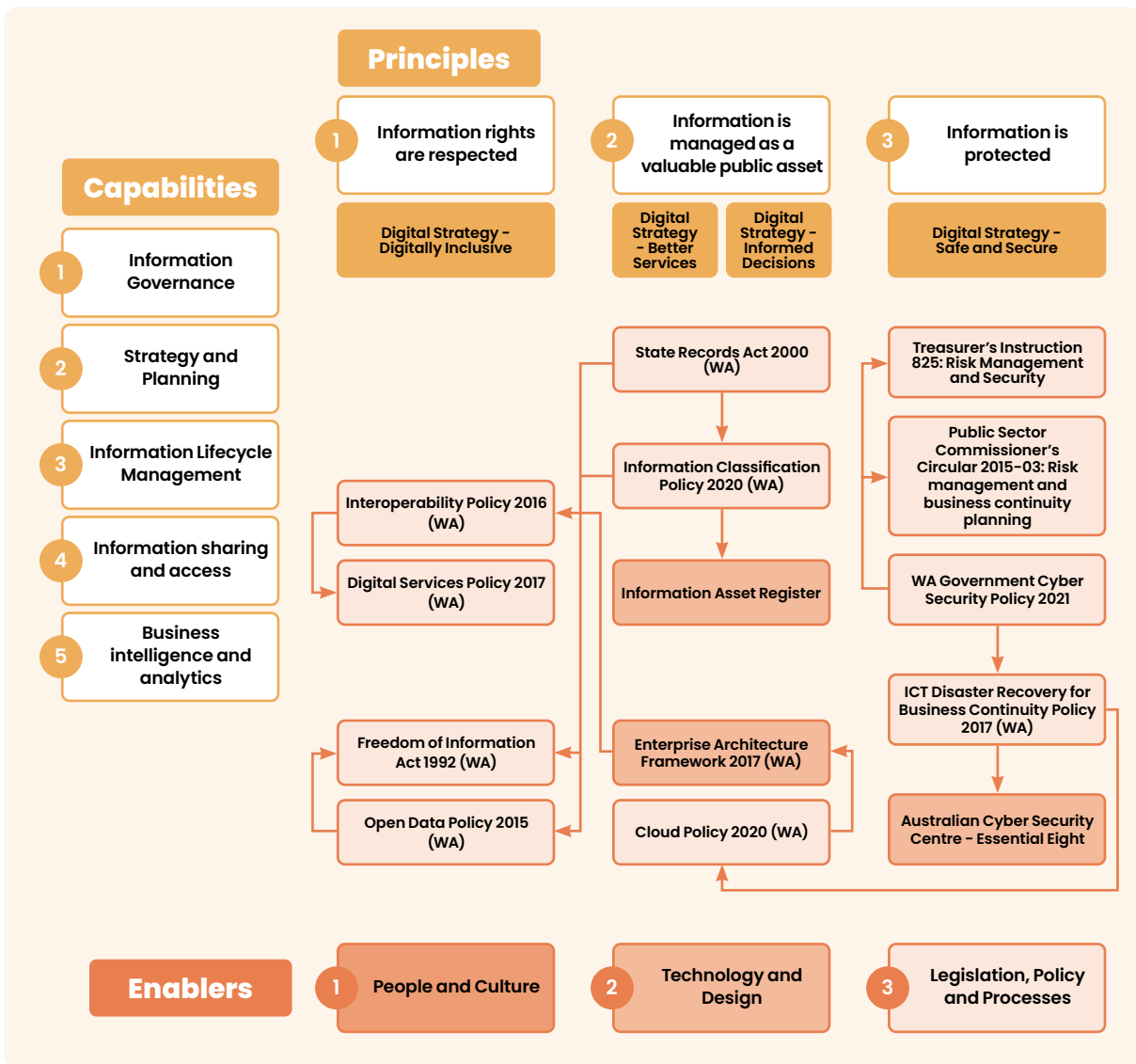
Figure 8: Relationships between key legislation and policy impacting information management and the technology.

Attachment 2
Roles and Responsibilities – User Journeys

Chief Information Officer

Responsibilities of a CIO with regards to records and information management often include:

- Ensuring information management is planned, managed, and reviewed.
- Ensuring that the ICT infrastructure, systems and resources adequately support information management capabilities.

Navigating information management responsibilities of a CIO/CISO ...

Joan is the CIO of a new State government agency ....

The CEO has assigned to the CIO the responsibility of Cyber Security Executive.

Joan's team uses the agency's Records Management Plan developed with the Information Coordinator (or equivalent) to develop an Information Asset Register that documents the existing and planned information holdings of the agency.

The information Asset Register is then used by the agency to classify the sensitivity of each type of information, identify risks and priorities for cybersecurity and design systems (enterprise architecture) to manage risks and support appropriate information sharing.

