

# Information Publication Scheme (IPS)



National Archives of Australia, May 2018

## Contents

- [Introduction](#)
- [Purpose](#)
- [Objectives](#)
- [Administering the Archives' IPS contribution](#)
- [IPS information architecture](#)
- [Information publication scheme](#)
- [Agency Plan](#)

## Introduction

The National Archives of Australia (the Archives) is an agency subject to the [Freedom of Information Act 1982 \(FOI Act\)](#).

As required by s 8(1) of the FOI Act, this Agency Plan describes how the Archives complies with the Information Publication Scheme (IPS) established by the FOI Act.

- In this Plan, information published by the Archives under the IPS is referred to as the IPS information holdings (or as the IPS documents, when referring to individual documents).

The Archives recognises that public sector information is a national resource managed for public purposes.

- The Archives is building and fostering a culture that embraces appropriate proactive disclosure of its information holdings, leading to successful implementation and administration of the IPS
- The Archives monitors how other agencies implement and administer their contributions to the IPS, with a view to adopting best practice in its Agency Plan and its Statement of IPS Information Holdings.

## Purpose

The purpose of this Agency Plan is to:

- assist the Archives in planning and developing its contribution to the IPS
- show what information the Archives publishes as IPS information holdings
- show how the IPS information holdings are published
- show how the Archives otherwise complies with the IPS requirements (s 8(1))

- facilitate public consultation about the above aspects.

## Objectives

The objectives of this Plan are to outline how the Archives:

- manages its IPS information holdings
- proactively identifies and publishes all information required to be published under the IPS (s 8(2))
- proactively identifies and publishes any optional information (s 8(4))
- reviews and ensures on a regular basis that information published under the IPS is accurate, up to date and complete (s 8B)
- ensures that information published under the IPS is easily discoverable, understandable, machine-readable, re-useable and transformable
- ensures satisfactory conformance with the *Web Content Accessibility Guidelines (Version 2)* (WCAG 2.0)
- measures the success of the Archives' IPS contribution by reference to community feedback and compliance review processes.

## Administering the Archives' IPS contribution

The Archives' Corporate Governance section maintains the Archives' compliance with the IPS. The Assistant Director-General, Corporate Services Branch, has overall responsibility.

Corporate Governance liaises with all Archives branches to:

- identify documents that should form part of the IPS
- identify any IPS documents that are not accurate, up to date or complete
- ensure that IPS documents which are not accurate, up to date or complete are revised in a timely manner.

Members of the public may contact the Archives' FOI contact officer with comments on the IPS information holdings, particularly where documents are found not to be discoverable, understandable or machine-readable.

The Archives arranges for IPS documents which are not available on the Archives' website to be made available upon request.

The Archives may charge a person for accessing any IPS document which it is impracticable to publish online:

- at the lowest reasonable cost
- to reimburse specific reproduction costs or other specific incidental costs (s 8D(4)).

## IPS information architecture

The Archives' IPS information holdings are published on the Archives' website under the following headings:

- Agency Plan (ss 8(2)(a))
- Who we are (ss 8(2)(b) and 8(2)(d))
- What we do (ss 8(2)(c) and 8(2)(j))
- Our reports and responses to Parliament (ss 8(2)(e) and 8(2)(h))
- Routinely requested information and disclosure log (ss 8(2)(g) and 11C)
- Consultation arrangements (s 8(2)(f))
- Our priorities (s 8(4))
- Our finances (s 8(4))
- Our lists (s 8(4))
- Contact us (s 8(2)(i)).

To ensure that the IPS information holdings (and individual IPS documents) are easily discoverable, understandable and machine-readable, the Archives:

- publishes an IPS entry point on its website
- wherever possible, provides online content in a format that can be searched, copied and transformed
- publishes a sitemap for its website, to help individuals identify the location of information published under ss 8(2) and 8(4)
- provides a search function for its website
- establishes links to this Agency Plan and to the sitemap at [www.directory.gov.au](http://www.directory.gov.au)
- seeks and responds to community feedback about whether the IPS information holdings (and individual IPS documents) are easily discoverable, understandable and machine-readable.

## Information publication scheme

Under Subsection 8(2) of the FOI Act, the Archives has established the IPS, promoting a pro-disclosure culture across the agency.

In accordance with the FOI Act, the page contains information about the Archives that has been published under the scheme. In promoting the culture and recognising that public sector information should be treated as a resource the information provided seeks to assist the public to have a better understanding of how the Archives administers its program and makes decisions.

## Agency Plan

### Who we are

The Archives was established under the [Archives Act 1983 \(Cth\)](#) (Archives Act). It is a budget-funded agency within the Attorney-General's Department portfolio, and is an Executive Agency under Section 65 of the [Public Service Act 1999 \(Cth\)](#).

The head of the Archives is the [Director-General](#), a statutory position created under Section 7 of the Archives Act. The Director-General is appointed by the responsible Minister, the Hon Christian Porter MP. Section 10 of the Archives Act establishes the [Archives' Advisory Council](#). The Council has up to 13 members, including a Senator chosen by the Senate, a

member of the House of Representatives chosen by the House, and 11 other members appointed by the Minister.

