



Office of the Chief Information Officer

# Guideline

## IM Performance Management

### Governance

Authority: MOIA

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.

Compliance Level: Recommended

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Application and Information Management Services  
Information Management Services

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This document is available in alternate format. Please contact [OCIO@gov.nl.ca](mailto:OCIO@gov.nl.ca).

Forward questions and/or comments related to this document to [IM@gov.nl.ca](mailto:IM@gov.nl.ca).

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## 1.0 Overview

Performance measurement is the capture and analysis of information related to the outcome of planned goals, objectives, activities or services. Performance measurement as an ongoing process helps determine whether goals are consistently being met in an effective and efficient manner. Many components within the department or other public body's Information Management (IM) Program can be analyzed on an annual basis to evaluate performance.

This guideline is designed to assist in the development of performance measurement strategies that support the evaluation of their IM Program.

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 provide a recommended approach, as they take into consideration the varying nature of information management programs.

## 2.0 Purpose

The IM Performance Management 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 the Management of Information Act (MOIA) for permanent heads of departments and other public bodies to implement a records and information management system.

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



Graphic: 1 - GuideBook Contents

### Expected Deliverable(s)

1. An approved and published IM Performance Framework that includes an IM Performance Measures and Metrics Listing as well as an annual IM Program Performance Report, made available to all members of the organization.

### 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.

**Information Management** – Information Management (IM) is the field of management responsible for establishing and implementing policies, systems, and procedures to capture, create, access, distribute, use, store, secure, retrieve, and ensure disposition of an organization’s records and information. (Source: ARMA)

**IM Education and Awareness** – IM education and awareness is the process of communicating IM knowledge, skills and judgment to an individual while also supporting an individual’s knowledge about the components of an IM Program and IM best practices. Education generally results in new or enhanced skills that permit an individual to perform their job with greater competency and confidence. Awareness is often used to reinforce education or best practices.

**IM Program** – for the purposes of compliance with the MOIA, the OCIO defines a records and information management system (also referred to as an IM Program) as a four-part system that includes Management Framework, Core IM Capability, Enablers, and Monitoring and Verifying IM. See the Quick Reference – Records and Information Management System document on the OCIO website for additional details.

**IM Program Plan** – An IM Program Plan is a formal approved and published document that outlines how IM works in a department or other public body. This includes governance, organization, management, services, performance management and reporting.

**IM Policy Instruments** – IM policy instruments include policies, directives, standards, guidelines and procedures that provide direction or guidance on the management and protection of information aligned with the principles set forth in the Information Management and Protection Policy. OCIO extends the definition to include policy instrument supports such as Webpages, FYIs, FAQs, Quick Reference or Re-Use Materials as items to include in an IM policy instrument inventory.

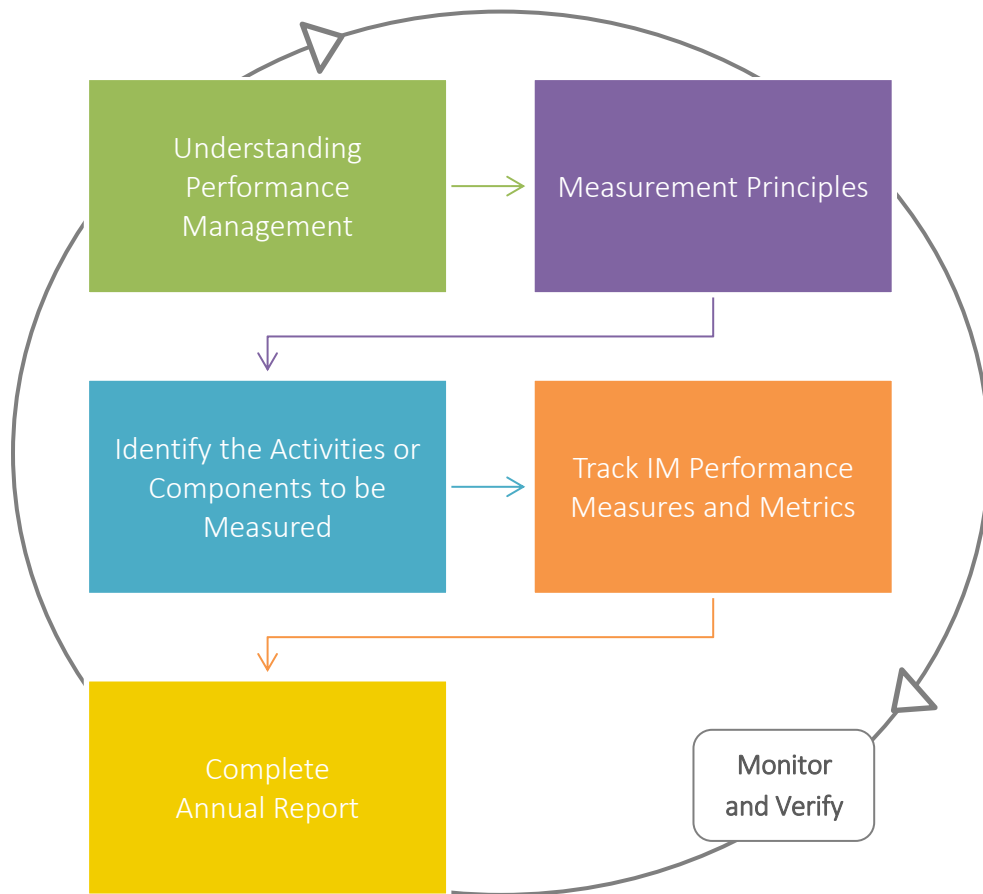
The table below includes common abbreviations used by OCIO as well as acronyms found within this document.

