Queensland Government Enterprise Architecture

Information management roles and responsibilities

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*Information management roles and responsibilities guideline*

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Information security

This document has been security classified using the Queensland Government Information Security Classification Framework (QGISCF) as PUBLIC and will be managed according to the requirements of the QGISCF.

Contents

[1 Introduction 4](#_Toc453319472)

[1.1 Purpose 4](#_Toc453319473)

[1.2 Audience 4](#_Toc453319474)

[1.3 Scope 4](#_Toc453319475)

[2 Background 5](#_Toc453319476)

[3 Responsibilities associated with information management 5](#_Toc453319477)

[3.1 Legal owner 6](#_Toc453319478)

[3.2 Information asset owner – accountable officer 6](#_Toc453319479)

[3.3 Delegated officers 6](#_Toc453319480)

[3.4 Information asset custodian/s 6](#_Toc453319481)

[3.5 Governance 7](#_Toc453319482)

[3.6 Management 7](#_Toc453319483)

[3.7 Implementation 7](#_Toc453319484)

[3.8 Awareness 7](#_Toc453319485)

[Appendix A Overview of information management roles and responsibilities 8](#_Toc453319486)

[Appendix B Notional organisational roles and responsibilities associated with information management 9](#_Toc453319487)

[Appendix C Information management, information security and ICT roles and responsibilities 13](#_Toc453319488)

# Introduction

## Purpose

This guideline provides information and advice for Queensland Government departments to consider when implementing the policy requirements of the [Information asset custodianship (IS44) policy](https://www.qgcio.qld.gov.au/products/qgea-documents/548-information/2632-information-asset-custodianship-policy-is44). These guidelines do not form the mandatory component of the policy and are for information only. While some information communicates other mandatory obligations which may be relevant in the context of the policy (e.g. legislation), departments are strongly recommended to further investigate these obligations in light of their own business requirements, and seek legal/expert advice where necessary.

This guideline specifies generic roles and responsibilities that may be required to support effective information management in an agency. Agencies may use this guideline as a point of reference and starting point for the development of information management roles specific to the agency.

## Audience

1. This document is primarily intended for officers involved in the management, support and governance of information assets including:

* chief information officers (CIO)
* information management directors
* information owners
* information custodians
* enterprise information managers
* information managers
* data managers
* information security officers
* members of the information steering committee
* members of the information management forum.

## Scope

### In scope

This guideline relates to the information layer of the QGEA and applies to all Queensland Government agencies. It provides guidance on typical roles in agencies that are required to facilitate the effective management of an agency’s information resources.

### Out of scope

1. This guideline is not a framework for information management and does not include detailed processes required to facilitate effective information management.

Information security related matters are dealt with in Information Security (IS18) governance guidelines.

# Background

1. All identified information assets within an organisation should be managed as corporate assets. While Queensland Government information assets are owned by the State of Queensland, individuals are assigned and made accountable for the management, custodianship and operational support of information assets.

This guideline provides an overview of the roles that may need to be considered to effectively manage an agency’s information resources.

# Responsibilities associated with information management

There are a number of roles and responsibilities within each agency which are crucial to the effective management and use of information assets. Figure 1 below shows the roles and responsibilities that are typical to agencies and consistent with the definitions used in the QGEA. A more detailed illustration of information management roles and responsibilities is provided in appendix A.



Figure 1 – Information management roles and responsibilities

## Legal owner

Within government, all legal ownership and associated rights and entitlements are vested in the State of Queensland. However, in practice, the State acts through the officers of the legislature, judiciary or the public service. These are referred to as the delegated owners. At an intellectual property level, beneficial use delegations do not apply when the public entity represents the State of Queensland and has the power to deal with assets under its enabling legislation. That is, the public sector owner is deemed to be acting as the State in relation to assets.

## Information asset owner – accountable officer

1. The recognised officer who is identified as having the authority and accountability under legislation, regulation or policy, for the collection and management of information assets on behalf of the State of Queensland, is usually the chief executive officer (CEO).
2. An accountable officer may delegate the operational responsibility for information assets to the delegated owner and information custodians.
3. The accountable officer may:

* approve the ICT and information and information security management strategic direction
* approve information management policies, standards and guidelines
* approve forward work plans and supporting business cases relating to ICT investments.

## Delegated officers

1. These are officers within an agency who may be responsible for defining the information asset and information management requirements on behalf of the accountable officer. The delegated officers may include the CIO and the director, information management and/or other managerial officers. The delegated officers are responsible for processes and practices supporting the management and flow of information.

