Towards an Information Strategy for Monash University

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Outline

- Me
- (then)
- Towards (an)
- Information
- Management
- Strategy (for)
- Monash
- University

NOTE: Presentation available online - URL at end

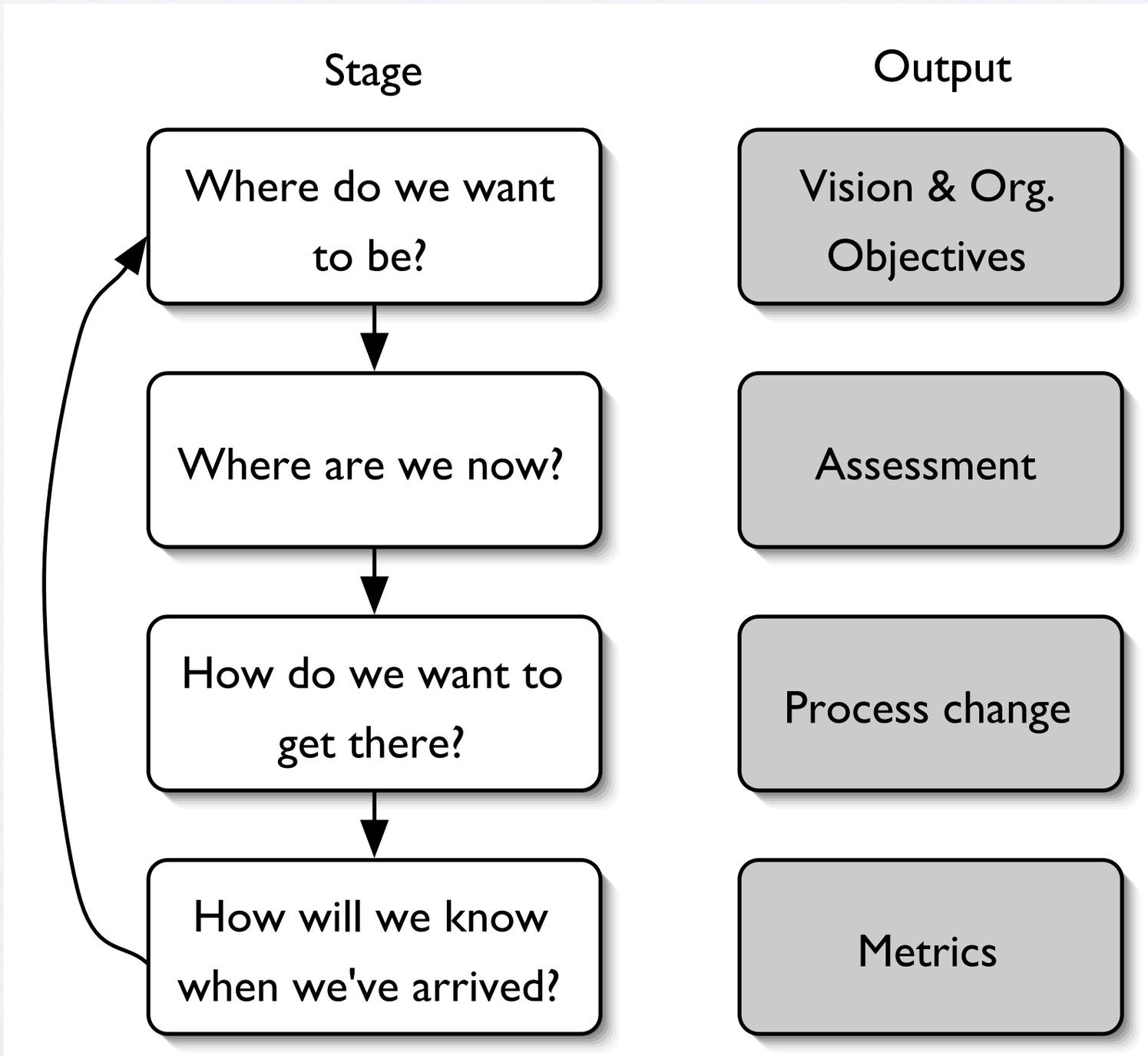
Me

- 14 years as an academic at Deakin University (co-ordinator of B. App. Sci in Information Management), 2 years as national co-ordinator of a Commonwealth health information project, 4 years in ITS at Monash
- PhD from SIMS in 1999
  - “Hypermedia Online Publishing: Transformation of the Online Scholarly Journal”
  - Supervised by Professor Don Schauder
  - Available online in HTML or PDF:
    - http://andrew.treloar.net/research/