- Our [organisation chart](#).
- Our [Enterprise Agreement](#) which came into effect on 23 Jun 2017.

## **Our mission**

In accordance with the objects of the Archives Act, our mission is to identify the archival resources of the Commonwealth; preserve and make publically available the archival resources of the Commonwealth; oversee Commonwealth record-keeping by determining standards and providing advice to Commonwealth institutions; and to impose record-keeping obligations in respect of Commonwealth records.

## **What we do**

The roles and responsibilities of the Archives are set out in the Archives Act. In that context, the Archives are funded by the Australian Government to achieve one outcome:

### **Outcome 1:**

To promote the creation, management and preservation of authentic, reliable and usable Commonwealth records and to facilitate Australians' access to the archival resources of the Commonwealth.

The Archives aims to achieve the intended results of its outcome via the following strategies.

### **Collection Management**

The Collection Management Branch is responsible for activities associated with delivering Outcome 1, including developing and providing policy advice and practical assistance to Australian Government agencies in records and information management, particularly promoting integrated digital management of information, and implementing the disposal provisions of the Archives Act 1983. The Branch is also responsible for arranging transfer of archival records from agencies, storing, securing, indexing and describing these records, locating, tracking and delivering records requested by government agencies and the public, as well as making archival records accessible through preservation, conservation, digitisation and imaging. Other activity associated with delivering Outcome 1 is managing the acquisition and preservation of personal records of significant individuals who served within, or were closely associated with, the Australian Government.

### **Access and Public Engagement**

The Access and Public Engagement Branch is responsible for activities associated with delivering Outcome 1, including research facilities, websites, exhibitions, programs and events that help the public access, research and interpret the records held by the Archives. The Archives provides access to, promotes, interprets and communicates the national archive. It provides timely and appropriate access through the national reference service and the national network of reading rooms. The national archive will also be accessed through the Archives' websites and the National Digitisation Service making the national archives more

accessible by increasing the on-line records pages on the Archives' website. The Archives also fosters engagement with Australians to assist them to learn about their heritage and democracy, and the role of the Archives.

Our Outcome is supported by the Corporate Services Branch to ensure the Archives has effective governance and financial management frameworks in place to ensure the financial sustainability of the agency and consistently display organisational excellence. The [organisational chart](#) provides additional information about the Archives structure.

Details of the resources available to the Archives through Government funding can be obtained from the [Portfolio Budget Statements](#). The Archives reports on its achievements in its [Annual Report](#). Plans and priorities for the future are outlined in the Archives' [Corporate Plan](#).

Section 5 of the Archives Act provides that the Archives' functions include:

- developing and providing policy advice on managing Commonwealth records;
- promoting and ensuring preservation of Commonwealth records for as long as they are needed;
- providing personal and corporate records services for people or organisations closely associated with the Australian Government;
- assembling and making available management and descriptive information about records and the current and former agencies responsible for them;
- facilitating awareness and use of records by the public; and
- promoting archival research in Australia, and encouraging scholarly use of the Archives collection.

Under Sections 5 and 6 of the Archives Act, the Archives has decision making powers that can potentially affect members of the public in relation to the following matters:

- the determination of custodial and storage arrangements for Commonwealth records that are of enduring value;
- the authorisation (with the concurrence of the agency whose records are involved) of the retention or destruction (after a specified period) of records;
- the regulation of public access to records that are in the 'open access' period, in accordance with the Archives Act and in consultation with the agencies concerned;
- the determination of the standards of reference and advisory services provided to the public, including reading room hours, levels of reference assistance and documentation provided; and
- the awarding of research grants for advanced research and professional development.

The following documents provide useful background information about the Archives generally, and the framework within which access to records is managed:

- [Fact sheets](#), which outline many of the Archives' policies, standards and services (particularly Commonwealth Records Series (CRS) System fact sheet);
- The [Commonwealth Records Series \(CRS\) Manual](#), which provides the framework for the Archives' intellectual control of its collection; and
- The Archives' [Annual Report](#).

The following policies and procedures that are used by the Archives:

- [Records authorities](#) which authorise the destruction or other disposal of Commonwealth records (not all Records Authorities are available on the website);
- What we keep: Principles for selecting the Australian Government's national archives which explains the principles, and associated considerations, we use to select Australian Government information for inclusion in the national archival collection.;
- Preventing the Destruction of Significant Records which provides advice and guidance for circumstances where it may be appropriate for the Archives to prevent the destruction of a group of records (a 'disposal freeze');
- How to apply which outlines how applications for research grants will be assessed;
- [Operations and Preservation policy and planning](#)
- [Access Examination Policy – personal, business and professional affairs of a person.](#)

## **Our reports and responses to Parliament**

The Archives prepares an [Annual Report](#) for the Minister who tables the Annual Report in Parliament.