## Information asset custodian/s

1. The recognised officer is responsible for implementing and maintaining information assets according to the rules approved by the owner – to ensure proper quality, security, integrity, correctness, consistency, privacy, confidentiality and accessibility throughout its lifecycle. A custodian will be responsible for specific classifications or categorisations of data and is accountable for the delegated assets in their care. In the majority of cases a custodian utilises information and/or data managers to handle the day-to-day activities associated with the custody of information assets and the data they contain.
2. In essence, the information asset custodian ensures a coordinated and documented approach to the quality assurance process of information asset management.
3. There may be multiple custodians depending on the size and complexity of an organisation, for example a human resource manager may be responsible for all job-related information, while a facilities director may be responsible for all physical asset information. Each identified information asset however only has a single custodian. The role of an information asset custodian will vary in line with department and client business requirements. However there is always only one custodian defined for each information asset.
4. Irrespective of the complexity of an organisation, all information assets should be managed closely with individuals made accountable for ensuring information asset custodian procedures are followed.
5. Departments should ensure that information asset custodianship responsibilities are assigned to a role, not a physical person, so that they are maintained over time.

## Governance

1. Information governance is the system by which the current and future use of information and its management is directed and controlled through a system of policies, procedures, standards and guidelines[[1]](#footnote-2).
2. Departments are required to either:

* establish a body responsible for information governance (the body)
* assign responsibility for information to an existing body (for example the information steering committee)[[2]](#footnote-3).

1. Further information on the roles and responsibilities of information governance bodies is provided in the [Implementing information governance](http://www.qgcio.qld.gov.au/SiteCollectionDocuments/Architecture%20and%20Standards/QGEA%202.0/Information%20Management/Implementing%20Information%20and%20Information%20Management%20governance.doc) guideline available at the [Queensland Government Enterprise Architecture 2.0](http://www.qgcio.qld.gov.au/qgcio/architectureandstandards/qgea2.0/Pages/Information.aspx) website.

## Management

1. A department’s information resources should be managed as a corporate asset with the objective to align with the strategic direction of the agency.
2. Effective management includes overseeing and developing policies, practices, resources, systems and any associated information technology infrastructure to maximise the access and use of a department’s information resources. The overall aim is to maximise business effectiveness and delivery of services.
3. They provide support and leadership to officers and assist other staff responsible for managing information resources on a day-to-day basis.

## Implementation

1. Implementation is focussed on the efficient and effective operation of the process, practices and systems associated with ensuring information assets are developed, classified, accessed, maintained, managed and protected to meet departmental requirements and support business needs and service delivery.

## Awareness

1. Ongoing education and awareness of all employees in the importance of information security, is central to successful information management. The agency should ensure that all employees who create, process or handle information have a clear understanding of the agency classification policies and procedures and of their responsibilities. Education and awareness programs will likely vary across an agency and between agencies and depend on the type of work and types of information dealt with.

For further more details on this aspect of information management consult [Queensland Government Information security classification framework](https://www.qgcio.qld.gov.au/products/qgea-documents/qgea-classification-frameworks).

1. Overview of information management roles and responsibilities



Notional organisational roles and responsibilities associated with information management

Information steering committee

1. The agency information steering committee may be responsible for:

* endorsing the ICT and information management strategic direction
* endorsing information management policies, standards and guidelines
* endorsing information security management policies, standards and guidelines
* endorsing forward work plans and supporting business cases relating to ICT investments
* overseeing the implementation/progress of custodianship in the agency[[3]](#footnote-4)
* ensuring custodianship responsibilities are effectively undertaken across all agency data and information themes
* ensuring that standards relating to custodianship activities are uniformly applied
* taking steps to ensure user satisfaction with information access policies and arrangements
* reporting to the agency executive on appropriate custodianship delegations
* recommending continuance of custodianship delegations (amalgamate and - see information governance guidelines).
  1. Information governance body

Refer to the implementing information governance guideline.

* 1. Information management forum

1. An information management forum may be responsible for:

* reviewing, on an annual basis, the appropriateness of the agency data or information themes/classifications and the effectiveness of the agency custodianship processes and responsibilities[[4]](#footnote-5)
* reporting on custodianship issues to the director, information management, and the information steering committee
* assisting the information steering committee in establishing future directions for information management
* ensuring that information management strategy complements general business and service delivery.
  1. Chief information officer (CIO)

1. The CIO ensures that strategic planning processes are undertaken so that information requirements and supporting systems and infrastructure are aligned to legislative requirements and strategic goals. The CIO oversees the development of tools, systems and information technology infrastructure to maximise the access and use of an agency’s information resources.