Towards…

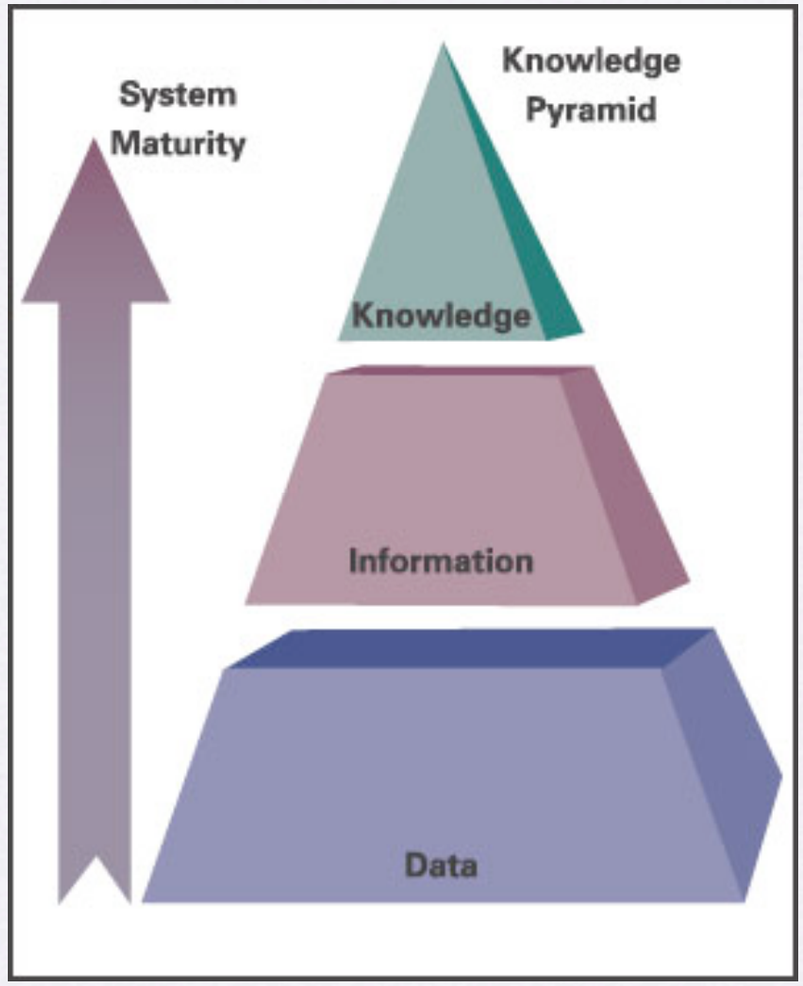
- Have to start from somewhere to move towards somewhere else
- Starting point for my work on this project is Giddens' Structuration Theory as embodied in the Information Continuum Model developed by SIMS
- Notional endpoint is a consensual Preferred Information Future for Monash
  - "Preferred Futures" idea courtesy of Dr Peter Ellyard (Commission for the Future)
- Strategy is how we get there (hopefully!)
- NOTE: This presentation makes things look more locked-in than they really are - this is still a work-in-progress, and all comments are welcome!

– Process


Stage
Output
Where do we want to be?
Vision & Org. Objectives
Where are we now?
Assessment
How do we want to get there?
Process change
How will we know when we've arrived?
Metrics

Information…

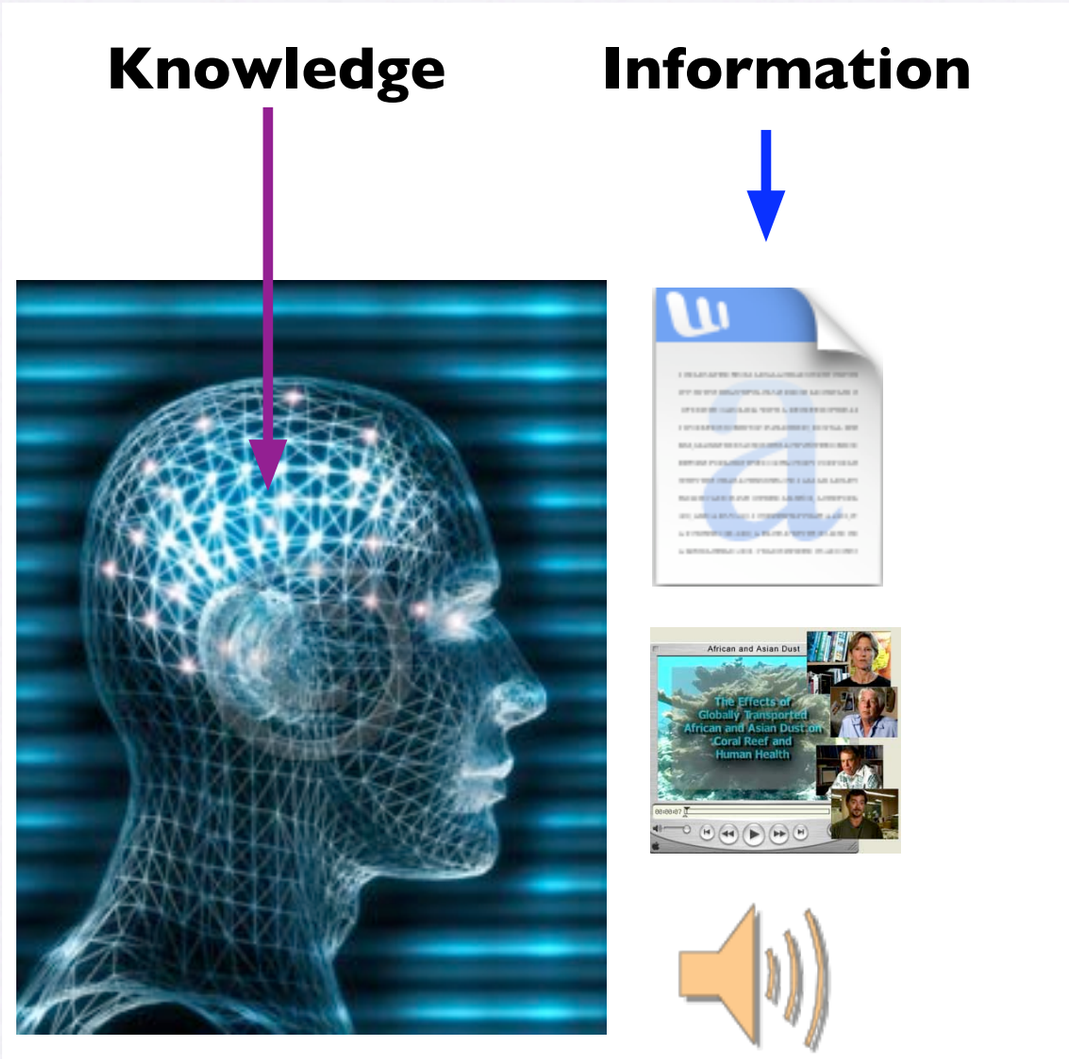
- **Everyone** seems to have their own definition
- Started out with the traditional view
- But this doesn't accurately reflect complex multi-dimensional nature of information