On 3 December 1998 the Senate adopted a recommendation of the Finance and Public Administration References Committee that varied the tabling requirements under the Senate Continuing Order No. 5 (the Harradine motion). Under the varied Order, agencies are now required to publish [lists of files created](#), at half yearly intervals.

## **Our submissions**

- [Review of the operation of the Freedom of Information Act 1982 \(Cth\)](#) and the Australian Information Act 2010 (Cth) which was undertaken by Dr Allan Hawke AC.
- [OAIC - Issues paper 2 - Understanding the value of public sector information in Australia \(pdf, 155kB\) \(doc, 46kB\)](#)
- ALRC - Draft Terms of Reference for Australian Law Reform Commission Reference Copyright: [Submissions to Issues Paper](#) and [Submissions to Discussion Paper](#)
- [Parliamentary Standing Committee on Public Works - New National Archives Preservation Facility and refurbishment of the existing Mitchell facility for the National Archives of Australia at Mitchell, ACT.](#)

## **Routinely requested information**

Through its [disclosure log](#), the Archives publishes information contained in documents that has been provided under the FOI Act.

## **Arrangements for public consultation**

The FOI Act requires agencies to report whenever an agency administers or establishes a public consultation arrangement in the course of developing a specific policy proposal, including how and to whom a comment may be submitted by members of the public.

- The Archives currently does not have any proposals or arrangements that are relevant to this FOI Act requirement.
- If circumstances change, the Archives will publish information on this page.

Separately from the above requirements of the FOI Act, the Archives engages with stakeholders on a regular basis.

The Archives holds consultative forums in each state and territory.

- Meetings of consultative forums are chaired by the Director of the Archives' office in each state or territory, and include historians, genealogists, and representatives from various community groups.
- Through consultative forums, stakeholders articulate community views and expectations, and contribute to decisions that affect the Archives' records and services.

The Archives also engages specifically with Indigenous stakeholders.

- The Archives' Northern Territory Aboriginal Advisory Group comprises representatives from the Northern Territory Stolen Generations Aboriginal Corporation, Central Australian Stolen Generations and Families Aboriginal Corporation, and community representatives from the Top End and Central Australia. The group meets biannually to discuss issues, practices, policies and services associated with access to Commonwealth records by Indigenous people.
- A similar Aboriginal Advisory Group exists in Victoria, and the Archives also has a relationship with Nunkuwarrin Yunti of South Australia.

## **Optional information to be published under the IPS**

Under the FOI Act, agencies are encouraged to publish more than just the required categories of information. Therefore, consistent with advice from the Office of the Australian Information Commissioner, the Archives also publishes:

- Our priorities: [corporate plan](#).
- Our lists: [contracts](#).
- [Our data sets](#).

Routine reporting of the following information is a requirement of the government:

- [Expenditure on legal services](#)
- [Grants](#)

In addition, the Archives publish [fact sheets](#) which outline many of the Archives' policies, standards and services.

## **Access charges for documents not available on the website**

Some Archives documents are impracticable to publish online, such as pre-1999 Annual Reports.

A person seeking access to any of these, or other documents not discussed above, may contact the Archives' [FOI contact officer](#) to arrange access.

Charges may be imposed for making that information available. Charges will be consistent with charges in the Freedom of Information (Charges) Regulations 1982 (which generally apply to access requests under Part III of the FOI Act).

For copies of records accessed under the Archives Act please see [Copying Charges](#).

## **Contact us**

If you would like to contact us about anything related to the Information Publication Scheme, contact details are below:

Corporate Governance  
National Archives of Australia  
PO Box 4924  
Kingston ACT 2604  
Tel: +61 2 6212 3498  
Email: [foi@naa.gov.au](mailto:foi@naa.gov.au)

# Information Governance Framework

Information Policy and Systems

*Version 1.2*

**19 December 2017**

## Contents

- [1. Overview](#)
- [2. Organisational information principles](#)
- [3. Governance framework](#)
- [4. Information Management Policy](#)
- [5. Information Management Strategies](#)
- [6. Archives' information systems](#)
- [7. Roles and Responsibilities](#)
- [8. Review](#)
- [9. Authorisation](#)

## 1. Overview

### 1.1 Purpose

The '*Information Governance Framework*' (the Framework) provides the basis for the creation, capture, management and use of full and accurate records, information and data in all formats used by the Archives. It describes how information is to be governed as a vital corporate asset which is essential to help meet the Archives' business, accountability, legal and regulatory requirements.

The framework outlines an approach to information governance integrated with other organisational governance such as audit, accountability, compliance, risk management, business continuity, security and ICT governance. The requirements of this framework are informed by the Archives' business environment, legislation, whole-of-government policies and standards.

The framework also describes the cooperation and commitment required from all relevant stakeholders for implementation of effective information governance within the Archives.

This framework recognises the Archives' dual role in setting information standards for the Commonwealth and as a best practice agency in their implementation.

### 1.2 Scope

The Framework applies to all Archives' staff, contractors and consultants, regardless of employment terms, position and location.

