



Office of the Chief Information Officer

Guideline

Information Management Vision, Mission and Guiding Principles

Governance

Authority: Office of the Chief Information Officer

Audience: Information Management professionals and other resources responsible for the implementation and operation of a records and information management system (also referred to as an Information Management Program) within a department or other public body, as defined in the Management of Information Act.

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Information Management Services

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This document is available in alternate format. Please contact OCIO@gov.nl.ca.

Forward questions and/or comments related to this document to IM@gov.nl.ca.

Table of Contents

1.0 Overview	4
2.0 Purpose	5
3.0 Definitions and Acronyms	6
4.0 Recommended Approach	8
4.1 IM Vision Statement.....	8
4.2 IM Mission Statement.....	9
4.3 IM Guiding Principles	9
5.0 Roles and Responsibilities	11
6.0 Supporting Materials and Version History	12
Appendices	13

1.0 Overview

The Information Management (IM) Vision, Mission and Guiding Principles Guideline (hereafter referred to as the Guideline) is designed to assist departments and other public bodies in the Government of Newfoundland and Labrador to develop an appropriate IM Vision, Mission and Guiding Principles that will serve to drive the design, development, implementation and management of an effective IM Program.

Departments and other public bodies may find that the IM Vision, Mission and Guiding Principles as set out in this Guideline are adequate for their purposes, or they may wish to develop their own using the model contained in this Guideline.

Guidelines are recommended actions, general approaches and operational behaviors. Guidelines are generally a description that clarifies what should be done and how to achieve the objectives set out in policies, directives and standards.

Guidelines issued by OCIO recommend actions and are not compulsory, as they take into consideration the varying nature of information management programs.

2.0 Purpose

The IM Vision, Mission and Guiding Principles Guideline provides a recommended approach that will serve to drive the design, development, implementation and management of an effective IM Program. This Guideline is part of a broader GuideBook that supports the requirement set forth in Management of Information Act (MOIA) for permanent heads of departments and other public bodies to implement a records and information management system.

Expected Deliverable(s)

1. An approved and published document, available to all staff of the organization that contains the IM Vision Statement, the IM Mission Statement and the IM Guiding Principles; this can be a standalone document or ideally, a section contained within the IM Program Plan.

The GuideBook, also known as the Guide to IM for Public Bodies, includes the following guidelines.

1.0 Foundation

- 1.1 IM Governance, Accountability and Organization
- **1.2 IM Vision, Mission and Guiding Principles**
- 1.3 IM Legal and Regulatory Framework
- 1.4 IM Program Plan

2.0 Components

- 2.1 IM Policy Instruments
- 2.2 IM Performance Measurement
- 2.3 Service Continuity
- 2.4 Education and Awareness for IM Professionals
- 2.5 IM Education and Awareness for Employees
- 2.6 Physical Records Storage Development and Use
- 2.7 Information Protection

3.0 Tools

- 3.1 Records and Information Inventory
- 3.2 Classification Plan Development for Operational Records
- 3.3 Records Classification Plan Implementation
- 3.4 Disposal of Records
- 3.5 Record Imaging Services

3.0 Definitions and Acronyms

A complete listing of terms are located on the OCIO website - Information Management and Protection (IM&P) Glossary of Terms.

Vision - A vision defines the desired or intended future state of an organization or program in terms of its fundamental objective and/or strategic direction. Vision is a long-term view, describing how the organization or program would like to be and what it would look like.

Vision Statement - A vision statement outlines what the organization wants to be. It concentrates on the future, is a source of inspiration and provides clear focus.

IM Vision Statement - An IM vision statement is the inspiration and framework for IM strategic planning and IM Program development. Features of an effective IM vision statement include a description of a desired state for IM that features clear wording, lack of ambiguity, realistic aspirations and alignment with organizational values and culture.

Mission - A mission is a brief measurable long-term outcome statement, which defines where an organization is going and why.

Mission Statement - A mission statement is a formal, short, written statement of the purpose of a company or organization. The mission statement should guide the actions of the organization, spell out its overall goal, provide a sense of direction, and guide decision-making. It provides “the framework or context within which the company’s strategies are formulated.”

IM Mission Statement - An IM mission statement is a concise, formal statement of the purpose of the IM Program within an organization. It should indicate how the Information Management programs and services will enable the mandate of a public body and support its compliance requirements.

Principle - A principle is a statement of fundamental value, a rule, or belief tied to business objectives and requirements, and establishes constraints on the manner in which business is conducted.

Guiding Principles - Guiding principles articulate the fundamental values that provide overall program direction throughout its operation irrespective of changes in its goals, requirements or resources.

IM Guiding Principles - IM Guiding Principles are used to help formulate the initial IM Program and IM Governance model, as well as to provide a framework for decision making.

The table below includes common abbreviations used by OCIO as well as acronyms found within this document.

Abbreviation	Description
IM	Information Management
MOIA	Management of Information Act
OCIO	Office of the Chief Information Officer
CGSB	Canadian General Standards Board
ISO	International Standards Board

4.0 Recommended Approach

The intent of this Guideline is to provide recommended actions, general approaches and operational behaviors that when implemented will serve to drive the design, development, implementation and management of an effective IM Program

4.1 IM Vision Statement

IM Vision Statement Example:

[Public body] will sustain a professional Information Management program to enable its mandate, facilitate legislative and policy compliance, appropriately protect information, and support services to citizens.

