



NATIONAL ARCHIVES OF AUSTRALIA

# Project Management Plan

RkS Number: R1047922019

DETAILS			
<b>Project Name</b>	Digital Continuity 2020 - Agency Implementation Support Program		
<b>Business Area</b>	Agency Engagement Section		
<b>Sponsor</b>	s 22 (1)(a)(ii)	<b>Project Manager</b>	s 22 (1)(a)(ii)
<b>Project Complexity Rating</b>	Light	<b>Date</b>	October 2019

## 1. Purpose

The 'Digital Continuity 2020 - Agency Implementation Support Program' (The Program) aims to support Australian Government agencies with low-maturity digital information management practices by linking them with National Archives of Australia's (National Archives) targeted support and online information management advice and tools. The Program aligns to the National Archives' 2018-19 to 2021-22 Corporate Plan (Strategy no. 1) to "*Establish frameworks for best practice management of Australian Government information and data by Australian Government agencies toward achievement of Digital Continuity 2020 Policy (DC2020) targets*".

More specifically, the Program aims to assist Australian Government agencies follow through the principles and recommended actions of the [Digital Continuity 2020 Policy \(DC2020\)](#) and the [Information Management Standard](#). Under the Program, the National Archives will:

- facilitate round-table discussions with selected agencies with a maturity index score below the National Archives benchmark of 3 (out of 5) in a specific domain (eg. governance, digital storage, disposal or interoperability) and overall (based on 2018 Check-up PLUS results); agencies with a maturity index score below 3 represent those in the beginning stages of developing their digital information management capabilities;
- identify barriers and limitations in agencies' information management practices;
- review and address gaps in National Archives' information management advice; and
- provide targeted advice to agencies.

## 2. Objectives

The objective of the Program is to address information management issues related to areas of low-performance in implementing the Digital Continuity 2020 principles and recommended actions across Australian Government agencies.

The Program will provide implementation support to selected low-performing Australian Government agencies, through the delivery of:

- a series of round-table discussions which will improve National Archives' understanding of agency challenges in implementing Digital Continuity 2020 principles;
- revised and new online information management advice; and
- agency presentation opportunities to spotlight agency successes in implementing and delivering Digital Continuity 2020 principles and recommended actions through GAIN Forums and e-bulletins.

The success of this Program will be validated through future survey results.

### 3. Scope

The scope of the project includes identifying and delivering actions that will support agencies in the remaining implementation of the DC2020 policy, up until its expiry at the end of 2020. All Commonwealth agencies are in scope for consideration although the emphasis will be on those with the lowest information management maturity, as identified in the Check-up PLUS 2018 survey.

The scope of the project also includes evaluation of its success. This will be measured through the Check-up PLUS 2019 survey and by seeking targeted feedback from agencies.

The project scope will also include two actions arising from the outcomes of the ANAO audit of the implementation of DC2020:

- a review of existing DC2020 policy targets to identify them as mandatory, suggested or optional; and
- a review of the Check-up PLUS survey instrument prior to delivery in 2020 to identify opportunities for improving assessment of progress against the DC2020 policy principles.

### 4. Actions

The Program is designed to be flexible, responsive and reflect the varied and changing needs of agencies over the life of the Program. Initial priorities will be determined through analysis of Check-up data and confirmed through stakeholder engagement and feedback.

The planned deliverables for each Phase are:

#### **Phase 1: Analysis to identify priority areas and target agencies**

- Analyse Check-up PLUS 2018 results to identify low and high performing agencies in overall maturity and/or a specific criteria. See *Preliminary investigation and analysis brief* (R910952019) for more details.
- List of Australian Government agencies selected for round-table discussions (See R1033762019).

#### **Phase 2 – Stakeholder Consultation**

- Establish internal Project Control Group;
- Round-table discussions schedule; invitation and agenda;

- Four round-table discussions to identify agency challenges and limitations in implementing Digital Continuity 2020 principles and recommended actions; and
- Collated findings and feedback highlighting agencies' issues, barriers and their wish-list to help them achieve Digital Continuity 2020 targets and recommended actions.

### **Phase 3 – Development**

- Communications strategy, developed in collaboration with the Communications and Marketing section, to direct the development, issue and promotion of information management advice to stakeholders;
- Online advice based on Phase 2 Consultation feedback - develop a list of priorities for developing and updating online information management advice;
- Revise and draft new online information management advice;
- Review DC2020 Policy targets and provide advice as required; and
- Review Check-up PLUS survey for 2020.

### **Phase 4: Implementation**

- Publish and promote revised and new online information management advice on the National Archives' website;
- Deliver Digital Continuity 2020 implementation spotlight presentations/stories through GAIN Forums and e-bulletins; and
- Develop further opportunities to support improvements through current GAIN Forums, GAIN e-bulletins and collaborations with agencies and external bodies.

### **Phase 5 – Evaluation**

- Analyse 2019 and 2020 Check-up PLUS survey results and develop 'Digital Continuity 2020 – Agency Implementation Support Program' Evaluation report in 2021.

## 5. Deliverables

The project will achieve the following deliverables:

- Report of the analysis of 2018 Check-up PLUS survey results (completed).
- List of identified target agencies (completed)
- Four round-table sessions with targeted agencies
- Report on outcomes of round-table sessions
- Advice for agencies, published on the NAA website
- Other agency support as identified
- Project evaluation report

## 6. Stakeholders

The Project has both internal and external clients.

### **Internal:**

The work will be undertaken by the Agency Engagement Section with the support of other internal subject matter experts.

Internal Stakeholders include:

- Agency Engagement section
- Information Policy section
- Communications, Publishing, Partnerships and Events section
- Project Management Committee (PMC)

External stakeholders include:

- Australian Government agencies
- The Government, Minister and Prime Minister
- Australian National Audit Office

## 7. Resources

**Resourcing:**

Resources will be allocated from the Agency Engagement team in 2019, 2020 and the early part of 2021.

Phase 1 was developed by the former Commonwealth Information Management team and later phases will be carried out by the new Agency Engagement team (from 1 July 2019), while drawing on subject matter experts across both the Agency Engagement and Information Policy sections to update online advice, tools, presentations/stories and round-table discussions. Resourcing requirements may vary over the life of the project but on average will be as follows:

- EL2 x1 Project Lead – 0.1 FTE. The Project Director will be responsible for directing overall project objectives, governance and arrangements, and communications.
- EL1 x1 Subject matter expert – 0.5 FTE. The Project Assistant-Director will be responsible for selecting low-performing agencies, conducting round-table discussions, developing a list of priorities for new or updated information management advice, and, if applicable, developing new online advice.
- APS6 x 1 Project Officer – 0.5 FTE. The APS 6 Project Officer will provide technical advice and support.
- APS5 X1 Project Officer – 0.2 FTE. The APS 5 Project Officer will provide administrative support as required.

## 8. Risks

A risk management plan will be developed and maintained for the duration of the project (see *Risk Register at R1050172015*).

The key risks for the project are:

**Budget:** The 'Digital Continuity 2020 – Agency Implementation Support Program' has no allocated project funding. Program expenses, if required, will be drawn from the existing Agency Engagement section budget.

**Mitigation:** Seek budget approval prior to committing to any expenditure.

**Resourcing:** Internal resourcing within the National Archives allocated to the project is limited, with the key project team working across section priorities.

Mitigations: This risk will be mitigated by limiting the scope of the project to manageable deliverables to FTE allocation. This project plan sets out clear deliverables achievable within available resources. Program will be reviewed as needed.

**Project co-dependencies:** Updating online advice deliverables is dependent on Access and Public Engagement priorities.

Mitigation: This risk will be mitigated through open communication with the Access and Public Engagement branch.

**Accessibility:** The ability for the Program to be delivered to agencies geographically located outside of state and territory capital cities is limited due to current videoconferencing capability and budgetary constraints to travel.

Mitigation: Targeted communications promoting advice and tools online, by email and teleconference.

## 9. Stakeholder Engagement Plan and Communications plan

Analysis of Check-up survey data will inform the selection of agencies in need of assistance and those identified as high performers.

Targeted stakeholder consultation will be facilitated in Phase 2. Round-table discussions will be held to discover agency challenges and limitations in implementing Digital Continuity 2020 principles and recommended actions. Feedback will inform Phase 3 – Development activities.

Stakeholder engagement will occur throughout the duration of the Program in the form of online advice, Digital Continuity 2020 spotlight presentations through GAIN Forums and e-bulletins.

A communication plan will be developed to formulate communication activities designed to promote and market National Archives' new and revised online information management advice and tools. Advice on existing DC2020 actions and targets will also be provided.

## 10. Project governance

The key roles for the project are Project Sponsor and Project Lead.

**Project Sponsor (ADG Collection Management Branch)** will have overall responsibility for the successful completion of the project, which will include making necessary high-level decisions, and promoting the planned outcomes.

**Project Lead (Director Agency Engagement)** will be responsible for directing the overall project objectives, governance arrangements, communications and risk management. The Project Lead will regularly advise the Project Sponsor of project progress and elevate project issues and decisions to the Project Sponsor as required.

A Project Control Group (PCG) will be convened. The primary function of the PCG is the direction, management and monitoring of project issues, risks and progress. The role of the PCG is to ensure the project objectives are met, support and resources are maintained, and review and evaluate at the end.

The members of the PCG will include:

- Project Lead, Director, Agency Engagement
- Project Manager, Assistant-Director, Agency Engagement
- Assistant-Director, Information Governance
- Assistant-Director, Information Policy
- Assistant-Director, Communications and Marketing.

## 11. Reporting

The 'Digital Continuity 2020 – Agency Implementation Support Program' will report to the Project Control Group (PCG).

Bi-monthly progress reports will be provided to the Project Sponsor (ADG Collection Management), and discussed in regular catch-ups with the Project Lead.

The National Archives will use the annual Check-up PLUS survey to monitor agency performance and to analyse the effectiveness of the Program.

A 'Digital Continuity 2020 – Agency Implementation Support Program' Evaluation report will be delivered early in 2021.

## 12. Evaluation

The success of the project will be measured principally by the extent of improvement in agency implementation of the DC2020 policy as measured by comparing Check-up PLUS survey results from 2018, 2019 and 2020. Survey results from 2021 will provide further evidence of the extent of the success of the project.

Additional assessment of the success of the project will be based on targeted feedback from agencies.

## 13. Schedule

Deadline/Timeframe	Task	Responsible Officer
<b>Phase 1 – Analysis</b> <b>May 2019 -</b> <b>31 October 2019</b>	<ul style="list-style-type: none"> <li>• Analysis brief and spreadsheet <i>Preliminary investigation and analysis brief</i> (R910952019) with specific focus on performance against Digital Continuity 2020 principles - <b>completed</b></li> <li>• Analysis of Check-up PLUS 2018 data to select a number of low-performing Australian Government agencies (end of October 2019) – <b>completed</b> see R1033762019</li> <li>• Priority areas and topics for round-table discussions (end of October 2019) – <b>completed</b> see R1033762019</li> </ul>	EL1 Subject matter expert, Commonwealth Information Management/ Agency Engagement

		APS 6 Project Commonwealth Information Management/ Officer Agency Engagement
<b>July-September 2019</b>	<ul style="list-style-type: none"> <li>Management of Check-up PLUS 2019 survey - <b>completed</b></li> </ul>	EL1 Subject matter expert, Agency Engagement
<b>Phase 2 – Stakeholder Consultation November – December 2019</b>	<p><b>Round-table discussions (deliver by end of December 2019)</b></p> <ul style="list-style-type: none"> <li>Schedule four round-table discussions, including room bookings and calendar invitations - <b>completed</b></li> <li>Send email invitation to selected low-performing agencies to invite participation in one of four round-table discussions at the National Archives or by teleconference (5 agencies per round-table) - <b>completed</b></li> <li>Deliver four round-table discussions - <b>commenced</b></li> <li>Collate feedback to highlight issues, barriers and opportunities for achieving maturity in identified priority areas - <b>commenced</b></li> <li>Analyse findings to inform review/development of online information management advice.</li> </ul>	<p>EL1 Agency Engagement</p> <p>APS 6 Project Officer, Agency Engagement</p>
<b>Phase 3 – Development January 2019 – March 2020</b>	<p><b>Review and develop online information management advice</b></p> <ul style="list-style-type: none"> <li>Develop a list of priorities for developing and updating online advice.</li> <li>Engage with subject matter experts in Agency Engagement and Information Policy to request their participation; schedule and allocate advice revision and development responsibilities.</li> <li>Collate drafted advice and review for readability and consistency.</li> <li>Seek feedback on content from Communications and Marketing section and approval from Director Agency Engagement.</li> <li>Review DC2020 targets and prioritise</li> <li>Review Check-up PLUS survey for 2020</li> </ul>	<p>EL1 Agency Engagement: Subject matter expert</p> <p>EL1, Communications and Marketing section</p> <p>APS 6 Project Officer, Agency Engagement</p>
<b>Phase 4 – Implementation April 2020 – May 2020</b>	<p><b>Online Information Management Advice (by end May 2020)</b></p> <ul style="list-style-type: none"> <li>Coordinate publishing of revised and new online information management advice.</li> </ul> <p><b>Digital Continuity 2020 agency implementation spotlight presentations (ongoing to December 2020)</b></p> <ul style="list-style-type: none"> <li>Deliver spotlight presentations/stories through GAIN Forums and e-bulletins.</li> </ul> <p><b>Communications and Promotion (ongoing to December 2020)</b></p> <ul style="list-style-type: none"> <li>Meet with Communications and Marketing section for advice on developing emails and e-bulletin content to promote new and revised online information management advice and tools.</li> <li>Draft content, seek Communication and Marketing feedback and Director Agency Engagement content approval.</li> <li>Distribute promotional material to targeted agencies.</li> </ul> <p><b>Collaborations</b></p> <ul style="list-style-type: none"> <li>Plan and deliver further opportunities to support improvements through current GAIN Forums, GAIN e-bulletins and collaborations with agencies and external bodies.</li> </ul>	<p>EL1 Agency Engagement: Subject matter expert</p> <p>APS 6 Project Officer, Agency Engagement</p> <p>APS 5 Project Officer, Agency Engagement</p>

<p><b>Phase 5 – Evaluation</b> <b>November – December 2020</b></p> <p><b>2021</b></p>	<p>Check-up PLUS 2020 results interrogated to identify improvements across low maturity areas (in view of targeted assistance provided to agencies). Analysis to include:</p> <ul style="list-style-type: none"> <li>• review of ORIMA Report findings;</li> <li>• question level data analysis of Australian Government agency performance against Digital Continuity 2020 principles; and</li> <li>• analysis of performance data of selected low-performing agencies in 2018 in overall maturity and a specific criteria.</li> </ul> <p>Deliver ‘Digital Continuity 2020 – Agency Implementation Support Program’ Evaluation report in 2021.</p>	<p>EL1 Agency Engagement: Subject matter expert</p> <p>APS 6 Project Officer, Agency Engagement</p>
---	---	---

<p><b>APPROVAL</b></p>	
<p>Name/Role: <b>s 22 (1)(a)(ii)</b> (Assistant Director-General a/g)</p>	<p>Date: 10 December 2019</p>

## Round Table: 'Digital Continuity 2020 – Agency Implementation Support Program'

Date [Thursday 14 November 2019], 10:00am -12:00pm  
National Archives of Australia/East Block, Parkes - Fisher Room

### Agenda

<i>Item</i>	<i>Issue</i>
1	<b>Welcome</b> <ul style="list-style-type: none"><li>• Introductions</li></ul>
2	<ul style="list-style-type: none"><li>• Agencies' barriers, limitations and challenges in the management of digital information (eg. culture, Executive support, resources/budget, volume of digital information etc.) with focus on areas of low performance, such as digital information creation and capture, digital storage, disposal, interoperability, governance</li><li>• Barriers in dealing with NAA</li><li>• Wish-list to help achieve Digital Continuity 2020 recommended actions and targets. What is sustainable?</li></ul>
3	<b>Opportunities for collaboration</b> <p>Some ideas:</p> <ul style="list-style-type: none"><li>• Practical, more targeted, online advice and guidance (tell us what is needed)</li><li>• Agencies presentations at GAIN forums to spotlight Digital Continuity 2020 successes</li><li>• Face-to-face agency visits</li><li>• Short-term secondments to NAA or a skill share swap</li></ul>
4	<b>Summary and next steps</b>

OFFICIAL

## Note for file

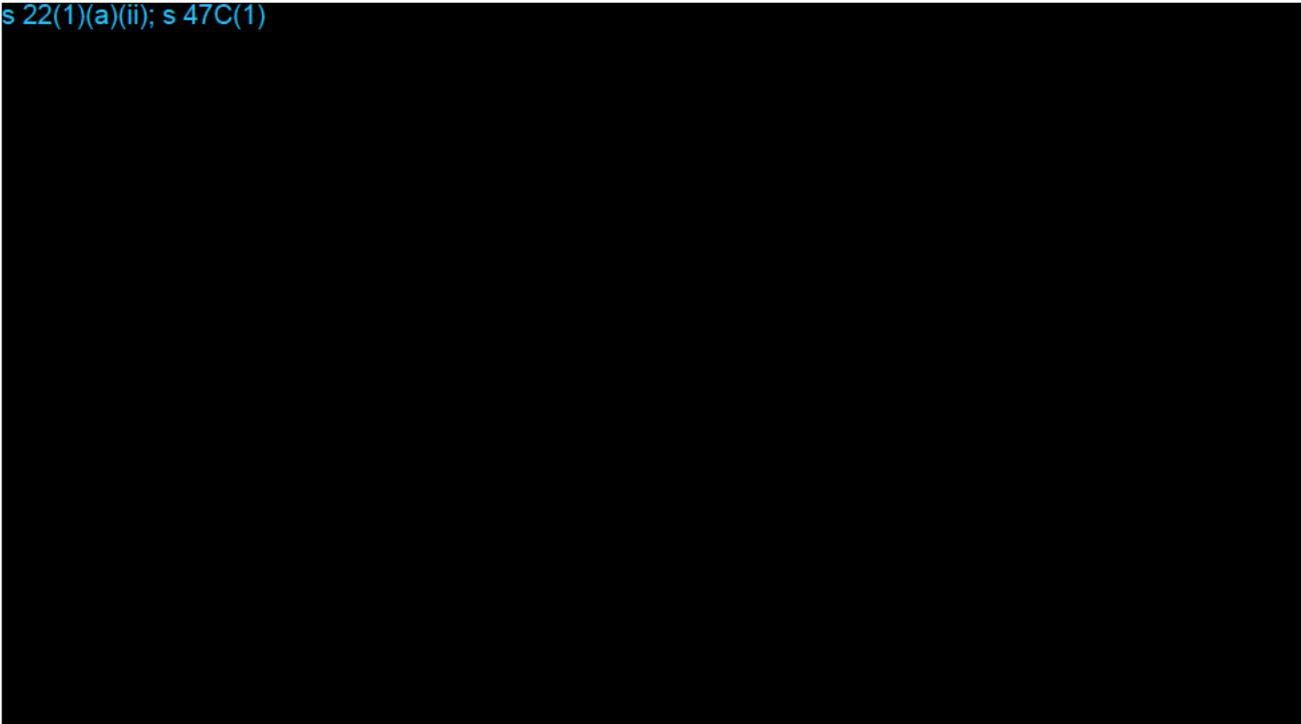
### Roundtable discussion

File number	2019/1704
Project	DC2020 – Agency Implementation Support Program
Agencies attended	Department of Parliamentary Services, s 22 (1)(a)(ii) Australian Maritime Safety Authority, s 22 (1)(a)(ii) Royal Australian Mint, s 22 (1)(a)(ii)
Date/time of roundtable	Thursday 14 November 2019, 10:00am

s 22 (1)(a)(ii) joined staff from the National Archives of Australia in a roundtable discussion about their agency’s digital information management limitations and challenges on 14 November 2019.

During the roundtable, they made the following comments:

s 22(1)(a)(ii); s 47C(1)



Agency’s barriers, limitations and challenges in the management of digital information

Technology

- Shared drives (ie. unstructured data) are an issue for all three agencies. s 22(1)(a)(ii)
- Microsoft Outlook is a big issue for all three agencies (ie. capturing records).
- Searching in TRIM is problematic.
- s 47C(1)

s 22(1)(a)(ii); s 47C(1)

s 22(1)(a)(ii)

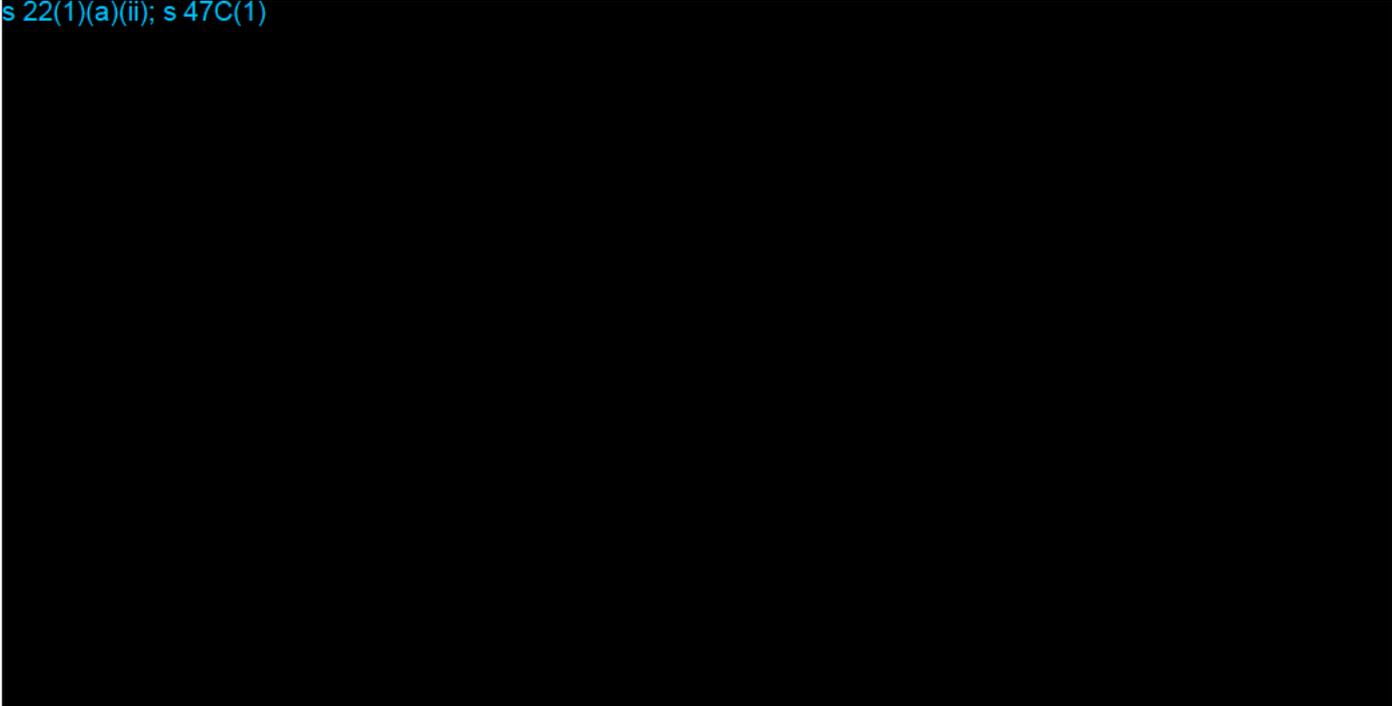
s 22(1)(a)(ii); s 47C(1)

## Wish list

- DC20202 is confusing in parts and supporting products were released long time after the policy was launched. There is no clear direction on how to achieve the targets. Some current actions and targets are hard to achieve
- Post-2020 policy to continue with current targets, not introducing something new and different which could stop momentum. Have something for all agencies to work on. Large agency vs small agency targets. Funded agency vs self-funded agency targets.
- What do different models of “utopia” look like?
- More meaningful support for agencies:
  - Training and/or list of training vendors
  - Professional development
  - Searchable RAs on the website
  - Policy changes
  - Practical advice on issues such as Office 365 advice, digital sentencing, who approves a business system as being IM compliant (agency head?)
  - NAA to convene a community feel amongst Information Managers (through online and face-to-face)

- Check-Up to include questions about what systems agencies are using for their recordkeeping – opportunity for other agencies to find out
- Face-to-face training beneficial.
- An opportunity to see what other countries are doing in the digital IM space (convening a community).
- Central repository of best practice on the website or community.
- Would like to see AFDA Express v2 in one document.

s 22(1)(a)(ii); s 47C(1)



## Opportunities for collaboration

- More face-to-face, one-on-one advice, coupled with online guidance
- Online community (GovTeams not appropriate)
- More facilitation of meetings such as this one
- Face-to-face agency visits
- NAA staff placements in agency information management areas. Staff could come back to NAA with ideas on how to produce guidance.
- Agency staff placements in NAA (vice-versa to above).
- NAA to produce “Information Management 101” advice.
- Education in collaboration.
- Assistance on sentencing digital records (training).

s 22 (1)(a)(ii)

Agency Engagement  
Collection Management

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Subject:** FOR INFORMATION: DC2020 Agency Implementation Support Program - Summary of feedback so far [SEC=OFFICIAL]  
**Date:** Thursday, November 21, 2019 9:32:49 AM  
**Attachments:** [image001.png](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii)

Here is a summary of feedback received so far, based on telephone interviews with three inter-state agencies and one roundtable discussion:

**Agencies' barriers, limitations and IM challenges**

Technology:

s 22(1)(a)(ii); s 47C(1)

- Searching in TRIM is difficult

s 22(1)(a)(ii); s 47C(1)

Budget

**Wish list**

A better IM culture, more time, more staff, extra budget.

s 22(1)(a)(ii); s 47C(1)

**Opportunities for collaboration**

Tools and advice

- More targeted, practical and realistic advice (eg. digital sentencing, Office 365, disposal of information in the absence of a RA, IM 101 advice). Use consistent terminology and “plain English”
- More visual aids, such as flowcharts; there is a need for more meaningful support
- More adaptable implementation advice, not all agencies are the same, there is no “one size fits all”
- Focus on “Good IM is good business” message
- s 47C(1)

Face-to-face training

Agency visits

Agency placements – short-term placements of NAA staff; a several weeks program in agencies so NAA staff can understand the realities.