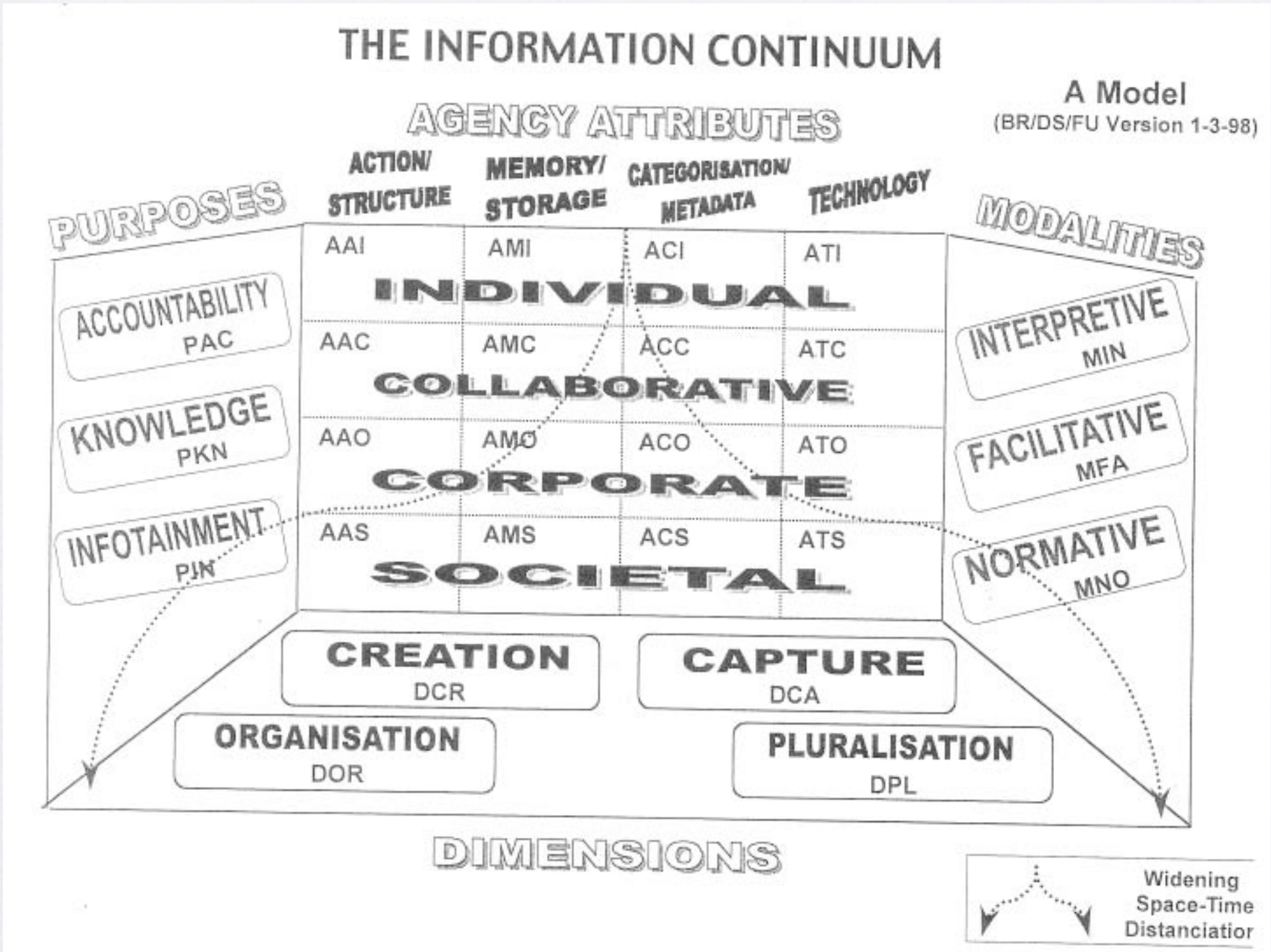
– Knowledge

- Also need to address relationship between Information and Knowledge

- Decided to work with a definition of Information as "Selectively encoded and communicated knowledge"