The attainment of the IM Vision contributes to the following outcomes:

- Staff and stakeholders have easy, efficient and managed access to the information that they need to do their jobs and meet legal/regulatory requirements;
- Programs have quality information to support their mandate and for the delivery of services to stakeholders;
- A public body has information to document and trace decisions and processes;
- Information is safeguarded and made available as appropriate;
- The exchange of information within the public body and between the public, stakeholders and other government entities will be easily accomplished and reliable;
- Increased quality of management and program decision-making and service delivery;
- Increased confidence in the privacy and security of information entrusted to or generated by the public body.

4.2 IM Mission Statement

IM Mission Statement Example:

In the [Public body], the mission of IM is:

To deliver efficient and effective Information Management programs and services to enable the mandate of [Public body] and support its compliance requirements.

4.3 IM Guiding Principles

IM Guiding Principles are used to help formulate the initial IM Program and IM Governance model, as well as to provide a framework for decision making. They are used to:

- Provide a clear linkage to mandate and business priorities;
- Guide the IM organization in the development and delivery of the IM Program;
- Facilitate communication of IM services and initiatives to users; and
- Help to simplify IM decision-making process.

A public body should establish the IM Guiding Principles that will guide the development and implementation of its IM Program and Plan. The OCIO is guided by the relevant International Standards Organization (ISO) and Canadian General Standards Board (CGSB) standards for its policy development framework and overall approach. The development of Information Management and Protection policies, directives, standards and guidelines by the OCIO is based upon the following principles, which may be adopted by public bodies, or modified to suit their individual requirements:

IM Guiding Principles Example:

- Promoting records creation to support the conduct of business, comply with the regulatory environment and provide necessary accountability.
- Enabling transparency of decision-making and expenditure through the development of proper information management and protection practices throughout Government operations and systems, and the appropriate training of information management personnel to provide effective service delivery.

- Enabling legislative compliance where a requirement to retain records is articulated or where legislative compliance relies upon timely and appropriate access to information resources.
- Lifecycle management of all information in all formats during all lifecycle stages from creation (through use and management) to disposal (through destruction, deletion or transfer to The Rooms Provincial Archives Division for permanent preservation).
- Providing information authenticity, integrity and security to protect information holdings from loss, inappropriate access or use, disclosure, alteration, removal or destruction; thereby ensuring confidentiality, integrity, availability and accountability over time.
- Risk management through the assurance that security risks are identified, acceptable and that control mechanisms are in place.

5.0 Roles and Responsibilities

Departments and other public bodies

Under MOIA, departments and other public bodies must develop a records and information management system. The GuideBook and supporting materials assist a department or other public body in the development of a records and information management system, often referred to as an IM Program. Compliance with MOIA, OCIO's IM&P Policy approved by Treasury Board and subsequent policies, directives and standards that the OCIO develops is mandatory.

Directors responsible for IM

Directors responsible for IM within a department or other public body should develop and publish vision statement, mission statement and guiding principles for information management to support the overall IM Program and Plan.

Office of the Chief Information Officer

As part of OCIO's mandate, the OCIO

- defines, develops and publishes IM&P policy instruments as needed;
- is responsible for IM&P policy instrument lifecycle management;
- implements appropriate communications regarding IM&P policy instruments; and
- manages, maintains and monitors IM&P policy instruments for effectiveness and compliance.

6.0 Supporting Materials and Version History

Supporting Materials

Below is a listing of supporting materials hyperlinked to the published internet location.

Management of Information Act

<http://www.assembly.nl.ca/Legislation/sr/statutes/m01-01.htm>

Information Management and Protection Policy, TBM 2018-111 (replaces TBM 2009-335)

https://www.ocio.gov.nl.ca/ocio/im/im_ip_policy.html

OCIO Website

<https://www.ocio.gov.nl.ca>

Information Management and Protection (IM&P) Glossary of Terms

<http://www.ocio.gov.nl.ca/ocio/im/glossary.html>

Guide to IM for Public Bodies

<https://www.ocio.gov.nl.ca/ocio/im/practitioners/chart.html>

Version History

The following table highlights the version history of this document including date issued and version number.

Date (yyyy-mm-dd)	Version
2011-06-15	Version 1
2017-05-23	Version 2
2019-02-19	Version 3

Appendices

A listing of policy instruments, support materials including templates and examples are available on the OCIO website to guide departments and other public bodies in the development of standard documents and content, supporting IM program development and management and the growth of IM capacity.

Appendices listed below directly relate to the GuideBook: IM Vision, Mission and Guiding Principles and are published independent of this Guideline on the OCIO website, <https://www.ocio.gov.nl.ca/ocio/im/practitioners/chart.html>.

Appendix	Title
A	IM Vision, Mission and Guiding Principles Guideline – Checklist
B	Quick Reference – Records and Information Management System
C	IM Vision, Mission and Guiding Principles – Template and Example

Other GuideBook References:

IM Program Plan Guideline