Digital information and records management capability matrix

Skills and knowledge for Australian Government employees

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DIGITAL TRANSITION

Digital information and records management capability matrix

Introduction

Australian Government agencies face significant challenges in managing their business information due to rapid advances in technology, the growing volume of information and the increasing complexity of the online environment. The National Archives of Australia is responsible for advising all Australian Government agencies in improving digital information management for business efficiency and effectiveness and to ensure transparency and accountability. A skilled and knowledgeable workforce is crucial to achieve fully digital information management.

The matrix in this document outlines the capabilities agencies need to transition to fully digital information management and to ensure information remains accessible and usable over time.

Information management is no longer the responsibility of a small group of skilled specialists. Most staff have some responsibility for managing information, and senior managers, ICT staff and some business managers have particular responsibilities. The capabilities in this document are divided into three sections:

- capabilities for all staff
- capabilities for ICT specialists
- capabilities for information and records management specialists.

This document can be used to develop position descriptions and selection documents. It will also assist in professional development, recruitment and performance management, as well as other areas of capability development such as induction and training programs, succession planning and learning pathways.

The capabilities are mapped to four groups of position classifications commonly used in the Australian Public Service: APS 1 – 4; APS 5 – 6; EL1 – 2; and SES. The allocation of responsibilities and capabilities required for certain roles and levels varies considerably between agencies and the capability matrix should be adapted to reflect the business needs and size of individual agencies.

It is expected that staff at higher levels will have the capabilities for lower levels as well as for their own level.

This capability matrix focuses on skills and knowledge and can be used in conjunction with the Australian Public Service Commission Integrated Leadership System with its stronger focus on behaviours. It also complements the information and knowledge management family in the APS Job Family Model.

The capabilities for ICT staff and managers can be used in conjunction with the Skills Framework for the Information Age (SFIA).

Capability matrix

Capabilities for all staff

Most Australian Government employees have some level of responsibility to manage business information and records. These are the generic capabilities required to fulfil those responsibilities.

	APS 1–4	APS 5–6	EL 1–2	SES
General principles and responsibilities	Understands general information management responsibilities for Australian Government employees and how they apply to their own work. Understands the link between information and records management and the APS Values and Code of Conduct, or similar guidelines for non-APS agencies. Understands information is a business asset.	Understands the link between information management responsibilities and accountability. Is able to describe the benefit of information management to staff and the value to the agency.	Promotes and monitors information management responsibilities. Understands the value of information as an asset to improve decision-making, service delivery, efficiency and effectiveness.	Understands and models the general information management responsibilities for Australian Government employees and accepts personal responsibility for information management as part of their role. Understands the strategic value of information to improve outcomes and as a source of business intelligence.
Legislative and Government environment	Is aware of whole-of-government requirements and the legislative basis for information management principles and responsibilities. Understands that all business information is subject to the *Archives Act 1983*.	Understands whole-of-government requirements and the legislative basis for information management principles and responsibilities and their relationship to accountability.	Understands whole-of-government requirements and the legislative basis for information management principles and responsibilities and how to apply them to meet business needs and accountability requirements.	Understands whole-of-government requirements and the legislative basis for information management and how to apply them to achieve strategic objectives and accountability.
Information governance and risk management	Is aware of the importance of information management in managing risks and that information should be managed within a framework of strategies, policies and procedures.	Understands that effective management and control of information is a critical element of risk management.	Understands that information governance should be embedded into all areas of agency governance and understands the role and application of information management in the mitigation of business risks.	Understands that information governance is fundamental to corporate governance, security and risk management, business continuity and accountability and ensures their integration in the agency.
Agency environment	Is aware of agency policies and procedures and how to apply them to work processes, systems and technologies.	Understands how to use and apply policies and procedures to create, manage and protect agency information. Can contribute to business process review.	Understands and guides the use of agency policies, procedures and systems. Understands the importance of business analysis and process mapping for improving business processes.	Understands the importance of a strategic approach to information management and incorporates these into governance frameworks.