I am looking forward to the next roundtable discussions and phone interviews.

Thanks and regards

s 22 (1)(a)

s 22 (1)(a)(ii)

Assistant Director, Agency Engagement  
Collection Management Branch



s 22 (1)(a)(ii)

e s 22 (1)(a)(ii) @naa.gov.au

Queen Victoria Terrace, Parkes, ACT

PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

**OFFICIAL**

OFFICIAL

# Note for file

## Roundtable discussion

File number	2019/1704
Project	DC2020 – Agency Implementation Support Program
Agencies attended	Finance – s 22 (1)(a)(ii) Treasury – s 22 (1)(a)(ii) Environment – s 22 (1)(a)(ii) National Gallery – s 22 (1)(a)(ii) Commonwealth Ombudsman – s 22 (1)(a)(ii) DFAT (Public Diplomacy Branch) – s 22 (1)(a)(ii)
Apologies	Murray-Darling Basin Authority – s 22 (1)(a)(ii)
Date/time of roundtable	Thursday 28 November 2019, 10:00am

### Agencies’ barriers, limitations and challenges in the management of digital information

#### Technology

s 47C(1)

#### IM Culture and Staffing

- s 47C(1)
- Resources have diminished over time in IM areas. Expertise is an issue when hiring IM staff. Foundation knowledge is missing
- We need to understand that individuals cannot be record keepers
- Bad practices
- s 47C(1)
- Information Management needs a seat at the Information Technology table
- Getting IT to understand that system logs are a record
- Transactional Business has been overshadowed by Digital Business.
- Tend to call Information Management “Evidence Management” to get staff to comply

- To most staff, records means “dusty old folders”. Records are not viewed as an asset
- No understanding of the difference between agency value and public value of records
- Staff see Records Authorities as optional.

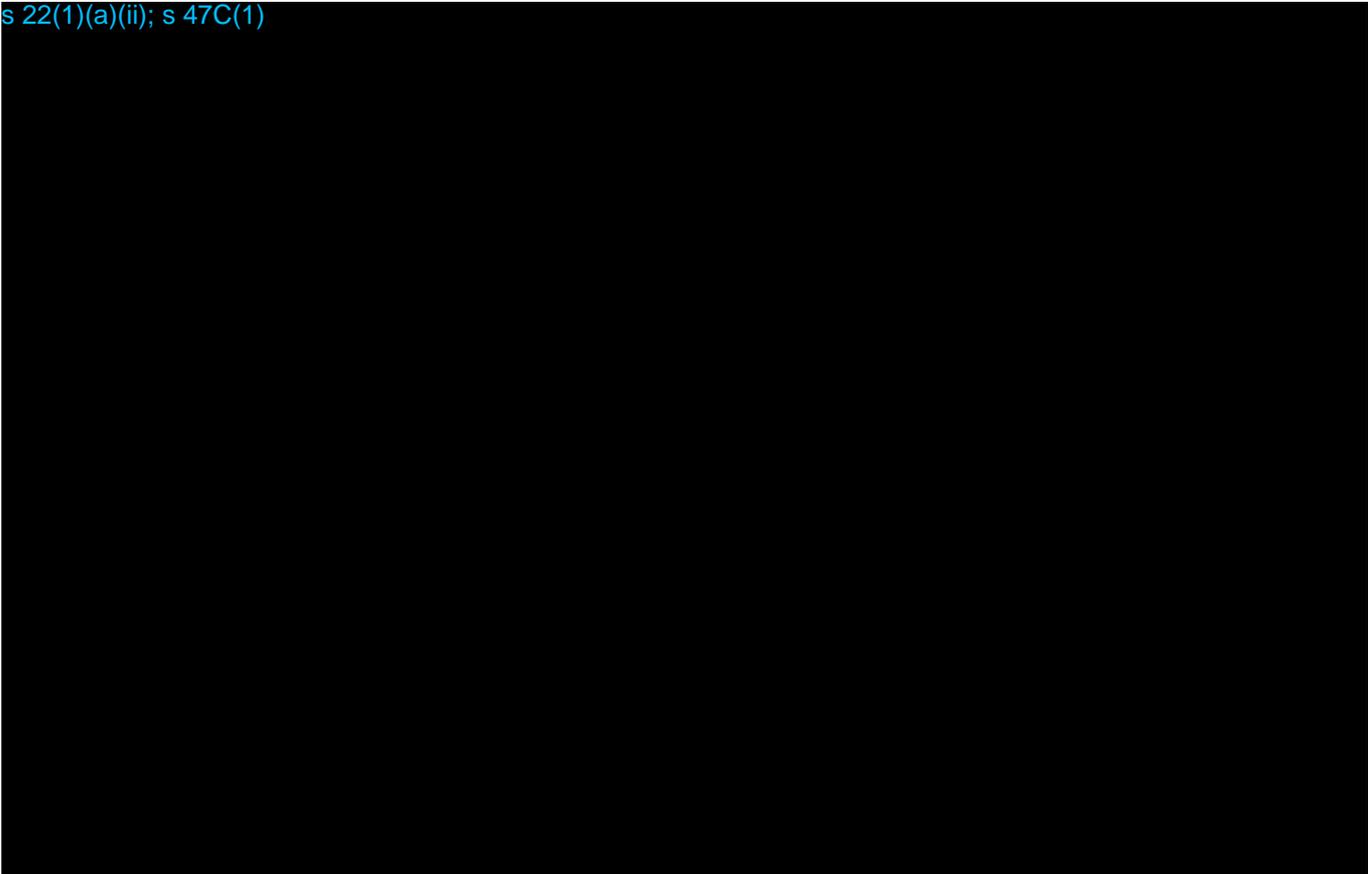
### SES

- Unless there is a requirement, little or no help from senior management
- Information Managers in agencies seem to be there for leadership rather than having the knowledge/experience in Information Management
- No understanding of what “owner of a system” actually means
- CIGO has no meaning – a “tick-and-flick”.

### Wish list

- More practical, more specific advice (eg. advice on records aggregation – what constitutes a complete RNA digital record)
- A more advanced maturity model – distinct – what exactly is required to achieve targets
- Recognising that records have a financial value in the agency – should be on Assets Registers
- Cutting red tape – would like to see the end of the Harradine Report
- “Interoperability” needs a stick to go with it to go to IT with
- Would like to see BSAF-type requirement in Procurement of systems
- Would like to see Archives Act update/reviewed to give NAA more teeth/authority. Agency Heads should be made responsible for the management of information in their agency
- Information Governance requirements in annual reports
- Need of specialist skills in IM.

s 22(1)(a)(ii); s 47C(1)



s 22(1)(a)(ii); s 47C(1)

## Opportunities for collaboration

- Exchange of staff between NAA and agencies (3-6 months)
- Engagement at Agency Heads level
- Meetings like this or similar face-to-face forums (National Archives needs to help agencies with information sharing by creating opportunities to meet)
- Use of GovTeams
- Business Systems Assessments – Practitioner-level advice or training.

s 22 (1)(a)(ii)

Agency Engagement  
Collection Management

# Document No. 6

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Cc:** s 22 (1)(a)(ii)  
**Subject:** RE: DC2020 Implementation Support Program [SEC=OFFICIAL]  
**Date:** Tuesday, December 10, 2019 12:37:07 PM  
**Attachments:** [image001.png](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii),

I have reviewed and approved the revised project plan for the DC2020 implementation project. I added in a requirement (in track changes, to be accepted) for bi-monthly reporting to the Project Sponsor as otherwise the Project Sponsor has no visibility of project progress.

s 22 (1)(a)(ii)

s 22 (1)(a)(ii)

Assistant Director-General a/g  
Collection Management

s 22 (1)(a)(ii)

s 22 (1)(a)(ii) @naa.gov.au

---

**OFFICIAL**

**From:** s 22 (1)(a)(ii)  
**Sent:** Wednesday, November 20, 2019 5:30 PM  
**To:** Keith Young <Keith.Young@naa.gov.au>  
**Subject:** RE: DC2020 Implementation Support Program [SEC=OFFICIAL]

**OFFICIAL**

Hi s 22 (1)(a)(ii),

I have added a few comments. Happy to discuss when we meet tomorrow.

s 22 (1)(a)(ii)

---

**OFFICIAL**

**From:** s 22 (1)(a)(ii) @naa.gov.au>  
**Sent:** Thursday, November 14, 2019 11:43 AM  
**To:** s 22 (1)(a)(ii) @naa.gov.au>  
**Subject:** DC2020 Implementation Support Program [SEC=OFFICIAL]

**OFFICIAL**

Hi s 22 (1)(a)(ii)

Attached is a draft Project Management Plan for the DC2020 Implementation Support Program for your consideration and discussion.

(R1047922019 Digital Continuity 2020 - Agency Implementation Support - Project Management Plan, October 2019)

It addresses the ANAO and the internal audit recommendations with respect to governance, risk,

communications and project management.

You will note that in the interest of time, some of the activity in the project plan has been completed or has commenced.

Thanks

s 22 (1)(a)(ii)

s 22 (1)(a)(ii)  
Acting Director  
Agency Engagement



s 22 (1)(a)(ii)  
e s 22(1)(a)(ii)@naa.gov.au  
PO Box 4924  
KINGSTON ACT 2604  
naa.gov.au

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

**OFFICIAL**

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Cc:** s 22 (1)(a)(ii)  
**Subject:** Outcomes of consultation on DC2020 implementation [SEC=OFFICIAL]  
**Date:** Tuesday, January 7, 2020 2:09:08 PM  
**Attachments:** [image001.png](#)  
[\(DRAFT\) Summary Report on stakeholder consultation for DC2020 - Agency Implementation Support Program , updated 18 December 2019.tr5](#)  
[\(DRAFT\) Summary Report on stakeholder consultation for DC2020 - Agency Implementation Support Program , updated 18 December 2019.DOCX](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii)

Please find attached the draft consultation report arising from roundtables conducted last year. It contains some very interesting and useful insights. Happy to discuss and refine.

Have cc'd s 22 (1)(a)(ii) at this stage as also of valuable with respect to the new policy.

Once finalised, we intend to circulate to those who participated in the roundtable sessions.

Thanks

s 22 (1)(a)(ii)

s 22 (1)(a)(ii)  
Acting Director  
Agency Engagement



s 22 (1)(a)(ii)  
e s 22 (1)(a)(ii)@naa.gov.au  
PO Box 4924  
KINGSTON ACT 2604  
[naa.gov.au](#)

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

**OFFICIAL**



# Digital Continuity 2020 – Agency Implementation Support Program

## Summary report on stakeholder consultation

December 2019



Australian Government  
National Archives of Australia

## Contents

<b>1. EXECUTIVE SUMMARY .....</b>	<b>3</b>
1.1. Key findings .....	3
<b>2. INTRODUCTION .....</b>	<b>5</b>
2.1. Objectives of this report .....	5
2.2. Methodology .....	5
<b>3. FINDINGS.....</b>	<b>6</b>
3.1. Agencies' limitations and challenges in the management of digital information .....	6
3.2. Wish-list to help achieve DC2020 recommended actions and targets .....	8
3.3. Barriers in dealing with the National Archives .....	9
3.4. Opportunities for collaboration .....	11
<b>APPENDIX A: LIST OF PARTICIPATING AGENCIES .....</b>	<b>13</b>
<b>APPENDIX B: 'DC 2020 – AGENCY IMPLEMENTATION SUPPORT PROGRAM' CONSULTATION AGENDA.....</b>	<b>14</b>

# 1. Executive summary

The 'Digital Continuity 2020 - Agency Implementation Support Program' (The Program) aims to assist Australian Government agencies with low-maturity digital information management practices by linking them with National Archives of Australia's (National Archives) targeted support and online information management advice and tools.

Under the Program, National Archives is responsible for:

- consulting with a number of agencies which are in the beginning stages of developing their digital information management capabilities
- identifying limitations and challenges in agencies' digital information management practices
- based on the received feedback, finding gaps in National Archives' current online advice, and reviewing the Digital Continuity 2020 Policy targets and Check-up PLUS survey content
- providing targeted support to agencies.

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. National Archives contacted, and invited to take part in consultations, a total of 44 agencies out of 67. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. This represents a response rate of 54.5%.

## 1.1. Key findings

### 1.1.1. Limitations and challenges

The main limitations identified by agencies are resources (staffing and budget) and culture, senior executive support, and technology. Most agencies stated that resources have diminished over time in information management (IM) areas and that IM is viewed as an extra step on top of core duties. There is also a lack of IM professionals in the workforce.

Across agencies, IM is not seen as a priority for a change of the status quo. SES don't want to change their administrative work practices (eg. digital authorisations, electronic workflows), and IM is not priority for them, especially during busy times such as MoG changes. In some agencies, SES have a limited understanding of the benefits in investing in IM initiatives.

Agencies identified the following as challenges difficult to overcome:

- SES buy-in
- management of unstructured information stored in fractured places (eg. shared drives, Outlook folders)
- assessment of business systems for IM compliance and interoperability
- scanning of some legacy records
- Department of Finance's embargo on EDRMS adoption.

### **1.1.2. Wish-list to help achieve DC2020 recommended actions and targets**

Across participating agencies, it was agreed there is a need for a better IM culture, qualified or experienced IM staff, SES buy-in, and more time for IM initiatives. In particular, agencies expressed a desire for reducing red-tape and getting more practical and specific advice and support from the National Archives.

### **1.1.3. Barriers in dealing with the National Archives**

Agencies mentioned the following:

- challenging and time-consuming projects, such as Check-Up and records authorities
- artificial timeframes, ambiguous statements and hard to achieve recommended actions and targets in the Digital Continuity 2020 Policy
- a difficult digital transfers process
- difficult to navigate and find relevant information on National Archives' new website
- unclear, wishy-washy, and not always relevant online advice, such as minimum metadata standard, the two digitisation standards for RNA and temporary records, and the Business Systems Assessment Framework (BSAF)
- cessation of IM training for agency staff
- disappearance from the website of agency-specific records authorities
- location – National Archives should get more involved and extend its presence outside Canberra.

### **1.1.4. Opportunities for collaboration**

Agencies stated there is a need for more meaningful support from the National Archives. More targeted, practical and realistic advice and tools are needed, as well as networking, at senior executive level and IM practitioners' level, for information sharing and opportunities to meet.

Agencies spoke convincingly in favour of agency visits, agency placements and face-to-face training.

Video-conferencing facilities or Skype broadcasts with interstate agencies, a closer relationship with RIMPA (Records and Information Management Professionals Australasia), and involvement in government initiatives (eg. Fortress, a DTA cloud initiative for providing secure services to agencies, and Procurement, Development and Management System, a solution designed to support compliance with IM requirements in Health) were also mentioned as opportunities for collaboration.

## 2. Introduction

Under the *Archives Act 1983*, the National Archives has a legislative responsibility to promote the creation, management, preservation and use of authentic, reliable and usable Commonwealth records.

As information governance and effective digital information management are central to the Australian Government's digital transformation agenda, National Archives needs to proactively support agencies in improving their digital information management practices.

### 2.1. Objectives of this report

This report summarises the findings and feedback provided by the participating agencies.

The main objectives are to allow the National Archives to form a clearer understanding of IM practices and issues, particularly:

- highlighting a number of agency limitations and challenges in implementing Digital Continuity 2020 recommended actions and targets
- identifying gaps in National Archives' IM advice
- better directing the National Archives' support and products to meet agencies' needs.

### 2.2. Methodology

A number of 67 agencies were identified as being 'in-scope' for the roundtable discussions and teleconference calls. We selected 44 agencies, based on their size, location and maturity index score on four essential digital capabilities: governance, digital storage, disposal, and interoperability.

Agency representatives (ie. nominated Check-up coordinators and record managers) were contacted individually, by email and/or phone and provided with information about the Program prior to the commencement of consultations. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. The list of participating agencies is at Appendix A.

Consultations were conducted over a period of nearly five weeks, from 11 November to 11 December 2019. We had four roundtable sessions and seven teleconference calls.

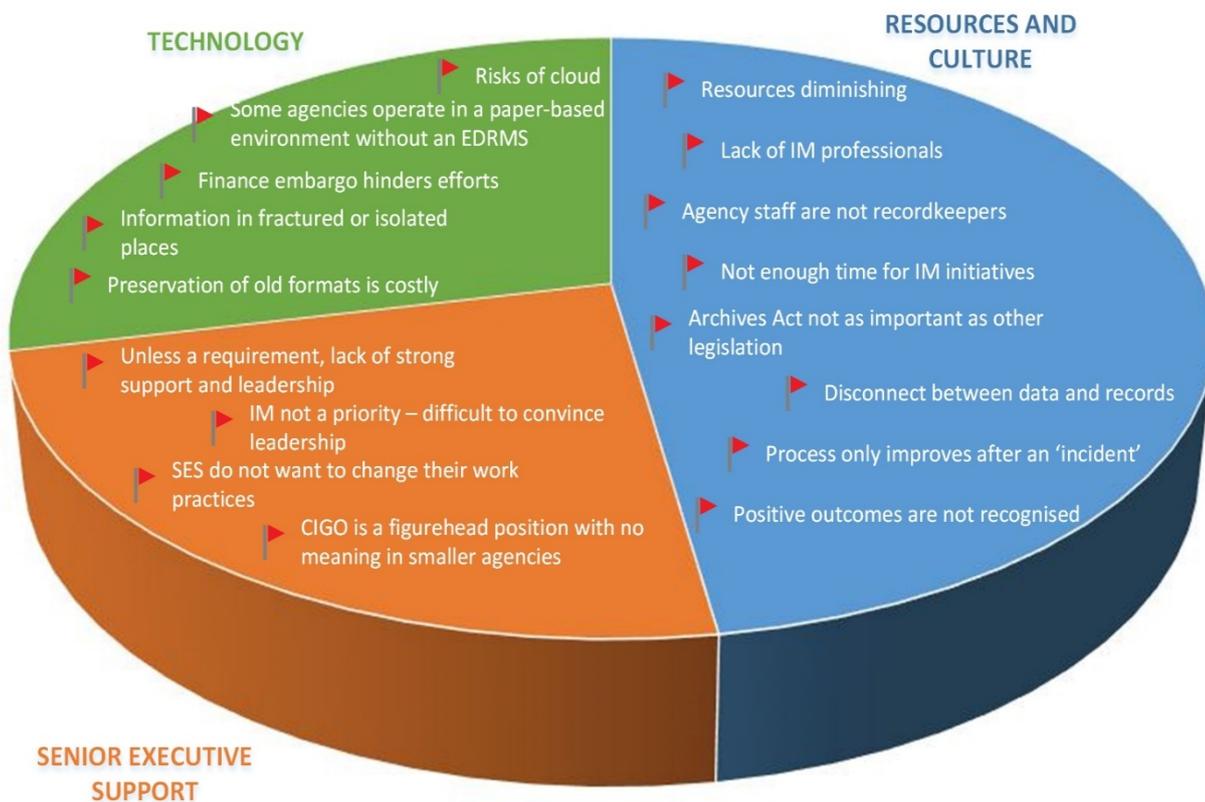
All participating agencies provided comments on each item on the consultation agenda, listed at Appendix B.

### 3. Findings

#### 3.1. Agencies' limitations and challenges in the management of digital information

In this segment, agencies were asked to talk about their main limitations and challenges in the management of digital information. Agencies stated that the roadblocks are resources and culture, senior executive support, and technology.

Figure 1: Main limitations and challenges



##### 3.1.1. Resources (staffing and budget) and culture

Agencies indicated the following issues:

- resources have diminished over time in IM areas
- there is a lack of IM professionals in the workforce - expertise is an issue when hiring IM staff and, as a result, the foundation knowledge is missing. In smaller agencies, information managers seem to be in the role for leadership, rather than having the knowledge and/or experience
- agency staff are not recordkeepers – they do not view records as an asset and do not fully understand the benefits of digital IM, therefore, “constant education is needed” to convince people to work smarter. It is hard to get IM on their worklist

- agency staff assume that system will automatically facilitate compliant IM
- there is not enough time for IM initiatives, as priorities get drawn by ‘business as usual’ activities, especially in smaller agencies
- staff see the *Archives Act 1983* not as important as other legislation (ie. *PGPA Act 2013*)
- there is a disconnect between data and records, as two separate areas. There is no interest in working together and there are split responsibilities between these areas. Information Management needs a seat at the Information Technology table to discuss IM-related issues, for example, systems interoperability
- compliance of business systems with ISO16175 falls on deaf ears
- assessment of business systems for IM compliance/interoperability of systems is difficult and it is done, in some cases, by people not experienced in IM
- processes tend to improve after an issue or incident, such as a data leak
- positive outcomes are hardly recognised.

### 3.1.2. Senior executive support

The most commonly cited issues were:

- unless there is a requirement, there is a lack of strong support and leadership from senior executive
- IM is not a priority for the leadership team and it is difficult to convince SES to think about IM. At grass roots, there is a willingness to do more in the digital IM space, but the executive group does not have the time to review and sign off on IM projects and initiatives
- SES do not want to change their administrative work practices and view IM as an extra step – they are struggling with the use of an EDRMS
- in some agencies, there is a limited SES understanding of the benefits in investing in IM initiatives
- Chief Information Governance Officer (CIGO) is a “figurehead” position and it has no meaning in smaller agencies.

### 3.1.3. Technology

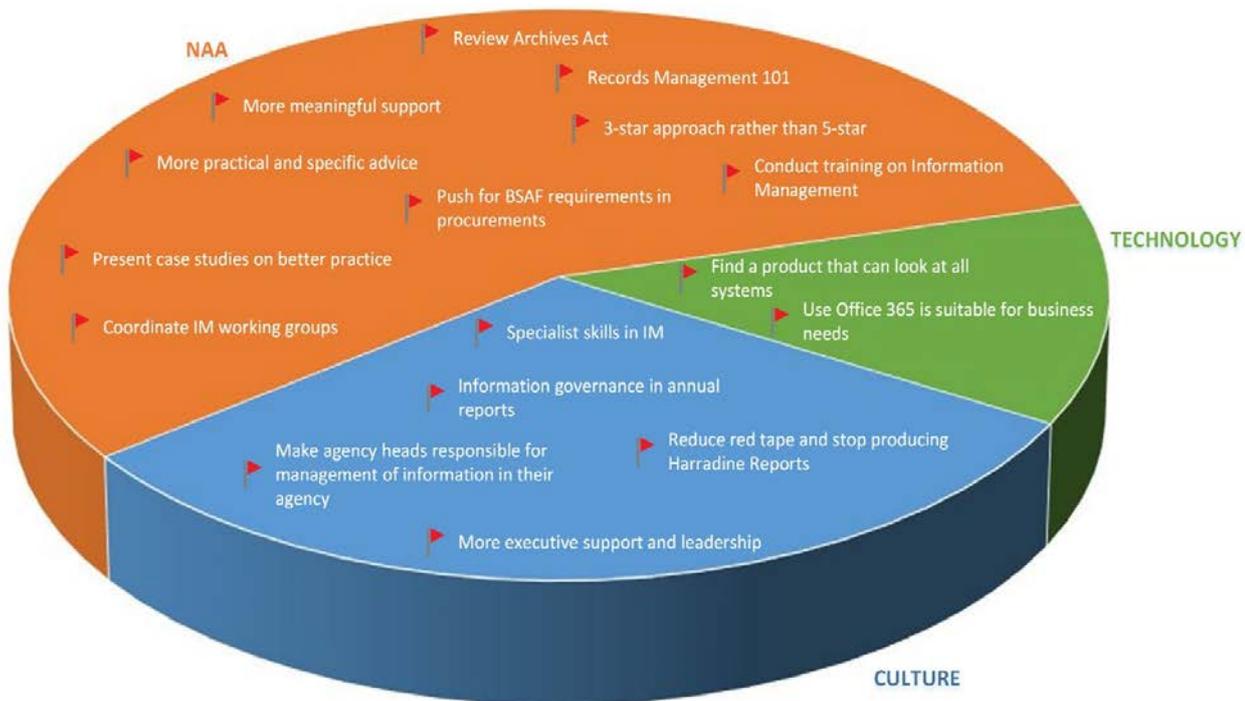
Agencies provided the following information:

- some agencies operate, to a certain extent, in a paper-based environment without a corporate EDRMS
- Department of Finance embargo on EDRMS adoption hindered agencies’ efforts to implement some of the DC2020 recommended actions and targets
- search functionality in some EDRMS systems is difficult
- management of unstructured information stored in fractured or isolated places, such as shared drives and Outlook folders, is challenging
- there are risks in using cloud solutions for the management of long-term records
- preservation of legacy records, especially old type cassettes, is costly.