The Framework applies to all of the Archives' information assets, including:

- the collection of archival resources of the Commonwealth in the Archives care
- information created to support business activities
- applications and systems used to create, capture and maintain information.

Operational responsibility for the Archival Collection is derived directly from the Archives' Act and implemented through the [National Archives of Australia Corporate Plan](#). High level governance arrangements for the Collection are included in this Framework as the Archives needs to meet the Digital Continuity 2020 Policy requirements, targets and pathways for all information assets, as best practice.

Throughout this document, all of Archives records, information and data holdings are described holistically by the term 'information'.

### 1.3 Objectives

The objectives of the Framework are to:

- affirm the Archives' commitment to effective information management practices in order to meet legal obligations, accountability requirements, business needs and stakeholders' expectations
- ensure that all information assets are well managed, including the Archival Collection
- position the Archives as a forward looking, innovative and exemplar Australian Government agency employing better practice approaches for the management of information
- ensure all staff understand their information management responsibilities
- support consistent information management standards and practices across the Archives
- ensure that the Archives meets the requirements of the [Digital Continuity 2020 Policy](#).

## 2. Organisational information principles

The Framework sets a number of principles to guide all staff in managing the Archives' information:

- Information is a valuable Commonwealth asset which enables business, helps to manage risk, and provides accountability and transparency in decision-making and evidence of business activities over time. Selected Commonwealth information of archival value is made accessible for current and future generations.
- Information governance is an essential element of Archives' corporate governance. It must be aligned with other organisational governance such as audit, accountability, compliance, risk management, business continuity, security and ICT governance.
- Information is complete, accurate and useable by those with a legitimate need.
- Information must be managed in a timely, efficient and effective manner. This includes capturing and describing information as soon as possible during or after completion of business processes. Also, ensuring it is kept for as long as required and accountably disposed of when it is no longer required.
- Information must be described with appropriate metadata, as defined by relevant standards and business needs. This supports access, context, authenticity and interoperability for information.
- All digital information must be created and actively managed in an accessible digital form for as long as the information is required. Consideration must be given to how digital information will remain available and interoperable across different platforms, operating

environments and successive technologies. Information should only be stored in a physical format where there is no suitable digital alternative.

### 3. Governance framework

The Framework operates within an overarching governance framework of legislation, whole-of-government policies, international and Australian standards, business policies and processes. It is also defined by the needs of the Archives' unique business environment and by the National Archives requirements for all Australian Government agencies.

#### 3.1 The Archives' environment

The Archives is established by the *Archives Act 1983*, which identifies its key roles and responsibilities. In particular, the objects of the Archives Act are:

1. to provide for a National Archives of Australia, whose functions include:
  1. identifying the archival resources of the Commonwealth; and
  2. preserving and making publicly available the archival resources of the Commonwealth; and
  3. overseeing Commonwealth record-keeping, by determining standards and providing advice to Commonwealth institutions; and
2. to impose record-keeping obligations in respect of Commonwealth records.

The Archives' most significant information asset is the archival resources of the Commonwealth. Other information assets, created as part of the National Archives' business activities to meet these roles and responsibilities, include:

- Information describing activities for preserving, managing and providing access to the archival resources of the Commonwealth.
- Unstructured information documenting correspondence, advice, planning activities, policies and procedures
- Structured information in business systems and databases
- Human resources and payroll data
- Transaction and workflow data
- Registers of assets
- Monitoring system data
- Audio/visual assets

#### 3.2 Relevant legislation

Legislation impacting on the management of the Archives' information includes:

- [Archives Act 1983](#)
- [Australian Information Commissioner's Act 2010](#)
- [Crimes Act 1914](#)
- [Evidence Act 1995](#)
- [Electronic Transactions Act 1999](#)
- [Freedom of Information Act 1982](#)
- [Privacy Act 1988](#)
- [Public Governance, Performance and Accountability Act 2013](#)

- [Fair Work Act 2009](#)
- [Public Service Act 1999](#).

### 3.3 Relevant Whole-of-Government policies

Whole-of-Government policies and strategies impacting on the management of information include:

- [Digital Continuity 2020 Policy](#)– a whole-of-Australian government approach to digital information governance. It complements the Australian Government's digital transformation agenda and underpins the digital economy.
- Information Management Standard
- [Protective Security Policy Framework](#) (PSPF)
- [Australian Government Public Data Policy Statement](#)
- [Australian Government Information Security Manual](#) (ISM)
- [Cyber Security Strategy](#)
- [Australian Government Cloud Computing Policy](#)
- [Senate Continuing Order for the production of departmental and agency file lists](#) (Harradine Motion)
- [Department of Finance's Whole-of-Government ICT policies and circulars](#) (on business continuity, ICT procurement, ICT capability, e-security etc).

### 3.4 Relevant information management standards

The Archives is guided by national and international information management standards, particularly those endorsed by the Archives for Australian Government agencies. Key standards include:

- Australian Standard AS ISO 15489-2002, *Records Management*
- ISO 16175 *Principles and Functional Requirements for Records in Electronic Office Environments*
- [AGLS Metadata Standard 2010](#) (AS5044) and Implementation Manual
- [Australian Government Recordkeeping Metadata Standard](#) (AGRkMS) and Implementation Guidelines
- [Standard for the Physical Storage of Commonwealth Records](#).

