

Digital Continuity 2020

the future of e-government




GAIN Canberra
4 February 2020



Agenda

- Introduction
- DC2020 Implementation Support Program
- Data Interoperability Maturity Model (DIMM)
- AFDA Express Version 2
- Records Authorities and Disposal Freezes
- MOG Changes
- Post 2020 Policy Update
- Other Updates

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Digital Continuity 2020 **Implementation Support Program**

Keith Young, Director Agency Engagement

The Agency Implementation Support Program aims to assist Australian Government agencies with low-maturity digital information management practices by linking them with National Archives' targeted support and online information management advice and tools.

Check-up PLUS 2018 survey results show that 67 agencies, ranked 93 to 160, have an 'Overall Index' score below the benchmark maturity index score of 3 (out of 5), meaning they have limited digital information management capabilities.



Program activities

Under the program, the National Archives:

- has consulted with a number of agencies which are in the beginning stages of developing their digital information management capabilities
- is identifying limitations and challenges in agencies' digital information management practices
- based on the received feedback, finding gaps in National Archives' current online advice
- will provide targeted support to agencies.

The National Archives has been providing support through advice and tools since the DC2020 Policy was launched in 2015. This year is the last year of the policy and the Archives' objective is to provide continued support to enable as many agencies as possible to improve their information management capabilities and meet the objectives of the policy.



Consultation – roundtable discussions and teleconference calls

- 44 out of a total of 67 'in-scope' agencies were selected for consultation, based on their size, location and maturity index score
- Agency representatives (ie. nominated Check-up coordinators and record managers) were contacted individually, by email and/or phone
- 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation
- Consultations were conducted during November-December 2019
- We had 4 roundtable sessions and 7 teleconference calls.



Main discussion topics

- Agencies' limitations and challenges in the management of digital information
- Wish-list to help achieve DC2020 recommended actions
- Barriers in dealing with National Archives
- Opportunities for collaboration.



Key findings – Limitations and challenges

Most agencies identified the following limitations and challenges:

- Resources and culture
- Senior executive support
- Technology

For staffing, budget and culture, agencies indicated that resources in IM areas have diminished over time, there is a lack of IM professionals in the workforce, agency staff do not fully understand the benefits of IM, there is not enough time for IM initiatives as resources get drawn by “business as usual” activities, processes tend to improve after an issue or incident, and positive outcomes are hardly recognised.

In relation to senior executive support, the most cited issues were the lack of support and leadership if there is no requirement, and that IM is not viewed as a priority for SES. In some agencies, there is a limited SES understanding of the benefits in investing in IM initiatives.

Some of the identified technology barriers were the management of unstructured information stored on shared drives or Outlook folders, the cost associated with the preservation of some legacy records, the search functionality in some records management systems, and the risks in using cloud solutions for the management of long-term records.



Key findings – Wish list

Participating agencies agreed there is a need for:

- a better IM culture and SES support
- more meaningful and practical support from the National Archives
- technology.

Participants agreed there is a need for specialist skills in IM, a reduction in red-tape, with particular reference to the half-yearly Harradine Reports, more executive support and leadership, and a need for making the Agency Heads responsible for the management of information in their agency.

National Archives should provide more meaningful support, such as agency visits, develop more specific and realistic online advice, introduce a “three-star” approach rather than a “five star” to IM maturity in the new post-2020 policy, present agency case studies at forums such as this one, and coordinate IM working groups or other networking activities.

Technology-wise, agencies would like a product that can look at all systems and is able to manage all information in one place.



Next steps

Based on these key findings, the National Archives will:

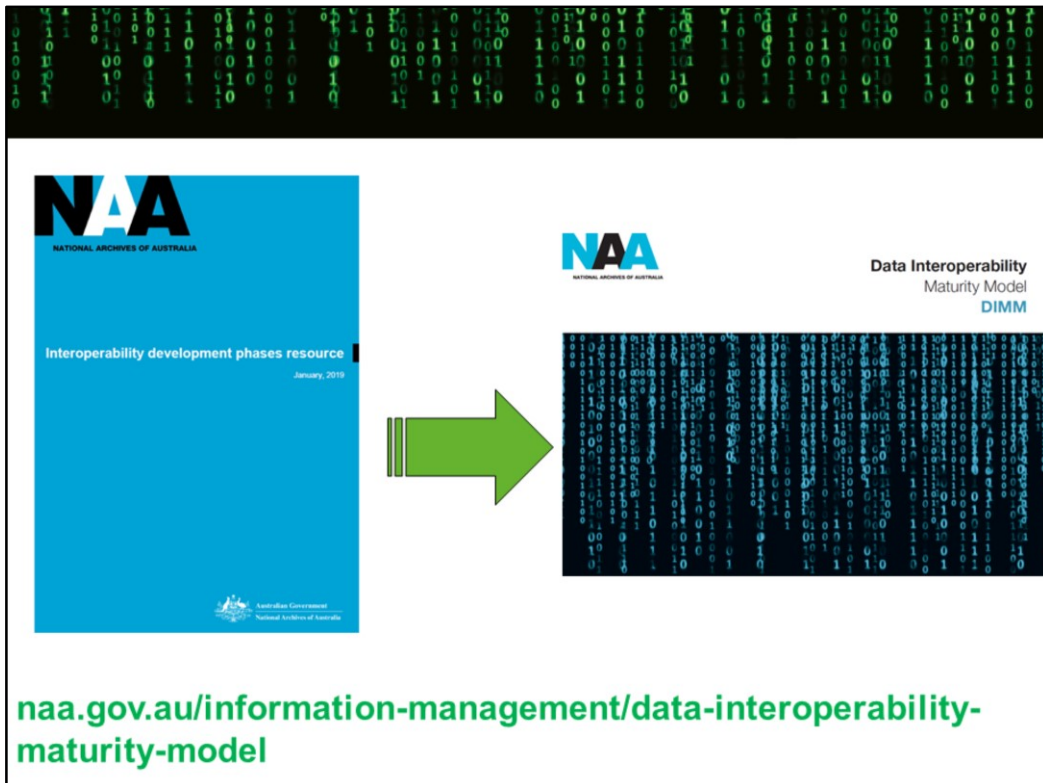
- identify gaps in our current online advice
- develop a list of priorities for developing and updating online advice
- review and update the Check-up PLUS survey content and some DC2020 targets
- provide specific support to agencies where possible
- seek to organise agency presentations to spotlight successes in implementing DC2020 principles and actions.

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Data Interoperability Maturity Model

Linda Zakman, Information Policy Team

The National Archives' Data Interoperability Maturity Model (DIMM) was published at the end of last year, and is expected to be the last of the advice released under DC2020.



The DIMM follows on from the Phase 1 body work released in January last year that included Interoperability Development phases. This was the first of the interoperability advice from the NAA that addresses Principle 3 of DC2020 – information, systems and processes are interoperable.

The DIMM is Phase 2. It's about assessing what you have and determining where you want or need to be regarding your interoperability capabilities.

To refresh; data interoperability means you can exchange data (including information) between different systems and organisations.

Successful data interoperability ensures:

- the context and meaning of data is not lost or mistakenly altered during an exchange
- compatibility between systems is facilitated

Building interoperability is core to digital transformation. It leverages the easy and efficient exchange of data to provide services that are simpler and faster for all users.

Information management relies on data interoperability to create, store, find, share and re-use information.



- The DIMM is also based around the key themes of interoperability that were established with the development resource advice: Business, Security, Legal, Semantic, Technical and their overarching Data Governance
- Each theme has categories that unpack what interoperability means for that theme (e.g. the SEMANTIC theme has taxonomy and data discovery, the BUSINESS theme has digital skills and performance monitoring)
- The CORE of our DIMM advice is the DIMM assessment tool – also known as the DIMM assessment matrices
- Agencies can use the DIMM assessment tool to self-assess their level of data interoperability maturity