## 3.2. Wish-list to help achieve DC2020 recommended actions and targets

Across all participating agencies, it was agreed there is a need for a better IM culture, more staff, SES buy-in, and more time for IM initiatives.

Figure 2: Wish list items



In particular, agencies expressed a desire for the following:

### 3.2.1. Culture and SES

- look for specialist skills in IM
- have information governance requirements included in annual reports
- reduce red-tape and stop producing the half-yearly Harradine Reports
- make Agency Heads responsible for the management of information in their agency
- get more executive support and leadership

### 3.2.2. National Archives

- push for a review of the *Archives Act 1983* so the agency can have more regulatory authority, more “stick”, to enforce better practice IM
- provide more meaningful support, such as agency visits
- develop more practical, more specific and realistic online advice (eg. ‘Records management 101’, advice on various IM solutions (eg. Microsoft Office 365) highlighting the pros and cons, advice on records aggregation and what constitutes a complete RNA digital record, advice on how to support a BSAF risk assessment,

advice on how to sentence “data”, disposal advice in the absence of an agency-specific records authority, a mapping guide for activities against classes in AFDA Express Version 2)

- introduce a “3-star” approach (rather than a “5-star”) to IM maturity in the new post 2020 policy (ie. meet better practice, rather than best practice)
- conduct training on IM basics (‘lunch and learn’ type sessions)
- finalise the procurement panel for digitisation services
- push for BSAF-type requirements/ interoperability in procurement of business systems
- present case studies on better practice IM at GAIN forums and disseminate them, including the supporting information (eg. results of consultations, final documents), on the website
- coordinate IM working groups or other networking activities and use technology more (eg. Skype broadcasts).

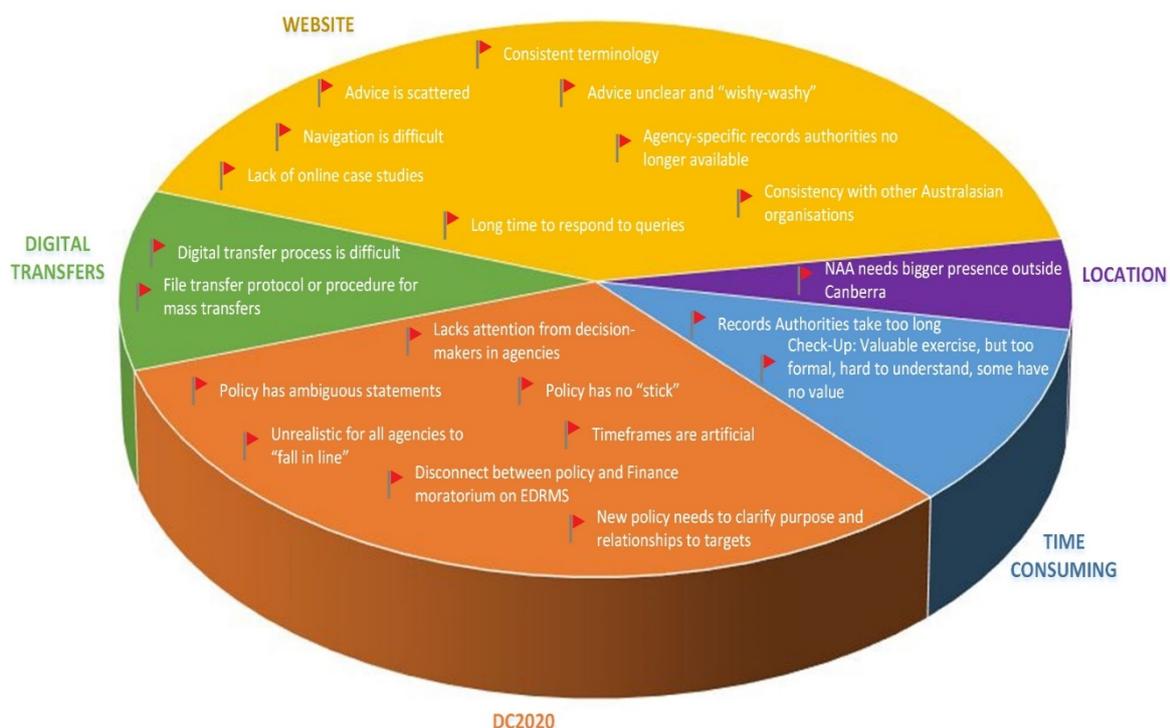
### 3.2.3. Technology

- find a product that can look at all systems and is able to manage all information in one place (eg. CastlePoint)
- use Microsoft Office 365 if suitable for business needs.

## 3.3. Barriers in dealing with the National Archives

Agencies were asked to outline some of their barriers in communicating with, and receiving advice from, the National Archives, and to discuss some of the deficiencies in our products and initiatives.

**Figure 3: Main barriers in dealing with NAA**



The following issues, some underlining National Archives' theoretical approach, were raised:

### 3.3.1. Challenging and time consuming projects

- **Check-up PLUS** – although a valuable exercise, it is too formal, some questions are hard to understand, have no value (eg. amount to be transferred to the National Archives) and confusing (eg. boundaries between physical and digital IM). Survey coverage should be clarified by explaining it refers to all information holdings, not just those managed in an EDRMS. It is a subjective self-assessment process and there are no requirements to provide any evidence. The survey should be more flexible and cater for different size agencies. A Check-up light version (not required to be signed by Agency Head) would bring a “community feel” rather than a “formal feel”.
- **Records Authorities** – both development and review take too long.

### 3.3.2. DC2020 Policy

- it lacks the attention from decision-makers in agencies
- there is no “teeth and stick”, similar to an “audit type” scan, behind the principles
- it has ambiguous statements and some of the recommended targets (eg. on information governance and interoperability) are hard to achieve. The Policy is confusing in parts, there are too many targets, some are similar, and there are no clear directions on how to achieve those targets
- it is unrealistic to expect all agencies to “fall in line” – some actions are designed for large agencies
- timeframes are artificial and there is a disconnect between the policy requirements and Department of Finance’s moratorium on ERDMS spending
- **New post 2020 policy**– agencies need to better understand what they are asked to do; clarify policy’s purpose and relationship to targets, which need to be more specific, measurable, and different based on agency size, IM maturity etc; recognise that high profile, high risk areas are more advanced than the rest of the organisation; new policy should have a pathway, different tiers to cater for different levels of IM maturity, link metadata to the maturity model, and include “tool kits”. New policy should introduce a “three-star” compliance approach rather than a “five star”, along the lines of “do this, but not everything needs to be done” (ie. meet better practice, rather than best practice). Have something for **all** agencies to work on.

### 3.3.3. Digital transfers

- digital transfer process is difficult
- develop a file transfer protocol or procedure for mass transfers or negotiate a section 64 ‘custody of material’ with relevant agencies

### 3.3.4. National Archives’ website

- only some information is helpful, and consistent terminology is not always used
- advice is scattered and navigation is difficult, in particular for people new to IM

- in some instances, advice is unclear and “wishy-washy”. For example, there is confusion between the minimum metadata standard and other Australasian metadata standards or guidelines. BSAF is not helpful when it comes to management of information held in uncontrolled environments, and some questions are a little repetitive and not in plain English. The two digitisation standards are confusing
- have more visual aids, such as flowcharts
- old AFDA (2010) is preferred due to its granularity, but is no longer available on the new website. Also, under ADFA Express, some information is kept for longer due to the amalgamation of classes
- there is a lack of online case studies of exemplar agencies. National Archives should tell agencies how better practice IM looks like through examples of concrete projects and supporting documentation
- agency-specific records authorities have disappeared from the new website (currently being addressed by National Archives)
- it takes a long time to get responses to queries. Timeliness is an issue and agencies would like to be able to speak to someone.

### 3.3.5. Location

- National Archives should get more involved and extend its presence outside Canberra.

## 3.4. Opportunities for collaboration

Participating agencies agreed there is a need for more meaningful support from the National Archives. They identified a number of opportunities to improve collaboration between agencies and the National Archives, based on a shared vision and understanding of each other’s responsibilities. National Archives should concentrate its efforts on the following:

- **tools and advice** – develop more practical, more specific and realistic online advice, as well as more adaptable DC2020 implementation advice. Not all agencies are the same and there is no “one size fits all”
- **Short-term placements** of National Archives staff with agencies, especially with the ones that need help – a several weeks program during which National Archives’ staff can understand the realities, constraints and challenges faced by agencies, and learn more about IM work in agencies
- **Staff exchange**
  - **Agency visits** – National Archives’ staff to spend half days with agencies and provide tailored guidance and advice on achieving better practice digital IM
- **Networking**
  - face-to-face meetings on regular basis, such as these roundtable consultations, themed sessions (eg. BSAF practitioner level) etc., so that IM practitioners can discuss and share information. National Archives should

create opportunities to meet or coordinate IM working groups which will help agencies discuss and share ideas about various topics of interest

- online collaboration via video conferences, Skype broadcasts, GovTeams, with the aim of addressing the disconnect between Canberra and non-Canberra agencies
- a closer relationship with RIMPA
- involvement in government initiatives (eg. Fortress and Procurement, Development and Management System) as other agencies, such as the Digital Transformation Agency (DTA), are “jumping in on National Archives’ responsibilities”
- engagement at Agency Heads level
- face-to-face training, including ‘lunch and learn’ and ‘train the trainer’ sessions.

## Appendix A: List of participating agencies

Agency name
Administrative Appeals Tribunal
Aged Care Quality and Safety Commission
Airservices Australia
Australian Electoral Commission
Australian Federal Police
Australian Maritime Safety Authority
Clean Energy Finance Corporation
Creative Partnership Australia
Department of Communication and Arts
Department of Defence
Department of Finance
Department of Foreign Affairs and Trade (Public Diplomacy Branch)
Department of Health
Department of Parliamentary Services
Department of Prime Minister and Cabinet
Department of the Environment and Energy
Department of the Treasury
National Gallery of Australia
National Portrait Gallery of Australia
Office of the Commonwealth Ombudsman
Outback Stores
Professional Services Review
Royal Australian Mint
Safe Work Australia

## Appendix B: 'DC 2020 – Agency Implementation Support Program' Consultation Agenda

<i>Item</i>	<i>Issue</i>
<b>1</b>	<b>Welcome</b> <ul style="list-style-type: none"> <li>• Introductions</li> </ul>
<b>2</b>	<ul style="list-style-type: none"> <li>• <b>Agencies' barriers, limitations and challenges</b> in the management of digital information (eg. culture, Executive support, resources/budget, volume of digital information etc.) with focus on areas of low performance, such as digital information creation and capture, digital storage, disposal, interoperability, governance</li> <li>• <b>Barriers in dealing with NAA</b></li> <li>• <b>Wish-list</b> to help achieve Digital Continuity 2020 recommended actions and targets. What is sustainable?</li> </ul>
<b>3</b>	<b>Opportunities for collaboration</b> Some ideas: <ul style="list-style-type: none"> <li>• Practical, more targeted, online advice and guidance (tell us what is needed)</li> <li>• Agencies presentations at GAIN forums to spotlight Digital Continuity 2020 successes</li> <li>• Face-to-face agency visits</li> <li>• Short-term secondments to NAA or a skill share swap</li> </ul>
<b>4</b>	Summary and next steps

DC2020 Policy – Requiredness of implementation targets and pathways

Principle 1: Information is valued

1	Annual agency survey reporting	Annually 31 December 2020
2	Agencies have established an information governance committee.	30 June 2016
3	Agencies have established an information governance framework.	31 December 2016
	Agencies have a chief information governance officer.	31 December 2017
	Agencies establish and implement a program of continuing professional development of information management staff for professional recognition.	31 December 2018
	CIGOs or senior officers responsible for information governance individually join a professional association to support their continuing professional development.	31 December 2019
4	Agencies manage their information assets for as long as they are required.	31 December 2020
5	Agencies meet targets for professionally qualified or accredited information managers.	31 December 2020

s 47C(1)

s 47C(1)

**Mandatory (M)** – something that is required

**Suggested (S)** – something that is recommended as better practice

**Optional (O)** – something that is elective, not compulsory, left to an agency’s choice

**Principle 2: Information is managed digitally**

	Agencies have reduced reliance on paper and duplication of information in digital and physical formats. Agencies have identified paper-based business processes.	31 December 2015
	All records created in digital format after this date are managed digitally.	1 January 2016
	Agencies <b>identify</b> high-value and long-term information assets, evaluate risk and management requirements, and implement strategies to support digital continuity.	31 December 2016
	Agencies transform most paper-based business processes to digital, and routinely make and record decisions using <b>digital authorisations and workflows</b> .	31 December 2017
	Agencies identify all information assets, evaluate risk and management requirements, and identify strategies to support digital continuity.	31 December 2018
	Agencies identify remaining analogue approval processes and evaluate against the Archives' digital authorisations framework to implement completely fully digital authorisations and workflow processes.	30 June 2019
	Agencies implement strategies for the management of all information assets to support digital continuity.	31 December 2019

s 47C(1)

17C(1)

**Mandatory (M)** – something that is required

**Suggested (S)** – something that is recommended as better practice

**Optional (O)** – something that is elective, not compulsory, left to an agency's choice

6	Agencies' business interactions, decisions and authorisations are recorded digitally. Exemptions are based on legislative or agency specific requirements and are endorsed by the agency Information Governance Committee.	31 December 2020
7	Information in analogue formats is migrated to digital format, where there is value for business.	31 December 2020

s 47C(1)

s 47C(1)

**Principle 3: Information, systems and processes are interoperable**

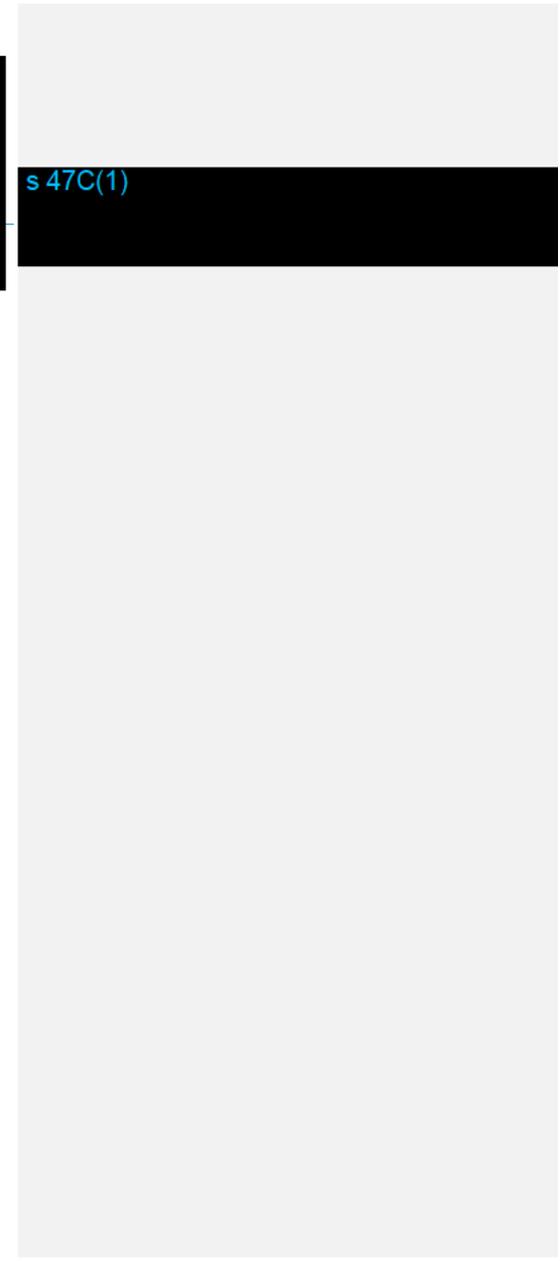
	All business systems procured after this date will meet minimum metadata standards, and will be evaluated against the Archives' business systems assessment framework to meet functional requirements for information management.	31 December 2016
	All business systems containing high-value and long-term information assets meet minimum metadata standards.	31 December 2017
	All business systems are evaluated against the Archives' business systems assessment framework to meet functional requirements for information management. Functional requirements are implemented where necessary.	31 December 2018
8	Information is managed based on format and metadata standards for information governance and interoperability.	31 December 2020

**Mandatory (M)** – something that is required

**Suggested (S)** – something that is recommended as better practice

**Optional (O)** – something that is elective, not compulsory, left to an agency's choice

9	All business systems meet functional requirements for information management.	31 December 2020	s 47C(1)
10	Cross-agency and whole of government processes incorporate information governance requirements.	31 December 2020	



**Mandatory (M)** – something that is required  
**Suggested (S)** – something that is recommended as better practice  
**Optional (O)** – something that is elective, not compulsory, left to an agency’s choice

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Subject:** FOR COMMENT: DC2020 - Requiredness of Targets and Pathways [SEC=OFFICIAL]  
**Date:** Friday, January 17, 2020 8:22:50 AM  
**Attachments:** [DC2020 - Requiredness of Targets and Pathways.tr5](#)

---

OFFICIAL

Morning, s 22 (1)(a)(ii) and s 22 (1)(a)(ii)

s 22 (1)(a)(ii) asked us to prepare, for her approval, a document which clarifies the various levels of importance of the DC2020 targets. The aim is to have this published on our website.

Grateful if you could review and provide feedback on the attached document, which now only represents the views of Agency Engagement section. By mid-next week, please.

Thanks and regards

s 22 (1)(a)(ii)

-----< Content Manager record Information >-----

Record Number : R17102020  
Title : DC2020 - Requiredness of Targets and Pathways

OFFICIAL

Note-To-File

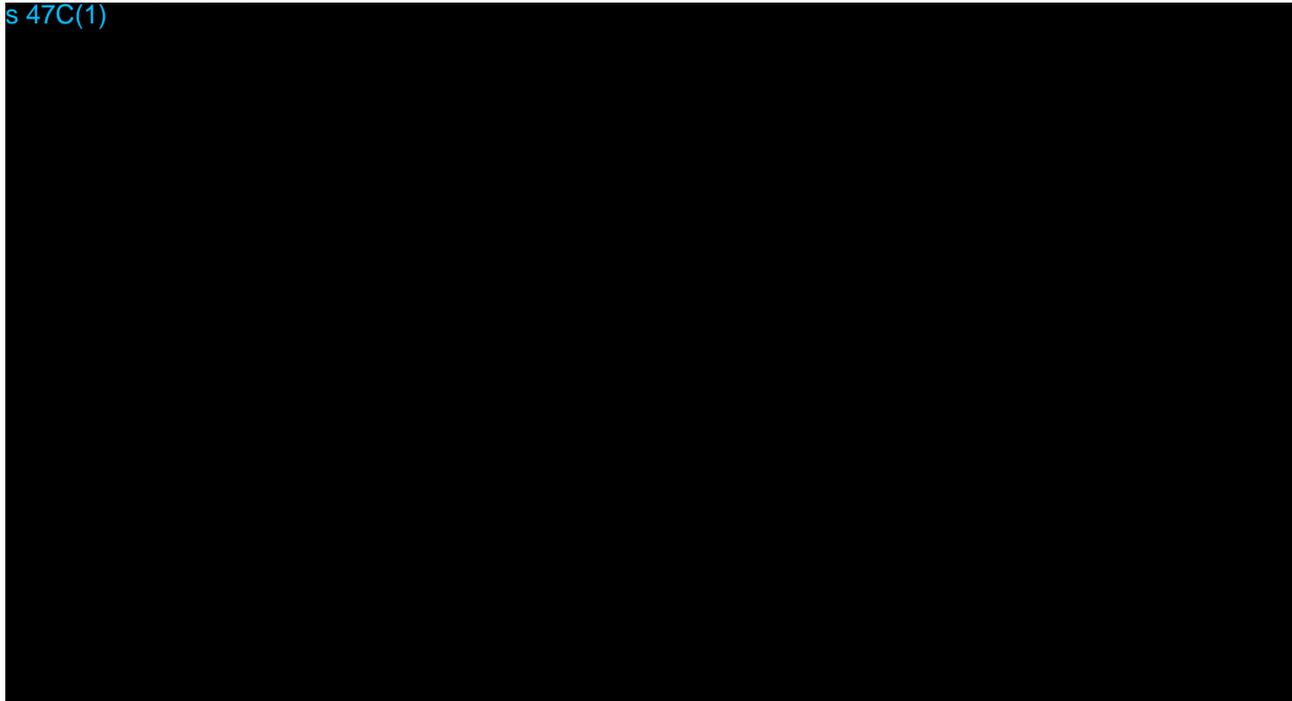
File number	2019/1704
Project	DC2020 – Agency Implementation Support Program
Agency	Administrative Appeals Tribunal (AAT)
Contact	<b>s 22 (1)(a)(ii)</b> (Assistant Director, Digital Content & Records) <b>s 22 (1)(a)(ii)</b> (Information & Records Project Manager) <b>s 22 (1)(a)(ii)</b> (CIO)
Date/time of teleconference	Tuesday 10 December at 10:00am

**s 22(1)(a)(ii)** accepted the National Archives' invitation to discuss about his agency's digital information management limitations and challenges on 24 October 2019.

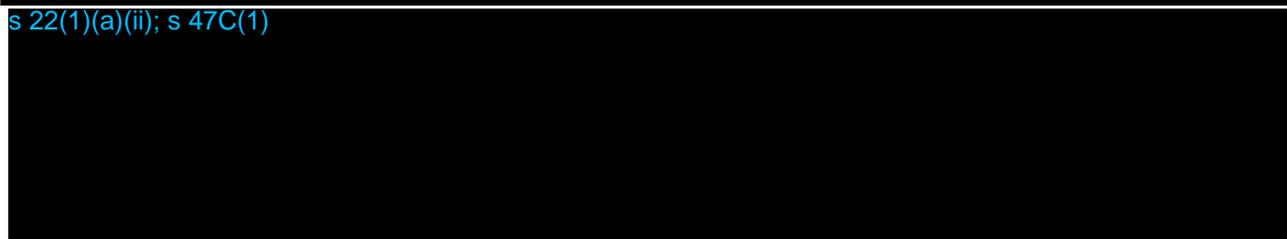
During the teleconference, participants made the following comments:

**Agency's barriers, limitations and challenges in the management of digital information**

**s 47C(1)**



**s 22(1)(a)(ii); s 47C(1)**



**Opportunities for collaboration**

- National Archives' staff to spend time with agencies, via placements, especially with the ones that need help
- National Archives' staff to get out more and spend half days with agencies (agency visits)
- Address disconnect between Canberra and non-Canberra agencies. Have online presentations, Skype broadcasts, and case studies with the documentation available for agencies.

**s 22 (1)(a)(ii)**

Assistant Director

Agency Engagement Section  
Collection Management Branch

Official

## Note for file

### Roundtable discussion

File number	2019/1704
Project	DC2020 – Agency Implementation Support Program
Agencies attended	Health – s 22 (1)(a)(ii) AFP – s 22 (1)(a)(ii) and s 22(1)(a)(ii) Australian Electoral Commission – s 22 (1)(a)(ii) Safe Work Australia – s 22 (1)(a)(ii)
Apologies	National Portrait Gallery – s 22 (1)(a)(ii)
Date/time of roundtable	Thursday 5 December 2019, 10:00am

### Agencies' barriers, limitations and challenges in the management of digital information

#### Technology

- s 22(1)(a)(ii)
- For the AEC, preparing and conducting federal elections is the biggest barrier
- Information Management and Records Management are split into different areas
- Business systems are not IM compliant
- Cloud solutions are managing long-term records and there are risks associated with that
- A lot of legacy records – not easy or cheap to scan
- Some investment in IM, but has not been very successful
- Finance embargo re investing in an EDRMS/ mobile technologies
- Media is an issue – large amounts of old type cassettes (audio) and other objects
- Unstructured information - managing a lot of information in fractured places/ isolated spaces could cause some duplication, or no management at all
- s 47C(1)

#### IM Culture and Staffing

- Big challenge with context of records
- Finding time and resources for IM (especially in a smaller agency)
- Information Governance recommended actions are hard to implement in small agencies
- No records management committee – issue with governance (in smaller agency).