Records Authorities authorising the management, retention and disposal of Archives information include:

- [National Archives of Australia Records Authority 2007/00576124](#)
- [National Archives of Australia Streamlined Records Authority 2007/00576124](#)
- [National Archives of Australia Records Authority 2010/00206866](#)
- National Archives of Australia Normal Administrative Practice (NAP) Policy
- [Administrative Functions Disposal Authority \(AFDA\) 2010](#)
- [AFDA Express](#)
- [General Records Authority 26 – Advisory Bodies 2009/00815192](#)
- [General Records Authority 31 – Destruction of source or original records after digitisation, conversion or migration 2015/00499297](#)

Key general corporate governance frameworks and policy documents supporting the management of information include:

- The *Risk Management Framework and Policy* - highlights Archives officials' responsibilities for information management to support ongoing operations, provide evidence of business activities over time and document risk management activities.
- The *Business Continuity Policy and Plan* - provides a framework for the identification and development of actions to respond to and recover from disruptions to Critical Business Processes which have the potential to impact on the Archives' ability to meet its legislative and mandated obligations.
- The *Archives Capability Framework* - highlights the critical capabilities needed across Archives. This includes providing capability development around best practice digital information management.
- The *Information Security Policy 2016* – forms the basis for establishing effective controls that protect the Archives' computing facilities, human resources and intellectual property.
- The [Privacy Policy](#) - outlines the Archives obligations for managing personal information in accordance with the Australian Privacy Principles (APPs) as specified in the Privacy Act 1988

## 4. Information Management Policy

To support this Framework, the '*Information Management Policy*', identifies the Archives' commitment to implementing best practice information management to ensure the creation, management and protection of information as a vital corporate asset supporting ongoing business and providing evidence of business activities over time. It also informs and guides staff on the:

- legal, regulatory and business context within which the Archives operates. This includes applicable legislation, policies, business requirements and standards that apply to the management of information
- types of information that need to be created, captured, shared and managed to support business and legal requirements
- use of information management systems for the creation, capture, protection, security, accessibility and storage of the Archives' corporate information.

## 5. Information Management Strategies

All information management strategies are consistent with National Archives guidance. The following strategies, policies and plans complement the Framework and provide accountability and guidance for information governance:

- Completion of annual agency survey reporting for the whole of Australian Government.
- '*Digital Continuity 2020 Implementation Plan*' – forms part of the Archives' strategy to implement the recommended actions of the '*Digital Continuity 2020 Policy*' for digital information management. The Archives will achieve policy targets by the due dates and will continue to integrate robust digital information management into all business processes. The Executive Board performs the role of the Information Governance Committee to guide strategies to meet the Policy requirements.
- '*Charter for Information Governance*' – guides all staff to ensure information is managed appropriately to support organisational outcomes.
- '*Digital Continuity Strategy for the National Archives of Australia's Corporate Information and Records – July 2013*' – sets out the responsibilities for Information Governance and ICT staff to manage digital information in accessible and useable formats for as long as required.

- '*National Preservation Plan 2014–2018*' – sets out the responsibilities for Collection Management staff to preserve the archival resources of the Commonwealth in an accessible format for the longest period possible.
- [Digital Preservation Policy](#) – sets out the responsibilities for Archives' staff to ensure the long-term preservation and accessibility of the archival resources of the Commonwealth which were created or managed in a digital format.
- Risk mitigation strategies - the major area of risk to the Archives' information assets is information loss, either through accident or negligence or through malicious behavior. To reduce this risk, the Archives has compiled the following:
  - '*High value and long term information risk registers*' – records the location of all high risk, vital and important information related to both core business and administrative business.
  - '*Information systems architecture register December 2017*' – lists the Archives business systems, tracks their assessment using the checklist below and notes any information governance documents for each system.
  - '*Information Management Functionality Checklist*' – a validation tool used to assess all new business systems and existing systems undergoing significant changes. The checklist is based on the National Archives Business Systems Assessment Framework for assessing systems against the ISO 16175 *Principles and Functional Requirements for Records in Electronic Office Environments* and the *Minimum Metadata Set*.
  - 'TEMPLATE – Information Management Functionality for Business Systems 2016' – sets out the method for documenting an information management plan for each system, if needed after assessment against the checklist above.

## 6. Archives' information systems

The Archives operates a number of information systems to meet its business needs, accountability requirements and stakeholder expectations.

These include:

- systems used for Archives' unique functions (eg RecordSearch, Digital Archives System)
- systems and databases used for administrative functions (eg FinanceOne for financial management, Aurion for human resources, e-Commerce for online payments).

To ensure that information in the Archives systems continues to meet these needs, the RkU and system business owners regularly assess systems using the '*Information Management Functionality Checklist*' to ensure information management requirements are met.