Responsibilities of the CIO include, but are not limited to[[5]](#footnote-6):

* interpreting the business and information needs and wants of the organisation and translating them into ICT initiatives
* setting the strategic direction for information and communications technology and information management
* ensuring that ICT and information management investment is aligned to the strategic goals of the agency
* ensuring that information security policies and governance practices are established to maintain the quality and integrity of the agency’s information resources and supporting ICT systems
* ensuring that projects and initiatives are aligned and coordinated to deliver the best value
* ensuring ICT planning is integrated into business planning
* identifying opportunities for information sharing and cross collaboration on projects and initiatives.
  1. Director, information management

1. The director, information management ensures that the information resources of an agency are managed as a corporate asset and assists in establishing the strategic direction of information management for the agency. They provide support and leadership to officers and other directors responsible for managing information resources on a day-to-day basis.

The director, information management may:

* provide specialist advice relating to information management practices
* contribute to the strategic direction of information management within the agency
* coordinate the development and implementation of information management practices, including policies, standards, guidelines and procedures
* assist business units to define and understand their responsibilities in relation to information management
* assist business units to identify their information needs and requirements
* work with the CIO to plan and implement systems to effectively manage the agency’s information assets.
  1. Enterprise information manager

1. These officers are delegated information asset managers and support the director, information management in the effective management and operation of information management practices and process across the organisation. Depending on the complexity of the organisation there may be a number of enterprise information managers. Since much of their work is associated with effective governance and supporting business direction it may be appropriate to place such roles at manager level in business or corporate services.
2. Responsibilities of the enterprise information managers include but are not limited to:

* ensuring effective governance arrangements are in place including:

ensure all departmental information assets are logged in asset register

ensure that governance bodies identify strategic information assets

ensure allocation of appropriate attributes for at least all strategic information assets

ensure proactive management of identified strategic information assets through the information lifecycle

ensure all new business initiatives consider use of existing information assets prior to creation of new information assets.

* ensuring that strategic directions and intent are maintained
* ensuring that information management practices and process are supportive of business direction and services
* engaging with business stakeholders to identify areas in which effective information management can lead to overall business improvement
* contributing to the information planning and assisting in establish longer term goals and objectives
* assisting the information management forum or governance body in decision-making process in areas of information management.
  1. Information asset officers

Information asset officers are responsible for:

* maintaining a register of the information asset holdings of an agency
* ensuring that the ownership and custodianship details of an asset are consistent across all registries which contain that asset, for example, ensuring that the listing of the owner and custodian of an information asset is the same in the Register of Statistics as in the ICT Baseline Information Register
* implementing and maintaining information assets according to the rules set by the delegated owners in the information management policies, guidelines and standards
* classifying or categorising information assets ensuring that they are collected, maintained and made accessible according to agency specifications and priorities
* engaging with users and operational areas to:

define data to be captured

set standards for data capture and maintenance that permits interoperability of the data

* ensuring provision of metadata records to a set standard and format that is consistent with IS34 Metadata
* working with the information security officer to ensure the security, confidentiality, and privacy of data that is consistent with Information Privacy Act 2009, and Health Service Act 1991 and IS18 Information security
* ensuring the quality and integrity of the data
* engaging with key stakeholders so that the greatest level of access to information is available
* ensuring that access to information conforms to relevant corporate and whole-of-Government policies and standards that are consistent with IS33 Information access and pricing
* engaging with users to ensure that the supply of data meets demand requirements
* protecting the intellectual property interests of the agency and the data custodian’s obligations to owners of intellectual property used by the agency by ensuring consistency with QGEA guideline on intellectual property.
  1. Data manager

An officer or a service provider who is assigned to perform one or more activities associated with the day-to-day interpretation, management, operation and support of data. Data managers may have physical custody of the data, but are typically not assigned any formal custodial responsibilities. Data managers may provide support for data used in multiple information assets and therefore serve multiple custodians. Examples include: librarians, database administrators, ICT service providers, records managers, archivists and commercial data sources[[6]](#footnote-7).

* 1. Information security officer

Detailed information on the roles and responsibilities of the information security officer can be found in [IS18](http://qgciostage/qgcio/architectureandstandards/Pages/security.aspx) – Implementing internal information security governance.

Information management, information security and ICT roles and responsibilities



1. ICT Policy and Coordination Office, *Queensland Government Enterprise Architecture: Information policy framework,* 2009, p.6; Standards Australia, *ISO/IEC 38500:2008 Corporate governance of information technology,* 2008, p.6 [↑](#footnote-ref-2)
2. ICT Policy and Coordination Office, *QGEA Information position,* 2009. [↑](#footnote-ref-3)
3. Department of Natural Resources and Water – Custodianship Policy – IMP/2006/2443 – Version 1 [↑](#footnote-ref-4)
4. Department of Natural Resources and Water – Custodianship Policy – IMP/2006/2443 – Version 1 [↑](#footnote-ref-5)
5. Government of Alberta – Accountability for Information Management: A Model [↑](#footnote-ref-6)
6. Information Standards – Glossary of terms [↑](#footnote-ref-7)