Role of information and records managers	Is aware of the role of information and records managers and seeks their advice when appropriate.	Understands the role of information and records managers and seeks their advice when appropriate.	Understands the role of information and records managers and seeks their input when developing policies, redesigning businesses processes or implementing new or improved technology.	Supports the role of information and records managers and ensures they are represented on appropriate project management and decision-making bodies; supports information management practices and consults information specialists during times of change.
Destroying information	Understands what information can be destroyed as part of normal work processes and regularly destroys information in accordance with agency policy.	Understands what information can be destroyed under agency policy and seeks advice and further guidance when required.	Understands what information can be destroyed as part of normal work processes and what requires formal authorisation. Encourages staff to regularly destroy information in accordance with agency policy.	Understands the risks and costs of holding information longer than required and is aware of the benefits of destroying information when authorised.

Capabilities for ICT specialists

ICT specialists possess a wide range of capabilities that is reflected in the Skills Framework for the Information Age (SFIA). The capabilities in this section of the matrix most closely relate to the information strategy and business change categories of SFIA.

The capabilities listed below represent the skills and knowledge needed by each agency, not by individual ICT staff members. It is expected that all ICT specialists will also have the capabilities required for all staff.

	APS 1–4	APS 5–6	EL 1–2	SES
Legislative and Government environment	Is aware of the legislative basis for information management principles and responsibilities, whole-of-government standards and policies and their application to systems.	Understands the legislative basis for information management principles and responsibilities, whole-of-government standards and policies and their application to information in systems.	Understands the legislative basis for information management principles and responsibilities. Is able to offer advice to business areas in relation to system design and development Understands whole-of-government standards and policies and their impact on information in systems.	Understands the range of legislation that applies to information management across the Australian Government and how it impacts information wherever it is held. Understands whole-of-government standards and policies and their impact on the management of information in all systems and formats.
Metadata	Is aware of the purpose and benefits of metadata, including ensuring that information is discoverable and that audit trails demonstrate information authenticity.	Understands the purpose and benefits of metadata including recordkeeping metadata and the need to meet metadata requirements in system design and configuration.	Understands the role of metadata in ensuring the integrity and availability of information and develops processes to collect metadata in accordance with accepted standards. Is aware of appropriate metadata for specific types of information.	Understands the importance of metadata and ensures the capture or creation of appropriate metadata is automated throughout the agency as much as possible.
Information risks and destruction	Understands that risks to information need to be managed over the life of the information and at critical points such as system upgrades or changes and data migration. Understands that information cannot be destroyed without appropriate authorisation.	Understands that risks to information may arise from malicious or inadvertent destruction, alteration or unauthorised release and as part of outsourced arrangements such as hosted and cloud computing services. Understands that information needs to be managed over time to reduce the risk of technical obsolescence. Understands the impact of the *Archives Act 1983* on limiting the destruction of information.	Is able to manage risks to information in systems and provide advice to business and system owners about information risks. Understands the application of the *Archives Act 1983* on information in business systems and recognises that potential breaches may arise, for example, during data migration or as a result of technical obsolescence.	Is aware that information should be accessible and usable for as long as it is required and that risks must be managed over its life to ensure its continuing availability.