Information and data governance - matrix

INFORMATION AND DATA GOVERNANCE: An agency's information and data governance maturity – used to coordinate and drive data interoperability across the five themes						
CATEGORY	OBJECTIVES	STEP: Initial	STEP: Developing	STEP: Defined	STEP: Managing	STEP: Optimising
Frameworks, strategies, policies, standards, and roles.	<ul style="list-style-type: none">a. Agency understands regulatory, legal, risk and operational requirements and uses governance mechanisms to drive data interoperability.b. Agency-wide agreed standards are in place and understood by business.c. Roles and responsibilities for interoperability are identified in the organisation structure. Changes are made where required.	<ul style="list-style-type: none">• Data is not governed in a consistent way across the agency.• Data governance framework and practices do not consider supporting data interoperability.• There is limited understanding about data interoperability and how it could be used across the agency. A wider data strategy may exist but does not explicitly address interoperability.• Data owners manage and maintain information and data holdings as has. There are no roles or clear responsibilities within or across teams.• Decisions have not been made about which data needs to be interoperable and which data is not a priority (for example, low value or low risk data).	<ul style="list-style-type: none">• Individual groups within an agency have established data governance structures and processes to improve interoperability, but these are not documented or adopted across the agency.• Agency has no definitive view of data quality, standards, metadata and file formats for the data it holds and manages.• A high-level data strategy and policies that support data interoperability are emerging.• Data owners understand the importance of managing and maintaining data holdings for interoperability. Some tasks and responsibilities have been allocated within teams.	<ul style="list-style-type: none">• Data governance is defined. It explicitly considers interoperability and is consistently applied to high-value data.• High-value datasets have assigned custodians and conform to agreed data standards.• There is a definitive view of data quality, standards, metadata and file formats for data held and managed by the agency.• Agency has a clear, documented strategy for data interoperability that aligns with wider business objectives and plans.• Supporting policies for data interoperability exist to drive good practice across the agency.• There are defined operational roles that facilitate data management and interoperability (for example, data stewards, curators and custodians).	<ul style="list-style-type: none">• Data governance processes and standards for interoperability are applied to all data.• Responsibilities and roles for data governance processes and data ownership are clearly defined across the agency.• All data held and managed by the agency adheres to their common standards, code lists and models.• Agency has set clear targets for the implementation of their data interoperability strategy, including KPIs.• Agency's data inventory or catalogue is used as a key tool for informing data interoperability policy and strategy.	<ul style="list-style-type: none">• Agency-wide data governance framework is subject to continual review, monitoring and refinement.• Delivery of the objectives in the data interoperability strategy is reviewed and reported on, and goals are adjusted over time to continually drive improvement.• Policies that promote data interoperability are subject to continual improvement.• Metrics on data holdings are available and used to target improvement efforts, including feedback from external parties such as data consumers.
Leadership	<ul style="list-style-type: none">a. There is corporate support for data interoperability.b. Knowledge and understanding of data interoperability exists at senior levels and in relevant committees such as the information governance committee.c. Senior levels proactively support interoperability initiatives.	<ul style="list-style-type: none">• The senior leadership team has some awareness of what is needed to build and manage data interoperability and of the management structures to support compliance to related standards.	<ul style="list-style-type: none">• The senior leadership team is supporting data interoperability initiatives in some areas of the business.• Senior leadership support of interoperability is not strategic and is inconsistent.	<ul style="list-style-type: none">• Ownership and responsibility for delivering the interoperability strategy is defined by a nominated champion for data interoperability.• The senior leadership team is visibly setting targets for data interoperability in line with agency priorities.• Senior support is strategic and aligns with their area's work plan.	<ul style="list-style-type: none">• Senior leaders meet to discuss data interoperability as shared initiatives across their areas.• Interoperability is included in the general agenda for the senior leadership team.• Senior leaders continually task to develop and innovate data interoperability that supports their agency or targeted work areas.	<ul style="list-style-type: none">• Performance of the senior leadership team includes consideration of progress towards data interoperability objectives.• The senior leadership team continuously reviews and adjusts targets specified in the data strategy, taking on board ongoing developments in best practice for data interoperability from the wider community and standards.

- The assessment tool breaks down each of the themes into tables
- In each table you have the categories

Each category has 5 steps that describe the common data interoperability behaviours, events and processes for levels of maturity ranging from just starting out – to the highly capable.

These 5 steps are:

- initial
- developing
- defined
- managing
- optimising

The DIMM is not a prescriptive standard and does not measure how open your data is or how much data you share.

Performing a DIMM assessment

1. Conduct a scope assessment

Define your key participants and assessment parameters.

Who are the key stakeholders that need to be involved in the assessment?

Are you assessing interoperability maturity for the whole agency, a division, a branch, a program or a single project?

2. Assess the current state

Using the [DIMM assessment tool](#), talk to subject matter experts and stakeholders to identify and document your current level of maturity (step) for each category. This is your baseline maturity.

To choose a level of maturity, you must also meet the characteristics and behaviours of all lower levels. For example, you should only select the 'optimising' step if you already meet the behaviours in the 'managing' step.

Your level of maturity can vary between categories.

3. Identify the desired future state

Talk to key stakeholders about the level of maturity you need to meet your short and long-term business needs.

Document your desired future state for each category, noting that it can vary between categories and be different to other agencies'.

For each category, compare your baseline maturity to your desired future state and document any gaps in data interoperability maturity.

4. Plan for change

Analyse your results to confirm your agency's current strengths and document areas for improvement.

You can use the results to inform strategic planning and investment activities or to create a roadmap for improvement. We recommend plotting a path that leads from your baseline to your target maturity for each category.

Repeat the assessment to track data interoperability improvements and trends over time.

What does success look like?

Your agency is using the DIMM successfully when it:

- has plans in place to build data interoperability maturity to each 'defined' step or higher. This could be assisted by a strategy, roadmap or plan
- monitors data interoperability over time to make further improvements that align with business needs

Your agency does not need to be at the 'optimising' step to have effective data interoperability.