Because the same sources of information about the agency's information holdings have been used for information cybersecurity and system design, Joan and the Executive team are readily able to meet many other governance requirements e.g., Public Sector Commissioner's Circular 2015-03: Risk management and business continuity planning.

Proactive use and management of a Records Management (keeping) Plan and associated reporting enables Joan's team to monitor performance of its information management and identify opportunities for improvement.

Figure 9: Navigating CIO / CISO responsibilities for information management using the Framework.

Attachment 2
Roles and Responsibilities – User Journeys

Chief Information Security Officer (CISO)

According to the WA Government Cyber Security Policy 2021, the CISO:

a. is responsible for managing the agency's implementation of the Policy's requirements;
b. must have the authority, skills and resources to manage implementation of this Policy's requirements; and
c. is to report to the Accountable Authority on the implementation of this Policy's requirements.

Use **Figure 8** on page 47 to understand how cyber security policies and associated requirements impact and are dependent on various aspects of information management.

Information Communication and Technology (ICT) staff

The effective management of information is not possible without technology to enable it. The ICT team is usually responsible for maintaining systems on which records of information are stored, including undertaking system backups and developing, maintaining and testing the relevant parts of an agency's disaster recovery plan.

Use **Figure 8** on page 47 to understand how policies that focus on technology impact and are dependent on various aspects of information management.

Attachment 2
Roles and Responsibilities – User Journeys

Corporate Information Coordinator

Responsibilities of a Corporate Information Coordinator may include:

- Developing and maintaining information management policy, procedures, and guidelines.
- Providing advice, information, and training to all staff.
- Coordinating the records disposal program.
- Monitoring and evaluating compliance with legislative requirements and corporate policy, procedures and guidelines.
- Configuring, developing, implementing, and supporting systems, including user access, security, and management of system changes.
- Ensuring there are business continuity arrangements in place for information, including identifying and protecting vital records of information.

A coordinator, or equivalent, may be supported by a team that carries out the following tasks:

- Assisting staff with information management within approved business and information management systems.
- Governance for generic contact mail and/or email account/s (e.g., 'Contact Us' and Corporate Mail/ Post Office Box), including processing (registering, capturing to records management / business information systems).

- Awareness raising and advising information management responsibilities, for all employees.

A Corporate Information Coordinator and their team can use **Figure 10** to understand responsibilities for information management using the Framework.

Attachment 2
Roles and Responsibilities – User Journeys

Navigating information management responsibilities of an Information Coordinator ....

Jenny is the information Coordinator for a new State government agency …

Jenny has responsibility for information governance, records management, Freedom of Information requests and Privacy.

Jenny's team, and the ICT team under the CIO, both use the agency's Records Management Plan to develop an Information Asset Register that documents the existing and planned information holdings of the agency.

The information Asset Register is then used by the agency to classify the sensitivity of each type of information, identify which information can be shared and with whom, and which information can be eventually disposed of when no longer needed by the agency according to the Records Management (keeping) Plan.

Because the same sources of information about the agency's information holdings are used by the whole agency, including ICT and Records and Information Management, the agency responds consistently to requests to share information with others.

Jenny's team manages and contributes to proactive use and and management of a Records Management (keeping) Plan and associated reporting in consultation with the ICT team and CIO. This enables the agency to monitor performance and identify opportunities for improvement through the design and use of technology as an enabler.

Figure 10: Responsibilities of an Corporate Information Coordinator and their team for information management using the Framework.

Attachment 2
Roles and Responsibilities – User Journeys

Business Process Owner

Similar to the role of an Information Coordinator, who focusses on the information management function, Business Process Owners have responsibilities for other business functions including:

- Developing and maintaining policy, procedures, and guidelines for business processes.
- Providing advice, information, and training to all staff.
- Monitoring and evaluating compliance with legislative requirements and corporate policy, procedures and guidelines.
- Configuring, developing, implementing, and supporting systems, including user access, security, and management of system changes.
- Ensuring there are risk management and business continuity arrangements in place.

Use **Figure 8** on page 47 to understand the key legislation and policies a Business Process Owner should be aware of in designing and managing business processes.