Technologies and tools	Is able to use tools and technologies, including mandated business systems, to ensure business information is created, organised, stored, retrieved, shared and destroyed according to agency policies. Supports others in the agency to do the same.	Demonstrates a high level of skill in using tools and technologies to manage digital information and investigates ways to improve information management using available technologies and makes business-based suggestions for new tools.	Oversees the selection, development, configuration and use of digital information management technologies and tools to enable appropriate information access and sharing, and to ensure appropriate storage, management, migration, retention and destruction, and assignment and retention of metadata.	Is aware of new and emerging information tools and technologies and trends, and able to evaluate them against the agency's business and information management needs and direct and support their implementation.
Interoperability	Is aware that information content and metadata need to meet minimum standards so that information can be shared between systems and agencies.	Understands information content and metadata quality requirements needed to meet minimum standards for sharing and finding information between systems and agencies.	Understands that information may have value beyond the life of the system in which it is created or stored and beyond its value as a business asset. Develops processes to collect information content and metadata ensuring it meets minimum standards so that information can be shared between systems and agencies.	Drives the use of information and metadata that is fit for purpose across whole-of-government and for reuse in the broader community.
User experience	Understands how users interact with processes and systems when creating business information as evidence of business activity.	Understands usability principles and processes and is able to apply them to new information management work processes and systems.	Understands that success of information management change projects depends on meeting the needs of the users as well as the business and ensures projects are managed accordingly.	Understands the change management challenges of implementing new information technologies and ensures these are addressed during change projects.
Data architecture	Is aware of the agency's data architecture and follows agency standards.	Works with the agency's data architecture to ensure information meets the agency, data architecture and compliance requirements to improve business outcomes.	Understands and applies the agency's data architecture to ensure information meets the agency, data architecture and compliance requirements to improve business outcomes.	Directs and supports the use of data architecture to leverage business information and compliance requirements to improve business outcomes.
Business process review and improvement	Understands how business analysis and business process mapping contribute to effective information management.	Understands the role of business analysis and process mapping in business process review and how to apply them to improve business processes and information management.	Is able to analyse agency technologies and work practices and identify improvements in digital business processes and information management.	Supports an enterprise-wide, risk-based approach to the analysis and review of technology, systems and practices to achieve strategic priorities.
Information costs	Is aware of the costs of digital information management.	Understands and is able to identify digital information management costs.	Is able to identify whole-of-life digital information management costs and ensures these are represented in budgets.	Understands the range of costs of digital information and uses this information when making decisions.

Capabilities for information and records management specialists

Information and records managers are responsible for strategically managing information in all formats and in all locations. They have a crucial role to play in the effective and efficient management of all business information from creation and capture to destruction or transfer. It is expected that all information and records managers will also have the capabilities required for all staff.

Topic	APS 1–4	APS 5–6	EL 1–2	SES
Legislative and Government environment	Is aware of legislation affecting information management in the agency and understands relevant sections of the *Archives Act 1983*. Is aware of whole-of-government policies and standards that impact on information management.	Is aware of agency-specific and whole-of-government legislation and policies and standards that relate to information management and how they affect the agency.	Has a thorough understanding of legislation that impacts on information management, how they relate to one another and is able to advise others in the agency. Is able to represent the agency in the development of whole-of-government policies and standards.	Understands the impact of legislation and whole-of-government policies and standards on information management and ensures these are addressed in information and records management initiatives. Seeks to influence the direction of whole-of-government information management policies and standards.
Digital transition	Is aware of digital transition and commits to achieving transition through effective work practices.	Understands digital transition and how to achieve it and seeks opportunities to update work processes to limit the creation of paper records.	Has a thorough understanding of digital transition requirements and benefits and engages others in moving the agency towards digital information management.	Champions digital transition in the agency and seeks opportunities to drive efficiency and effectiveness and optimise outcomes through fully digital business.
Information metrics	Is aware of information management reporting requirements.	Understands how information management metrics can help improve information management practices.	Measures information management performance using standard metrics and reports improvements to support business outcomes.	Drives a culture of continuous improvement based on evidence from appropriate metrics.
Information review	Understands the purpose of an information review, the steps involved and is able to assist with gathering data.	Is able to gather data for information reviews covering all information types, formats and locations.	Is able to plan and manage information reviews and to analyse information gathered to identify gaps and opportunities.	Understands the strategic value of information reviews and ensures recommendations are implemented.