– its Continuum



– Scope

- Needed a way of selecting critical aspects of Information to define the scope of the exercise for end users
- Decided (after **lots** of discussion!) to choose:
  - Purpose (ICM)
  - Level (ICM)
  - Realm (University Planning)
  - Time (Inherent in ICM)

– Purpose

- Information for Accountability
  - Minimising Risk
  - In scope
- Information for Awareness
  - Maximising Opportunity
  - In scope
- Information for Personal Fulfilment
  - Enhancement of Living
  - Out of Scope

– Level

- Individual
- Collaborative
  - small workgroup with which individual most closely identifies in a particular information context
- Corporate
  - Larger aggregations - probably at the level of department and faculty (which are seen by many as representing the corporate structure of the university)
- Societal
  - The world(s) outside the university

– Realm

The Realm of Application of the information is the area of the university in which it is applied. The core activities of the university are:

- Research and IP
  - the creation of new knowledge
- Teaching and Learning
  - the transmission of that knowledge to a new generation of scholars

And in addition we have:

- Administration and Support
  - the whole array of support activities required to enable these core activities

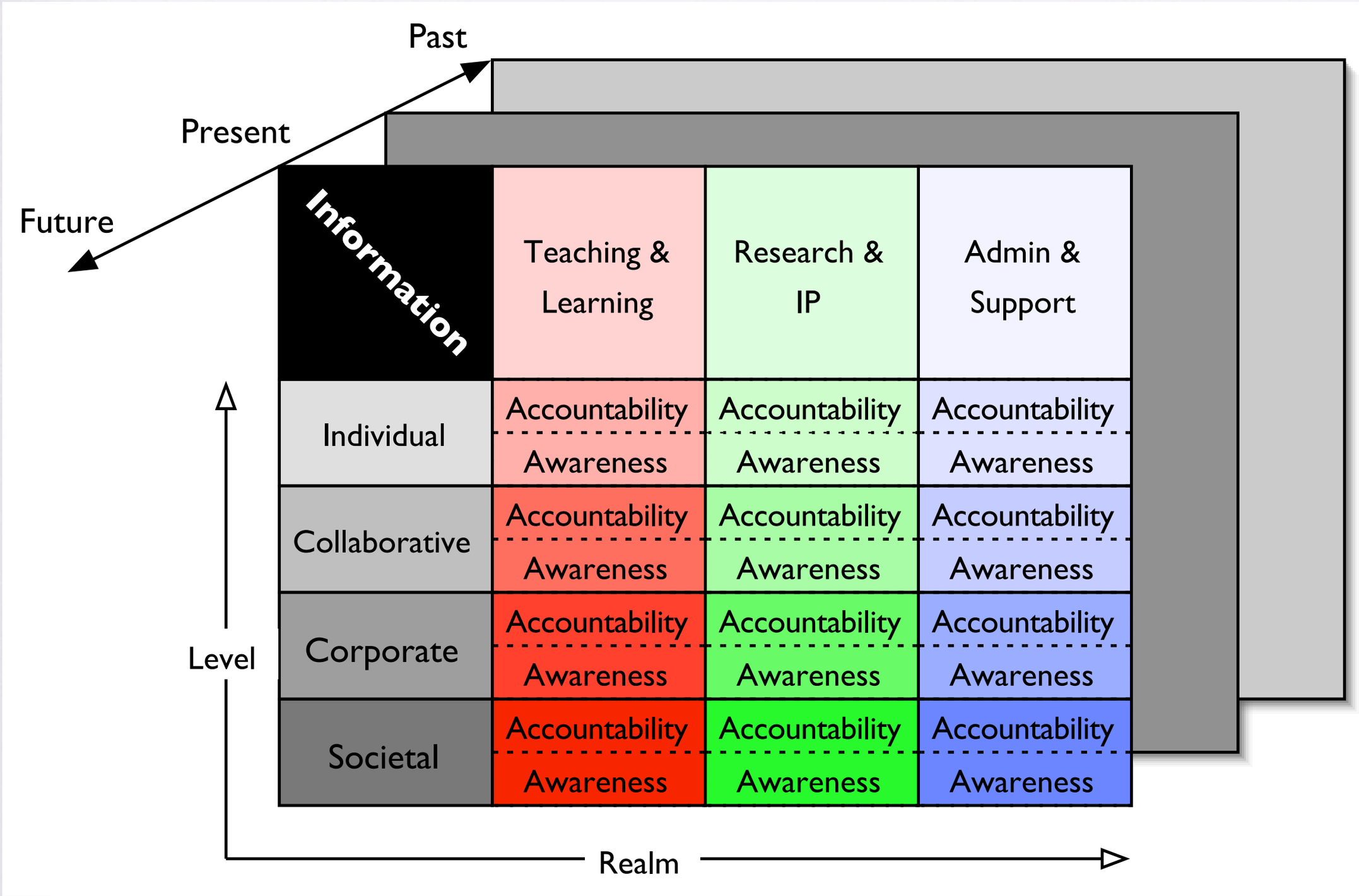
– Time

Information exists in both space and time. Its temporal nature means that any examination of information management must deal with:

- Future information
  - envisaging future needs and uses
- Current information
  - managing current information objects
- Past information
  - storing/versioning/disposal

and the need to continually manage the transition from future to present to past.