We welcome feedback about the usability and content of the DIMM. Please contact the [Agency Service Centre](#) with any comments or questions.

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AFDA Express Version 2
Matt Lyons, Agency Engagement Team



AFDA Express Version 2

- AFDA Express Version 2 available on the website
 - replaces AFDA & AFDA Express (2010) 1 July 2019
- Improved discoverability
 - More description
 - New 3 year minimum retention class
 - Index
 - Mapping of old to new classes

AFDA Express Version 2 which replaces both AFDA and AFDA Express (2010) from 1 July 2019 is available on the website.

The following enhancements are included:

- Additional description in the function scope note
- A new class of low value records with a 3 year minimum retention period for most functions. Agencies can opt into this class or opt out and continue to use the default class (usually with a 7 or 10 year minimum retention period) which is always listed last and covers the bulk of the routine low level records for the function. This class also provides further description to improve discoverability
- A comprehensive index that will replace and update the AFDA index by including additional keyword terms to assist with navigation
- A guide that maps old classes to new classes to assist with implementation



AFDA Express Version 2

- 15 functions (reduced from 19)
- Summary of changes on website:
 - Some functions have been combined eg External Relations (formerly Government and Community Relations and new International Relations)
 - Incorporation of GRA 41 Child Sexual Abuse Incidents and Allegations
 - Incorporation of GRA 36 Contracts Under Seal/Deeds
- Resentence where retention periods have increased

AFDA Express Version 2 consists of 15 functions (reduced from 19). Some former AFDA functions have been combined, General Records Authority 36 Contracts Under Seal/Deeds is incorporated; new classes covering International Relations activities are included; and the disposal requirements of General Records Authority 41 (GRA 41) Child Sexual Abuse Incidents and Allegations are now included.

A more detailed summary of changes is available on our website including a full list of the functions.

There is no requirement to resentence records that have been sentenced using AFDA except where retention periods have increased. The guide that maps old classes to new will assist with determining records that need to be resented.



AFDA Express Version 2

- Mapping guides – completed and available online
- Indexes – completed and currently being published to the website
- Alternative formats – completed and available online
- Consolidated index – in development

Pending release on the website, contact the Agency Service Centre

We are continuing to finish up the remaining work to enable agencies to take full advantage of AFDA Express Version 2.

All the mapping guides are now completed and are available on the NAA website.

We have created CSV versions of all functions which are also now available on the website. This format is intended to assist with uploading the new AFDA functions into information systems. We also have XML versions of some of the functions, which are available upon request.

Indexes for all functions are also now complete and in the process of being published to the website. This should be completed in the next few weeks. The Indexes are also available via the Agency Service Centre upon request.

We also plan to produce a consolidated index to improve navigation and searchability across AFDA.

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Records Authorities and Disposal Freezes

Matt Lyons, Agency Engagement Team



Records Authorities and Disposal Freezes


- IP Australia – Plant Breeder's Rights
- Australian Building and Construction Commission
- Administrative Appeals Tribunal
- Financial Services Royal Commission disposal freeze lifted 11 December 2019
- Alert – possible Bushfire Royal Commission will likely require a targeted records retention notice

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Machinery of Government Changes

Matt Lyons, Agency Engagement Team



Machinery of Government Changes

- MoG changes announced 5 December 2019 took effect 1 February 2020
- Seven departments of State merged into four
- Review NAA advice on transferring information following administrative change
- Records follow function, records authorities follow records

Machinery of Government changes that were announced 5 December 2019 took effect 1 February 2020

Seven Departments of State have been merged into four:

- Department of Agriculture, Water and Environment
- Department of Education, Skills and Employment
- Department of Industry, Science, Energy and Resources
- Department of Infrastructure, Transport, Regional Development and Communications

Review National Archives advice on transferring information following administrative change – a Google search on that phrase will take you directly to the relevant page on the NAA website.

All seven Departments have full RA coverage. Those working in the old Department of the Environment and Energy and Department of Employment, Skills, Small and Family Business will need to review what RAs go to which new department as the functions of these two departments have been split between three new departments.

If you have any questions about the process please contact the Agency Service Centre.

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Post 2020 Policy Update

Eric Swain, Information Policy



Shaping new information policy

- Work continuing on developing new policy for issue 1 Jan 2021 (to build on DC2020 ending 31 Dec 2020)
- Principles-based policy issued under the Archives Act
- Aligned with objectives of previous DC2020 and Digital Transition policies
- Supporting relevant government agendas
- Internal workshop held in January to help determine supporting targets, policy and advice building on research and consultation to date
- Next round of stakeholder consultation early March

January 2020 Post 2020 Policy Update

As a follow-up to previous GAIN presentations (and brief recap for anyone who missed them), work is continuing on a new policy to take effect from 1 Jan 2021 (continuing on from DC2020 ending **this year** 31 Dec 2020).

