Chief Information Governance Officer Forum

Thursday 21 February 2019 | 10am-12pm

NAA

NATIONAL ARCHIVES OF AUSTRALIA

Agenda

- Introduction by Director-General

- Presentations from Professional Associations

Morning tea

- Updates on National Archives activities:
  - Check-up PLUS survey results
  - Joining the dots
  - Post 2020 Information and Data Management Policy
  - Q&A

David Fricker

Director-General

National Archives of Australia

Professional Associations

Judy Broker - Australian Library and Information Association (ALIA)

Colleen McEwen - Australian Society of Archivists (ASA)

Vladimir Videnovic - Institute for Information Management (IIM)

Andrew Smailes - Data Management Association (DAMA)

Anne Cornish - Records and Information Management Professionals Australasia (RIMPA)

Rupert Grayston – Australian Computer Society (ACS)

Speaker's notes

- The professional associations represented at today's forum include :

- Judy Broker - [Australian Library and Information Association (ALIA)](#)
- Colleen McEwen - [Australian Society of Archivists (ASA)](#)
- Vladimir Videnovic - [Institute for Information Management (IIM)](#)
- Andrew Smailes - [Data Management Association (DAMA)](#)
- Anne Cornish - [Records and Information Management Professionals Australasia (RIMPA)](#)
- Rupert Grayston – Australian Computer Society (ACS)

Linda Macfarlane
Assistant Director-General a/g
National Archives of Australia

Information management maturity indexes

2018 Check-up PLUS Survey results:

Information Governance
Managing information assets across an entire organisation to support its business outcomes. It involves having frameworks, policies, processes, standards, roles and controls in place to meet regulatory, legal, risk and operational requirements.

3.0 out of 5

Information Creation
Creating business information that is fit for purpose to effectively support business needs.

3.6 out of 5

Interoperability
Supporting the use and reuse of government information and data as key assets. Providing accessible, consistent, coordinated and more timely services, and reducing obsolescence and costs.

3.1 out of 5

Storage
Storing business information securely and preserving it in a useable condition for as long as required for business needs and community access.

3.3 out of 5

Disposal
Keeping business information for as long as required after which time it should be accountably destroyed or transferred.

2.8 out of 5

Overall

3.1 out of 5

Speaker's notes

Check-up PLUS

- The National Archives' Annual Check-up survey of Australian Government agencies provides insight into the effectiveness of agency information and data governance and the achievement of the objectives set out in the Digital Continuity 2020 Policy. Agencies have reported steady improvements in meeting the policy targets, including an increase in the percentage of agencies working digitally by default from 30% in 2010 to 87% in 2017.

- 2018 was the first year National Archives ran the Check-up PLUS survey, following on from Check-up Digital which focussed on agencies' digital capability. A total of 172 agencies completed the 2018 Check-up PLUS survey - a survey response rate of 97%.

- The 2018 Check-up PLUS survey assesses performance in 5 component areas of information management – governance, creation of information, interoperability, storage and disposal.

Overall Results

- Governance   3.1
- Information Creation   3.6
- Interoperability   3.1
- Storing   3.3
- Disposing   2.8