SES

- No strong support from Senior Executive
- Executive struggling with the use of EDRMS – Extra work, time and effort
- Executive want mobile approval access.

Wish list

- Would like to get one system right, a system that will manage “things” in one place
- Need a Records Management 101 style online advice
- How to support a BSAF risk assessment

s 47C(1)

- AFDA Express 2 – Descriptions/activities – mapping guides for activities against classes.

s 22(1)(a)(ii); s 47C(1)

Opportunities for collaboration

- Information sharing – How did the top agencies achieve their DC2020 targets/goals.
- Secondments / placements and agency visits
- Meetings like this so agencies can find out about other agencies
- Closer relationship with RIMPA
- Coordination of IM working groups
- Involvement in government initiatives, such as Fortress (Digital Transformation Agency) and PDMS (Procurement, Development and Management System)
- Video conferencing facilities, for non-Canberra agencies.

§ 22 (1)(a)(ii)

Agency Engagement

Collection Management



## Digital Continuity 2020 Policy - Communication and Stakeholder Engagement Plan 2020

This document requires the following approvals:

Name	Signature	Title	Version
<b>s 22 (1)(a)(ii)</b>		ADG Collection Management Branch	0.3

Document author	<b>s 22 (1)(a)(ii)</b>
Version No.	0.3
Version Date	11 February 2020
File number(s)	2015/2251; 2019/1704



NATIONAL ARCHIVES OF AUSTRALIA

### Revision History

Version	Date	Summary of changes
0.1	4 February 2020	Draft by author <a href="#">s 22 (1)(a)(ii)</a> )
0.2	5 February 2020	Minor edits <a href="#">s 22 (1)(a)(ii)</a> )
0.3	11 February 2020	ADG comments incorporated <a href="#">s 22 (1)(a)(ii)</a> )
0.4	31 July 2020	Update <a href="#">s 22 (1)(a)(ii)</a> )

### Related Document

RkS Number	Title
R1399662016	Digital Continuity 2020 Communication Plan 2015-2020

# Contents

1. Introduction .....	4
2. Background .....	4
3. Objective .....	4
4. Strategy .....	4
5. Tactics / Channels.....	5
6. Target audiences .....	5
7. Communication Messages.....	6
8. Risks.....	7
9. Resources .....	7
10. Project management.....	7
11. Evaluation .....	7
12. Communication priorities.....	7
13. Communication schedule.....	8

## 1. Introduction

The *'Digital Continuity 2020 (DC2020) Policy - Communication and Stakeholder Engagement Plan 2020'* builds and expands on the previous communication plan developed for the DC2020 Policy<sup>1</sup>. It reiterates the key communication messages and strategies for ensuring Australian Government agencies understand the requirements of the Policy and outlines a number of engagement channels for assisting agencies implement the Policy, in its final phase.

## 2. Background

The National Archives launched the DC2020 Policy in October 2015, as a whole-of-government approach to digital information governance. As the Policy draws closer to its end date on 31 December 2020, the National Archives has identified a number of difficulties to agency implementation of DC2020 actions and targets.

This plan complements the *'Digital Continuity 2020 Communication Plan 2015-2020'* and aims to ensure revised and prioritised targets are clearly defined and understood, and that stakeholder engagement is targeted and sustainable.

It provides a revised and updated plan of action, consistent with recommendation no.2 of the Auditor-General report No.11 2019-20:

*"The National Archives of Australia should develop and implement a stakeholder engagement and communication strategy that:*

- a) includes measures to ensure that entities are appropriately consulted when introducing new or revised targets; and*
- b) establishes mechanisms to ensure targets are clearly identified and consistently communicated as either mandatory, suggested, or optional."*

## 3. Objective

The key objectives of this plan include:

- Agencies have a clear understanding of the revised and prioritised DC2020 actions and targets
- Agencies have access to information and services to assist them with policy implementation, including new and revised online advice
- The results of the DC2020 Policy evaluation report are shared with the agencies
- Senior managers recognise the value of digital information management to agency business
- Archives' communications are coordinated and consistent.

## 4. Strategy

The communication strategy will target both senior agency management and those at operational level. Senior managers in agencies will be reminded of the intent, authority and principles of the DC2020 policy, and the benefits of sound information management, including management of risks. Information managers, Check-up PLUS coordinators and related professionals will receive more detailed advice and support, including revised targets and pathways.

Communication will be integrated with existing agency communication channels, such as GAIN forums, GAIN e-bulletins, and Check-up PLUS surveys.

The stakeholder engagement strategy will be informed by and build upon the program of agency engagement roundtable and consultation sessions conducted at the end of 2019. This program

---

<sup>1</sup> *Digital Continuity 2020 Communication Plan 2015-2020*, available at R1399662016.

identified the key barriers to agency implementation of DC2020 and identified agency requirements for support.

New and updated online advice will be developed and made available, aligned with the revised policy targets and Check-up PLUS survey for 2020. Selected internal and external stakeholders will be consulted and asked to provide feedback on content.

Agency Engagement section will identify and analyse improvements across agencies, based on the 2019 and 2020 Check-up PLUS survey findings, and will deliver an evaluation report in 2021.

A separate communication plan will be developed for the policy to succeed the DC2020 policy.

## 5. Tactics / Channels

- **Online** - NAA website (primary form)
- **Written** - GAIN e-Bulletin, media/press release, direct correspondence with agencies, other newsletters/bulletins
- **Face to face** – GAIN forums, targeted and general agency meetings and workshops, agency visits, ADRI meetings
- **Social media & Media** – Twitter, Facebook, and GovTeams
- **Agency Service Centre** – consistent messaging to raise awareness of the DC2020 policy as a standard part of inquiry responses.

## 6. Target audiences

### 6.1 Primary

Stakeholder	Engagement level
Key stakeholder agencies - Attorney-General's, Department of Finance, Communications, Prime Minister & Cabinet, OAIC, Australian Taxation Office, Digital Transformation Office	Inform
Agencies with low information management maturity	Inform, consult and involve
Agency Heads, branch heads and other senior management	Inform
Agency information and records management staff (including contractors and consultants working within agencies)	Inform (and consult when required)
Nominated Check-up PLUS Coordinators	Inform
Agency Engagement and Information Policy staff	Inform and consult

## 6.2 Secondary

Stakeholder	Engagement level
All NAA staff, including those in contact with agencies in State offices	Inform
Archival and information management professionals, including non-Commonwealth, vendors, and members of relevant professional associations	Inform
Professionals in related fields eg. ICT, law, procurement, business analysis, public administration.	Inform

<sup>2</sup>Levels of engagement:

- **Inform** > to provide stakeholders with the necessary information about revised and new material
- **Consult** > to obtain feedback from stakeholders on content of material
- **Involve** > to work directly with stakeholders to ensure their needs are understood, considered and incorporated into the online supporting material

## 6.3 Stakeholders

- Australian Government agencies
- Portfolio Minister/Department
- Advisory Council
- National Archives' Information Governance, ICT and Security areas.

## 7. Communication Messages

### 7.1 Simple messages

- DC2020 is a whole-of-government approach that applies to all agencies
- The targets and pathways in DC2020 have been reviewed and identified as being mandatory or suggested.
- Agencies report annually on their progress (to the National Archives) via the Check-up PLUS survey
- DC2020 policy will conclude on 31 December 2020
- The National Archives will continue to provide targeted support and online advice and tools
- The requirements of the DC2020 policy will continue after the launch of the successor policy.

### 7.2 Expanded messages

- Details of the mandatory and suggested targets with advice on resources and advice available to assist in achieving them.
- DC2020 aims to assist agencies to integrate information governance principles into their work practices. This will result in:
  - improved business outcomes for agencies
  - delivery of efficient, secure and trusted government programs and services
  - reduced duplication and interoperable information, systems and processes.
- DC2020 should be viewed by senior managers as a significant investment which will help agencies meet the government priorities of faster, clearer, simpler and trusted services
  - improvements should be made as part of the normal review and investment cycles

- DC2020 requires the engagement of senior management and representatives from across your agency including IM, ICT, governance, procurement & contract managers, lawyers, senior managers, business areas
- sound information management is critical in minimising risks arising from information that is inaccurate, insecure and unable to be located or used when needed.
- The National Archives is collaborating with a number of internal and external stakeholders to develop further implementation advice, products and tools
- The National Archives will engage with agencies, and in particular with those with low information management maturity, via meetings, workshops, or agency visits
- The National Archives will continue to report annually to the portfolio Minister on the progress of implementing digital continuity in the Australian Government.

## 8. Risks

For communication risks and mitigations, see the Risk Register at R105072015. The key risks are resources and project co-dependencies.

## 9. Resources

Resources will be allocated from the Agency Engagement section in 2019, 2020 and the early part of 2021.

## 10. Project management

Communication activities, as well as content input, will be coordinated by Project Working Group (PWG). Communication assistance will be provided as needed by the Access and Public Engagement Branch.

## 11. Evaluation

The communication strategy will be evaluated via:

Feedback on the revised and prioritised DC2020 targets, and supporting advice

Check-up PLUS results in 2020 (compared to results reported over the previous years).

## 12. Communication priorities

Stakeholder	Message
<ul style="list-style-type: none"> <li>• Advisory Council</li> <li>• National Archives' Leadership team</li> <li>• All NAA staff.</li> </ul>	<ul style="list-style-type: none"> <li>• simple messages</li> </ul>
<ul style="list-style-type: none"> <li>• Agency heads, branch heads and senior management</li> <li>• Agency information and records management staff (including contractors and consultants working within agencies)</li> <li>• Check-up PLUS Coordinators</li> <li>• Other archival and information management professionals</li> <li>• Agency Engagement and Information Policy staff.</li> </ul>	<ul style="list-style-type: none"> <li>• simple messages</li> <li>• expanded messages</li> </ul>

### 13. Communication schedule

Date	What	Audience
Every month	GAIN e-bulletin	Agencies
November – December 2019	Roundtable discussions and telephone interviews with selected agencies - <b>completed</b>	Agencies
February 2020	Identify existing DC2020 policy targets as mandatory, suggested or optional - <b>completed</b>  Communicate to all agencies - <b>completed</b>	Agencies
February 2020 – March 2020	Develop list of priorities for online advice, based on roundtable discussions with selected agencies - <b>completed</b>  Engage with subject matter experts and draft new content - <b>completed</b>  GAIN Forum - <b>completed</b>	Agencies
April 2020 – May 2020	Review Check-up PLUS survey for 2020  Work on new advice, seek feedback on content and obtain approval from director, Agency Engagement - <b>completed</b>	Agencies
May 2020 – June 2020	Publishing new online content – <b>two new advices were published; another one to be approved for publication</b>	Agencies
July 2020 - September 2020	Communicate to agencies via identified tactics/channels  GAIN Forum (August)  Further support via, GAIN e-bulletins and agency visits	Agencies
January 2021	Check-up Plus opens	Agencies
March 2021	Check-up PLUS closes	Agencies

April 2021 – May 2021	Review of Check-up PLUS findings and analysis of agencies' performance against DC2020  GAIN Forum	Agencies
June 2021	Prepare and publish evaluation report on DC2020 policy	Minister, Prime Minister, Agencies



Risk Likelihood	
<b>Rare</b>	The event may only occur under exceptional circumstances. Its probability is estimated at 0 to 10%.
<b>Unlikely</b>	The event could occur at some time which may/may not be within the near or forecasted future. Its probability is estimated at 10 to 25%.
<b>Possible</b>	The event might occur at some time in the near or forecasted future which may/may not be linked to internal or external factors. Its probability is estimated at 26 to 50%.
<b>Likely</b>	The event is expected to occur in most circumstances in the near or immediate future and linked with internal and external factors. Its probability is estimated at 51 to 75%.
<b>Almost Certain</b>	The event is expected to occur in the near or immediate future, or where the risk has occurred previously under similar circumstances and is expected to occur again. Its probability is estimated at 76 to 100%.

Risk Consequence	
<b>Extreme</b>	Services or business operations seriously compromised, Archives' core functions in jeopardy, high level of monitoring and increased reporting, resources maximised to maintain priority operations
<b>High</b>	Moderate to major disruption of business operations revealing shortcomings in the provision of services, ineffective stakeholder management, considerable effort and resources to rectify.
<b>Moderate</b>	Minor to moderate loss impacting short-term operations, some effort to rectify with minimal additional resources.
<b>Low</b>	Very small or negligible impact, rectified by normal business processes.

Risk Level Matrix					
		Consequences			
		Low	Medium	High	Extreme
Likelihood	Almost Certain	High	High	High	Extreme
	Likely	Moderate	Moderate	High	Extreme
	Possible	Low	Moderate	Moderate	High
	Unlikely	Low	Low	Moderate	High
	Rare	Low	Low	Low	Moderate

<b>Risk level and acceptability</b>	<b>Extreme</b> - unacceptable
	<b>High</b> - unacceptable
	<b>Moderate</b> - management decision required
	<b>Low</b> - acceptable

<b>Risk Status</b>	<b>Open</b> - further treatment or monitoring required.
	<b>Closed</b> - risk has been mitigated and no longer applies

## Risk Tolerance

**Risk tolerance** is the level of risk that is acceptable, after risk treatment, in order to achieve specific objectives or manage a category of risk. It acknowledges the outcomes of a risk should it occur, and the right resources and controls that are in place to absorb or "tolerate" the given risk.

CATEGORY OF RISK	Level of risk the Archives is willing to accept in order to achieve specific objectives or manage a category of risk			
	LOW	MODERATE	HIGH	EXTREME
Workplace Health and Safety				
Infrastructure (Facilities) and Operations				
Asset Management (the collection and other assets)				
Stakeholder Management and Service Delivery				
Financial				
Procurement and Contract Management				
Information and Communication Technology				
Data and Information and Records Management				
Reputational and Corporate Responsibility				
Legal or Legislative				
Protective Security				
IT Security				
Fraud				
Ethical behaviour				

## Recommended Action for Acceptable Risk Tolerance Levels

Where the Risk Level exceeds an acceptable level senior management approval and exception reporting will be required.	
<b>LOW</b>	Continue activity under normal circumstances. Monitor the effectiveness of current controls through routine procedures, accountabilities and appropriate delegations.
<b>MODERATE</b>	Ensure controls are in place and operating as intended. May require additional controls, specific monitoring or response procedures. Responsibility, timing and funding for controls are agreed with management.
<b>HIGH</b>	Consideration to suspending/ending activity or implementing additional controls to mitigate. Mitigation actions must be implemented with Executive Board approval. Review, monitoring and reporting of the risk to the Executive Board, senior management and affected stakeholders is mandatory.
<b>EXTREME</b>	Risk is not tolerated and activity should be avoided. Where a risk relates to strategic objectives or key outcomes immediate mitigation actions must be implemented with Executive Board approval. Review, monitoring and reporting of the risk (including changes to the risk level) to the Executive Board, senior management and affected stakeholders is mandatory.

### Required Risk Treatments

Risk ID No.	Risk	Risk Treatment	Risk Treatment Action Officer	Treatment Monitoring
1	Agencies misunderstand requirements	GAIN Forums, agency visits, workshops	Director, Agency Engagement	Quarterly
2	Communications do not reach senior level of agency/ lack of support from SES	CIGO Forums, DG and ADG level communications targeted at Agency Heads/ Senior Executive	Director, Agency Engagement	Quarterly
3	Agencies do not sufficiently engage with DC2020	Analysis of Check-up PLUS survey results, direct communication with agencies	Director, Agency Engagement	Quarterly review, six-monthly report to ADG
4	Agencies are unclear who and how they need to communicate and discuss targets and deadlines	N/A - low risk	Director, Agency Engagement	N/A
5	National Archives does not sufficiently engage with agencies (undercommunication and underengagement)	Analysis of Check-up PLUS survey results, agency visits, workshops and discussions if required	Director, Agency Engagement	Quarterly review, six-monthly report to ADG
6	National Archives does not sufficiently deliver supporting implementation products (online advice, tools, etc)	Integrate identified priorities/products, tools, etc. into regular work planning	Director, Agency Engagement	Quarterly review, six-monthly report to ADG
7	National Archives does not clarify the communication messages (simple and expanded) and the revised recommended actions and targets	GAIN forums, agency visits and workshops, if required	Director, Agency Engagement	Quarterly review, six-monthly report to ADG
8	National Archives does not frequently update information on website	N/A - low risk	Director, Agency Engagement	N/A
9	National Archives does not train staff in DC2020 policy		Director, Agency Engagement	N/A

## Risk Treatment Plan

**Risk ID No. 1** Agencies misunderstand requirements

### Risk Treatment Strategies or Improvements to Existing Controls

Consistent messaging and online content, and engagement activities via GAIN e-bulletins, GAIN forums, agency visits and possibly workshops

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

Allocation of staff resources for engagement activities

### Completion / Target Date for Risk Treatments and Controls

March 2020 for communicating to agencies the revised DC2020 recommended actions and targets. Targets to be grouped as mandatory, suggested or optional

31-Dec-20 for monitoring activities

## Monitor/Review Plan

### Monitor, Review and Report Schedule

Quarterly review  
Ongoing monitoring

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: s 22 (1)(a)(ii)

Date: 07/02/2020

## Risk Treatment Plan

**Risk ID No. 2** Communications do not reach senior level of agency/ lack of support from SES

### Risk Treatment Strategies or Improvements to Existing Controls

Engagement via CIGO Forums to ensure right level of communication

DG and ADG level communications, including face-to-face meetings, targeted at Agency Heads/ Senior Executive

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

Allocation of staff resources to prepare required documentation/presentation slides, etc.

### Completion / Target Date for Risk Treatments and Controls

31-Dec-20

## Monitor/Review Plan

### Monitor, Review and Report Schedule

Quarterly review, reporting during annual cycle

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: s 22 (1)(a)(ii)

Date: 07/02/220

## Risk Treatment Plan

**Risk ID No. 3 Agencies do not sufficiently engage with DC2020**

### Risk Treatment Strategies or Improvements to Existing Controls

Feedback sought via direct communications  
Analysis of Check-up PLUS survey results  
Review of NAA's resources and priorities aimed at improving engagement

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

Allocation of staff resources for analysis and review activities  
Review resources to allow engagement activities

### Completion / Target Date for Risk Treatments and Controls

31-Dec-20

## Monitor/Review Plan

### Monitor, Review and Report Schedule

Quarterly review, six-monthly report to ADG

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: **s 22 (1)(a)(ii)**

Date: 07/02/20

## Risk Treatment Plan

**Risk ID No. 4 Agencies are unclear who and how they need to communicate and discuss targets and deadlines**

### Risk Treatment Strategies or Improvements to Existing Controls

Risk has been assessed as low/acceptable, no risk treatment is required

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

N/A

### Completion / Target Date for Risk Treatments and Controls

N/A

## Monitor/Review Plan

### Monitor, Review and Report Schedule

N/A

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: s 22 (1)(a)(ii)

Date: 07/02/2020

## Risk Treatment Plan

**Risk ID No. 5 National Archives does not sufficiently engage with agencies (undercommunication and underengagement)**

### Risk Treatment Strategies or Improvements to Existing Controls

Analysis of Check-up PLUS survey results  
Agency visits  
Workshops and round-table discussions

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

Allocation of staff resources to implement treatment strategies  
Review resources and priorities

### Completion / Target Date for Risk Treatments and Controls

31-Dec-20

## Monitor/Review Plan

### Monitor, Review and Report Schedule

Quarterly review, six-monthly report to ADG

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: **s 22 (1)(a)(ii)**

Date: 07/02/20

## Risk Treatment Plan

**Risk ID No. 6 National Archives does not sufficiently deliver supporting implementation products (online advice, tools, etc)**

### Risk Treatment Strategies or Improvements to Existing Controls

Integrate identified priorities/products, tools, etc into regular work planning

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

Allocation of staff resources  
Monitor and review priorities

### Completion / Target Date for Risk Treatments and Controls

31-Dec-20

## Monitor/Review Plan

### Monitor, Review and Report Schedule

Quarterly review, six-month report to ADG

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: [s 22 \(1\)\(a\)\(ii\)](#)

Date: 07/02/20

## Risk Treatment Plan

**Risk ID No. 7 National Archives does not clarify the communication messages (simple and expanded) and the revised recommended actions and targets**

### Risk Treatment Strategies or Improvements to Existing Controls

GAIN forums, agency visits, workshops if required

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

Allocation of staff resources

### Completion / Target Date for Risk Treatments and Controls

31-Dec-20

## Monitor/Review Plan

### Monitor, Review and Report Schedule

Quarterly review, six-month report to ADG

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: s 22 (1)(a)(ii)

Date: 07/02/20

## Risk Treatment Plan

**Risk ID No. 8 National Archives does not frequently update information on website**

### Risk Treatment Strategies or Improvements to Existing Controls

Risk has been assessed as low/acceptable, no risk treatment is therefore required

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

N/A

### Completion / Target Date for Risk Treatments and Controls

N/A

## Monitor/Review Plan

### Monitor, Review and Report Schedule

N/A

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: s 22 (1)(a)(ii)

Date: 10/02/20

## Risk Treatment Plan

**Risk ID No. 9 National Archives does not train staff in DC2020 policy**

### Risk Treatment Strategies or Improvements to Existing Controls

Risk has been assessed as low/acceptable, no risk treatment is therefore required

### Resource Requirements *(including consideration of costing associated with improvement of existing controls)*

N/A

### Completion / Target Date for Risk Treatments and Controls

N/A

## Monitor/Review Plan

### Monitor, Review and Report Schedule

N/A

### Owner of Risk Controls *(responsible position and Branch/Section)*

Director, Agency Engagement

Compiled By: **s 22 (1)(a)(ii)**

Date: 10/02/20

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Subject:** FOR REVIEW: Communications Plan and Risk Assessment - DC2020 Implementation [SEC=OFFICIAL]  
**Date:** Tuesday, February 11, 2020 11:57:57 AM  
**Attachments:** [image001.png](#)  
[Digital Continuity 2020 Policy - Communication and Stakeholder Engagement Plan 2020.tr5](#)  
[Digital Continuity 2020 Policy - Implementation - Risk assessment.tr5](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii)

Please see the attached two documents for your review:

- 1) 'Communication and Stakeholder Engagement Plan 2020' - I have revised it and incorporated s 22 (1)(a)(ii) comments below. I clarified the Introduction and Background parts, linked to the 2015-2020 Communication Plan, and included the relevant ANAO recommendation. I've also looked at the post-DC2020 communication plan (at R991782019) and added details on stakeholder engagement levels.
- 2) 'Risk assessment' - I have fine-tuned the 2015 document and used the current template.

Please let me know if you would like to discuss further. Hopefully we can send those to s 22 (1)(a)(ii) for approval.

Thanks

s 22 (1)(a)(ii)

**OFFICIAL**

---

**From:** s 22 (1)(a)(ii) @naa.gov.au>  
**Sent:** Monday, February 10, 2020 1:44 PM  
**To:** s 22 (1)(a)(ii) @naa.gov.au>  
**Subject:** FW: Comms plan - DC2020 [SEC=OFFICIAL]

**OFFICIAL**

Hi s 22 (1)(a)(ii)

I will discuss with s 22 (1)(a)(ii) now, but have a look at her comments in the meantime.

Thanks

s 22 (1)(a)(ii)

**OFFICIAL**

---

**From:** s 22 (1)(a)(ii) <s 22 (1)(a)(ii) @naa.gov.au>  
**Sent:** Monday, February 10, 2020 1:28 PM  
**To:** s 22 (1)(a)(ii) @naa.gov.au>  
**Subject:** Comms plan - DC2020 [SEC=OFFICIAL]

**OFFICIAL**

Hi s 22 (1)(a)(ii),

I have reassigned the Comms plan for DC2020 to you, I don't think it's ready for approval. The main changes needed are:

- Make sure the introductory parts are clear it is a Comms plan. There's a bit too much reference to

agencies implementing the policy rather than communicating to or engaging with them

- Link it to the existing draft 2015-2020 Comms plan and clearly state this is a 2019/20 updated plan, and supports ANAO recommendations
- Consider whether this is just a Comms plan or a stakeholder engagement plan as well. The recent round tables were engagement rather than comms and should probably be covered in this as well unless there's a separate stakeholder engagement plan. It's too one-sided as is ie it's just us telling agencies things, not engaging with them.