Abbreviation	Description
IM	Information Management
IM&P	Information Management and Protection
IMCAT	Information Management Capacity Assessment Tool
IMSAT	Information Management Self-Assessment Tool
IP	Information Protection
MOIA	Management of Information Act
OCIO	Office of the Chief Information Officer

## 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 through the development of an IM Performance Management Framework.

After reading this document, a department or other public body should be able to apply the knowledge and have an understanding of the organization’s IM performance measurement requirements.



Graphic: 2 - Recommended Approach



## 4.1 Understanding Performance Management

Including performance measurement strategies in an IM Program helps a department or other public body:

- Demonstrate commitment to the growth of IM capacity;
- Evaluate both what is going well with the IM Program, and areas that need improvement;
- Develop short and long-term plans with respect to IM Program functions; and
- Maintain or adjust resource allocation based on the outcome of services or planned activities.

Departments and other public bodies that incorporate performance measurement in services and activities can use them as a basis for an annual report on their organization’s IM Program. Additional possible content for an annual report may include those categories outlined below.

Content Categories	Description
Organizational goals and objectives for IM	Each department or other public body will have different IM goals and objectives. They will also prioritize functions differently depending on their unique legal, regulatory and operational requirements. A policy-based department or other public body may prioritize compliance initiatives where a transaction-based department or other public body may see services that support front line staff as priority.
IM Program functions implementation/operations	Components of the IM Program that are in place versus those that may need to be implemented.
Compliance with legal and regulatory requirements	Where possible, performance measures should demonstrate that the department or other public body complies with IM legal and regulatory requirements.
Operational support	The performance measures should demonstrate that IM functions facilitate the organization’s operations.

Content Categories	Description
Planned activities	The organization’s IM Program Plan will have identified activities for the year. These may include new policies, standards, guidelines, projects, tools, etc. The performance measures should demonstrate accomplishment of goals and activities.
IM services	The provision of high-quality IM services in a timely and effective manner is an important feature of an IM Program. Performance measures (e.g., statistics on numbers of requests received and addressed, average length of time to resolve issues, and implementation of improvements to service are ways to demonstrate service quality).
Education and awareness	Education and awareness initiative tracking helps the department or other public body to demonstrate that it is meeting its commitment to grow IM capacity. While this improves employee awareness, a broader benefit is building of a responsible IM culture.
Variances	Performance reviews help identify and detail variances in the IM Program from the established or planned goals, objectives, activities, etc. allowing an organization to improve its focus in future IM activity.

## 4.2 Measurement Principles

The success of performance measurement is dependent on the consistent collection of data as a part of ongoing operations. The value of performance measurement to the IM Program is directly linked to the ability of the performance measures to provide relevant information about operations.

Some basic measurement principles to consider include:

- Ongoing assessment;
- Understand goals and objectives;
- Understand what is currently being tracked;

- Planning and management;
- Choose measures that can be transformed into valuable data;
- Makes measurement processes reasonable;
- Engage the right people; and
- Communications.

Measurement principles and corresponding description are noted in the below table.