– Diagrammatically



Management...

man·age v. man·aged, man·ag·ing, man·ag·es
v. tr. [Italian *maneggiare*, from Vulgar Latin **manidire*, from Latin *manus*, hand]

1. To direct or control the use of

2a. To exert control over

2b. To make submissive to one's authority, discipline, or persuasion.

3. To direct the affairs or interests of

4. To succeed in accomplishing or achieving, especially with difficulty

Information Management?

- Everyone has their own definition
- We may not always be able to say what it is, but we recognise it when we (do or don't) see it
- Possible list of activities:
  - "auditing, storing, cross-linking, categorising, contextualising, retrieving, and presenting" (*Integrated Information Strategy*, University of Surrey Roehampton, UK)
- Better definitions, anyone?

Strategy…

- How we get to our Preferred Information Future
- Lot of work done in the UK university sector on this
  - UK Joint Information Systems Committee (JISC) Information Strategies Initiative
    - http://www.jisc.ac.uk/info_strat/
- Some in the US university sector
  - CNI's Institution-Wide Information Strategies Project
    - http://www.cni.org/projects/iwis/
- Little in the OZ university sector

– Learning from others

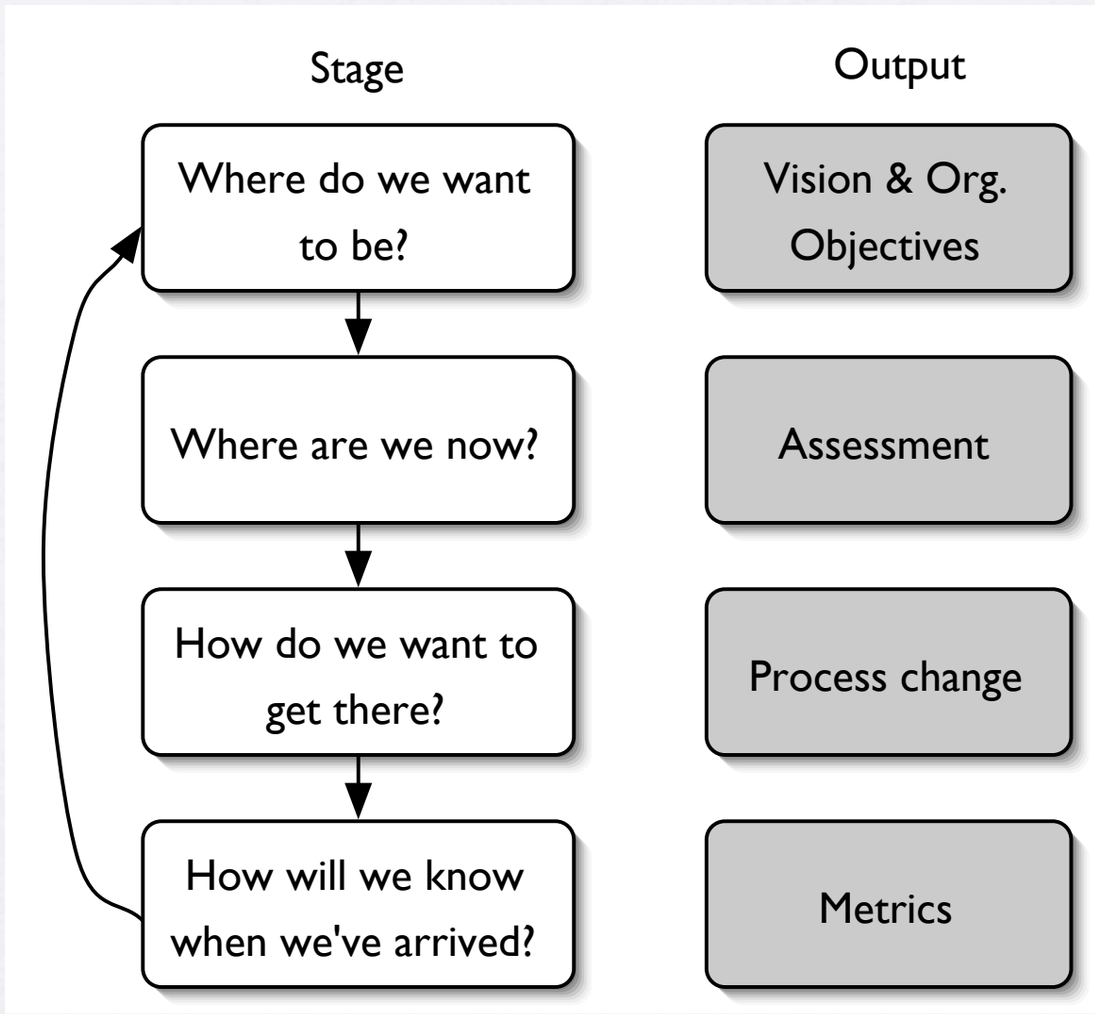
- Undertaking two study tours
- UK (October) - primarily JISC reference sites
  - Glamorgan, Open University, Surrey Roehampton, Coventry, Bath
- USA (November) - primarily sites suggested by Gartner
  - UCLA, Indiana, Delaware, Loyola College, Cornell, MIT