Look at the Comms / stakeholder engagement plan done recently for post-2020 – it may be useful as a model.

We can discuss further this afternoon when we meet.

s 22 (1)(a)(ii)

---

s 22 (1)(a)(ii)

Assistant Director-General a/g  
Collection Management



t s 22 (1)(a)(ii)  
e s 22 (1)(a)(ii) [@naa.gov.au](mailto:s 22 (1)(a)(ii)@naa.gov.au)  
Queen Victoria Terrace, Parkes ACT 2600  
PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

**OFFICIAL**



# **Risk Management plan: DC 2020 Policy - Agency Implementation Support Project**

**Agency Engagement**

## Document Control

Title	Risk Management plan: DC 2020 Agency Implementation Support Project
Version	1.0
Business Owner	s 22 (1)(a)(ii), a/g Director Agency Engagement
Status	Draft
Date for Review	
Approval Date	

## Revision History

Version	Date	Summary of changes
1.0	Feb 2019	Creation by s 22 (1)(a)(ii)

## Related documents

RkS Ref	Title

## Contents

Document Control.....	2
Revision History .....	2
Related documents .....	2
1. EXECUTIVE SUMMARY .....	4
2. INTRODUCTION.....	5
3. ROLES AND RESPONSIBILITIES .....	5
1.1. Executive Board .....	5
1.2. Project Sponsor .....	5
1.3. Project Board.....	5
1.4. Project Manager .....	5
1.5. Project Lead.....	5
1.6. Project Management Committee.....	<b>Error! Bookmark not defined.</b>
1.7. Audit and Risk Committee.....	6
1.8. Round Table.....	<b>Error! Bookmark not defined.</b>
4. RISK MANAGEMENT .....	6
4.1 Approach .....	6
4.2 Identification .....	6
4.3 Analysis .....	7
5. DOCUMENTATION .....	7
6. MONITORING, REVIEW AND REPORTING .....	8

## 1. EXECUTIVE SUMMARY

This document is an overview of the risk management approach for the implementation of the Digital Continuity 2020 (DC2020) Policy (ending 31 Dec 2020). It is a key component of the suite of project governance documentation to guide and provide assurance for successful development and delivery of the policy.

The plan:

- defines the process that has been adopted by the Agency Engagement team to identify, analyse and evaluate risks
- identifies risk treatment strategies to reduce the likelihood and/or impact of risks
- sets out roles and responsibilities for risk management for the project
- outlines related documentation of the risk assessment and management process
- defines how often risks will be reviewed, and the review process
- outlines the method for reporting on risk status to project governance bodies and the Project Sponsor (Assistant-Director General Collection Management).

It also addresses specific recommendations from the ANAO report No 11 2019-20 'Implementation of the Digital Continuity 2020 Policy' (Oct 2019) to ensure appropriate governance and risk management approaches are applied.

As at December 2019 there are 5 key risks identified for the project (listed at 4.2 below). These are broadly aligned with the below risk categories from the NAA's corporate Risk Management Policy.

<b>Risk category</b>	<b>Risk tolerance</b>
Reputational and Corporate Responsibility	Low
Legal or Legislative	Low
Stakeholder Management and Service Delivery	High

For specific project-related risks, a low risk tolerance has been applied. The plan describes stakeholder engagement as a key category of risk for the project. In addition to identified stakeholder engagement risks and mitigations, a stakeholder engagement and communications plan has also been developed (R105702020).

## 2. INTRODUCTION

As the Digital Continuity 2020 Policy (DC2020) draws closer to its end date (31 December 2020) the Agency Engagement section has developed an Agency Implementation Support project to assist agencies achieve the objectives of the policy.

## 3. ROLES AND RESPONSIBILITIES

### Internal (NAA)

#### 1.1. Executive Board

The Executive Board is responsible for monitoring the operation of the NAA's Risk Management Framework and reports to the Director-General on the management of high level risks within the NAA.

#### 1.2. Project Sponsor

The Project Sponsor is the **Assistant Director-General, Collection Management Branch**. The Project Sponsor has overall accountability for the identification and management of risks relating to the development of the policy. This includes reporting 'High' and 'Extreme' level risks to the Executive Board.

#### 1.3. Project Control Group

The Project Control Group supports the strategic direction and governance of the project. It provides advice on identified or potential issues, risks or dependencies which may affect the successful delivery of the project.

The Risk Management Plan and Risk Assessment Register will provide the Project Control Group with reference to clear statements of project risks and related risk management strategies.

#### 1.4. Project Manager

The Project Manager is the **Director, Agency Engagement Section**. The Project Manager oversees the Project Lead in the Information Policy Section supervising the team delivering the Policy Project, informs the project's strategic direction and coordinates project reporting to all governance bodies and relevant stakeholders.

#### 1.5. Project Lead

The Project Lead is the **Assistant-Director, Agency Engagement Section**. The Project Lead oversees the day-to-day activities of the Policy Project Team delivering the project, informs the project's strategic direction and prepares project reporting to all governance bodies and relevant stakeholders.

## 1.6. Audit and Risk Committee

The Audit and Risk Committee (ARC) plays an important role in supporting the governance of non-corporate Commonwealth entities, providing independent advice to Accountable Authorities (the NAA Director-General), and assisting them to meet their duties and obligations, including their system of risk oversight and management. The ARC can assess risks of this project within the National Archives' risk management framework, internal control framework, and business disruption framework and internal audit coverage.

## 4. RISK MANAGEMENT

### 4.1 Approach

In consultation with the NAA Risk Manager, the Project Team will:

1. Identify major sources of risk
2. Document risks identified from these sources within a Risk Assessment Register, based on the Archives' standard Risk Assessment and methodology
3. For each risk identified within the register, list the causes, impacts and controls
4. Determine a Residual Risk Level rating based on the causes, impacts and controls
5. For each risk that has a Residual Risk Level that exceeds the identified tolerance for the risks, prepare a Risk Treatment Plan using the standard Risk Assessment Template. This will inform further risk treatments and possibly reduce the final rating for each risk.
6. Consult with all relevant stakeholders to review and provide reasonable assurance that foreseeable project risks have been identified and assessed
7. Use the Risk Assessment Register as the basis of monitoring and reporting risks
8. List any risks realised as an issue for ongoing management throughout Phase 2 of the project in the Risk Assessment Register, with implemented mitigations.

### 4.2 Identification

Identified risks relating to the policy have been informed through:

1. Enterprise Risks from the Corporate Plan related to NAA's Mission: *To connect Australians with their identity and history through our stewardship of Australian Government records:*
  - Failure to lead Australian information management policy
  - Agencies not applying information management policy, tools, standards or advice
2. Recommendations from the ANAO Audit Report into the Implementation of the Digital Continuity 2020 Policy, which note the National Archives should:
  1. Establish effective internal arrangements to administer and oversee the implementation of Digital Continuity 2020 and any successor policies
  2. Develop a stakeholder and engagement plan for its external whole-of government policies
  3. Develop and implement a risk management plan for its external whole-of government policies
  4. Ensure appropriate monitoring and evaluation of its external whole-of government policies, including having adequate performance and reporting measures in place to monitor agency implementation and progress.

5. Ensure appropriate and fit for purpose governance arrangements are in place for policy implementation
3. Risks for *Stakeholder Management and Service Delivery* listed in the Risk Management Handbook (R229222018):
  - Failure to meet demand for services and the expectations of clients and stakeholders
  - Failure to effectively engage, maintain and grow key stakeholder relationships external to the Archives
4. Additional policy project team analysis and stakeholder engagement including:
  - Potential for resourcing limitations to affect the project's progress
  - Qualified support for the project by information policy partners due to other competing priorities or misalignment with their own policy objectives

### **Key project risks**

From these sources, as at December 2019 **five** key risks have been identified as the most immediate risks with the potential to affect delivery of the project (to 31 Dec 2020):

1. Agencies misunderstand requirements of the DC2020 Policy
2. Communications do not reach senior level of agency
3. Agencies do not sufficiently engage with DC2020
4. National Archives does not sufficiently engage with agencies (under-communication and under-engagement)
5. National Archives does not sufficiently deliver supporting implementation products (online advice, tools, etc)

These risks are identified with supporting risk mitigations in the risk assessment register (R126652020). Specific stakeholder engagement and communications related risk management strategies are also identified in the Stakeholder Engagement and Communications Plan (R105702020).

### **4.3 Analysis**

Risk analysis is the process of assessing all identified risks and developing a deeper understanding of their impacts. Within the NAA operating environment, it involves an assessment of the likelihood and consequences of a particular risk occurring to determine a *Residual Risk Level rating*, using the NAA Risk Measures and Matrix (R210622018). The *Residual Risk Level* will guide the prioritisation of risks and determine the need for treatments. Risk treatments have been developed for all currently identified risks for the project that exceed the accepted tolerance level. This process will continue for all newly identified risks.

## **5. DOCUMENTATION**

The key document for identification, assessment and management of risks for the project is the Project - Risk assessment register (R126652020).

Another key document of strategies to manage the specific risk of Stakeholder Management and Service Delivery is the Stakeholder Engagement and Communications Plan (R105702020). Risks from

this plan will form the basis of reporting on risks as required for governing bodies, according to requirements from the relevant terms of reference for each body.

## 6. MONITORING, REVIEW AND REPORTING

Risk and mitigations will be regularly monitored and reviewed by the project team or as circumstances may change.

The Project Sponsor will be advised of risks to project development and delivery at bi-monthly progress reports and at meetings between the Project Sponsor, Project Manager and Policy Lead, or outside of this reporting if required.

Risks to project development and delivery will be reported to the Project Control Group.

The Project Manager will ensure that noted risk treatments are implemented and risks are routinely monitored. The Assistant Director, Agency Engagement, will ensure that risks and associated mitigations are updated prior to regular reporting to project governance bodies.

The Project Team will review this plan in the event of major changes to the risk environment in which the project is operating, such as significant changes to the National Archives' corporate risk management approach or broader information management initiatives of the Australian Government.

**From:** § 22 (1)(a)(ii) on behalf of Information Management  
**To:** Information Management  
**Bcc:** § 22 (1)(a)(ii) @cefc.com.au"; § 22 (1)(a)(ii) @dfat.gov.au"; § 22 (1)(a)(ii) @creativepartnershipsaustralia.org.au"; § 22 (1)(a)(ii) @afp.gov.au"; § 22 (1)(a)(ii) @moba.gov.au"; "businessservices@swa.gov.au"; § 22 (1)(a)(ii) @nga.gov.au"; § 22 (1)(a)(ii) @npg.gov.au"; § 22 (1)(a)(ii) @amsa.gov.au"; § 22 (1)(a)(ii) @efic.gov.au"; § 22 (1)(a)(ii) @health.gov.au"; § 22 (1)(a)(ii) @outbackstores.com.au"; § 22 (1)(a)(ii) @apn.gov.au"; § 22 (1)(a)(ii) @swa.gov.au"; § 22 (1)(a)(ii) @treasury.gov.au"; § 22 (1)(a)(ii) @defence.gov.au"; § 22 (1)(a)(ii) @ausport.gov.au"; § 22 (1)(a)(ii) @aec.gov.au"; § 22 (1)(a)(ii) @communications.gov.au"; § 22 (1)(a)(ii) @moadoph.gov.au"; § 22 (1)(a)(ii) @environment.gov.au"; § 22 (1)(a)(ii) @finance.gov.au"; § 22 (1)(a)(ii) @ombudsman.gov.au"; § 22 (1)(a)(ii) @anmm.gov.au"; § 22 (1)(a)(ii) @airservicesaustralia.com"; § 22 (1)(a)(ii) @aat.gov.au"; § 22 (1)(a)(ii) @psr.gov.au"; § 22 (1)(a)(ii) @agriculture.gov.au"; § 22 (1)(a)(ii) @anmm.gov.au"; § 22 (1)(a)(ii) @agequality.gov.au"; § 22 (1)(a)(ii) @ramint.gov.au"; § 22 (1)(a)(ii) @pmc.gov.au"; § 22 (1)(a)(ii) @sea.museum"

**Subject:** DC2020 Implementation Agency Support Program: Key findings from the discussions [SEC=OFFICIAL]  
**Date:** Wednesday, February 19, 2020 11:40:08 AM  
**Attachments:** [image001.png](#)  
[Summary Report on Stakeholder Program.pdf](#)

---

**OFFICIAL**

Hello everyone.

Once again, we'd like to thank you for participating in the DC2020 Implementation Agency Support Program roundtables and discussions during November and December 2019.

We have finalised the key findings of the discussions, which I have attached for your perusal. Please feel free to get in contact with us regarding the findings if we've missed anything.

We will follow up shortly on what the Archives can do to produce advice or take actions resulting from the program discussions.

Kind regards.

The Agency Engagement Team.

---

§ 22 (1)(a)(ii)  
Project Officer  
Agency Engagement



e [information.management@naa.gov.au](mailto:information.management@naa.gov.au)  
Murrulungalang, Kings Avenue, Parkes ACT 2600  
PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

**OFFICIAL**

**From:** s 22 (1)(a)(ii)  
**To:** s 22(1)(a)(ii)  
**Subject:** [EXT] RE: DC2020 Implementation Agency Support Program: Key findings from the discussions [SEC=OFFICIAL]  
[SEC=UNCLASSIFIED]  
**Date:** Wednesday, February 19, 2020 2:31:57 PM  
**Attachments:** [image001.png](#)

---

UNCLASSIFIED

Hi s 22 (1)(a)(ii), thank you for providing the report. I took part in one of the discussion groups and I really appreciate seeing how it all turned out. May I say I also appreciate its candour! I commend the team at NAA for their willingness to seek and listen to this feedback, both good and not-so-good, and to respond to it. I wish you every success in the next stage, whatever that might turn out to be!

Regards

s 22 (1)(a)(ii)

s 22 (1)(a)(ii) | Assistant Director, Records and Information Management  
Facilities Management Branch,  
Corporate Service, Business Enabling Services  
Department of Finance  
**P:** s 22 (1)(a)(ii)  
**M:** s 22 (1)(a)(ii)  
**E:** s 22 (1)(a)(ii)@finance.gov.au  
**A:** One Canberra Avenue, FORREST ACT 2603

UNCLASSIFIED

---

**From:** s 22(1)(a)(ii)  
**Sent:** W  
**To:** s 22(1)(a)(ii)  
**Subject:** DC2020 Implementation Agency Support Program: Key findings from the discussions  
[SEC=OFFICIAL]

**OFFICIAL**

Hello everyone.

Once again, we'd like to thank you for participating in the DC2020 Implementation Agency Support Program roundtables and discussions during November and December 2019.

We have finalised the key findings of the discussions, which I have attached for your perusal. Please feel free to get in contact with us regarding the findings if we've missed anything.

We will follow up shortly on what the Archives can do to produce advice or take actions resulting from the program discussions.

Kind regards.

The Agency Engagement Team.

---

s 22 (1)(a)(ii)  
Project Officer  
Agency Engagement



es 22(1)(a)(ii)  
Murrumbidgee, Kings Avenue, Parkes ACT 2600  
PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

---

## OFFICIAL

---

If you have received this transmission in error please notify us immediately by return e-mail and delete all copies.

If this e-mail or any attachments have been sent to you in error, that error does not constitute waiver of any confidentiality, privilege or copyright in respect of information in the e-mail or attachments.

---

---

Finance Australian Business Number (ABN): 61 970 632 495  
Finance Web Site: [www.finance.gov.au](http://www.finance.gov.au)

**IMPORTANT:**

This transmission is intended only for the use of the addressee and may contain confidential or legally privileged information. If you are not the intended recipient, you are notified that any use or dissemination of this communication is strictly prohibited.

If you have received this transmission in error, please notify us immediately by telephone on 61-2-6215-2222 and delete all copies of this transmission together with any attachments.

If responding to this email, please send to the appropriate person using the suffix .gov.au.

---



# Digital Continuity 2020 – Agency Implementation Support Program

## Summary report on stakeholder consultation

January 2020



Australian Government  
National Archives of Australia

## Contents

<b>1. EXECUTIVE SUMMARY .....</b>	<b>3</b>
1.1. Key findings .....	3
<b>2. INTRODUCTION .....</b>	<b>5</b>
2.1. Objectives of this report .....	5
2.2. Methodology .....	5
<b>3. FINDINGS.....</b>	<b>6</b>
3.1. Agencies' limitations and challenges in the management of digital information .....	6
3.2. Wish-list to help achieve DC2020 recommended actions and targets .....	8
3.3. Barriers in dealing with the National Archives .....	9
3.4. Opportunities for collaboration .....	11
<b>APPENDIX A: LIST OF PARTICIPATING AGENCIES .....</b>	<b>13</b>
<b>APPENDIX B: 'DC 2020 – AGENCY IMPLEMENTATION SUPPORT PROGRAM' CONSULTATION AGENDA.....</b>	<b>14</b>

# 1. Executive summary

The 'Digital Continuity 2020 - Agency Implementation Support Program' (The Program) aims to assist Australian Government agencies with low-maturity digital information management practices by linking them with National Archives of Australia's (National Archives) targeted support and online information management advice and tools.

Under the Program, National Archives is responsible for:

- consulting with a number of agencies which are in the beginning stages of developing their digital information management capabilities
- identifying limitations and challenges in agencies' digital information management practices
- based on the received feedback, finding gaps in National Archives' current online advice, and reviewing the Digital Continuity 2020 Policy targets and Check-up PLUS survey content
- providing targeted support to agencies.

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. National Archives contacted, and invited to take part in consultations, a total of 44 agencies out of 67. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. This represents a response rate of 54.5%.

## 1.1. Key findings

### 1.1.1. Limitations and challenges

The main limitations identified by agencies are resources (staffing and budget) and culture, senior executive support, and technology. Most agencies stated that resources have diminished over time in information management (IM) areas and that IM is viewed as an extra step on top of core duties. There is also a lack of IM professionals in the workforce.

Across agencies, IM is not seen as a priority for a change of the status quo. SES don't want to change their administrative work practices (eg. digital authorisations, electronic workflows), and IM is not priority for them, especially during busy times such as MoG changes. In some agencies, SES have a limited understanding of the benefits in investing in IM initiatives.

Agencies identified the following as challenges difficult to overcome:

- SES buy-in
- management of unstructured information stored in fractured places (eg. shared drives, Outlook folders)
- assessment of business systems for IM compliance and interoperability
- scanning of some legacy records
- Department of Finance's embargo on EDRMS adoption.

### **1.1.2. Wish-list to help achieve DC2020 recommended actions and targets**

Across participating agencies, it was agreed there is a need for a better IM culture, qualified or experienced IM staff, SES buy-in, and more time for IM initiatives. In particular, agencies expressed a desire for reducing red-tape and getting more practical and specific advice and support from the National Archives.

### **1.1.3. Barriers in dealing with the National Archives**

Agencies mentioned the following:

- challenging and time-consuming projects, such as Check-Up and records authorities
- artificial timeframes, ambiguous statements and hard to achieve recommended actions and targets in the Digital Continuity 2020 Policy
- a difficult digital transfers process
- difficult to navigate and find relevant information on National Archives' new website
- unclear, wishy-washy, and not always relevant online advice, such as minimum metadata standard, the two digitisation standards for RNA and temporary records, and the Business Systems Assessment Framework (BSAF)
- cessation of IM training for agency staff
- disappearance from the website of agency-specific records authorities
- location – National Archives should get more involved and extend its presence outside Canberra.

### **1.1.4. Opportunities for collaboration**

Agencies stated there is a need for more meaningful support from the National Archives. More targeted, practical and realistic advice and tools are needed, as well as networking, at senior executive level and IM practitioners' level, for information sharing and opportunities to meet.

Agencies spoke convincingly in favour of agency visits, agency placements and face-to-face training.

Video-conferencing facilities or Skype broadcasts with interstate agencies, a closer relationship with RIMPA (Records and Information Management Professionals Australasia), and involvement in government initiatives (eg. Fortress, a DTA cloud initiative for providing secure services to agencies, and Procurement, Development and Management System, a solution designed to support compliance with IM requirements in Health) were also mentioned as opportunities for collaboration.

## 2. Introduction

Under the *Archives Act 1983*, the National Archives has a legislative responsibility to promote the creation, management, preservation and use of authentic, reliable and usable Commonwealth records.

As information governance and effective digital information management are central to the Australian Government's digital transformation agenda, National Archives needs to proactively support agencies in improving their digital information management practices.

### 2.1. Objectives of this report

This report summarises the findings and feedback provided by the participating agencies.

The main objectives are to allow the National Archives to form a clearer understanding of IM practices and issues, particularly:

- highlighting a number of agency limitations and challenges in implementing Digital Continuity 2020 recommended actions and targets
- identifying gaps in National Archives' IM advice
- better directing the National Archives' support and products to meet agencies' needs.

### 2.2. Methodology

A number of 67 agencies were identified as being 'in-scope' for the roundtable discussions and teleconference calls. We selected 44 agencies, based on their size, location and maturity index score on four essential digital capabilities: governance, digital storage, disposal, and interoperability.

Agency representatives (ie. nominated Check-up coordinators and record managers) were contacted individually, by email and/or phone and provided with information about the Program prior to the commencement of consultations. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. The list of participating agencies is at Appendix A.

Consultations were conducted over a period of nearly five weeks, from 11 November to 11 December 2019. We had four roundtable sessions and seven teleconference calls.

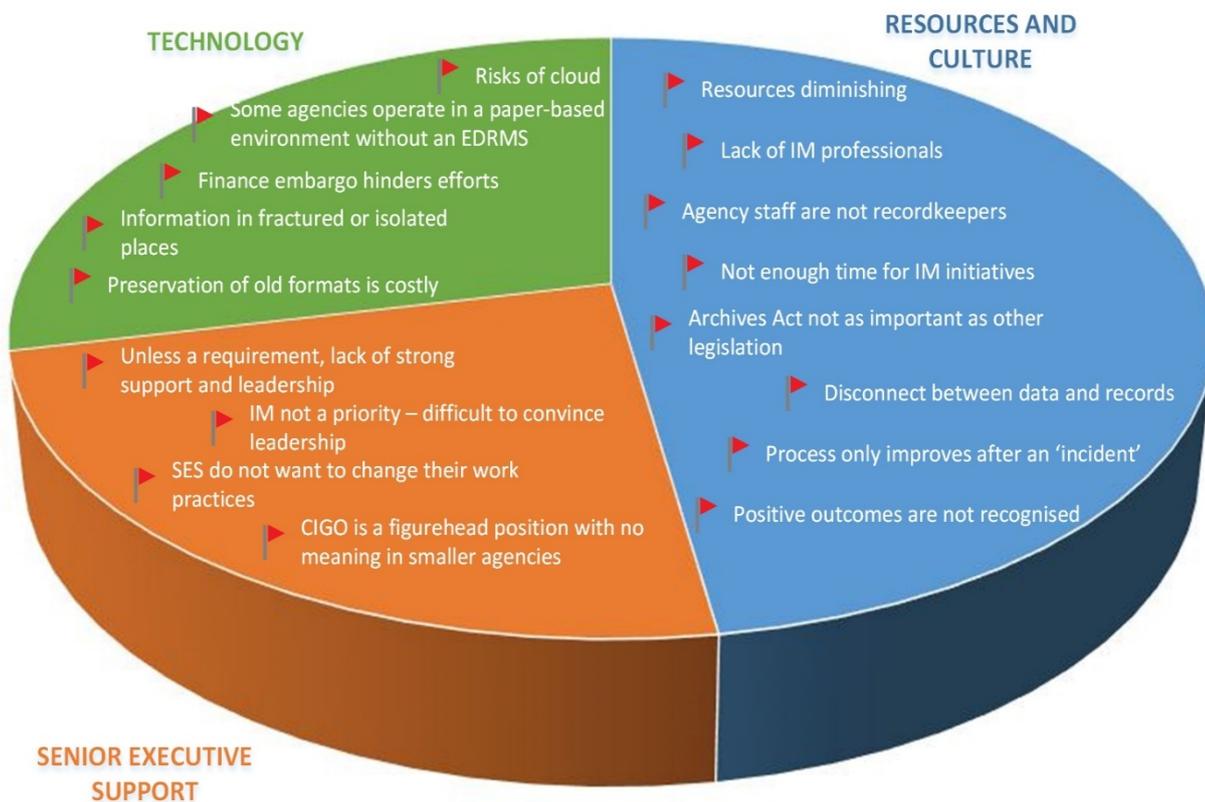
All participating agencies provided comments on each item on the consultation agenda, listed at Appendix B.

### 3. Findings

#### 3.1. Agencies' limitations and challenges in the management of digital information

In this segment, agencies were asked to talk about their main limitations and challenges in the management of digital information. Agencies stated that the roadblocks are resources and culture, senior executive support, and technology.