Principle	Description
Ongoing assessment	Performance measurement must be incorporated into processes to be measured in order to consistently capture related data. Understanding the process that is the basis for the measure, training staff involved to collect data in a timely manner and then following up at milestone dates eliminates the need to scramble at the end of the year to pull together data. For example, if tracking advisory services provided by IM staff it is best to have an easy to use spreadsheet that allows them to quickly complete relevant data related to a request as it is processed, as opposed to having staff recall activities at the end of a month, quarter or year.
Understand goals and objectives	One of the key components of the performance measurement process is the ability to demonstrate that the IM Program goals and objectives are being met. Mapping each of the goals and objectives to specific measures will assist this component of the evaluation. For example if one of the annual goals for the program is to increase employee awareness of their IM responsibilities then designing measures and metrics around this activity will reinforce this tracking. For instance, launching a campaign to have employees to complete IM@Work, the OCIO’s online IM course then reinforces the focus on awareness. Having employees submit a questionnaire in return for an award will allow tracking of the percent of the organization’sal staff that have completed the course.

Principle	Description
Understand what is currently being tracked	Your organization may already be capturing relevant data that you can use. There may be ways to easily get the information you need related to IM by reusing or modifying existing information gathering processes. For example, the financial operations for the organization may already have the budget allocation breakdown for the IM Program.
Planning and management	Performance analysis is not intended to be a full time position. However planning and time needs to be spent to understand the measures and their milestone dates to ensure that information is being gathered and reported appropriately. Follow up with the key contact staff for measured activities at milestone dates is a useful way to ensure that measurement is completed as planned.
Choose measures that can be transformed into valuable data	It is not realistic to think that every IM function will be analyzed and reported on. Based on the goals, objectives, planned activities and services, choose aspects of the IM Program that can be transformed into valuable data. For example, cost of third party storage is an easy to track measure because it is billed to the organization on a monthly basis. This measure can be used in many ways including to justify a larger onsite storage centre if recall costs are high. When combined with other numbers, such as the volume of records destroyed (e.g. 300 boxes at the third party destroyed as per the records retention and disposal schedule) then this is used to demonstrate the fiscal value of IM.
Makes measurement processes reasonable	Once the measures have been identified, ensure that the process for capturing data is easy and transparent for staff. Simply asking them to retain a monthly email folder with the final email in a service thread is an easy way to incorporate the data collection into the existing process. Another example would be to have a shortcut to a tracking spreadsheet on staff desktop's so they can quickly open and insert entries. It also provides an easy means to tabulate the calls on a monthly, quarterly or annual basis.
Engage the right people	Understanding the processes to be included in measurement and then making sure that the staff involved sees the value and buy into the process is critical if reliable and consistent performance data is to be collected.

Principle	Description
Communications	Communications is important to ensure that the staff relied upon to gather information and report on the IM Program measures understand what they need to do to it in a consistent and timely manner as a part of ongoing operations

### 4.3 Identify Measurable Activities or Components

There is likely extensive information already available to assist in the identification of activities or components of the IM Program to be included in the performance measurement process.

Activity/Component	Description
IM vision, mission and guiding principles	<p>The overall purpose of performance measurement is to demonstrate that the department is supporting its IM vision, mission and guiding principles.</p> <p>Note: The GuideBook: IM Vision, Mission and Guiding Principles Guideline outlines the development of these areas of the IM Program.</p>
Organizational governance, accountability and organization	<p>An organization’s IM Governance Framework, Accountability and Organizational Structures provide areas that can be analyzed.</p> <p>Note: The GuideBook: IM Governance, Accountability and Organization Guideline outlines the development of these areas of the IM Program.</p>
Organizational Reports	An organization’s reports including audit reports, annual plans, etc. may provide measures that the IM Program must support.
Information Management Assessments	Departments and other public bodies that have completed an IM assessment (e.g., IMCAT, IMSAT, IM Check Up, etc.) may use the final report to provide a baseline at the beginning of their program and to identify performance measures.

Activity/Component	Description
IM Program Plan	<p>The IM Program Plan will identify IM services and also planned activities for the year. The ability to report against these services and activities is a major component of the performance report.</p> <p>Note: The GuideBook: IM Program Plan Guideline outlines the development of this area of the IM Program.</p>
Organization’s IM Service Catalog	An IM service catalog will include a listing of all services delivered by the organization and contacts for each.

#### 4.4 Track IM Performance Measures and Metrics

Prepare a summary listing of the activities to be measured that can be used to track the process. An IM Performance Measurement and Metrics Summary - Template and Example has been included in the appendices for reference and reuse. Continual progress monitoring and updating of this listing is required through the year. Monthly statistical reporting, quarterly reporting and end of year reporting will aid in assessing IM performance, as well as providing a real time snapshot of areas for improvement or focus.