Information governance and business risk mitigation	Understands the purpose of key information governance documents. Understands the role of information and information management in protecting the agency from risks.	Understands the governance role of information and information management and is able to apply appropriate frameworks, strategies and policies in the agency. Is able to assess business risks and implement strategies to mitigate risks.	Understands the link between information governance and other aspects of corporate governance. Is able to develop and implement information management frameworks, strategies and policies. Understands sources of risk for the agency and works with business areas, including areas of high risk, to develop strategies to mitigate risks.	Ensures information governance is integrated with ICT governance, security and risk management, business continuity, accountability and compliance. Understands the value of information and information management in risk mitigation and advocates for improved information management to reduce risks.
Digital continuity	Understands the purpose of digital continuity and the key actions to achieve digital continuity.	Understands the key actions to achieve digital continuity and how to apply them to business areas in the agency.	Understands the *Digital Continuity Plan* and how to apply it to the agency to achieve the digital continuity outcomes and meet the digital continuity principles. Provides advice to ensure the continuing availability and reliability of information for as long as it is required.	Understands digital continuity principles and outcomes and the role of agency leadership in driving cultural change needed for effective digital information management.
Communication and leadership	Understands the value of information sharing to the agency and follows appropriate information management behaviour. Is able to deliver training in information management processes such as use of specialist systems.	Is able to develop and deliver advice and training in information management responsibilities, principles and processes. Actively participates in building an agency culture that values information as a corporate asset.	Is able to advocate for and explain information management to the agency and tailor the content and format of information delivery to suit different audiences. Participates in open and flexible communication to support an agency culture that values information as a corporate asset.	Uses a broad range of communication channels to promote an agency culture that values information. Participates in agency leadership committees as an information management champion. Supports information management training and professional development throughout the agency.
Business process review and analysis	Understands how business process analysis contributes to effective information management.	Understands the link between business processes and information, and the role of business process analysis in improving processes and identifying requirements for creating, managing or destroying information.	Is able to analyse work practices and identify improvements in digital business processes and information management.	Supports an enterprise-wide, risk-based approach to the analysis and review of technology, systems and practices to achieve strategic priorities.
User experience	Understands how users interact with processes and systems when creating and using business information.	Understands usability principles and processes and is able to apply them to new information management work processes and systems.	Understands that success of information management change projects depends on meeting the needs of the users as well as the business and ensures projects are managed accordingly.	Understands the change management challenges of implementing new information technologies and ensures these are addressed during change projects.

Technical literacy	Has a basic understanding of technologies and systems and is able to discuss technical issues with ICT specialists particularly in relation to information management technologies.	Has a reasonable understanding of technologies and systems particularly in relation to information management technologies and other systems that manage business information.	Has a solid understanding of technologies and systems including interoperability, data architecture and data administration, and data analysis processes.	Has a broad understanding of technologies and systems and is able to discuss technical issues with ICT specialists including vendors and industry representatives.
Specialist technologies	Has a good understanding of specialist information management technologies (such as electronic document and records management systems) and is able to use them effectively to manage business information within their work responsibilities and support others in the agency to do the same.	Has a high level of expertise and manages specialist technologies used to manage business information in the agency and is able to investigate ways to improve digital information management using available or new technologies.	Demonstrates expertise in specialist technologies to support business information management across the agency and is able to provide advice for improvements or new technologies to achieve agency outcomes. Manages and supports the implementation of new or improved technologies.	Recognises enterprise requirements for appropriate technologies and drives the development of improved information management capability across the agency.
Information management functionality in systems	Is aware of *ISO 16175 Principles and Functional Requirements for Records in Electronic Office Environments* and has a general understanding of the requirements.	Has a good understanding of the requirements of ISO 16175, particularly for specialist information management systems.	Has a good understanding of the requirements of ISO 16175, for both specialist information management systems and other business systems and is able to provide advice on the compliance of systems.	Is aware that ISO 16175 has been endorsed for use in Australian Government agencies and advocates for its use in assessing all business information systems for procurement, enhancements, upgrades or decommissioning.
Tools and technologies	Uses tools and technologies, including business systems, to ensure information and records are created, organised, stored, retrieved, shared and disposed of in accordance with organisational policy.	Demonstrates a high level of skill in using tools and technologies to manage information, and investigates ways to improve information management using available technologies.	Oversees the selection, development and use of information management tools such as classification schemes and plans; vocabularies, ontologies and taxonomies; indexing, authorisation and control mechanisms; and systems.	Understands the impacts of new and emerging technologies and formats on information management and ensures information management requirements are considered during the implementation of new technologies.
Standards and best practice	Is aware of information management standards and works to improve practices in the context of relevant policies, procedures and processes.	Understands endorsed standards and translates them into policies and procedures and assists with the development of business processes that reflect improved information management practice.	Understands the requirements of government and industry standards and best practice and interprets and implements these through relevant policies and procedures.	Seeks operational efficiency, streamlining and adapting processes to harness opportunities for continuous improvement in information management based on endorsed and developing standards and best practice.