Agency maturity levels

Lower maturity levels ⬇	Higher maturity levels ⬆
Disposal Governance Interoperability	Creation Storage
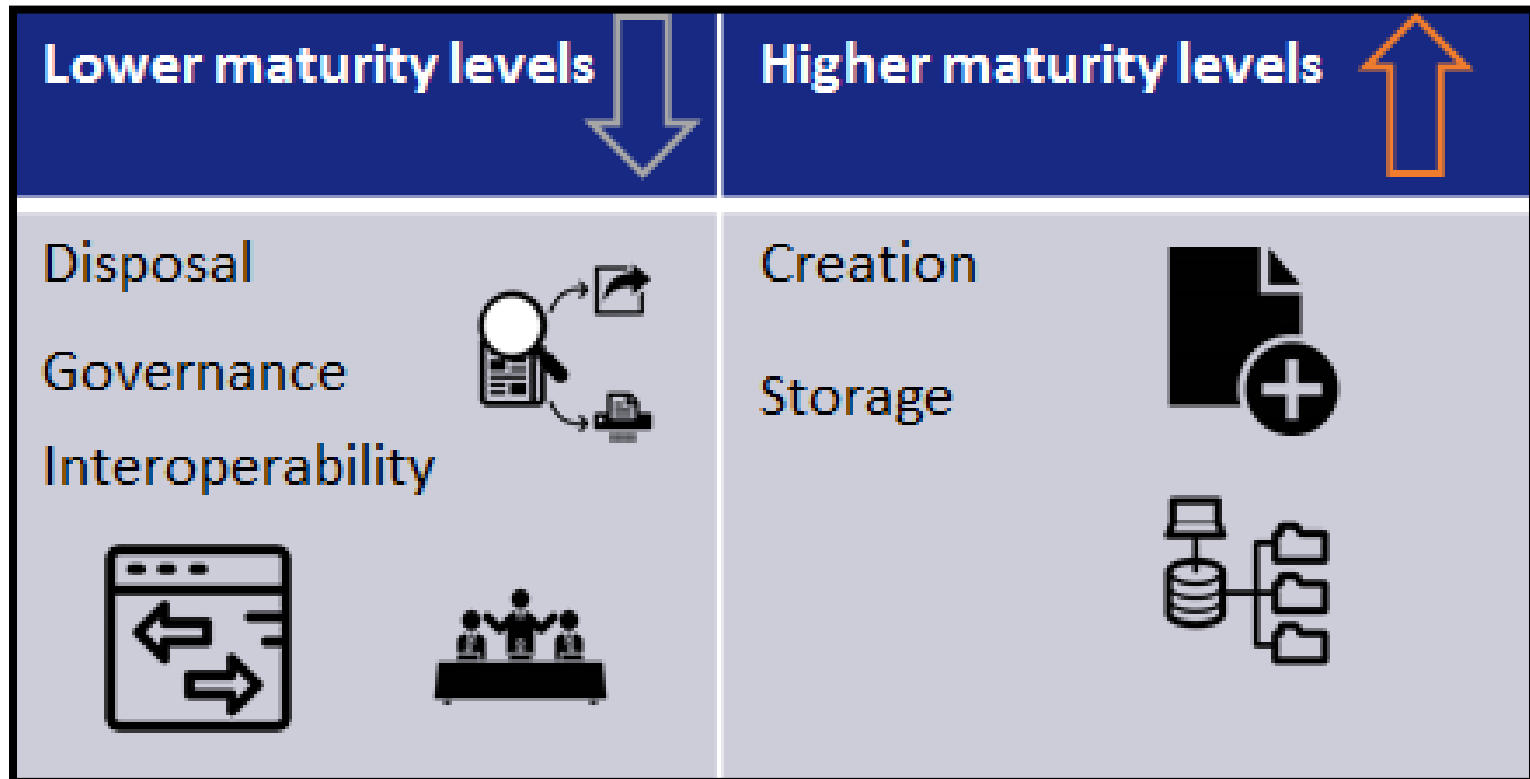
Speaker's notes

Agency maturity levels

The survey showed that the highest maturity levels were recorded in creating (3.6) information, while the lowest maturity levels were recorded for disposing (2.8) of information. Storage also ranked with creation as one of the higher performing indexes, while both governance and interoperability had a low level of maturity.

Creation

88% create information as evidence of government business enabling business operations, decisions and continuity

Storage

Over three-quarters usually or always ensure information that needs to be protected or secured is identified and managed appropriately. In contrast, only 38% usually or always ensure digital repositories have appropriate functionality to preserve information according to its value.

Disposal

Less than half of agencies indicated that they usually or always complied with better practices for disposing of information. The area with the most scope for improvement was automating the identification and destruction of low value and low risk information, which 64% of agencies indicate they do rarely / never or sometimes.

Governance

- Nearly half (49%) of agencies had established a formal governance mechanism for all agency information management decisions, including establishment of an Information Governance committee or similar mechanism. An additional **14%** had a mechanism for ICT only.

- Another strong point was management of information in contractual arrangements with 72% of agencies usually or always implementing best practice in relation to requiring the complete and consistent management of Australian Government information in contractual arrangements. Less than half were doing so in relation to managing data across the lifespan using systems and processes

- Agencies recorded mixed to low ratings on average about their maturity in implementing a range of better practice approaches to managing their information management risk, and reporting results of information management risk assessments.

- The areas with the most scope for improvement were in relation to using analytics to identify how information is being used and how long it needs to be kept

Interoperability

- Less than 40% of agencies had implemented a range of interoperability measures for describing data assets - 36% have adopted relevant metadata standards at the appropriate level

- 56% of agencies have adopted standardised file formats to enable use and reuse

- Results were mixed with regard to agencies adopting an 'open by default' position in enabling access to information, with over one-third indicating that this only happens sometimes or rarely in their agency.