Elements to track may include:

Element	Description
Performance measure	A performance measure is the element of the IM Program that is to be measured.
Performance metric	Identify the unit of measurement used to evaluate the performance measure.
Description	Describe the performance measure, why it is important, how it is measured and why it demonstrates value.
Milestone	Identify important dates related to the performance measure and ensure that there is follow-up with contact staff on or around these dates. Tracking throughout the year will eliminate the effort required at year-end.

Element	Description
Contact Staff	Identify the staff that are involved in the process and are able to provide information.

To provide clarity to the measures and metrics it is important to understand the processes involved. Working with the staff responsible for the process and those who perform the work, incorporate data collection in an easy way into the existing process.

#### 4.5 Complete Annual IM Program Performance Report

At the end of each year, use the IM Performance Measure and Metrics Summary to create the annual IM Program Performance Report. A department or other public body may find value in establishing a point in time statistical approach, either monthly or quarterly, to help identify focus areas throughout the year and then roll this into the annual report. The purpose of this annual report is to:

- Demonstrate that the IM Program is administered properly;
- Demonstrate that the department or other public body has adhered to its IM Vision, Mission and Guiding principles;
- Outline how IM has supported compliance with the organization’s legal and regulatory requirements;
- Identify how IM adds value to the organization’s operations;
- Explain variances in what was planned and actually completed; and
- Suggest activities, services, improvements that can be included in next year’s IM Program Plan.

#### 4.6 Monitor and Verify

A review and validation of program compliance, performance and capacity are the mechanisms for monitoring and verifying IM. Performance Measurement components and supports need to be lifecycle managed to ensure they are providing accurate and relevant information to the organization and assessed to validate that they continue to support IM performance and capacity development.

## 5.0 Roles and Responsibilities

### Deputy Minister or Permanent Head or Designate

#### (Department or other Public Body)

- Support the department or other public body's compliance with MOIA as well as OCIO-issued policies, directives, standards and guidelines, and ensure that proper protocols are in place to properly develop and manage a records and information management system, often referred to as an IM Program.
- Support the inclusion of Performance Management in the organization's IM Program.

### Directors responsible for IM

- Align organization-issued materials with the guidance provided by the OCIO in the development and implementation of performance measurement within the organization's IM Program.
- Apply a continual improvement approach to the management of the organization's IM Program to ensure the relevance of performance measures and adequacy of the measurement process.

### Office of the Chief Information Officer

As part of OCIO's administration of the MOIA, the OCIO:

- Recommends to Treasury Board policies for adoption.
- Develops, manages, monitors, and communicates IM&P policy instruments and supporting materials to departments and other public bodies.
- Provides direction on IM&P best practices, resource requirements, organizational structure, recordkeeping systems and IM Programs to departments and other public bodies.
- Assists departments and other public bodies to improve their IM&P capacity.
- Provides IM&P advisory, training and awareness services and support to departments and other public bodies.
- Supports IM forums, committees, and other professional practice communities, consisting of IM representatives from departments and other public bodies.
- Manages the Provincial Records Centre (PRC).
- Provides administrative support to the Government Records Committee (GRC).

In addition, the OCIO will:

- Develop, implement and maintain this Guideline as well as the GuideBook, also known as the Guide to IM for Public Bodies.



- Provide education and awareness on the implementation of an IM Performance Management.

## Supporting Materials and Version History

### Supporting Materials

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

Management of Information Act

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

Information Management and Protection Policy

<https://www.gov.nl.ca/exec/ocio/im/im-ip-policy/>

OCIO Website

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

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

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

### Version History

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

Date (yyyy-mm-dd)	Version
2011-04-04	1.0
2015-03-31	2.0
2021-12-15	3.0

## Appendices

Appendices listed below directly relate to the Guideline: IM Performance Management and are published independent of this Guideline on the OCIO website, <https://www.gov.nl.ca/exec/ocio/im/policy-instruments/guidebook/>.

Appendix	Title
A	IM Performance Management – Checklist
B	Quick Reference – Records and Information Management System
C	IM Performance Measures and Metrics Listing – Template and Example
D	IM Program Performance Report - Template

### Other GuideBook References:

IM Program Plan  
 IM Education and Awareness for Employees  
 Education and Awareness for IM Professionals  
 IM Legal and Regulatory Framework  
 IM Vision, Mission and Guiding Principles