Consistent with Digital Continuity 2020 Policy requirements, new systems will meet the '*Information Management Functionality Checklist*' requirements. The checklist enables a risk-based approach to determine whether information management in the system is adequate or if there are any gaps that need to be addressed by implementing solutions. Based on the results of assessments, a plan is developed for managing information within each system and plans are placed on the '*Information Systems Architecture Register*' to maintain oversight over time. The checklist also includes the minimum metadata set.

One of the primary information systems for the Archives is the Recordkeeping System (RkS), an instance of HPE Records Manager. It has a major role in managing the Archives' information as it meets the requirements of the international standard ISO 16175-2 and is

configured for long term information storage in a controlled environment structured according to the Archives' business needs.

The RkS is used to manage unstructured information, such as documents, spreadsheets and emails generated by Archives staff. The RkS can also accept information exported from many other sources, where this is needed to aid our management of digital information.

This includes:

- Digitised copies of paper source records
- Information from any business systems less suitable for long term storage or not meeting information management requirements.

Creation and maintenance of paper files is limited to only 'CLASSIFIED' information or in special circumstances as approved by the Chief Information Governance Officer. The Archives has a secure network and information system to support access examination but it has not been practical or necessary to extend this, to avoid a small number of paper files being created.

Some less controlled systems such as email inboxes and folders (Outlook and other email accounts), personal or shared network drives, external storage media, or temporary documents folders, are available to Archives staff to facilitate business activities or for reasonable personal use. These systems have limited controls and are not suitable for storing most business information. Archives' staff are required to file any useful information in the RkS or an approved business system and discouraged from using these systems other than to facilitate more immediate business activities.

## **7. Roles and Responsibilities**

**The Director-General of the National Archives of Australia (also the Chair of Archives' Information Governance Committee) is responsible for:**

- the standard of information management within the Archives
- the efficient, effective and ethical use of information resources within the Archives
- authorising the Information Governance Framework and the Information Management Policy
- approving major reviews of information management capability and maturity, such as the *Check-up Digital* online assessment
- promoting compliance with the Archives' information management policies and procedures.

**The Information Governance Committee (which comprises of members of the Executive Board) is responsible for:**

- governance over information assets of the Archives, including frameworks, policies, processes, standards, roles and controls to meet regulatory, legal, risk and operational requirements
- monitor effectiveness of the Archives' information governance framework
- ensure coordination of the Archives' information governance reporting and external information audits and reviews

- identify who is responsible within the Archives for information assets identified in audit and review processes
- monitor information infrastructure according to the Archives' business information needs
- coordinate internal information reviews to identify information assets and their value, manage risk and compliance, and improve business processes
- ensure that the Archives' information is managed for its entire life in accordance with risk, including risks associated with security, access, privacy, continuity, and cost
- ensure coordination of information standards implementation, for example, business systems functionality, metadata and interoperability capabilities
- ensuring the Archives meets its Digital Continuity 2020 Policy targets.

**The Assistant Director General responsible for information management (Information Policy and Systems branch) shall:**

- ensure that the Archives information management practices comply with its obligations and responsibilities as an Australian Government agency

**The Chief Information Governance Officer shall:**

- be accountable for enterprise-wide governance of information assets to break down silos and create new opportunities to deliver better business outcomes
- report to the Information Governance Committee on the governance of the organisation's information assets, including the Archival Collection
- establish the culture for a more accountable and business-focused information management environment
- represent the Archives for whole-of-government information initiatives, such as implementing standards, information and system interoperability
- other strategic, engagement, promotional and technical responsibilities as outlined in the CIGO responsibilities outlined by the Archives
- develop strategies to ensure the Archives establishes itself as an exemplar site of information management
- oversee, support and review the functionality of the Archives' information management system(s)
- approve the destruction of Archives' business information, with concurrence from relevant business owners across the Archives

**Assistant Director, Information Governance (operating under the supervision of the Chief Information Governance Officer) shall:**

- develop, maintain and review this Framework, and the supporting policy, guidelines and procedures for the consistent management of Archives' information
- maintain and monitor the Archives' Records Authorities
- provide input and advice on the functionality and compliance of agency's business systems
- co-ordinate the delivery of information management training and advice to all staff
- liaise with internal and external stakeholders on information management issues
- provide secretariat to the Information Governance Committee.

**Staff in the Information Governance Section (operating under the supervision of the Chief Information Governance Officer) shall:**

- promote the Archives' information management policies and procedures to all staff
- monitor staff compliance with the information management principles, policies and procedures
- deliver information management training and advice to all staff
- ensure that business information is kept for as long as required
- inform and assist ICT to develop solutions for better use of information during business processes.

**ICT staff, including system administrators shall:**

- ensure that technologies are developed and implemented efficiently and that they support information management principles and strategies outlined in this document
- provide Information Technology support
- promote accessibility, usability and interoperability of the Archives' business systems.

**All managers and supervisors shall:**

- monitor staff under their supervision to ensure that they understand and comply with the Archives' information management principles, policies and procedures
- support and foster a culture within their workgroup that promotes good information management practices.

