**GUIDELINE – INFORMATION MANAGEMENT (IM) PERFORMANCE MEASUREMENT**

**Guideline (Definition):** OCIO Guidelines derive from Information Management and Protection Policy, TBM 2018-111 (replaces TBM 2009-335) approved by Treasury Board. Guidelines are recommended actions, general approaches and operational behaviors. They recommend actions and are not compulsory, as they take into consideration the varying nature of the information management programs. Guidelines are generally a description that clarifies what should be done and how to achieve the objectives set out in policies and directives (source: ISO/IEC 17799:2005).

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**APPROVAL AND SIGN OFF**

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**Note:** Questions related to this guideline should be forwarded to im@gov.nl.ca
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INFORMATION MANAGEMENT (IM) PERFORMANCE MEASUREMENT

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’s Information Management (IM) program can be analyzed on an annual basis to evaluate performance. This guideline is designed to assist public bodies in the Government of Newfoundland and Labrador to develop performance measurement strategies that support the evaluation of their IM program.

2.0 Scope

This Guideline applies to or may be used by all public bodies (hereafter referred to as departments), as defined in the Management of Information Act. The audience for this guideline includes all individuals responsible for the operation of an IM program within their department.

3.0 Background

Including performance measurement strategies in an IM program helps a department:

- Demonstrate the growth of IM capacity as required in the Executive performance contract;
- Evaluate both what is going well with the 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 that incorporate performance measurement in services and activities can use them as a basis for an annual report on the IM program. Potential content for an annual report may include those categories outlined below.

- Departmental Goals and Objectives for IM: Each department 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 may prioritize compliance initiatives where a transaction-based department 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.
Guideline – Information Management (IM) Performance Measurement

- Compliance with legal and regulatory requirements: Where possible, performance measures should demonstrate that the department complies with IM legal and regulatory requirements.
- Operational support: The performance measures should demonstrate that IM functions facilitate departmental operations.
- Planned activities: The 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 such as 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 is an easy measurement to track and helps the department to demonstrate that it is meeting its commitment to grow IM capacity.
- Variances: Performance must identify and detail variances in the IM program from the established or planned goals, objectives, activities, etc.

3.1 Measurement Principles

The success of performance measurement is dependent on the data being collected consistently and as a part of ongoing operations. Its value to the IM program is tied closely to the ability of the performance measures to provide relevant information about operations. Some basic measurement principles to consider:

- Ongoing assessment: Performance measurement must be incorporated into processes to be measured in order to consistently capture data related to a specific performance measure. 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 design measures and metrics around this activity such launching a campaign to get employees to complete IM@Work, the OCIO's online IM course. Having employees submit a questionnaire in return for an award will allow tracking of the % of departmental staff that have completed the course.

- Understand what is currently being tracked: 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 department 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 department 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 e-mail 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.

- 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.

### 4.0 Recommended Approach

#### 4.1 Identify the Activities or Components to be Measured

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

- IM vision, mission and guiding principles: The OCIO Guideline *Information Management (IM) Vision, Mission and Guiding Principles* describes the development of this information for the department. The overall purpose of performance measurement is to demonstrate that the department is supporting its IM vision, mission and guiding principles;

- Departmental governance, accountability and organization: The Department’s IM Governance Framework, Accountability and Organizational Structures provide areas that can be analyzed. The OCIO Guideline *Information Management (IM) Governance, Accountability and Organization* outlines the development of these areas of the IM program;
• Departmental Reports: Departmental reports including audit reports, annual plans, etc. may provide measures that the IM program must support;

• Information Management Capacity Assessment Tool (IMCAT) Report: Departments that have completed an IMCAT may use the final report to provide a baseline at the beginning of their program and to identify performance measures;

• IM program plan: The IM program plan, as outlined in the OCIO Guideline Information Management (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; and

• Departmental IM Service Catalog: An IM service catalog will include a listing of all services and contacts for each.

4.2 Track IM Performance Measures and Metrics

Prepare a summary listing of the activities to be measured that can be used to track the process. A Sample Information Management (IM) Performance Measurement Summary has been included in Appendix A. Update this listing as required through the year. Elements to track may include:

• 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; and

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

In order to clearly understand 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.

4.3 Complete Annual Report

At the end of each year, use the Performance Measurement Summary to create an annual IM Program Performance Report. The purpose of this report is to:

• Demonstrate that the program is administered properly;

• Demonstrate that the department has adhered to its IM Vision, Mission and Guiding principles;

• Outline how IM has supported compliance with departmental legal and regulatory requirements;

• Identify how IM adds value to departmental operations;
5.0 Glossary

5.1 Acronyms

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6.0 References

*Management of Information Act*

Information Management and Protection Policy, TBM 2009-335

OCIO Guideline – Information Management (IM) Governance, Accountability and Guiding Principles

OCIO Guideline – Information Management (IM) Legal and Regulatory Framework

OCIO Guideline – Information Management (IM) Program Plan

OCIO Guideline – Information Management (IM) Vision, Mission and Guiding Principles

7.0 Revision History

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<td>2011-04-13</td>
<td>Shelley Smith, Executive Director Information Management</td>
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Appendix A: Sample Information Management (IM) Performance Measures and Metrics

Sample IM Performance Measures and Metrics