– Integrating with other planning

- First version of strategy ready for integration with University IT Strategic Plan in late March
- Validated against Steering Committee
- Progressively refined over time and iteratively enhanced
- Trying not to re-invent the wheel

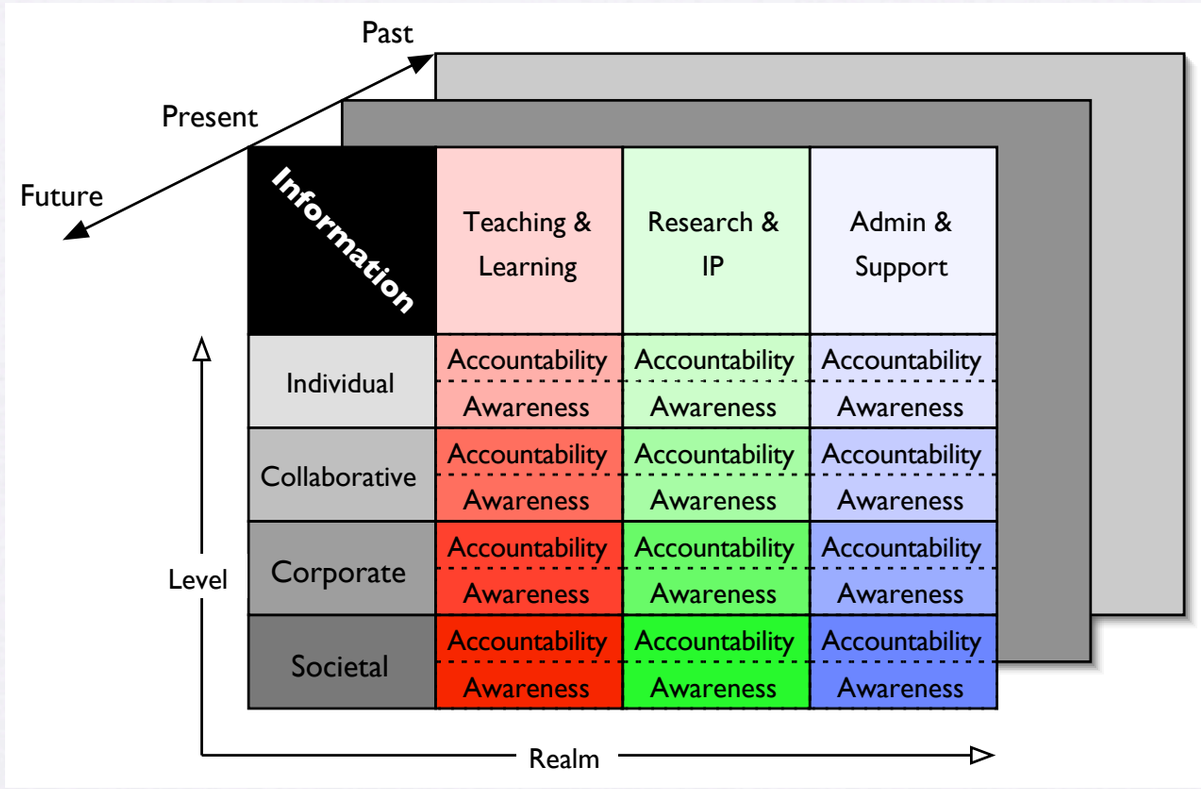
Monash

- Strategy alone is not enough
- Need a shared vision
  - initially from Steering Committee
- And assessment of current situation
- And metrics
- And a recognition that we are unique



– Practices

- Hoping to use ethnographic techniques to identify current information management practices
- Use scope diagram as framework to elicit responses:
  - "Tell me about some Learning and Teaching information that you manage at the Individual level?"
  - "Is this for Accountability or Awareness?"