**All employees of the Archives shall:**

- understand the information management obligations and responsibilities that relate to their position
- adhere to organisational policies, procedures and standards in keeping information documenting their daily work, and specifically create and capture information into approved information management system(s) for the following business activities:
  - approval or authorisation
  - guidance, advice or direction
  - information relating to projects or activities being undertaken
  - formal business communications between staff and external recipients
  - formal business communications between staff
  - not destroy business information, regardless of format, that is evidence of business activities unless approved by the Information Governance Section.

## **8. Review**

This Framework will be reviewed every two years from the date of approval, unless required earlier.

## **9. Authorisation**

Approved by:

David Fricker  
 Director-General  
 National Archives of Australia

19 December 2016

Information Publication Scheme Registry - 2016 review					
Requirements	Information/Document	Contact	Date checked/ updated	Comments	Document RkU/link
<b>Mandatory</b>					
Agency Plan ss 8(1) & 8(2)(a)		FOI Officer			
	Establishing and administering the IPS (how and to whom the info is published)				
	IPS information architecture				
	information required to be published				
	other information				
	IPS compliance review				
Agency Organisation Structure s 8(2)(b)					
	Organisational Chart	SPG/HR			
	Director General - link	SPG/Exec			
	Enterprise Agreement 2011	HR			
Statutory Appointments s					
	Statutory Appointments	All /HR			
	HR Delegations	HR			
	FOI Delegations	FOI Officer			
	Finance Delegations	Finance	14-June-2016	Financial Delegations are not published on the Archives website these are only published on infonet.	
Functions and powers s 8(2) (c)					
	Advisory Council - link	SPG			
Annual Reports s 8(2) e					
	Current and previous Annual Reports	SPG	19-April-2016	Confirmation of link provided	<a href="http://www.naa.gov.au/about-us/organisation/accountability/annual-reports/index.aspx">http://www.naa.gov.au/about-us/organisation/accountability/annual-reports/index.aspx</a>
Consultations arrangements s 8(2)(f)					
	details of consultancy arrangements for the public to make comment on policy proposals	All Directors			
Information routinely given through FOI s8(2)(g)					
	Routinely accessed information	FOI Officer	13-April-2016		
Disclosure Log s8(2)(f)		FOI Officer	13-April-2016		
Parliamentary Information s 8(2)(h)					
	List of files created	SPG	19-April-2016	Confirmation of link provided	<a href="http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx">http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx</a>
	Expenditure on legal services	Legal			
	Contracts	Facilities and Procurement	14-June-2016	Contracts are managed and reported on by Facilities and procurement section not Finance.	
	Grants				

Contact Officers s 8(2)(i)					
	FOI officer details	IPS officer			
Operational Information s 8(2)(j)					
	Harradine Report - indexed list of files	SPG - RkU	19-April-2016	This is the same as row 37 - list of files created	<a href="http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx">http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx</a>
	Disposal Authorities				
	What we keep: Principles for the selection of the Australian Government's national archives	GIAP-SIP	26-April-2016	Changed name to reflect new principles	<a href="http://www.naa.gov.au/records-management/publications/what-we-keep/index.aspx">http://www.naa.gov.au/records-management/publications/what-we-keep/index.aspx</a>
	Preventing the destruction of significant records	GIAP	28-April-2016	Link up to date	<a href="http://www.naa.gov.au/records-management/agency/keep-destroy-transfer/freezes/index.aspx">http://www.naa.gov.au/records-management/agency/keep-destroy-transfer/freezes/index.aspx</a>
	Access Examination Policy - personal, business and professional affairs of a person				
	Fact Sheets	Ref			
	Copying Charges	Ref			
<b>Optional Publications</b>					
Corporate Services		D PM&D	15-April-2016	No action required	
Executive and Information Services					
Government Information Assurance and Policy					
Collection Management					
Access and Communication					
	<b>Access examinations</b>				
Access Examination	Access Manual	AES	14-November-2014	Currently being updated	Current update not yet available; Nov 2014 version at R1166852014 but expect it to be substantially changed.
	Access Examination Policy – personal, business and professional affairs of a person	AES	25-July-2014		<a href="http://www.naa.gov.au/Images/Access%20Examination%20Policy%20E2%80%93%20personal,%20business%20and%20professional%20affairs%20of%20a%20person_tcm16-82600.pdf">http://www.naa.gov.au/Images/Access%20Examination%20Policy%20E2%80%93%20personal,%20business%20and%20professional%20affairs%20of%20a%20person_tcm16-82600.pdf</a> and RKS R753892014
Reference and Information Services	Special Access Arrangements				
	Reference Services Manual				
Website requirements					
	Web Content Accessibility Guidelines				