Like DC2020, the new policy will be principles-based and issued under the Archives Act. The intended outcomes are:

- to complement other components of the policy information environment within Australian government
- to improve capabilities in key areas with agreed milestones or areas of focus (to be developed with agency stakeholders and policy partners)

It is no longer a framework of policies with other agencies as previously conceived, but still supports relevant government agendas and information/data policy initiatives.

Proposed focus areas, identified through earlier rounds of stakeholder consultation, have been the subject of a recent internal workshop to help form the policy principles and identify possible targets, policy and advice.

These results will be discussed in the next round of stakeholder consultation as part of development of the draft policy. The next Agency Advisory Group meeting, which consists of self nominated Australian Government agencies will be held on the 12th March. We will also be continuing our consultation and collaboration with other key information agencies at a Round Table meeting on 4th March.

Development of the new policy is taking into consideration the continued value of DC 2020 and Digital Transition principles and remaining work of agencies to achieve the recommended targets, without imposing excessive additional requirements. There will not be as many targets in the new policy as there was in Digital Continuity 2020.

We are also incorporating recommendations on the governance, implementation and monitoring of the policy in line with the recent ANAO Audit Report findings of DC2020 (released 31 October 2019). It's expected that Check-up will continue to be the tool used for monitoring maturity for the new policy.

External consultation is with three main groups:

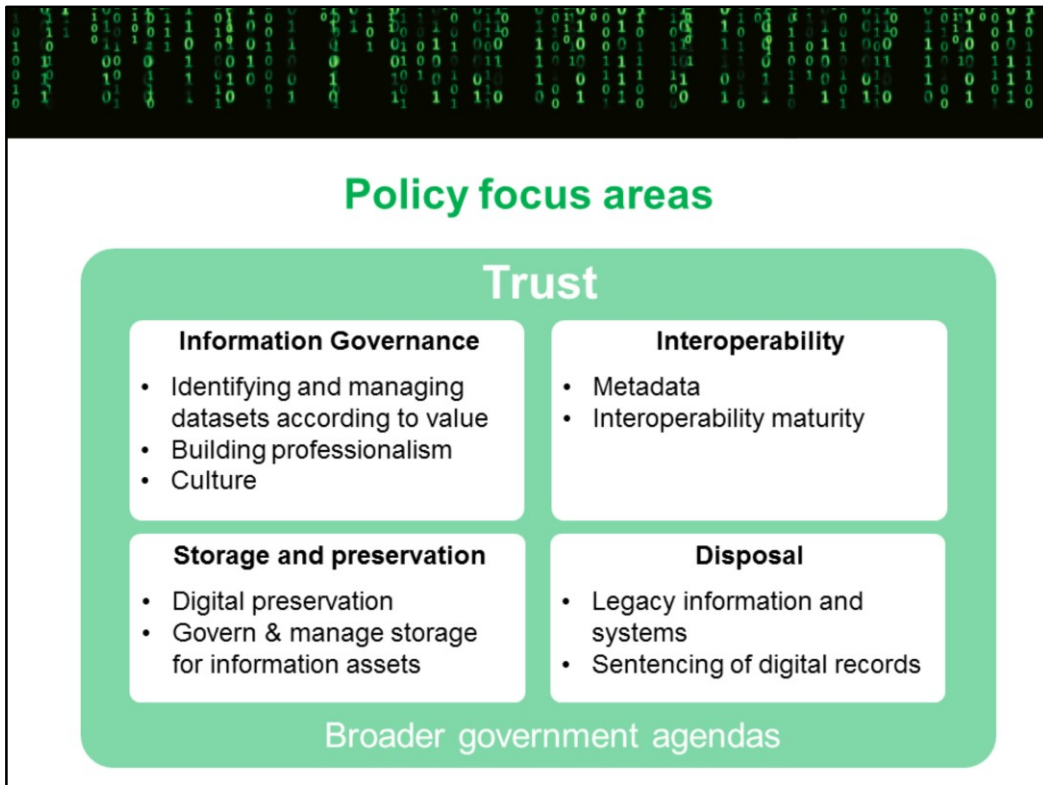
Round Table – SES level representatives of key information policy agencies, to provide strategic oversight on the new policy objectives support the broader information policy environment within Australian Government.

Subject Matter Experts Working Group – Executive level representatives from key information policy agencies delivering initiatives which may support the policy approach and information management maturity, connecting to broader government initiatives and policy. (e.g. Digital Transformation Strategy 2025, the Australian Government Public Data Policy Statement).