Figure 1: Main limitations and challenges



##### 3.1.1. Resources (staffing and budget) and culture

Agencies indicated the following issues:

- resources have diminished over time in IM areas
- there is a lack of IM professionals in the workforce - expertise is an issue when hiring IM staff and, as a result, the foundation knowledge is missing. In smaller agencies, information managers seem to be in the role for leadership, rather than having the knowledge and/or experience
- agency staff are not recordkeepers – they do not view records as an asset and do not fully understand the benefits of digital IM, therefore, “constant education is needed” to convince people to work smarter. It is hard to get IM on their worklist

- agency staff assume that system will automatically facilitate compliant IM
- there is not enough time for IM initiatives, as priorities get drawn by ‘business as usual’ activities, especially in smaller agencies
- staff see the *Archives Act 1983* not as important as other legislation (ie. *PGPA Act 2013*)
- there is a disconnect between data and records, as two separate areas. There is no interest in working together and there are split responsibilities between these areas. Information Management needs a seat at the Information Technology table to discuss IM-related issues, for example, systems interoperability
- compliance of business systems with ISO16175 falls on deaf ears
- assessment of business systems for IM compliance/interoperability of systems is difficult and it is done, in some cases, by people not experienced in IM
- processes tend to improve after an issue or incident, such as a data leak
- positive outcomes are hardly recognised.

### 3.1.2. Senior executive support

The most commonly cited issues were:

- unless there is a requirement, there is a lack of strong support and leadership from senior executive
- IM is not a priority for the leadership team and it is difficult to convince SES to think about IM. At grass roots, there is a willingness to do more in the digital IM space, but the executive group does not have the time to review and sign off on IM projects and initiatives
- SES do not want to change their administrative work practices and view IM as an extra step – they are struggling with the use of an EDRMS
- in some agencies, there is a limited SES understanding of the benefits in investing in IM initiatives
- Chief Information Governance Officer (CIGO) is a “figurehead” position and it has no meaning in smaller agencies.

### 3.1.3. Technology

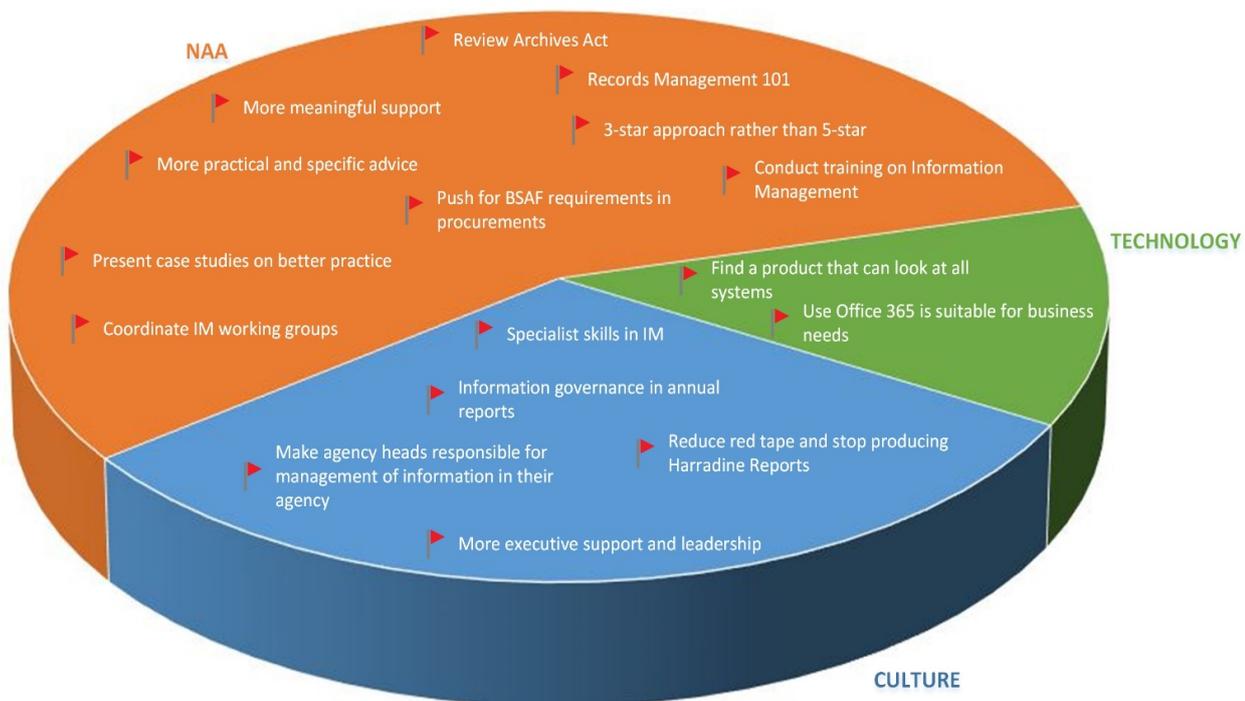
Agencies provided the following information:

- some agencies operate, to a certain extent, in a paper-based environment without a corporate EDRMS
- Department of Finance embargo on EDRMS adoption hindered agencies’ efforts to implement some of the DC2020 recommended actions and targets
- search functionality in some EDRMS systems is difficult
- management of unstructured information stored in fractured or isolated places, such as shared drives and Outlook folders, is challenging
- there are risks in using cloud solutions for the management of long-term records
- preservation of legacy records, especially old type cassettes, is costly.

## 3.2. Wish-list to help achieve DC2020 recommended actions and targets

Across all participating agencies, it was agreed there is a need for a better IM culture, more staff, SES buy-in, and more time for IM initiatives.

Figure 2: Wish list items



In particular, agencies expressed a desire for the following:

### 3.2.1. Culture and SES

- look for specialist skills in IM
- have information governance requirements included in annual reports
- reduce red-tape and stop producing the half-yearly Harradine Reports
- make Agency Heads responsible for the management of information in their agency
- get more executive support and leadership

### 3.2.2. National Archives

- push for a review of the *Archives Act 1983* so the agency can have more regulatory authority, more “stick”, to enforce better practice IM
- provide more meaningful support, such as agency visits
- develop more practical, more specific and realistic online advice (eg. ‘Records management 101’, advice on various IM solutions (eg. Microsoft Office 365) highlighting the pros and cons, advice on records aggregation and what constitutes a complete RNA digital record, advice on how to support a BSAF risk assessment,

advice on how to sentence “data”, disposal advice in the absence of an agency-specific records authority, a mapping guide for activities against classes in AFDA Express Version 2)

- introduce a “3-star” approach (rather than a “5-star”) to IM maturity in the new post 2020 policy (ie. meet better practice, rather than best practice)
- conduct training on IM basics (‘lunch and learn’ type sessions)
- finalise the procurement panel for digitisation services
- push for BSAF-type requirements/ interoperability in procurement of business systems
- present case studies on better practice IM at GAIN forums and disseminate them, including the supporting information (eg. results of consultations, final documents), on the website
- coordinate IM working groups or other networking activities and use technology more (eg. Skype broadcasts).

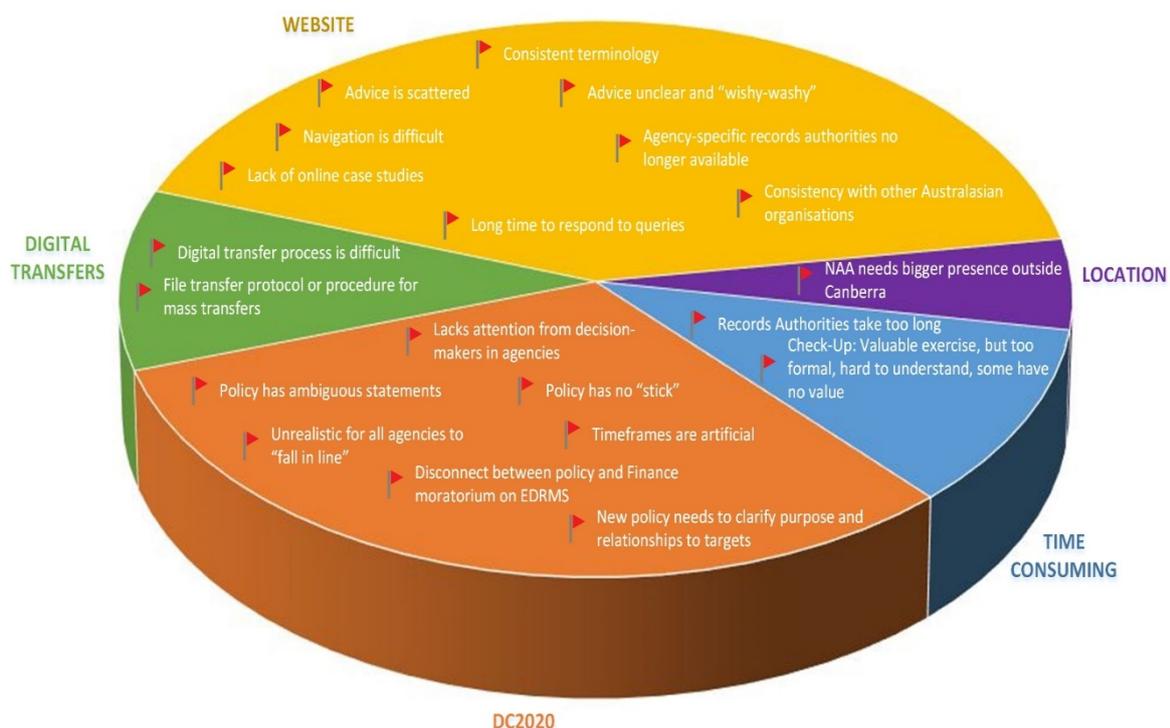
### 3.2.3. Technology

- find a product that can look at all systems and is able to manage all information in one place (eg. CastlePoint)
- use Microsoft Office 365 if suitable for business needs.

## 3.3. Barriers in dealing with the National Archives

Agencies were asked to outline some of their barriers in communicating with, and receiving advice from, the National Archives, and to discuss some of the deficiencies in our products and initiatives.

**Figure 3: Main barriers in dealing with NAA**



The following issues, some underlining National Archives' theoretical approach, were raised:

### 3.3.1. Challenging and time consuming projects

- **Check-up PLUS** – although a valuable exercise, it is too formal, some questions are hard to understand, have no value (eg. amount to be transferred to the National Archives) and confusing (eg. boundaries between physical and digital IM). Survey coverage should be clarified by explaining it refers to all information holdings, not just those managed in an EDRMS. It is a subjective self-assessment process and there are no requirements to provide any evidence. The survey should be more flexible and cater for different size agencies. A Check-up light version (not required to be signed by Agency Head) would bring a “community feel” rather than a “formal feel”.
- **Records Authorities** – both development and review take too long.

### 3.3.2. DC2020 Policy

- it lacks the attention from decision-makers in agencies
- there is no “teeth and stick”, similar to an “audit type” scan, behind the principles
- it has ambiguous statements and some of the recommended targets (eg. on information governance and interoperability) are hard to achieve. The Policy is confusing in parts, there are too many targets, some are similar, and there are no clear directions on how to achieve those targets
- it is unrealistic to expect all agencies to “fall in line” – some actions are designed for large agencies
- timeframes are artificial and there is a disconnect between the policy requirements and Department of Finance’s moratorium on EDRMS spending
- **New post 2020 policy**– agencies need to better understand what they are asked to do; clarify policy’s purpose and relationship to targets, which need to be more specific, measurable, and different based on agency size, IM maturity etc; recognise that high profile, high risk areas are more advanced than the rest of the organisation; new policy should have a pathway, different tiers to cater for different levels of IM maturity, link metadata to the maturity model, and include “tool kits”. New policy should introduce a “three-star” compliance approach rather than a “five star”, along the lines of “do this, but not everything needs to be done” (ie. meet better practice, rather than best practice). Have something for **all** agencies to work on.

### 3.3.3. Digital transfers

- digital transfer process is difficult
- develop a file transfer protocol or procedure for mass transfers or negotiate a section 64 ‘custody of material’ with relevant agencies

### 3.3.4. National Archives’ website

- only some information is helpful, and consistent terminology is not always used
- advice is scattered and navigation is difficult, in particular for people new to IM

- in some instances, advice is unclear and “wishy-washy”. For example, there is confusion between the minimum metadata standard and other Australasian metadata standards or guidelines. BSAF is not helpful when it comes to management of information held in uncontrolled environments, and some questions are a little repetitive and not in plain English. The two digitisation standards are confusing
- have more visual aids, such as flowcharts
- old AFDA (2010) is preferred due to its granularity, but is no longer available on the new website. Also, under ADFA Express, some information is kept for longer due to the amalgamation of classes
- there is a lack of online case studies of exemplar agencies. National Archives should tell agencies how better practice IM looks like through examples of concrete projects and supporting documentation
- agency-specific records authorities have disappeared from the new website (currently being addressed by National Archives)
- it takes a long time to get responses to queries. Timeliness is an issue and agencies would like to be able to speak to someone.

### 3.3.5. Location

- National Archives should get more involved and extend its presence outside Canberra.

## 3.4. Opportunities for collaboration

Participating agencies agreed there is a need for more meaningful support from the National Archives. They identified a number of opportunities to improve collaboration between agencies and the National Archives, based on a shared vision and understanding of each other’s responsibilities. National Archives should concentrate its efforts on the following:

- **tools and advice** – develop more practical, more specific and realistic online advice, as well as more adaptable DC2020 implementation advice. Not all agencies are the same and there is no “one size fits all”
- **Short-term placements** of National Archives staff with agencies, especially with the ones that need help – a several weeks program during which National Archives’ staff can understand the realities, constraints and challenges faced by agencies, and learn more about IM work in agencies
- **Staff exchange**
  - **Agency visits** – National Archives’ staff to spend half days with agencies and provide tailored guidance and advice on achieving better practice digital IM
- **Networking**
  - face-to-face meetings on regular basis, such as these roundtable consultations, themed sessions (eg. BSAF practitioner level) etc., so that IM practitioners can discuss and share information. National Archives should

create opportunities to meet or coordinate IM working groups which will help agencies discuss and share ideas about various topics of interest

- online collaboration via video conferences, Skype broadcasts, GovTeams, with the aim of addressing the disconnect between Canberra and non-Canberra agencies
- a closer relationship with RIMPA
- involvement in government initiatives (eg. Fortress and Procurement, Development and Management System) as other agencies, such as the Digital Transformation Agency (DTA), are “jumping in on National Archives’ responsibilities”
- engagement at Agency Heads level
- face-to-face training, including ‘lunch and learn’ and ‘train the trainer’ sessions.

## Appendix A: List of participating agencies

Agency name
Administrative Appeals Tribunal
Aged Care Quality and Safety Commission
Airservices Australia
Australian Electoral Commission
Australian Federal Police
Australian Maritime Safety Authority
Clean Energy Finance Corporation
Creative Partnership Australia
Department of Communication and Arts
Department of Defence
Department of Finance
Department of Foreign Affairs and Trade (Public Diplomacy Branch)
Department of Health
Department of Parliamentary Services
Department of Prime Minister and Cabinet
Department of the Environment and Energy
Department of the Treasury
National Gallery of Australia
National Portrait Gallery of Australia
Office of the Commonwealth Ombudsman
Outback Stores
Professional Services Review
Royal Australian Mint
Safe Work Australia

## Appendix B: 'DC 2020 – Agency Implementation Support Program' Consultation Agenda

<i>Item</i>	<i>Issue</i>
<b>1</b>	<b>Welcome</b> <ul style="list-style-type: none"> <li>• Introductions</li> </ul>
<b>2</b>	<ul style="list-style-type: none"> <li>• <b>Agencies' barriers, limitations and challenges</b> in the management of digital information (eg. culture, Executive support, resources/budget, volume of digital information etc.) with focus on areas of low performance, such as digital information creation and capture, digital storage, disposal, interoperability, governance</li> <li>• <b>Barriers in dealing with NAA</b></li> <li>• <b>Wish-list</b> to help achieve Digital Continuity 2020 recommended actions and targets. What is sustainable?</li> </ul>
<b>3</b>	<b>Opportunities for collaboration</b> Some ideas: <ul style="list-style-type: none"> <li>• Practical, more targeted, online advice and guidance (tell us what is needed)</li> <li>• Agencies presentations at GAIN forums to spotlight Digital Continuity 2020 successes</li> <li>• Face-to-face agency visits</li> <li>• Short-term secondments to NAA or a skill share swap</li> </ul>
<b>4</b>	Summary and next steps



Reference: R175342020

To	s 22 (1)(a)(ii), Assistant Director General, Collection Management		
From	s 22(1)(a)(ii) Director Agency Engagement	Date	27 February 2020
Re:	Implementation of the DC2020 Policy – Implementation targets and pathways		

## Background

'Auditor-General Report No.11 2019–20 Implementation of the Digital Continuity 2020 Policy' examined the extent to which Australian Government entities have implemented the Digital Continuity 2020 Policy (DC2020), and how effectively the National Archives of Australia is monitoring, assisting, and encouraging entities to meet the specified targets of the policy.

Recommendation no.2 (paragraph 2.38) addresses the need for the National Archives to ensure that stakeholders are appropriately consulted when introducing new or revised targets, and that mechanisms are established to ensure targets are clearly identified and consistently communicated as either mandatory, suggested, or optional.

## Analysis

In its response to the Audit Report, National Archives agreed to all ANAO recommendations, including recommendation number 2.

Accordingly, Agency Engagement, in conjunction with Information Policy section, has reviewed the 24 DC2020 policy [implementation targets and pathways](#) set for agencies.

Most of the implementation targets represent various information management practices *recommended* under DC2020 for Australian Government agencies. They align with the Government's digital transformation agenda and represent better information management practice. It is therefore considered that all the implementation targets, with the exception of two discussed further below, should be identified as 'suggested' in the terminology of the ANAO report.

Two of the targets were carried forward from the Digital Transition Policy of 2011, approved by the Minister for the Arts:

1. "annual agency survey reporting" – agencies are required to assess their information and records management capabilities annually using the National Archives' self-assessment tool Check-up. In 2013 the Minister for the Arts endorsed the continuation of this annual requirement and added the requirement that submission of the assessment was authorised by the agency head.
2. "all records created in digital format after (1 January 2016) are managed digitally". In 2012 the Minister for the Arts accepted a policy variation that required records created digitally after 2015 that are eligible for transfer to the National Archives will be accepted in digital format only.

On the basis of the above it is considered that these two targets be identified as 'mandatory' in the terms of the ANAO recommendation.

No targets were identified as 'optional'.

## Communications

In accordance with the ANAO recommendation, Agency Engagement will develop a communications program to inform agencies of the status of the targets, as identified above. It is recommended, however, that the term

'suggested' be replaced by 'recommended'. This is more consistent with the original intent of the inclusion of the relevant targets in DC2020 and conveys a greater imperative.

The communications will include the message that the targets are recommended actions to achieve the requirements of the DC2020 policy, and that all agencies have to comply with the policy.

Communications will be primarily through the GAIN network and notification on the National Archives website. These communications will reinforce the intent of the targets as supporting advice, aimed at providing specific steps and pathways towards achieving the objectives of DC2020.

### **Recommendation**

That you approve:

1. All but two DC2020 implementation targets and pathways as *recommended* targets
2. Two targets (in relation to Check-up Plus and the transfer of only digital information from 1 January 2016) as *mandatory* targets
3. Communication of recommendations 1 and 2 above to Australian Government agencies.

*ADG CM note: Communication should be appropriate to the purpose and avoid confusion that any further changes are being made to the targets. Reference to the ANAO report recommendations may assist with this.*

# Document No. 20

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Cc:** s 22 (1)(a)(ii)  
**Subject:** DC2020 Agency Implementation Support Program - Next steps [SEC=OFFICIAL]  
**Date:** Thursday, March 5, 2020 10:47:43 AM  
**Attachments:** [image001.png](#)

**OFFICIAL**

Hi s 22 (1)(a)(ii)

Based on our discussion yesterday, the following next steps were identified:

<b>Priority</b> - Agency Engagement section to develop a number of online, practical, advices on the following topics on interest:	
Records Management 101	s 22 (1)(a)(ii)
EDRMS and business systems	s 22 (1)(a)(ii)
How to sentence 'data'	s 22 (1)(a)(ii)
Disposal in the absence of an agency-specific RA	s 22 (1)(a)(ii)

<b>Priority</b> - Agency Engagement section to contact well-performing agencies, based on Check-up PLUS 2019 results, and organise:	
GAIN presentations/ case studies (1 or 2 agencies for May forum) – see R639352018 for a list of potential agencies, developed in 2018	s 22 (1)(a)(ii)
Online publishing of the presentations/case studies	TBD

Agency Engagement section to contact low-performing agencies, based on Check-up PLUS 2019 results, and organise:	
Agency visits during which tailored advice on achieving better practice IM will be provided (EDRMS, BSAF, Records Authorities, unstructured and structured data, etc)	s 22 (1)(a)(ii)

Agency Engagement to communicate and liaise with NAA's executive on the above steps.	s 22 (1)(a)(ii)
--	-----------------

Thanks

s 22 (1)(a)(ii)

s 22 (1)(a)(ii)  
Assistant Director, Agency Engagement  
Collection Management Branch



s 22 (1)(a)(ii)  
e s 22 (1)(a)(ii) @naa.gov.au  
Kings Avenue, Parkes, ACT  
PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

**OFFICIAL**

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Cc:** s 22 (1)(a)(ii)  
**Subject:** DC2020 Targets [SEC=OFFICIAL]  
**Date:** Tuesday, March 3, 2020 3:06:18 PM  
**Attachments:** [image001.png](#)  
[R175342020 Brief for s 22 \(1\)\(a\)\(ii\) - ADG Collection Management - DC2020 Implementation Targets and Pathways.DOCX](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii)

s 22 (1)(a)(ii) has approved our brief on the DC2020 targets – attached.  
You will see that she has added a note re the Comms.

We will need to prepare a GAIN article.

s 22 (1)(a)(ii) – please note.

Thanks

s 22 (1)(a)(ii)

s 22 (1)(a)(ii)  
Acting Director  
Agency Engagement



s 22 (1)(a)(ii)  
e s 22 (1)(a)(ii)@naa.gov.au  
PO Box 4924  
KINGSTON ACT 2604  
[naa.gov.au](http://naa.gov.au)

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

**OFFICIAL**

Reference: R175342020

To	s 22 (1)(a)(ii), Assistant Director General, Collection Management		
From	s 22 (1)(a)(ii), Director Agency Engagement	Date	27 February 2020
Re:	Implementation of the DC2020 Policy – Implementation targets and pathways		

## Background

'Auditor-General Report No.11 2019–20 Implementation of the Digital Continuity 2020 Policy' examined the extent to which Australian Government entities have implemented the Digital Continuity 2020 Policy (DC2020), and how effectively the National Archives of Australia is monitoring, assisting, and encouraging entities to meet the specified targets of the policy.

Recommendation no.2 (paragraph 2.38) addresses the need for the National Archives to ensure that stakeholders are appropriately consulted when introducing new or revised targets, and that mechanisms are established to ensure targets are clearly identified and consistently communicated as either mandatory, suggested, or optional.

## Analysis

In its response to the Audit Report, National Archives agreed to all ANAO recommendations, including recommendation number 2.

Accordingly, Agency Engagement, in conjunction with Information Policy section, has reviewed the 24 DC2020 policy [implementation targets and pathways](#) set for agencies.

Most of the implementation targets represent various information management practices *recommended* under DC2020 for Australian Government agencies. They align with the Government's digital transformation agenda and represent better information management practice. It is therefore considered that all the implementation targets, with the exception of two discussed further below, should be identified as 'suggested' in the terminology of the ANAO report.

Two of the targets were carried forward from the Digital Transition Policy of 2011, approved by the Minister for the Arts:

1. "annual agency survey reporting" – agencies are required to assess their information and records management capabilities annually using the National Archives' self-assessment tool Check-up. In 2013 the Minister for the Arts endorsed the continuation of this annual requirement and added the requirement that submission of the assessment was authorised by the agency head.
2. "all records created in digital format after (1 January 2016) are managed digitally". In 2012 the Minister for the Arts accepted a policy variation that required records created digitally after 2015 that are eligible for transfer to the National Archives will be accepted in digital format only.

On the basis of the above it is considered that these two targets be identified as 'mandatory' in the terms of the ANAO recommendation.

No targets were identified as 'optional'.

## Communications

In accordance with the ANAO recommendation, Agency Engagement will develop a communications program to inform agencies of the status of the targets, as identified above. It is recommended, however, that the term

'suggested' be replaced by 'recommended'. This is more consistent with the original intent of the inclusion of the relevant targets in DC2020 and conveys a greater imperative.

The communications will include the message that the targets are recommended actions to achieve the requirements of the DC2020 policy, and that all agencies have to comply with the policy.

Communications will be primarily through the GAIN network and notification on the National Archives website. These communications will reinforce the intent of the targets as supporting advice, aimed at providing specific steps and pathways towards achieving the objectives of DC2020.