Attachment 2
Roles and Responsibilities – User Journeys

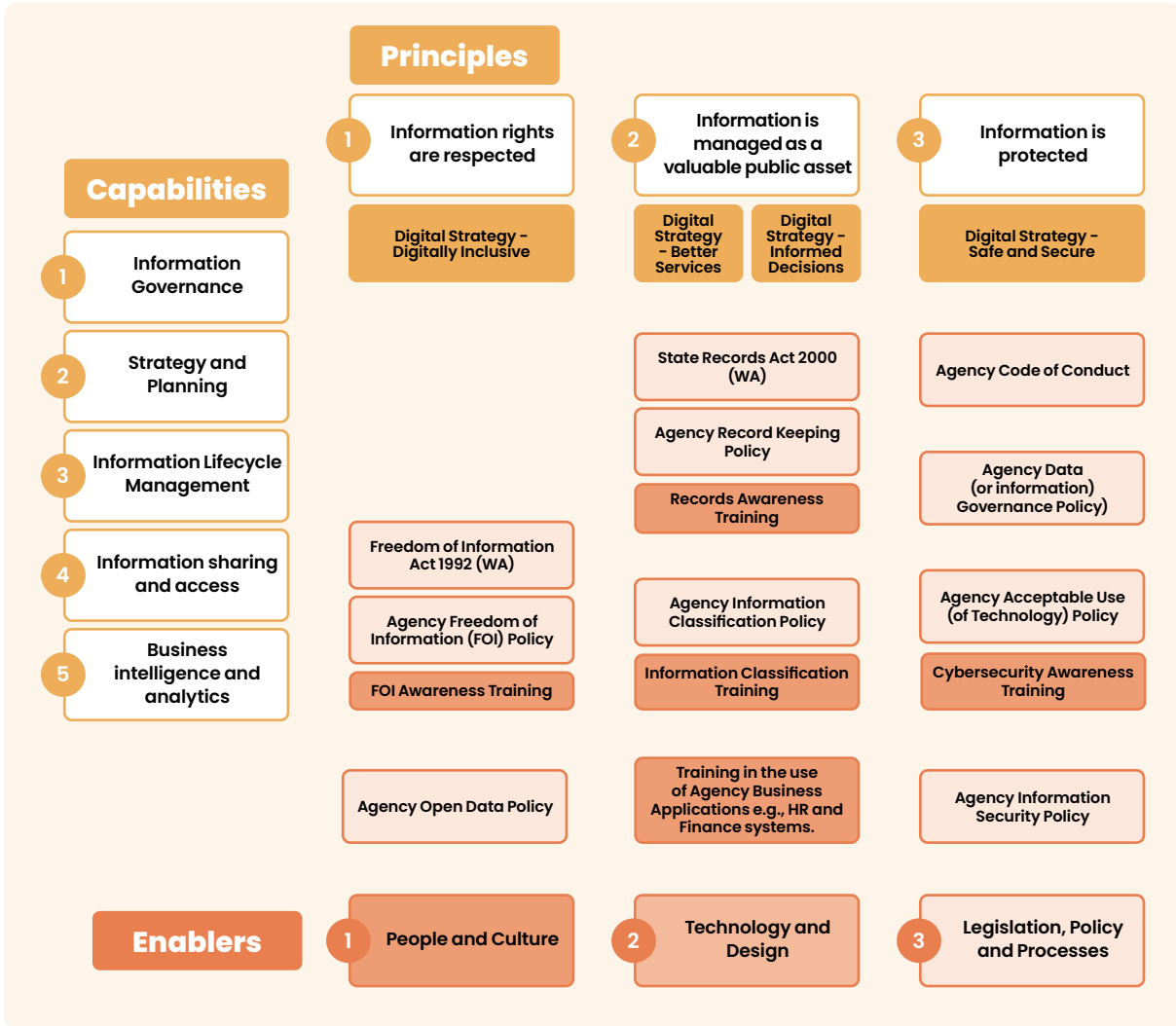**All employees (including contractors and volunteers)**
All employees also have a critical role as individuals to ensure that information is appropriately accessible and re-usable as an asset. In this role, employees should:

- Have a working knowledge of, and comply with, information management policies and procedures.
- Ensure that information (in all formats) is captured in, and appropriately accessible through approved business information systems.
- Dispose of records of information only in accordance with approved Disposal Authorities in a compliant and auditable manner.

Figure 11 highlights opportunities for all employees to build awareness about their responsibilities for good information management. Key legislation and policies are often supported by agency-level policies and training. Training in the use of key agency systems, such as HR and Financial systems, is also an opportunity to reinforce how all employees can support good information management.

Attachment 2
Roles and Responsibilities – User Journeys

Principles

1	**Information rights are respected**
2	**Information is managed as a valuable public asset**
3	**Information is protected**

Digital Strategy – Digitally Inclusive

Digital Strategy – Better Services

Digital Strategy – Informed Decisions

Digital Strategy – Safe and Secure

Capabilities

1. Information Governance
2. Strategy and Planning
3. Information Lifecycle Management
4. Information sharing and access
5. Business intelligence and analytics

Freedom of Information Act 1992 (WA)

Agency Freedom of Information (FOI) Policy

FOI Awareness Training

State Records Act 2000 (WA)

Agency Record Keeping Policy

Records Awareness Training

Agency Information Classification Policy

Information Classification Training

Agency Code of Conduct

Agency Data (or information) Governance Policy)

Agency Acceptable Use (of Technology) Policy

Cybersecurity Awareness Training

Agency Open Data Policy

Training in the use of Agency Business Applications e.g., HR and Finance systems.

Agency Information Security Policy

Enablers

1	People and Culture
2	Technology and Design
3	Legislation, Policy and Processes

Figure 11: Opportunities for all staff to build awareness about their responsibilities for good information management.

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