Agency Advisory Group – Representatives of agencies, self-nominated GAIN members, who are information and data management practitioners within agencies. Essentially, this is the target audience responsible for implementing the new policy, so they are being engaged to confirm problem areas and user-testing of the approach.

Full list of agencies represented in Round Table and SME Working Group:

- National Archives of Australia
- Digital Transformation Agency
- Department of the Prime Minister & Cabinet
- Office of the Australian Information Commissioner
- Attorney-General's Department
- Department of Finance
- Office of the National Data Commissioner
- Australian Public Service Commission
- Australian Bureau of Statistics



This slide shows the currently proposed focus areas around which we are continuing to develop the policy.

Proposed areas of focus for the policy were informed by:

- Capability gaps identified through 2018 and 2019 Check-up Plus survey results
- Environmental scans of current and emerging data and information challenges
- Support of broader digital transformation and open government agendas
- Agency stakeholder consultation

Also note that many of these focus areas continue to reinforce some themes of the DC2020 policy and the IM standard, but with a focus to reflect capability gaps identified in the current environment since these were released.

Trust

The concept of trust has emerged as important overarching theme for the policy to address, as data and information must be accurate and trustworthy to inform

Government interactions with citizens, support current government business and enable future use and reuse. Trust is also vital to support the Government's transformation objectives.

Information governance

While some aspects of information governance are quite strong across government, remaining capability gaps include:

- Identifying and managing data across its lifespan and assessing risk
- Valuing and developing skilled information and data management professionals to build an organisation's strategic capability
- Fostering a culture that values and manages information as an asset and an enabler for business use and community reuse, addressing many behavioural rather than system issues that are barriers to better information and data capability within agencies

Interoperability

A major theme continuing from the previous policy, recognising that interoperability of information is essential to ensure it can be shared within or outside an organisation, to achieve the government's digital service delivery and data sharing objectives. *Also, likely benefit to IRM practice.*

- Review and update National Archives' advice on standards and management of metadata for the Australian Government – *most likely to considering the Minimum Metadata Set and advice on other business and preservation metadata*
- Assist agencies, particularly smaller agencies, realise the benefits of the Data Interoperability Maturity Model released December 2019, according to their business needs

Storage and preservation

Also a strong theme continuing from the previous policy, as business information needs to be stored securely and preserved in a useable condition to support business needs and community access. Remaining gaps here (from Check-up results)

include:

- 43% of agencies do not regularly convert and migrate information to ensure it remains usable over time
- 50% store unstructured and semi-structured information in the agency's approved information management systems

The National Archives will develop guidance for agencies:

- To ensure information remains accessible for as long as it is needed, and is not impacted by obsolescence of hardware or software, or corrupted over time
- On the need to govern and manage digital storage for the appropriate management of information assets, including applicable cloud and cybersecurity policy requirements.

Disposal

Disposal was the lowest performing capability in the 2018 Check-up Plus report, rating 2.8 out of 5. Only 12% of digital information, and 50% of paper-based information was sentenced in 2018. The National Archives estimates that over-retention of information is potentially costing the Government \$25 million per annum.

Advice to address this focus area is expected to include:

- Decommissioning and migrating systems to reduce associated risks with over-retention of out-of-date data
- Direction on digital sentencing emphasising business benefits in sentencing data and information - including managing assets according to their known value and timely destruction as a risk mitigation and business efficiency process



Upcoming milestones

- **Feb/March** develop draft policy. Consultation with stakeholder groups
- **April** exposure draft policy for broader consultation including GAIN members
- **June/August** finalise policy and first round of supporting resources
- **October** soft launch of policy
- **January 2021** Policy formally released

This schedule shows a high level overview of milestones for development and delivery of the policy.

Of particular interest for GAIN members will be:

- Next round of stakeholder consultation in March
- Release of exposure draft in April
- Soft launch in October (expected at RIMPA InForum conference)
- **RIMPA is in October**

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**Principle 2 Implementation Guideline – Information
Management Standard for Australian Government**
Eric Swain, Information Policy




Implementation Guideline for Principle 2: Necessary business information is created

- Expands on:
 - the types of business and stakeholder needs which should be supported by adequate documentation
 - how to create good quality business information
 - ways to integrate creation into business processes and the importance of staff understanding their responsibilities

As advised in the November issue of the GAIN ebulletin, the final implementation guideline for the Information Management Standard has been published.

It varies from other implementation guidelines in that rather than linking to further advice on the website, it includes advice within the guideline to help implementation of the recommended actions. There are links to other resources under the last recommended action.