**Information Publication Scheme Registry - 2018 review**

Requirements	Information/Document	Contact	Date checked/ updated	Comments	Document RkU/link
<b>Mandatory</b>					
Agency Plans s 8(1) & 8(2)(a)		FOI Officer	May-18	Updated but a full review should be carried out in 2018/19	<a href="http://www.naa.gov.au/about-us/organisation/accountability/foi/ips.aspx">http://www.naa.gov.au/about-us/organisation/accountability/foi/ips.aspx</a>
	Establishing and administering the IPS (how and to whom the info is published)		May-18		
	IPS information architecture		May-18		
	information required to be published		May-18		
	other information		May-18		
	IPS compliance review		May-18		
<b>Agency Organisation Structure s 8(2)(b)</b>					
	Organisational Chart	Corp Gov	Jun-18	Link to latest OC - 26 June	<a href="http://www.naa.gov.au/about-us/organisation/chart/index.aspx">http://www.naa.gov.au/about-us/organisation/chart/index.aspx</a>
	Director General - link	Corp Gov	May-18	link active	
	Enterprise Agreement 2017/2020	PM&D	May-18	Updated to 2017/2020 EA	<a href="http://www.naa.gov.au/about-us/employment/enterprise-agreement/index.aspx">http://www.naa.gov.au/about-us/employment/enterprise-agreement/index.aspx</a>
<b>Statutory Appointments s</b>					
	Statutory Appointments	All /PM&D	May-18	link active	
	HR Delegations	PM&D		HR Delegations are not published on the Archives website these are only published on infonet.	
	FOI Delegations	FOI Officer	May-18	Link active	<a href="http://www.naa.gov.au/images/foi-delegations-october%202017_tcm16-100856.pdf">http://www.naa.gov.au/images/foi-delegations-october%202017_tcm16-100856.pdf</a>
	Finance Delegations	Finance		Financial Delegations are not published on the Archives website these are only published on infonet.	
<b>Functions and powers s 8(2) (c)</b>					
	Advisory Council - link	Corp Gov	May-18	link active	<a href="http://www.naa.gov.au/about-us/organisation/advisory-council/index.aspx">http://www.naa.gov.au/about-us/organisation/advisory-council/index.aspx</a>
<b>Annual Reports s 8(2) e</b>					
	Current and previous Annual Reports	Corp Gov	May-18	link active - latest annual report online	<a href="http://www.naa.gov.au/about-us/publications/annual-reports/">http://www.naa.gov.au/about-us/publications/annual-reports/</a>
<b>Consultations arrangements s 8(2)(f)</b>					
	details of consultancy arrangements for the public to make comment on policy proposals	All Directors	May-18	Should review text in 2018/19	
<b>Information routinely given through FOI s 8(2)(g)</b>					
	Routinely accessed information	FOI Officer	May-18	link to disclosure log	<a href="http://www.naa.gov.au/about-us/organisation/accountability/foi/disclosure.aspx">http://www.naa.gov.au/about-us/organisation/accountability/foi/disclosure.aspx</a>
<b>Disclosure Log s 8(2)(f)</b>		FOI Officer	May-18	as above	as above
<b>Parliamentary Information s 8(2)(h)</b>					
	List of files created	Corp Gov	Jul-18	link confirmed, latest information up to date	<a href="http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx">http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx</a>
	Expenditure on legal services	Legal	Checked Oct 2018	Links to updated directions	
	Contracts	Procurement	Jul-18	Senate Order on entity contracts listing for 17-18	<a href="http://www.naa.gov.au/about-us/organisation/accountability/contracts/index.aspx">http://www.naa.gov.au/about-us/organisation/accountability/contracts/index.aspx</a>
	Grants		May-18	link active	<a href="http://www.naa.gov.au/about-us/grants/index.aspx">http://www.naa.gov.au/about-us/grants/index.aspx</a>
<b>Contact Officers s 8(2)(i)</b>					
	FOI officer details	IPS officer	May-18		
<b>Operational Information s 8(2)(j)</b>					
	Harradine Report - indexed list of files	Corp Gov, Information Management		This is the same as row 37 - list of files created	<a href="http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx">http://www.naa.gov.au/about-us/organisation/accountability/files/index.aspx</a>
	Disposal Authorities				
	What we keep: Principles for the selection of the Australian Government's national archives	CIP			
	Preventing the destruction of significant records	CIP			
	Access Examination Policy - personal, business and professional affairs of a person				Needs updating?
	Fact Sheets	Ref	May-18	link working	<a href="http://www.naa.gov.au/collection/fact-sheets/index.aspx">http://www.naa.gov.au/collection/fact-sheets/index.aspx</a>
	Copying Charges	Ref	May-18	link working	

<b>Optional Publications</b>					
<b>Corporate Services</b>	Corporate Plan	Corp Gov			Needs link updated - requested
<b>Executive and Information Services</b>					
<b>Government Information Assurance and Policy</b>					
<b>Collection Management</b>					
<b>Access and Communication</b>					
	<b>Access examinations</b>				
<b>Access Examination</b>	Access Manual	Declass			
	Access Examination Policy – personal, business and professional affairs of a person	AES			
<b>Reference and Information Services</b>	Special Access Arrangements				
	CRS Manual	Ref	May-18	link working	
<b>Website requirements</b>					
	Web Content Accessibility Guidelines				