– Other

- Try to get a sense of how well each ‘infon’ of information scores on one/more than one of some possible 1-5 scales:
  1. meets their needs
  2. relative to where they would like it to be
  3. against a CMM model (used by Canada - next slide)
- Also seeking to inventory:
  - risks associated with current practices
  - gaps in current support
  - existing initiatives (both supported and unsupported)

– Metrics

- Possibly going to use National Archives of Canada Information Management Capacity Check Methodology, designed primarily for use with government departments (but not in the way they intended)
  - http://www.archives.ca/06/docs/imjan03_eng.pdf
- This has a very structured (but possibly overly complex methodology) that provides a high-level assessment
- Assessment is of criteria against CMM model
  - Initial - Defined - Repeatable - Managed - Optimising

National Archives of Canada

Key Elements of the IM Capacity Check Tool

1. Organizational Context

- ***Culture***
  Recognition by the organization that information is a strategic corporate asset requiring stewardship. Degree of support and reinforcing behavior that is consistent with these values.
- ***Change Management***
  Mechanisms to facilitate the adoption of change within IM and related initiatives.
- ***External Environment***
  The extent to which the organization conducts environmental scans and assesses their possible impacts on IM.

2. Organizational Capabilities

- ***IM Community***
  The extent to which IM specialists have the competencies and capacities to meet the challenges of IM on a sustained basis.
- ***Expert Advice***
  Extent to which expert advisors are available and utilized for objective commentary and independent advice for supporting IM.
- ***IM Tools***
  The extent to which IM tools efficiently and effectively support IM.
- ***Technology Integration***
  The degree to which IM enabling technologies are integrated across the organization to support the delivery of information, programs and services.
- ***Portfolio Management***
  Extent to which mechanisms to plan, track, and evaluate the overall IM project portfolio are available to managers.
- ***Project Management***
  Extent to which mechanisms to manage projects in the IM program exist to ensure the optimal design, development and deployment of initiatives.
- ***Relationship Management***
  The extent to which mechanisms or processes exist to facilitate partnerships and consultations between organizations (public and/or private) and other stakeholders in support of effective IM.

3. Management of IM

- ***Leadership***
  The extent to which senior management is aware, understands, demonstrates commitment to a clear vision and set of strategic objectives for IM.
- ***Strategic Planning***
  Quality of strategic, business and operational plans for IM, and the linkages between plans, costs, benefits, resources and controls.
- ***Principles, Policies & Standards***
  Existence and use of a corporate policy and management framework to effectively support IM. Degree to which IM principles, policies and standards exist, are understood and applied within the organization.
- ***Roles and Responsibilities***
  The extent to which roles, responsibilities, performance expectations, ownership and accountabilities are clearly defined, understood and accepted. Appropriateness of the organizational and governance structures to support IM.
- ***Program Integration***
  Extent to which the organization's programs and projects proactively and efficiently integrate IM principles, policies and standards.
- ***Risk Management***
  Mechanisms for identifying, measuring, and monitoring relevant risks for IM, including options for risk allocation and risk mitigation.
- ***Performance Management***
  Extent to which the achievement of financial and operating results are embedded into the performance management framework for IM.

4. Compliance & Quality

- ***Information Quality***
  The extent to which the organization's processes for ensuring information is accurate, consistent, complete and current.
- ***Security***
  Extent to which mechanisms are in place to ensure information is protected from unauthorized access, use and destruction.
- ***Privacy***
  Mechanisms to ensure that an individuals rights to privacy in the collections and disclosure of information are respected.
- ***Business Continuity***
  The existence of contingency plans and mechanisms to ensure timely information recovery, the restoration of essential records and business resumption in the event of information corruption or loss.
- ***Compliance***
  The extent to which audit and review processes are in place to ensure awareness of and compliance with applicable IM legislation, policies and standards.

5. Information Life Cycle

- ***Planning***
  The extent to which information life-cycle requirements are incorporated in the development of policies, programs, services and systems.
- ***Collect, Create, Receive and Capture***
  The extent to which information collection, sharing and re-use are optimized and decisions are documented.
- ***Organize, Use and Disseminate***
  The extent to which the organization's information is described in a current, co-ordinated and comprehensive manner to provide users with timely and convenient access.
- ***Maintain and Preserve***
  The extent to which the long-term usability and safeguarding of information is ensured.
- ***Disposition***
  The extent to which organizational retention and disposal plans are followed to ensure the timely disposition of information, subject to legal and policy obligations.

6. User Perspective

- ***User Awareness***
  The extent to which information users are aware of organization's information produc and services.
- ***User Training & User Support***
  The availability of user training and suppor programs to facilitate the access and use information.
- ***User Satisfaction***
  Mechanisms to measure, evaluate, and learn from user feedback on information products and services.

Assessing the Capabilities

- Current capabilities are assessed based on key elements of the IM Capacity Check, and criteria provided for each key element.
- The capabilities depicted within the criteria represent different states or plateaus that the organization may strive to achieve. The descriptions are incremental.
- The capability descriptions are based on generally recognized best practices, but have been customized to reflect the Government of Canada context.
- The Department identifies which level of "maturity" would be the most appropriate in support of its business needs, priorities and consistent with its capabilities.
- A rating system of “1” to “5” is used. A rating of “5” does not necessarily mean “goodness”, but rather, maturity of capability. The ideal maturity rating for any area is dependent on the needs of the Department.