‘A small error can cause great damage’

Lesson 1 – Maintain accurate, comprehensive and accessible records

Lessons for public administration: Ombudsman investigation of referred immigration cases. Report by the Commonwealth Ombudsman Prof. John McMillan. Report 11/2007

At an agency-wide level, the agencies had developed generic records management policy and guidance...however, at a business activity level there was often little guidance on the records to create’

The Auditor-General Audit Report No. 53 2011-12, Records Management in the Australian Public Service


While it may seem obvious that necessary business information should be created, a number of reports over the last decade or so have indicated that lack of creation remains an enduring problem.

In 2007 the Ombudsman published a report based on a number of referred immigration cases. He found that case studies showed how data management errors led to visa holders being wrongly detained. The errors, often simple in nature, included data about a person’s personal details or immigration status being wrongly entered, as well as files not showing clearly when or by whom a decision was made.

In 2012 the Audit Office (ANAO) issued a report on record management in the Australian Public Service and it found that:

- Agencies had developed generic policy advice to assist with determining what records needed to be created, received or collected. However this advice had not been incorporated into business areas
- Agencies needed to ‘first determine the information that needs to be created and received in the context of their major business activity’ to inform policies and guidance including on the ‘appropriate creation, capture and storage’ of records
- A significant risk to Australian Government agencies in relation to records management was their ability to access complete and comprehensive information

when it is required for business or legal purposes. Staff often stored information in a variety of places, but did not have consistent rules about the records that needed to be created and where they would be captured



Part of the public servant's role is to assess the points at which a record is required. This might initially occur in an email or a diary note, but it is important that all documents that inform decisions find their way into formal records management systems

Learning from Failure: why large government policy initiatives have gone so badly wrong in the past and how the changes of success in the future can be improved. Professor Peter Shergold 2015

the creation and management of accurate institutional records plays an intrinsic role in addressing child sexual abuse. The absence of institutional records, or inaccuracies or only scant detail in those that are kept...may have:

- Hindered the identification and prevention of child sexual abuse
- Delayed or obstructed the identification and removal of perpetrators
- Misconstrued or misrepresented grooming and other abusive behaviours
- Minimised or obscured the extent of institutionalised knowledge of child sexual abuse'

Final Report of the Royal Commission into Institutional Responses to Child Sexual Abuse: Volume 8
Recordkeeping and information sharing. 2017

In 2015 Professor Shergold published a report on selected failed policy initiatives the report noted, including:

- Mistakes can be costly, and not just because taxpayers' funds may be wasted...Poor administration can, on occasion, deprive citizens wrongly their liberty, constrain the application of their rights, fail to inform them of their responsibilities or even, tragically, cost them their lives
- Public servants failed to keep detailed records of key decisions and how they were arrived at, nor did they put into writing concerns regarding design features of the program, despite testimony this was raised with ministers
- Finally, in 2017 the Royal Commission into institutional responses to child sexual abuse addressed how important the creation of accurate and complete records were in addressing child sexual abuse. They also noted the importance of creating and maintaining childhood records for children in and out of home care such as birth certificates, photographs, art works, school reports and medical histories in creating tangible memories of their childhood

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**Royal Commission into institutional responses to
child sexual abuse**
Eric Swain, Information Policy



Royal Commission into institutional responses to child sexual abuse

Recommendation 8.3:

*The National Archives of Australia and state and territory public records authorities should **provide guidance to government and non-government on identifying records**, which, it is **reasonable to expect, may become relevant to an actual or alleged incident of child sexual abuse**; and on the retention and disposal of such records*

To locate it type 'Royal Commission into Institutional Responses to Child Sexual Abuse' in the search bar on our website.

It is under the heading 'Recommendations from the Royal Commission into Institutional Responses to Child Sexual Abuse

In response to Recommendation 8.3 of the Royal Commission into institutional responses to child sexual abuse the National Archives of Australia and the state and territory archives and public authorities have jointly issued advice to provide guidance on identifying records which may become relevant to an actual or alleged incident of child sexual abuse. (<https://www.caara.org.au/wp-content/uploads/2019/09/CAARA-Guidance-Recommendation-8.3-Final.pdf>).

As the advice is intended to be repurposed by non-government, including advice on retention and disposal it is fairly general. As the advice states Australian Government agencies should follow information management advice and retention periods issued by the National Archives.

The advice recommends that agencies carefully assess what records need to be created and retained as evidence of their interaction with children in order to protect the interests of the child.

The advice is risk based and covers two broad groups of records:

- Records which are likely to be of relevance if an allegation has been made or an incident has occurred
- Records which should be retained when it is reasonable to expect that they may now, or in the future, become relevant to an actual or alleged incident of child sexual abuse

The retention of these records is a risk based decision and agencies will have different levels of risk that an incident of allegation of child sexual abuse could occur.