### **Recommendation**

That you approve:

1. All but two DC2020 implementation targets and pathways as *recommended* targets
2. Two targets (in relation to Check-up Plus and the transfer of only digital information from 1 January 2016) as *mandatory* targets
3. Communication of recommendations 1 and 2 above to Australian Government agencies.

*ADG CM note: Communication should be appropriate to the purpose and avoid confusion that any further changes are being made to the targets. Reference to the ANAO report recommendations may assist with this.*

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Subject:** FW: Comms plan - DC2020 [SEC=OFFICIAL]  
**Date:** Monday, February 10, 2020 1:44:05 PM  
**Attachments:** [image001.png](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii),

I will discuss with s 22 (1)(a)(ii) now, but have a look at her comments in the meantime.

Thanks

s 22 (1)(a)(ii)

**OFFICIAL**

**From:** s 22 (1)(a)(ii) @naa.gov.au>  
**Sent:** Monday, February 10, 2020 1:28 PM  
**To:** s 22 (1)(a)(ii) @naa.gov.au>  
**Subject:** Comms plan - DC2020 [SEC=OFFICIAL]

**OFFICIAL**

Hi s 22 (1)(a)(ii),

I have reassigned the Comms plan for DC2020 to you, I don't think it's ready for approval. The main changes needed are:

- Make sure the introductory parts are clear it is a Comms plan. s 47C(1)
- Link it to the existing draft 2015-2020 Comms plan and clearly state this is a 2019/20 updated plan, and supports ANAO recommendations
- s 47C(1)

Look at the Comms / stakeholder engagement plan done recently for post-2020 – it may be useful as a model.

We can discuss further this afternoon when we meet.

s 22 (1)(a)(ii)

---

**s 22 (1)(a)(ii)**  
Assistant Director-General a/g  
Collection Management



**s 22 (1)(a)(ii)** m **s 22 (1)(a)(ii)**  
e **s 22 (1)(a)(ii)** @naa.gov.au  
Queen Victoria Terrace, Parkes ACT 2600  
PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

**OFFICIAL**

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Cc:** s 22 (1)(a)(ii)  
**Subject:** RE: GAIN next week [SEC=OFFICIAL]  
**Date:** Friday, January 31, 2020 12:50:43 PM  
**Attachments:** [Canberra GAIN forum February 2020 - Agency Implementation Support Program.PPTX](#)  
[image001.png](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii)

I've prepared several slides about our consultation with agencies, as part of the 'Agency Implementation Support Program'. Please see attached.

Please let me know if too detailed, but I think it should work fine.

Thanks

s 22 (1)(a)(ii)

**OFFICIAL**

---

**From:** s 22 (1)(a)(ii) @naa.gov.au>  
**Sent:** Wednesday, January 29, 2020 2:52 PM  
**To:** s 22 (1)(a)(ii) @naa.gov.au>; s 22 (1)(a)(ii) @naa.gov.au>; s 22 (1)(a)(ii) @naa.gov.au>; s 22 (1)(a)(ii) @naa.gov.au>  
**Subject:** GAIN next week [SEC=OFFICIAL]

**OFFICIAL**

Hi all

In s 22 (1)(a)(ii) absence, s 22 (1)(a)(ii) is assisting with finalising the GAIN arrangements.

Grateful if you were to review the attached order of proceedings and slideshow, and make any additions or changes you think required.

s 22 (1)(a)(ii) – would be good to include something about the DC2020 implementation – roundtables etc,

s 22 (1)(a)(ii), as discussed, something about the Mog changes taking effect on 1 Feb.

Thanks

s 22 (1)(a)(ii)

Acting Director  
Agency Engagement



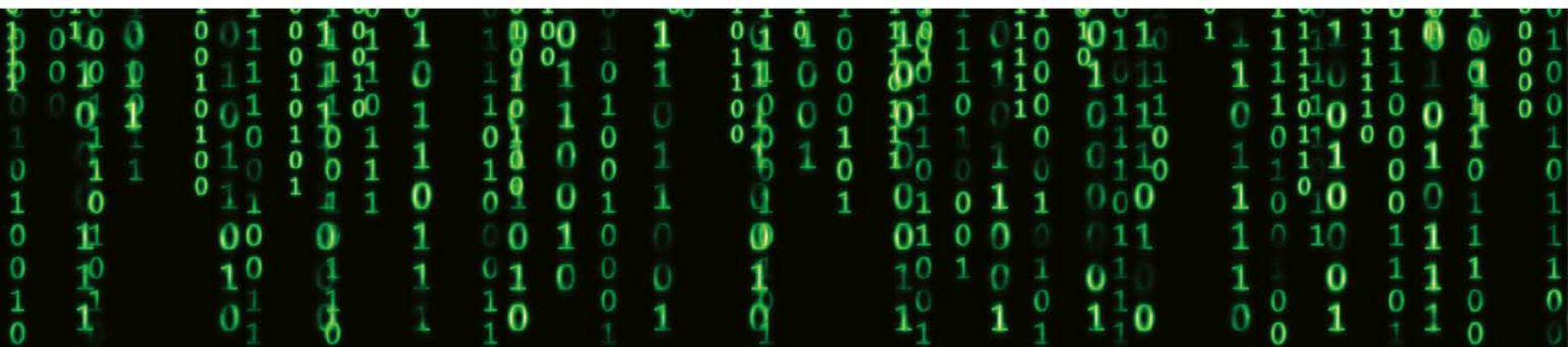
s 22 (1)(a)(ii)  
e s 22 (1)(a)(ii) @naa.gov.au  
PO Box 4924  
KINGSTON ACT 2604  
[naa.gov.au](http://naa.gov.au)

We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.

**OFFICIAL**

# Digital Continuity 2020

*the future of e-government*



**Agency Implementation Support**  
**Program**  
s 22 (1)(a)(ii) **Director Agency Engagement**



# Program Responsibilities

Under the Program, National Archives is responsible for:

- consulting with a number of agencies which are in the beginning stages of developing their digital information management capabilities
- identifying limitations and challenges in agencies' digital information management practices
- based on the received feedback, finding gaps in National Archives' current online advice, and reviewing the Digital Continuity 2020 Policy targets and Check-up PLUS survey content
- providing targeted support to agencies.



# Consultation – roundtable discussions and teleconference calls

- 44 out 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 topics discussed

- 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



## 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.



## Key findings – Barriers in dealing with the National Archives

The following barriers were mentioned:

- challenging and time consuming projects
- DC2020 Policy
- digital transfers
- National Archives' website.



## Key findings – Opportunities for collaboration

Agencies identified a number of opportunities to improve collaboration between agencies and the National Archives:

- tools and advice
- short-term placements
- staff exchange and agency visits
- networking.



## 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
- seek to organise agency presentations to spotlight successes in implementing DC2020 principles and actions.



Thank you!

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Subject:** comments on the draft DC2020 Agency implementation support program [SEC=OFFICIAL]  
**Date:** Wednesday, December 18, 2019 3:05:11 PM  
**Attachments:** s 22 (1)(a)(ii) [\\_commnets - R1247052019 Summary Report on stakeholder consultation for DC2020 - Agency Implementation Support Program , 16 December 2019.DOCX](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii)

Please see attached, sorry this took so long.

thanks

s 22 (1)(a)(ii)  
Assistant Director  
Agency Engagement Section  
t s 22 (1)(a)(ii)

**National Archives of Australia**  
Kings Avenue, Parkes ACT 2600  
PO Box 4924 Kingston ACT 2604  
s 22 (1)(a)(ii) [@naa.gov.au](mailto:s 22 (1)(a)(ii)@naa.gov.au) | [naa.gov.au](http://naa.gov.au)

*We acknowledge and pay our respects to the traditional custodians of this land and celebrate their ongoing culture and contribution to society.*

**OFFICIAL**



# Digital Continuity 2020 – Agency Implementation Support Program

## Summary report on stakeholder consultation

December 2019



Australian Government  
National Archives of Australia

## Contents

<b>1. EXECUTIVE SUMMARY .....</b>	<b>3</b>
1.1. Key findings .....	3
<b>2. INTRODUCTION .....</b>	<b>5</b>
2.1. Objectives of this report .....	5
2.2. Methodology .....	5
<b>3. FINDINGS.....</b>	<b>6</b>
3.1. Agencies' limitations and challenges in the management of digital information .....	6
3.2. Wish-list to help achieve DC2020 recommended actions and targets .....	8
3.3. Barriers in dealing with the National Archives .....	9
3.4. Opportunities for collaboration .....	11
<b>APPENDIX A: LIST OF PARTICIPATING AGENCIES .....</b>	<b>13</b>
<b>APPENDIX B: 'DC 2020 – AGENCY IMPLEMENTATION SUPPORT PROGRAM' CONSULTATION AGENDA.....</b>	<b>14</b>

# 1. Executive summary

The 'Digital Continuity 2020 - Agency Implementation Support Program' (The Program) aims to assist Australian Government agencies with low-maturity digital information management practices by linking them with National Archives of Australia's (National Archives) targeted support and online information management advice and tools.

Under the Program, National Archives is responsible for:

- consulting with a number of agencies which are in the beginning stages of developing their digital information management capabilities
- identifying limitations and challenges in agencies' digital information management practices
- based on the received feedback, finding gaps in National Archives' current online advice, and reviewing the Digital Continuity 2020 Policy targets and Check-up PLUS survey content
- providing targeted support to agencies.

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. National Archives contacted, and invited to take part in consultations, a total of 44 agencies out of 67. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. This represents a response rate of 54.5%.

## 1.1. Key findings

### 1.1.1. Limitations and challenges

The main limitations identified by agencies are resources (staffing and budget) and culture, senior executive support, and technology. Most agencies stated that resources have diminished over time in information management (IM) areas and that IM is viewed as an extra step on top of prime-core duties. There is also a lack of IM professionals in the workforce.

s 47C(1)

cross agencies, IM is not seen as a priority for a change of the status quo. Senior Executive have a limited understanding of what IM entails from an investment point of view, and of the true value of their IM holdings. Senior Executive fail to engage with IM as a valuable resource worthy of investment and do not want to change their own administrative practices (digital authorisations, electronic workflows, secure accessibility of information).

As challenges difficult to overcome, aAgencies identified the following as challenges proving difficult to overcome: mentioned the management of unstructured information stored in fractured places (eg. shared drives, Outlook folders), assessment of business systems for IM

compliance and interoperability, scanning of ~~some~~ legacy records, and Department of Finance's embargo on EDRMS adoption.

### 1.1.2. Wish-list to help achieve DC2020 recommended actions and targets

Across participating agencies, it was agreed there is a need for a better IM culture, qualified or experienced IM staff, SES buy-in, and more time for IM initiatives. In particular, agencies expressed a desire for reducing red-tape and getting more practical and specific advice and support from the National Archives.

### 1.1.3. Barriers in dealing with the National Archives

Agencies mentioned the following:

- challenging and time-consuming projects, such as Check-Up and records authorities
- [artificial timeframes, ambiguous statements and hard to achieve recommended actions and targets in the Digital Continuity 2020 Policy](#)
- [a lack of a clear vision of what 5 star IM maturity looks like](#)
- a difficult digital transfers process
- difficult to navigate and find relevant information on National Archives' new website
- unclear, wishy-washy, and not always relevant online advice, such as minimum metadata standard, the two digitisation standards for RNA and temporary records, and the Business Systems Assessment Framework (BSAF)
- [disappearance from the website of agency-specific records authorities](#)
- [cessation of IM training for agency staff](#)
- location – National Archives should get more involved and extend its presence outside Canberra.

### 1.1.4. Opportunities for collaboration

Agencies stated there is a need for more meaningful support from the National Archives. More targeted, practical and realistic advice and tools are needed, as well as networking, at senior executive level and IM practitioners' level, for information sharing and opportunities to meet.

Agencies spoke convincingly in favour of agency visits, agency placements and face-to-face training.

Video-conferencing facilities or Skype broadcasts with interstate agencies, a closer relationship with RIMPA (Records and Information Management Professionals Australasia), and involvement in government initiatives (eg. Fortress and Procurement, Development and Management System) were also mentioned as opportunities for collaboration.

## 2. Introduction

Under the *Archives Act 1983*, the National Archives has a legislative responsibility to promote the creation, management, preservation and use of authentic, reliable and usable Commonwealth records.

As information governance and effective digital information management are central to the Australian Government's digital transformation agenda, National Archives needs to proactively support agencies in improving their digital information management practices.

### 2.1. Objectives of this report

This report summarises the findings and feedback provided by the participating agencies.

The main objectives are to allow the National Archives to form a clearer understanding of IM practices and issues, particularly:

- highlighting a number of agency limitations and challenges in implementing Digital Continuity 2020 recommended actions and targets
- identifying gaps in National Archives' IM advice
- better directing the National Archives' support and products to meet agencies' needs.

### 2.2. Methodology

A number of 67 agencies were identified as being 'in-scope' for the roundtable discussions and teleconference calls. We have selected 44 agencies, based on their size, location and maturity index score on four essential digital capabilities: governance, digital storage, disposal, and interoperability.

Agency representatives (ie. nominated Check-up coordinators and record managers) were contacted individually, by email and/or phone and provided with information about the Program prior to the commencement of consultations. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. The list of participating agencies is at Appendix A.

Consultations were conducted over a period of nearly five weeks, from 11 November to 11 December 2019. We had four roundtable sessions and seven teleconference calls.

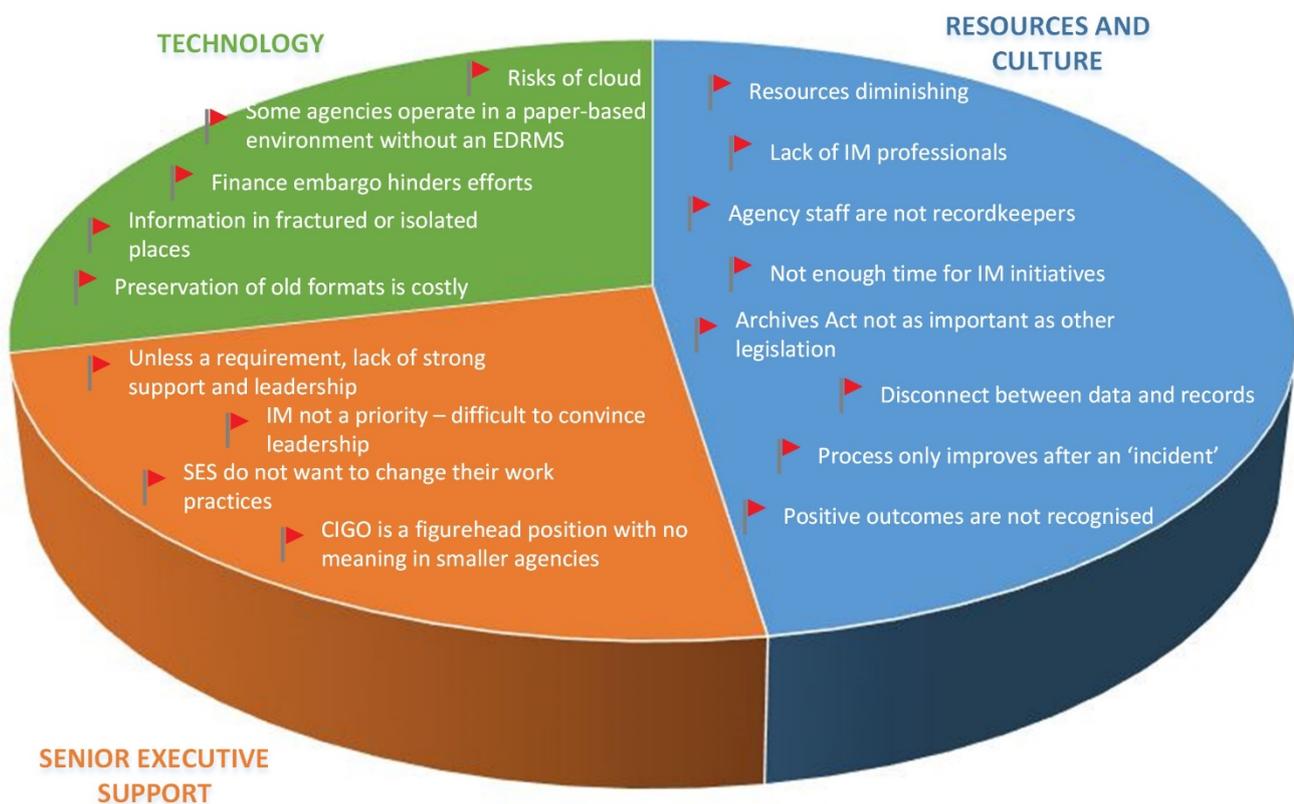
All participating agencies provided comments on each item on the consultation agenda, listed at Appendix B.

### 3. Findings

#### 3.1. Agencies' limitations and challenges in the management of digital information

In this segment, agencies were asked to talk about their main limitations and challenges in the management of digital information. Agencies stated that the roadblocks are resources and culture, senior executive support, and technology.

Figure 1: Main limitations and challenges



##### 3.1.1. Resources (staffing and budget) and culture

Agencies indicated the following issues:

- resources have diminished over time in IM areas
- there is a lack of IM professionals in the workforce - expertise is an issue when hiring IM staff and, as a result, the foundation knowledge is missing. In smaller agencies, information managers seem to be in the role for leadership, rather than having the knowledge and/or experience
- agency staff are not recordkeepers – they do not view records as an asset and do not fully understand the benefits of digital IM, therefore, “constant education is needed” to convince people to work smarter. It is hard to get IM on their worklist

- [agency staff assume that ICT systems will automatically facilitate best practice IM](#)
- there is not enough time for IM initiatives, as priorities get drawn by 'business as usual' activities, especially in smaller agencies
- staff see the *Archives Act 1983* not as important as other legislation (ie. *PGPA Act 2013*)
- there is a disconnect between data and records, as two separate areas. There is no interest in working together and there are split responsibilities between these areas. Information Management needs a seat at the Information Technology table to discuss IM-related issues, for example, systems interoperability
- compliance of business systems with ISO16175 falls on deaf ears
- assessment of business systems for IM compliance/interoperability of systems is difficult and it is done, in some cases, by people not experienced in IM
- processes tend to improve after an issue or incident, such as a data leak
- positive outcomes are hardly recognised.

### 3.1.2. Senior executive support

The most commonly cited issues were:

- unless there is a requirement, there is a lack of strong support and leadership from senior executive
- IM is not a priority for the leadership team and it is difficult to convince SES to think about IM. At grass roots, there is a willingness to do more in the digital IM space, but the executive group does not have the time to review and sign off on IM projects and initiatives
- SES do not want to change their work practices and view IM as an extra step – they are struggling with the use of an EDRMS
- in some agencies, there is a limited SES understanding of what IM entails from an investment point of view
- Chief Information Governance Officer (CIGO) is a "figurehead" position and it has no meaning in smaller agencies.

### 3.1.3. Technology

Agencies provided the following information:

- some agencies operate, to a certain extent, in a paper-based environment without a corporate EDRMS
- Department of Finance embargo on EDRMS adoption hindered agencies' efforts to implement some of the DC2020 recommended actions and targets
- search functionality in some EDRMS systems is difficult
- management of unstructured information stored in fractured or isolated places, such as shared drives and Outlook folders, is challenging
- there are risks in using cloud solutions for the management of long-term records
- preservation of legacy records, especially old type cassettes, is costly.

## 3.2. Wish-list to help achieve DC2020 recommended actions and targets

Across all participating agencies, it was agreed there is a need for a better IM culture, more staff, SES buy-in, and more time for IM initiatives.

**Figure 2: Wish list items**



In particular, agencies expressed a desire for the following:

### 3.2.1. Culture and SES

- look for specialist skills in IM
- have information governance requirements included in annual reports
- reduce red-tape and stop producing the half-yearly Harradine Reports
- make Agency Heads responsible for the management of information in their agency
- get more executive support and leadership

### 3.2.2. National Archives

- push for a review of the *Archives Act 1983* so the agency can have more [regulatory authority](#) (–more “stick”) [to enforce best practice information management](#)
- provide more meaningful support, such as agency visits
- develop more practical, more specific and realistic online advice (eg. ‘Records management 101’, advice on various IM solutions (eg. Microsoft Office 365) highlighting the pros and cons, advice on records aggregation and what constitutes a complete RNA digital record, advice on how to support a BSAF risk assessment,

advice on how to sentence “data”, disposal advice in the absence of an agency-specific records authority, a mapping guide for activities against classes in AFDA Express Version 2)

- introduce a “3-star approach” (rather than a “5-star) to the new post 2020 policy, and link to the maturity model
- conduct training on IM basics (‘lunch and learn’ type sessions)
- finalise the procurement panel for digitisation services
- push for BSAF-type requirements/ interoperability in procurement of business systems
- present case studies on better practice IM at GAIN forums and disseminate them, including the supporting information (eg. results of consultations, final documents), on the website
- coordinate IM working groups or other networking activities and use technology more (eg. Skype broadcasts).

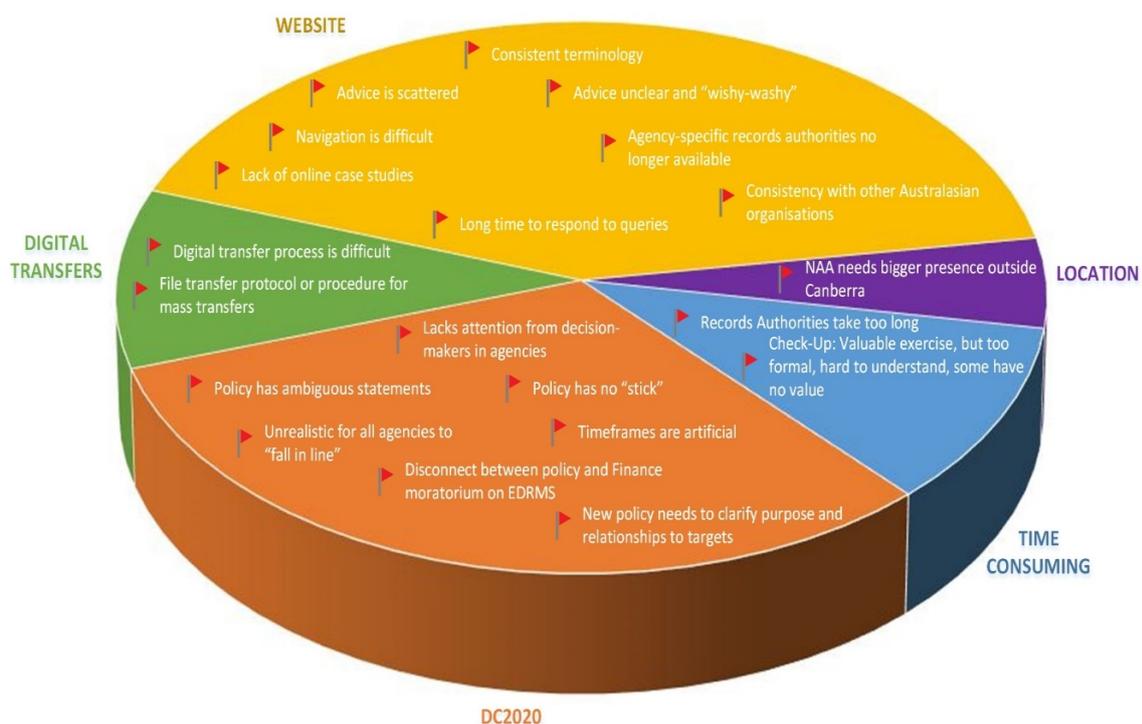
### 3.2.3. Technology

- find a product that can look at all systems and is able to manage all information in one place (eg. CastlePoint)
- use Microsoft Office 365 if suitable for business needs.

## 3.3. Barriers in dealing with the National Archives

Agencies were asked to outline some of their barriers in communicating with, and receiving advice from, the National Archives, and to discuss some of the deficiencies in our products and initiatives.

**Figure 3: Main barriers in dealing with NAA**



The following issues, some underlining National Archives' theoretical isolation, were raised:

### 3.3.1. Challenging and time consuming projects

- **Check-up PLUS** – although a valuable exercise, it is too formal, some questions are hard to understand, have no value (eg. amount to be transferred to the National Archives) and confusing (eg. boundaries between physical and digital IM). Survey coverage should be clarified by explaining it refers to all information holdings, not just those managed in an EDRMS. It is a subjective self-assessment process and there are no requirements to provide any evidence. The survey should be more flexible and cater for different size agencies. A Check-up light version (not required to be signed by Agency Head) would bring a “community feel” rather than a “formal feel”.
- **Records Authorities** – both development and review take too long.