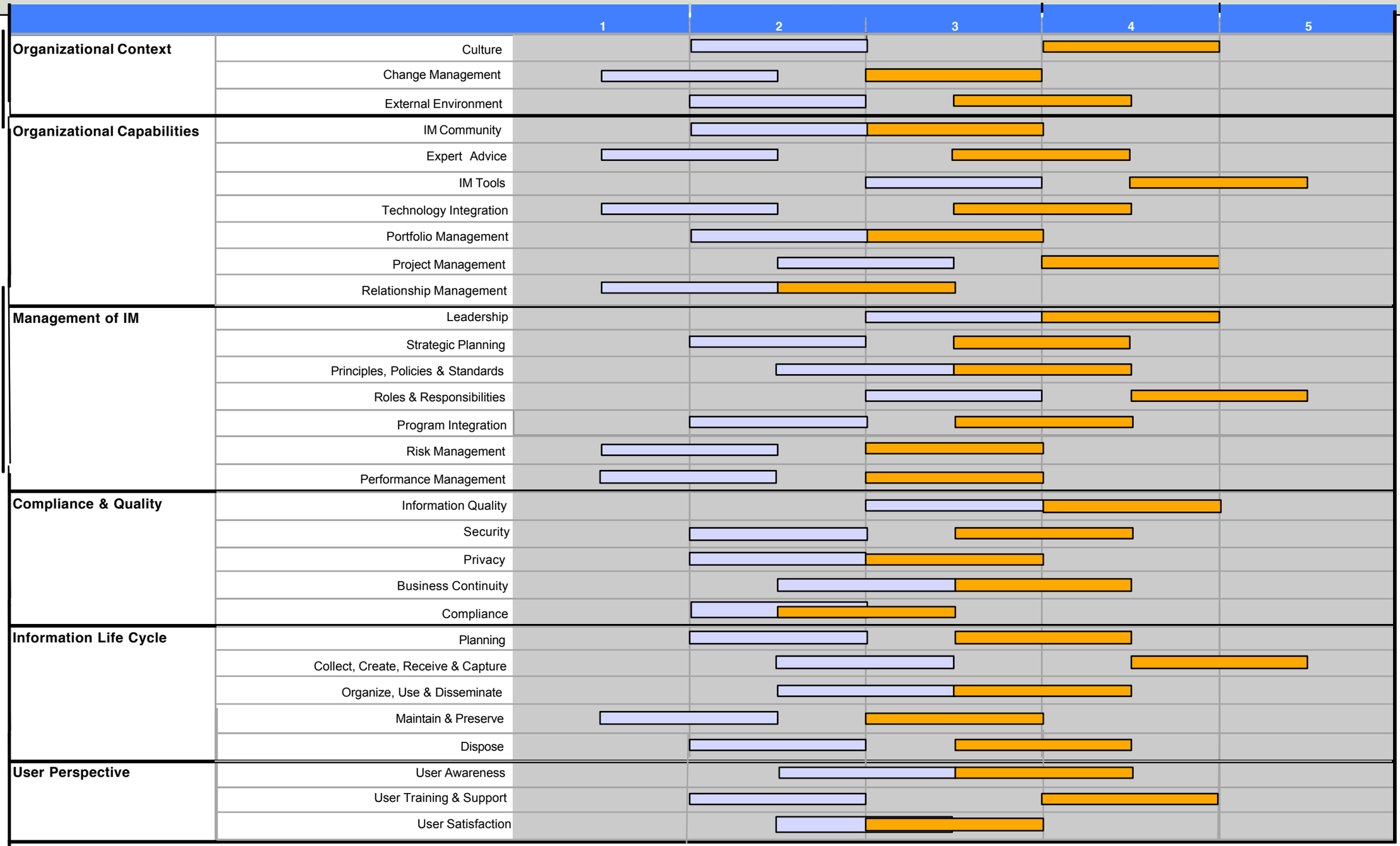
TOPIC	1	2	3	4	5
Roles and Responsibilities *The extent to which IM roles and responsibilities are clearly defined, understood and accepted. Appropriateness of the organization and governance structures to support IM.*	IM roles and responsibilities are not well defined. The organization and governance structures are not appropriate for the management of IM initiatives.	IM roles and responsibilities are generally defined but not well understood. Some overlaps and gaps exist vis-à-vis roles and responsibilities. Minimal governance structures exist in support of IM. The IM governance structure may be fragmented or inappropriately positioned within the organization.	IM roles and responsibilities are clearly defined and understood, and generally aligned with the organization’s objectives. Little or no overlaps or gaps in IM responsibilities exist. The governance structure is appropriately positioned within the organization. Effective governance structures are in place.	Changes to IM roles, responsibilities, organization and governance structures are made quickly and pro-actively following regular consultation with stakeholders.	An IM champion is responsible for ensuring the integration of IM practices across both administrative and program areas. IM roles, responsibilities, organization and governance structures are continuously reviewed and updated to reflect changing business and technology environments.

Existing maturity → *Future capability*

Where the organization may strive to be in the future

National Archives of Canada

Illustrative Example of As-Is" and "To-Be" Assessments



University

- Universities are strange beasts
- Many of the models from the corporate sector won't fit
- We will need to ensure that whatever we develop is sympathetic to our university culture

Questions?

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Presentation available at

http://andrew.treloar.net/presentations/sims/infomgt_2003.pdf