The link to this advice is on our website and is with the mapping of the Australian Government Standard to the recordkeeping principles recommended by the Royal Commission. We will also have a link in the next GAIN ebuletin.

We encourage agencies to review this advice and if there are any questions or uncertainties to send these to us through the Agency Service Centre.

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Other Updates Eric Swain, Information Policy



Other Updates

- 2019 Check-up PLUS survey
- AGIFT thesaurus platform and governance review
- Updated National Archives Information Governance Framework
- Agency specific Records Authorities now on NAA website
- ADRI O365 Working Group
- Born-Digital File Format Standard

Other Updates

- 2019 Check-up PLUS
Many thanks to all the Check-up Coordinators for their efforts in undertaking the survey.
Our service provider (ORIMA Research) has validated the survey responses before undertaking analysis and the Whole of Government report and the agency reports were released in December 2019.
The significance of the survey reporting should not be overlooked, as it is a key driver in our work towards updating our Minister of policy achievements and improving information management across the Australian Government. Your feedback on the survey is welcomed preferably through our ASC online enquiry form or in discussion at GAIN or a separate meeting.
- The ANAO report will also inform the National Archives' approach to the Post 2020 Policy.
- AGIFT is our thesaurus tool that describes high-level business functions carried out across all levels of Australian government. As noted in our previous GAIN forum, we consulted with key stakeholders and are finalizing recommendations internally within the Archives.
- In December, our new [Information and Data Governance Framework](#) was

approved by our [Information Governance Committee](#). It includes principles that will guide staff in creating, managing and using information and data at the Archives, such as:

- Information and data are central to our work: we are custodians of a large collection; we also create valuable corporate information and data as part of managing, using and promoting this collection.
- Data is a separate entity to technology and governed in accordance with its value and risk.
- Working together is critical and we seek out tools to enable staff to collaborate, promote information sharing and break down siloes.
- The framework also identifies roles and responsibilities and the strategic and operational information governance environment.
- So far we've had positive feedback on the refreshed framework. If anyone is interested in discussing our process, you can contact us via information.governance@naa.gov.au.
- The Australian Digital Recordkeeping Initiative (ADRI), a collective of state and national archival authorities in Australian and New Zealand jurisdictions has recently established a Working Group to look into information management issues related to the Office 365 suite of products, particularly Sharepoint and Teams. The National Archives is a member of the Working Group. The Working Group is currently looking at sharing experience on assessing and determining requirements for information management functionality, with members aiming to publish advice for their respective audiences later this year. If you have any relevant experience with this suite of products or questions about adopting it, we'd be interested in hearing from you to inform the Working Group.



Born-Digital File Format Standard

- The standard prescribes file formats for the long term preservation, sustainability and interoperability of government information.
- It covers born-digital files created by Australian Government agencies. For example word processing documents, spreadsheets, emails, digital images, digital audio and video, computer-aided design, etc.
- It excludes digital files created through digitisation and other forms of digital records such as database records and social media.

The Archives is developing a standard for born-digital files

The scope is born-digital files created new by agencies.

The scope excludes files created through digitisation – agencies are to refer to the Agency Digitisation Specification for digitisation specifications.

File formats specified in the Agency Digitisation Specification conform to this born-digital file format standard but the Agency Digitisation Specification has additional specifications required for digitisation.

File formats specified in this standard are common formats that agencies are most likely already using – one of the criteria for sustainable file formats is their ubiquity/commonality/wide use.




Born-Digital File Format Standard

- This standard supersedes the existing Long-Term File Format guidelines.
- Agencies are not to convert existing files to conform to this standard - the standard will apply to new born-digital files created from 1 January 2021.
- We are now seeking feedback and if you are interested in providing feedback please contact us via the agency service centre.

Existing files that are to be transferred to the NAA are to be transferred in their current format.

The standard will be aligned with the post-DC2020 policy and is tentatively aimed at having the same starting date.

Agency feedback will be predominantly around readability and terminology, i.e., does it make sense? Feedback on significant issues can be relayed too.



New National Archives Website

- The National Archives has launched a new website
- We will continue adding new and updated pages over the coming months
- If you have problems finding information, please contact the Agency Service Centre
- We encourage your feedback via feedback@naa.gov.au

The National Archives of Australia has launched a [new website](#).

If you have problems finding information, please contact the [Agency Service Centre](#).

We will keep developing the new website over the coming months. We encourage your feedback via a dedicated email, feedback@naa.gov.au. Please tell us what you think, including praise and problems, so that we can enhance how it meets your needs.



Australian Government
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