Overall maturity index

3.1
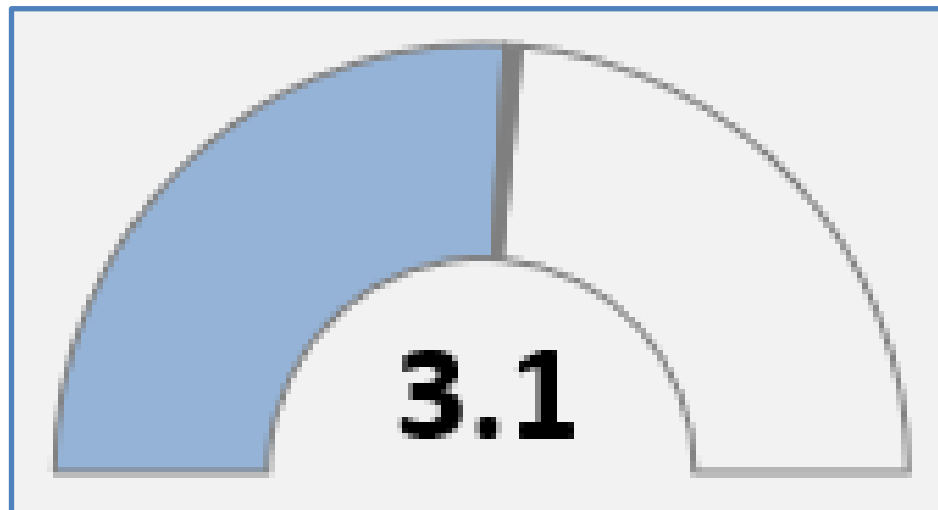
Speaker's notes

Overall maturity index

- The overall maturity index is calculated by combining the scores of five component maturity indexes.

- The 2018 Check-up PLUS survey found that the overall information management maturity index recorded a score of 3.1 out of 5. This rating is just above the mid-point level and suggests that agencies are, on average, between 'often' and 'usually' applying the range of better practice information and record management practices measured in the survey. It also shows that there remains considerable progress required before these practices are consistently followed across agencies.

- 57.5% of agencies are achieving an overall level 3 maturity or above, with 19 achieving level 4 maturity or higher (one agency, Inspector-General of Taxation has achieved the highest level 5). Of the top 10 mature agencies, 4 have fewer than 100 staff indicating that the policy is achievable regardless of agency size.

Joining the dots

Working closely and directly with agencies

Developing tools that support your agency

Creating opportunities to meet and discuss strategies

Speaker's notes

While progress is being made across the government, few agencies are fully mature in all areas of information management. Each agency needs to make plans and implement change according to their area of need/least maturity and to build IM capability to make best use of information as a resource. Information management isn't just the responsibility of one area of the agency – it underpins an agency's business and enables informed decision making, transparency and accountability. It is therefore essential to engage IM professionals in the planning and implementation of projects where information (creation, storage, use, disposal and governance) is essential for the performance of the agency's business.

Senior leaders and decision-makers, such as CIGOs, can enable agencies to achieve a higher levels of maturity. They are in a key position to see opportunities and drive change to build understanding of the value of IM, and how efficient IM benefits the business.

NOTE ADDED: We anticipate the Whole of Government and Agency specific Check-up Plus reports will be distributed by the end of February.

So, what are we doing with the data gathered through the Check-up survey to support this?

Joining the dots

Following analysis of the 2018 Check-up PLUS data, the National Archives is designing a program of work to support all agencies in achieving Level 3 Maturity or above by the end of 2020. The aim is to assist agencies to bridge the gap or join the dots between their current maturity level and level 3 or above, which represents a level of maturity where, on average, the agency is often achieving best practice IM behaviours.

Main areas of focus:

- working closely and directly with agencies not yet achieving level 3 maturity to focus resources and change efforts on building both internal capability, providing in-agency support and expertise

- developing tools that support agencies, such as the interoperability tools, and

- creating opportunities for agencies to meet and discuss strategies to improve particular single areas of maturity. The National Archives will help build communities of practice and translate and share the intelligence through updated online advice or through a CIGO Forum.

Information management and data capabilities
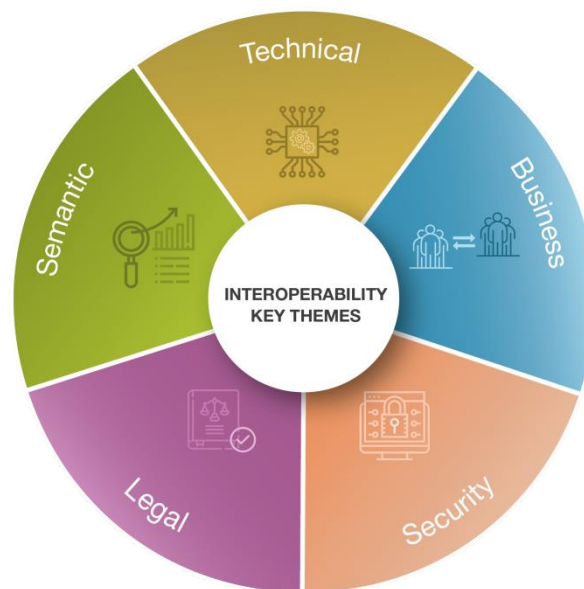
Building interoperability