Metadata	Understands the purpose and benefits of metadata and ensures appropriate metadata is captured in accordance with agency policy as part of work processes.	Understands the fundamental role of metadata in information management and the specific requirements for recordkeeping metadata as it applies to the agency.	Understands the requirements for recordkeeping metadata and other relevant metadata standards and can provide advice on metadata requirements in system design and configuration and through policies and procedures. Is aware of appropriate metadata for specific types of information. Instigates projects to continuously improve use of metadata.	Understands the importance of metadata and influences the design or review of systems or processes to ensure the capture or creation of metadata is automated as much as possible.
Risks to information	Recognises potential risks to digital information and applies agency policies and work practices to mitigate risks.	Recognises the risks and issues associated with managing digital information and records and formulates actions to mitigate risks. Participates in risk reviews.	Is aware of risks to information that may arise from outsourcing, during system upgrades or as a result of neglect, maliciousness or inadvertent user activity. Identifies and mitigates specific risks to information, including legacy information, wherever it is stored. Liaises with other work areas to commission risk reviews.	Supports and commissions investigations into reducing risks to information and ensures recommendations are implemented.
Retention and destruction of information	Understands the principles and processes to sentence records and how to prepare records for transfer to the National Archives. Is aware of what information can be destroyed using normal administrative practice (NAP) and applies NAP as part of regular work.	Is able to manage sentencing projects and migration or transfers to the National Archives. Understands the processes required to develop a records authority and is able to contribute to a project to develop a records authority.	Is able to manage a project to develop a records authority and to implement and manage an ongoing program to reduce information holdings in accordance with legislation. Understands the requirements of normal administrative practice (NAP) and how to develop and implement a NAP policy.	Understands the risks and costs of holding information longer than required and is aware of the benefits of disposing of information when authorised. Allocates resources to regular authorised destruction or transfer of information.
Monitoring and compliance	Recognises non-compliance in work area and seeks to improve processes to achieve compliance. Is able to monitor systems for compliance with policies and agreed procedures.	Is able to plan and implement ongoing compliance monitoring and reporting.	Understands the role of regular monitoring to ensure systems and practices comply with legislation and policies to ensure the continuing integrity of information. Includes outsourced and shared service arrangements.	Understands the purpose of regular monitoring to guarantee integrity of information as evidence and to underpin accountability in the agency.

Access to information	Is familiar with the agency's record plan and other categorisation tools and is able to advise others on their implementation.	Understands the role and importance of tools that enable access to information such as controlled vocabularies, ontologies and taxonomies and is able to contribute to their development.	Understands the role and importance of tools that enable access to information and is able to oversee their development or selection and implementation.	Drives a culture that values information sharing and advocates for new and improved technology to enable greater and easier access to information.