Business System Assessment and Digital Authorisations Frameworks

Information Management Standard and implementation guides

Information Management Standard – Australian Government
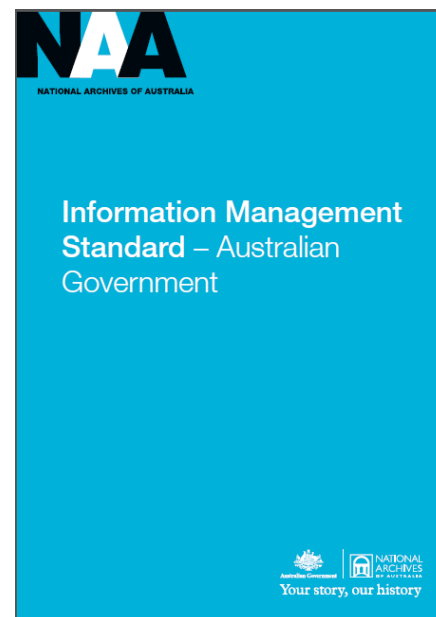
Speaker's notes

Tools that have been recently developed by Archives include:

Updated information and data capabilities tool - Information management and data capabilities outline the skills and knowledge that employees and their organisations need, to create and manage information and data effectively to meet business and accountability requirements

These are in broken into:

- two different categories: 'All staff' and 'IM professionals', which also includes a subset of data capabilities
- 4 levels per capability – Foundation; Practitioner / skilled operational; Management / specialist; Executive / lead

Interoperability resource - unpacks key interoperability themes (business, security, legal, semantic and technical) and development phases. It also provides insight into common interoperability hurdles to enable you to exchange information and data between different systems.

Data governance and management is an essential component of information governance, particularly in data-centric agencies and is the foundation for building interoperability. It supports standardisation and management to facilitate discoverability and sharing

Digital authorisations Framework – A self assessment tool for transforming analogue approval processes to fit for purpose digital approvals. It provides Australian Government agencies with a consistent approach for determining appropriate digital approval methods for business processes.

Business Systems Assessment framework – A self assessment tool providing a consistent, streamlined, risk-based approach to the assessment of information management functionality in business systems. It is based on Part 3 of ISO 16175.

Information Management Standard - assists Australian Government agencies to create and manage business information effectively by outlining principles for well-managed information within the Australian Government jurisdiction. Also outlines Archives expectations for the management of business information to enable agencies to meet business, government and community needs and expectations. The Standard is consistent with the key concepts and principles of Australian Standard AS ISO 15489.1 (2017) - on Records Management and is part of a suite of products that includes implementation guidelines.

Coming up:

The Champions program invites high achieving agencies (level 4.5 maturity and above) to act as mentors and support agents for other agencies looking to improve their maturity. The program will create links between those with experience and expertise with those who can benefit from their experience. This may include speaking at GAIN forums, presenting at a facilitated workshop or involvement in a community of practice. 'Champion' agencies will be contacted soon.

Post 2020 Information and Data Management Policy

Speaker's notes

Post 2020 Information and Data Management Policy

- The role of the Archives is to ensure that the essential information and data of government is appropriately governed, is kept and remains accessible and usable. Information and data governance is key to ensuring that all these needs can be met. The National Archives has developed a range of policy and support for agencies to help improve information and data governance including the Digital Continuity 2020 Policy.

- The National Archives is developing a new information and data management policy for implementation from 2021.

- Through the post 2020 policy the National Archives seeks to address key information and data management issues that have been identified through Check-up PLUS results, through interactions with agencies, and a comprehensive scan of digital transformation initiatives and challenges across the Australian Government and internationally.

- Research has been undertaken in key focus areas including digitisation, transfer requirements to the National Archives, management of legacy data, and transparent and accountable recording of decisions using artificial intelligence and machine learning. These and other areas of research will help inform the future policy.

- The post 2020 policy approach is focussed on partnering and collaborating with other agencies to deliver aligned requirements and advice to agencies; including initiating the development of a WoG information and data framework to simplify and explain the current environment, with areas of focus for increasing data and information governance capabilities across government.

- Collaborative opportunities with key government stakeholders are currently being sought, with broader consultation with Australian Government agencies to be forthcoming.

Questions?

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Australian Government

National Archives of Australia

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