### 3.3.2. DC2020 Policy

- it lacks the attention from decision-makers in agencies
- there is no “teeth and stick”, similar to an “audit type” scan, behind the principles
- it has ambiguous statements and some of the recommended targets (eg. on information governance and interoperability) are hard to achieve. The Policy is confusing in parts, there are too many targets, some are similar, and there are no clear directions on how to achieve those targets
- it is unrealistic to expect all agencies to “fall in line” – some actions are designed for large agencies
- timeframes are artificial and there is a disconnect between the policy requirements and Department of Finance’s moratorium on ERDMS spending
- **New post 2020 policy**– agencies need to better understand what they are asked to do; clarify policy’s purpose and relationship to targets, which need to be more specific, measurable, and different based on agency size, IM maturity etc; recognise that high profile, high risk areas are more advanced than the rest of the organisation; new policy should have a pathway, different tiers to cater for different levels of IM maturity, link metadata to the maturity model, and include “tool kits”. New policy should introduce a “three-star” compliance approach rather than a “five star”, along the lines of “do this, but not everything needs to be done”. Have something for **all** agencies to work on.

### 3.3.3. Digital transfers

- digital transfer process is difficult
- develop a file transfer protocol or procedure for mass transfers or negotiate a section 64 ‘custody of material’ with relevant agencies

### 3.3.4. National Archives' website

- only some information is helpful, and consistent terminology is not always used
- advice is scattered and navigation is difficult, in particular for people new to IM
- in some instances, advice is unclear and “wishy-washy”. For example, the minimum metadata standard is a “bug-bear”, and there is no consistency between information on our website and other Australasian organisations. BSAF is not helpful when it comes to management of fractured information, and some questions are a little repetitive and not in plain English. The two digitisation standards are confusing
- have more visual aids, such as flowcharts
- old AFDA (2010) is preferred due to its granularity, but is no longer available on the new website. Also, under ADFA Express, some information is kept for longer due to the amalgamation of classes
- there is a lack of online case studies of exemplar agencies. National Archives should tell agencies how better practice IM looks like through examples of concrete projects and supporting documentation
- agency-specific records authorities have disappeared from the new website
- it takes a long time to get responses to queries. Timeliness is an issue and agencies would like to be able to speak to someone.

### 3.3.5. Location

- National Archives should get more involved and extend its presence outside Canberra.

## 3.4. Opportunities for collaboration

Participating agencies agreed there is a need for more meaningful support from the National Archives. They identified a number of opportunities to improve collaboration between agencies and the National Archives, based on a shared vision and understanding of each other's responsibilities. National Archives should concentrate its efforts on the following:

- **tools and advice** – develop more practical, more specific and realistic online advice, as well as more adaptable DC2020 implementation advice. Not all agencies are the same and there is no “one size fits all”
- **Short-term placements** of National Archives staff with agencies, especially with the ones that need help – a several weeks program during which National Archives' staff can understand the realities, constraints and challenges faced by agencies, and learn more about IM work in agencies
- **Staff exchange**
  - **Agency visits** – National Archives' staff to spend half days with agencies and provide tailored guidance and advice on achieving better practice digital IM
- **Networking**
  - face-to-face meetings on regular basis, such as these roundtable consultations, themed sessions (eg. BSAF practitioner level) etc., so that IM practitioners can discuss and share information. National Archives should

create opportunities to meet or coordinate IM working groups which will help agencies discuss and share ideas about various topics of interest

- online collaboration via video conferences, Skype broadcasts, GovTeams with the aim of addressing the disconnect between Canberra and non-Canberra agencies
- a closer relationship with RIMPA
- involvement in government initiatives (eg. Fortress and Procurement, Development and Management System) as other agencies, such as the Digital Transformation Agency (DTA), are “jumping in on National Archives’ responsibilities”
- engagement at Agency Heads level
- face-to-face training, including ‘lunch and learn’ and ‘train the trainer’ sessions.

## Appendix A: List of participating agencies

Agency name
Administrative Appeals Tribunal
Aged Care Quality and Safety Commission
Airservices Australia
Australian Electoral Commission
Australian Federal Police
Australian Maritime Safety Authority
Clean Energy Finance Corporation
Creative Partnership Australia
Department of Communication and Arts
Department of Defence
Department of Finance
Department of Foreign Affairs and Trade (Public Diplomacy Branch)
Department of Health
Department of Parliamentary Services
Department of Prime Minister and Cabinet
Department of the Environment and Energy
Department of the Treasury
National Gallery of Australia
National Portrait Gallery of Australia
Office of the Commonwealth Ombudsman
Outback Stores
Professional Services Review
Royal Australian Mint
Safe Work Australia

## Appendix B: 'DC 2020 – Agency Implementation Support Program' Consultation Agenda

<i>Item</i>	<i>Issue</i>
<b>1</b>	<p><b>Welcome</b></p> <ul style="list-style-type: none"> <li>• Introductions</li> </ul>
<b>2</b>	<ul style="list-style-type: none"> <li>• <b>Agencies' barriers, limitations and challenges</b> in the management of digital information (eg. culture, Executive support, resources/budget, volume of digital information etc.) with focus on areas of low performance, such as digital information creation and capture, digital storage, disposal, interoperability, governance</li> <li>• <b>Barriers in dealing with NAA</b></li> <li>• <b>Wish-list</b> to help achieve Digital Continuity 2020 recommended actions and targets. What is sustainable?</li> </ul>
<b>3</b>	<p><b>Opportunities for collaboration</b></p> <p>Some ideas:</p> <ul style="list-style-type: none"> <li>• Practical, more targeted, online advice and guidance (tell us what is needed)</li> <li>• Agencies presentations at GAIN forums to spotlight Digital Continuity 2020 successes</li> <li>• Face-to-face agency visits</li> <li>• Short-term secondments to NAA or a skill share swap</li> </ul>
<b>4</b>	Summary and next steps

**From:** § 22 (1)(a)(ii)  
**To:** § 22 (1)(a)(ii)  
**Subject:** Summary report an agency consultations [SEC=OFFICIAL]  
**Date:** Friday, December 13, 2019 11:34:52 AM  
**Attachments:** [Summary Report on DC2020 - Agency Implementation Support Program.DOCX](#)  
[image001.png](#)

---

**OFFICIAL**

Hi § 22 (1)(a)(ii)

Please see attached. Grateful if you could have a read and insert a handful of 3D pie charts.

Thanks

§ 22 (1)(a)(ii)

§ 22 (1)(a)(ii)  
Assistant Director, Agency Engagement  
Collection Management Branch



§ 22 (1)(a)(ii)  
es 22 (1)(a)(ii) [@naa.gov.au](mailto:§ 22 (1)(a)(ii)@naa.gov.au)  
Kings Avenue, Parkes, ACT  
PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

**OFFICIAL**



# Digital Continuity 2020 – Agency Implementation Support Program

## Summary report on stakeholder consultation

December 2019



Australian Government  
National Archives of Australia

## Contents

<b>1. EXECUTIVE SUMMARY .....</b>	<b>3</b>
<b>1.1. Key findings .....</b>	<b>3</b>
1.1.1. Limitations and challenges .....	3
1.1.2. Wish-list to help achieve DC2020 recommended actions and targets.....	3
1.1.3. Barriers in dealing with the National Archives .....	4
1.1.4. Opportunities for collaboration .....	4
<b>2. INTRODUCTION .....</b>	<b>5</b>
<b>2.1. Objectives of this report .....</b>	<b>5</b>
<b>2.2. Methodology .....</b>	<b>5</b>
<b>3. FINDINGS.....</b>	<b>6</b>
<b>3.1. Agencies' limitations and challenges in the management of digital information .....</b>	<b>6</b>
3.1.1. Resources (staffing and budget) and culture .....	6
3.1.2. Senior executive support .....	6
3.1.3. Technology.....	7
<b>3.2. Wish-list to help achieve DC2020 recommended actions and targets .....</b>	<b>7</b>
<b>3.3. Barriers in dealing with the National Archives .....</b>	<b>8</b>
<b>3.4. Opportunities for collaboration .....</b>	<b>Error! Bookmark not defined.</b>
<b>APPENDIX A: LIST OF PARTICIPATING AGENCIES.....</b>	<b>11</b>
<b>APPENDIX B: 'DC 2020 – AGENCY IMPLEMENTATION SUPPORT PROGRAM' CONSULTATION AGENDA.....</b>	<b>13</b>

# 1. Executive summary

The 'Digital Continuity 2020 - Agency Implementation Support Program' (The Program) aims to assist Australian Government agencies with low-maturity digital information management practices by linking them with National Archives of Australia's (National Archives) targeted support and online information management advice and tools.

Under the Program, National Archives is responsible for:

- consulting with a number of agencies which are in the beginning stages of developing their digital information management capabilities
- identifying limitations and challenges in agencies' digital information management practices
- based on the received feedback, finding gaps in National Archives' current online advice, and reviewing the Digital Continuity 2020 Policy targets and Check-up PLUS survey content
- providing targeted support to agencies.

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. National Archives contacted, and invited to take part in consultations, a total of 44 agencies out of 67. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. This represents a response rate of 54.5%.

## 1.1. Key findings

### 1.1.1. Limitations and challenges

The main limitations identified by agencies are resources (staffing and budget) and culture, senior executive support, and technology. Most agencies stated that resources have diminished over time in information management (IM) areas and that IM is viewed as an extra step on top of prime duties. There is also a lack of IM professionals in the workforce.

Across most of the participating agencies, it was recognised that SES buy-in is a challenge. SES don't want to change their practices, IM is not priority for them, especially during busy times such as MoG changes, and in some instances, SES have a limited understanding of what IM entails from an investment point of view.

As challenges difficult to overcome, agencies mentioned the management of unstructured information stored in fractured places (eg. shared drives, Outlook folders), assessment of business systems for IM compliance and interoperability, scanning of some legacy records, and Department of Finance's embargo on EDRMS adoption.

### 1.1.2. Wish-list to help achieve DC2020 recommended actions and targets

Across participating agencies, it was agreed there is a need for a better IM culture, qualified or experienced IM staff, SES buy in, and more time for IM initiatives. In particular, agencies expressed a desire for reducing red-tape and getting more practical and specific advice and support from the National Archives.

### 1.1.3. Barriers in dealing with the National Archives

Agencies mentioned the following:

- challenging and time-consuming projects, such as Check-Up and records authorities
- artificial timeframes, ambiguous statements and hard to achieve recommended actions and targets in the Digital Continuity 2020 Policy
- a difficult digital transfers process
- difficult to navigate and find relevant information on National Archives' new website
- unclear, wishy-washy, and not always relevant online advice, such as minimum metadata standard, the two digitisation standards for RNA and temporary records, and the Business Systems Assessment Framework (BSAF)
- disappearance from the website of agency-specific records authorities
- location – National Archives should get more involved and extend its presence outside Canberra.

### 1.1.4. Opportunities for collaboration

Agencies stated there is a need for more meaningful support from the National Archives. More targeted, practical and realistic advice and tools are needed, as well as networking, at senior executive level and IM practitioners' level for information sharing and opportunities to meet.

Agencies spoke convincingly in favour of agency visits, agency placements and face-to-face training.

Video-conferencing facilities or Skype broadcasts with interstate agencies, a closer relationship with RIMPA (Records and Information Management Professionals Australasia), and involvement in government initiatives (eg. Fortress and Procurement, Development and Management System) were also mentioned as opportunities for collaboration.

## 2. Introduction

Under the *Archives Act 1983*, the National Archives has a legislative responsibility to promote the creation, management, preservation and use of authentic, reliable and usable Commonwealth records.

As information governance and effective digital information management are central to the Australian Government's digital transformation agenda, National Archives needs to proactively support agencies in improving their digital information management practices.

### 2.1. Objectives of this report

This report summarises the findings and feedback provided by the participating agencies.

The main objectives are to allow the National Archives to form a clearer understanding of IM practices and issues, particularly:

- highlighting a number of agency limitations and challenges in implementing Digital Continuity 2020 recommended actions and targets
- identifying gaps in National Archives' IM advice
- better directing the National Archives' support and products to meet agencies' needs.

### 2.2. Methodology

A number of 67 agencies were identified as being 'in-scope' for the roundtable discussions and teleconference calls. We have selected 44 agencies, based on their size, location and maturity index score on four essential digital capabilities: governance, digital storage, disposal, and interoperability.

Agency representatives (ie. nominated Check-up coordinators and record managers) were contacted individually, by email and/or phone and provided with information about the Program prior to the commencement of consultations. 24 agencies, 17 Canberra-based and 7 interstate-based, accepted our invitation. The list of participating agencies is at Appendix A.

Consultations were conducted over a period of nearly five weeks, from 11 November to 11 December 2019. We had four roundtable sessions and seven teleconference calls.

All participating agencies provided comments on each item on the consultation agenda, listed at Appendix B.

## 3. Findings

### 3.1. Agencies' limitations and challenges in the management of digital information

In this segment, agencies were asked to talk about their main limitations and challenges in the management of digital information. Agencies stated that the roadblocks are resources and culture, senior executive support, and technology.

#### 3.1.1. Resources (staffing and budget) and culture

Agencies indicated the following issues:

- resources have diminished over time in IM areas
- there is a lack of IM professionals in the workforce - expertise is an issue when hiring IM staff and, as a result, the foundation knowledge is missing. In smaller agencies, information managers seem to be in the role for leadership, rather than having the knowledge and/or experience
- agency staff are not recordkeepers – they do not view records as an asset and do not fully understand the benefits of digital IM, therefore, “constant education is needed” to convince people to work smarter. It is hard to get IM on their worklist
- there is not enough time for IM initiatives, as priorities get drawn by ‘business as usual’ activities, especially in smaller agencies
- staff see the *Archives Act 1983* not as important as other legislation (ie. *PGPA Act 2013*)
- there is a disconnect between data and records, as two separate areas. There is no interest in working together and there are split responsibilities between these areas. Information Management needs a seat at the Information Technology table to discuss IM-related issues, for example, systems interoperability
- compliance of business systems with ISO16175 falls on deaf ears
- assessment of business systems for IM compliance/interoperability of systems is difficult and it is done, in some cases, by people not experienced in IM
- processes tend to improve after an issue or incident, such as a data leak
- positive outcomes are hardly recognised.

#### 3.1.2. Senior executive support

The most commonly cited issues were:

- unless there is a requirement, there is a lack of strong support and leadership from senior executive
- IM is not a priority for the leadership team and it is difficult to convince SES to think about IM. At grass roots, there is a willingness to do more in the digital IM space, but the executive group does not have the time to review and sign off on IM projects and initiatives
- SES do not want to change their work practices and view IM as an extra step – they are struggling with the use of an EDRMS
- in some agencies, there is a limited SES understanding of what IM entails from an investment point of view
- Chief Information Governance Officer (CIGO) is a “figurehead” position and it has no meaning in smaller agencies.

### 3.1.3. Technology

Agencies provided the following information:

- some agencies operate, to a certain extent, in a paper-based environment without a corporate EDRMS
- Department of Finance embargo on EDRMS adoption hindered agencies' efforts to implement some of the DC2020 recommended actions and targets
- search functionality in some EDRMS systems is difficult
- management of unstructured information stored in fractured or isolated places, such as shared drives and Outlook folders, is challenging
- there are risks in using cloud solutions for the management of long-term records
- preservation of legacy records, especially old type cassettes, is costly.

## 3.2. Wish-list to help achieve DC2020 recommended actions and targets

Across all participating agencies, it was agreed there is a need for a better IM culture, more staff, SES buy in, and more time for IM initiatives. In particular, agencies expressed a desire for the following:

- culture and SES
  - look for specialist skills in IM
  - have information governance requirements included in annual reports
  - reduce red-tape and stop producing the half-yearly Harradine Reports
  - make Agency Heads responsible for the management of information in their agency
  - get more executive support and leadership
- National Archives
  - push for a review of the *Archives Act 1983* so the agency can have more authority, more “stick”
  - provide more meaningful support, such as agency visits
  - develop more practical, more specific and realistic online advice (eg. ‘Records management 101’, advice on various IM solutions (eg. Microsoft Office 365) highlighting the pros and cons, advice on records aggregation and what constitutes a complete RNA digital record, advice on how to support a BSAF risk assessment, advice on how to sentence “data”, disposal advice in the absence of an agency-specific records authority, a mapping guide for activities against classes in AFDA Express Version 2)
  - introduce a “3-star approach” (rather than a “5-star”) to the DC2020 recommended actions and targets and link to the maturity model
  - conduct training on IM basics (“lunch and learn” type sessions)
  - finalise the procurement panel for digitisation services
  - push for BSAF-type requirements/ interoperability in procurement of business systems
  - present case studies on better practice IM at GAIN forums and disseminate them, including the supporting information (eg. results of consultations, final documents), on the website

- coordinate IM working groups or other networking activities and use technology more (eg. Skype broadcasts).
- technology
  - find a product that can look at all systems and is able to manage all information in one place (eg. CastlePoint)
  - use Microsoft Office 365 if suitable for business needs.

### 3.3. Barriers in dealing with the National Archives

Agencies were asked to outline some of their barriers in communicating with, and receiving advice from, the National Archives, and to discuss some of the deficiencies in our products and initiatives. The following issues were raised:

- challenging and time consuming projects
  - **Check-up PLUS** – although a valuable exercise, it is too formal, some questions are hard to understand, have no value (eg. amount to be transferred to the National Archives) and confusing (eg. boundaries between physical and digital IM). Survey coverage should be clarified by explaining it refers to all information holdings, not just those managed in an EDRMS. It is a subjective self-assessment process and there are no requirements to provide any evidence. The survey should be more flexible and cater for different size agencies. A Check-up light version (not required to be signed by Agency Head) would bring a “community feel” rather than a “formal feel”.
  - **Records Authorities** – both development and review take too long.
- DC2020 Policy
  - it lacks the attention from decision-makers in agencies
  - there is no “teeth and stick”, similar to an “audit type” scan, behind the principles
  - it has ambiguous statements and some of the recommended targets (eg. on information governance and interoperability) are hard to achieve. The Policy is confusing in parts, there are too many targets, some are similar, and there are no clear directions on how to achieve those targets
  - it is unrealistic to expect all agencies to “fall in line” – some actions are designed for large agencies
  - timeframes are artificial and there is a disconnect between the policy requirements and Department of Finance’s moratorium on ERDMS spending
  - **New Policy** – agencies need to better understand what they are asked to do; clarify policy’s purpose and relationship to targets, which need to be more specific, measurable, and different based on agency size, IM maturity etc. recognise that high profile, high risk areas are more advanced than the rest of the organisation; new policy should have a pathway, different tiers to cater for different levels of IM maturity, link metadata to the maturity model, and “tool kits”. New policy should introduce a “three-star” compliance approach rather than a “five star”, along the lines of “do this, but not everything needs to be done”. Have something for **all** agencies to work on.
- Digital transfers
  - digital transfer process is difficult
  - develop a file transfer protocol or procedure for mass transfers or negotiate a section 64 ‘custody of material’ with relevant agencies
- National Archives’ website

- only some information is helpful and consistent terminology is not always used
- advice is scattered and navigation is difficult, in particular for people new to IM
- in some instances, advice is unclear and “wishy-washy”. For example, the minimum metadata standard is a “bug-bear”, and there is no consistency between information on our website and other Australasian organisations. BSAF is not helpful when it comes to management of fractured information, and some questions are a little repetitive and not in plain English. The two digitisation standards are confusing
- have more visual aids, such as flowcharts
- old AFDA (2010) is preferred due to its granularity, but no longer is available on the new website. Also, under ADFA Express, some information is kept for longer due to the amalgamation of classes
- there is a lack of online case studies of exemplar agencies. National Archives should tell agencies how better practice IM looks like through examples of concrete projects and supporting documentation
- agency-specific records authorities have disappeared from the new website
- takes a long time to get responses to queries. Timeliness is an issue and agencies would like to be able to speak to someone.
- Location - National Archives should get more involved and extend its presence outside Canberra.

### 3.4. Opportunities for collaboration

Participating agencies agreed there is a need for more meaningful support from the National Archives. They identified a number of opportunities to improve collaboration between agencies and the National Archives, based on a shared vision and understanding of each other’s responsibilities. National Archives should concentrate its efforts on the following:

- **tools and advice** – develop more practical, more specific and realistic online advice, as well as more adaptable DC2020 implementation advice. Not all agencies are the same and there is no “one size fits all”
- **Short-term placements** of National Archives staff with agencies, especially with the ones that need help – a several weeks program during which National Archives’ staff can understand the realities, constraints and challenges faced by agencies, and learn more about IM work in agencies
- **Staff exchange**
- **Agency visits** – National Archives’ staff to spend half days with agencies and provide tailored guidance and advice on achieving better practice digital IM
- **Networking**
  - face-to-face meetings on regular basis, such as these roundtable consultations, themed sessions (eg. BSAF practitioner level) etc., so that IM practitioners can discuss and share information. National Archives should create opportunities to meet or coordinate IM working groups which will help agencies discuss and share ideas about various topics of interest
  - online collaboration via video conferences, Skype broadcasts, GovTeams with the aim of addressing the disconnect between Canberra and non-Canberra agencies
  - a closer relationship with RIMPA
  - involvement in government initiatives (eg. Fortress and Procurement, Development and Management System) as other agencies, such as the

Digital Transformation Agency (DTA), are “jumping in on National Archives’ responsibilities”

- engagement at Agency Heads level
- face-to-face training, including ‘train the trainer’ sessions.

## Appendix A: List of participating agencies

Agency name
Administrative Appeals Tribunal
Aged Care Quality and Safety Commission
Airservices Australia
Australian Electoral Commission
Australian Federal Police
Australian Maritime Safety Authority
Clean Energy Finance Corporation
Creative Partnership Australia
Department of Communication and Arts
Department of Defence
Department of Finance
Department of Foreign Affairs and Trade (Public Diplomacy Branch)
Department of Health
Department of Parliamentary Services
Department of Prime Minister and Cabinet
Department of the Environment and Energy
Department of the Treasury
National Gallery of Australia
National Portrait Gallery of Australia
Office of the Commonwealth Ombudsman
Outback Stores
Professional Services Review

Agency name
Royal Australian Mint
Safe Work Australia

## Appendix B: 'DC 2020 – Agency Implementation Support Program' Consultation Agenda

<i>Item</i>	<i>Issue</i>
1	<p><b>Welcome</b></p> <ul style="list-style-type: none"> <li>• Introductions</li> </ul>
2	<ul style="list-style-type: none"> <li>• <b>Agencies' barriers, limitations and challenges</b> in the management of digital information (eg. culture, Executive support, resources/budget, volume of digital information etc.) with focus on areas of low performance, such as digital information creation and capture, digital storage, disposal, interoperability, governance</li> <li>• <b>Barriers in dealing with NAA</b></li> <li>• <b>Wish-list</b> to help achieve Digital Continuity 2020 recommended actions and targets. What is sustainable?</li> </ul>
3	<p><b>Opportunities for collaboration</b></p> <p>Some ideas:</p> <ul style="list-style-type: none"> <li>• Practical, more targeted, online advice and guidance (tell us what is needed)</li> <li>• Agencies presentations at GAIN forums to spotlight Digital Continuity 2020 successes</li> <li>• Face-to-face agency visits</li> <li>• Short-term secondments to NAA or a skill share swap</li> </ul>
4	Summary and next steps

**From:** s 22 (1)(a)(ii)  
**To:** s 22 (1)(a)(ii)  
**Subject:** FOR INFORMATION: DC2020 Agency Implementation Support Program - Summary of feedback so far [SEC=OFFICIAL]  
**Date:** Thursday, November 21, 2019 9:32:49 AM  
**Attachments:** [image001.png](#)

---

**OFFICIAL**

Hi s 22 (1)(a)(ii)

Here is a summary of feedback received so far, based on telephone interviews with three inter-state agencies and one roundtable discussion:

**Agencies' barriers, limitations and IM challenges**

Technology:

- Unstructured information kept on shred drives and Outlook folders
- Searching in TRIM is difficult

Staffing and Culture

- Not enough time for IM, priorities get drawn by BAU activities
- SES supportive of IM, in general, s 47C(1)
- Lack of IM professionals in smaller agencies

s 22(1)(a)(ii); s 47C(1)

Budget

**Wish list**

A better IM culture, more time, more staff, extra budget.

s 22(1)(a)(ii); s 47C(1)

**Opportunities for collaboration**

Tools and advice

- More targeted, practical and realistic advice (eg. digital sentencing, Office 365, disposal of information in the absence of a RA, IM 101 advice). Use consistent terminology and “plain English”
- More visual aids, such as flowcharts; there is a need for more meaningful support
- More adaptable implementation advice, not all agencies are the same, there is no “one size fits all”
- Focus on “Good IM is good business” message
- New Policy should have clear requirements along the lines of “do this, but not everything needs to be done” (a three star compliance, rather than a five star), have something for all agencies to work on (large vs small, low IM maturity vs developed IM maturity, etc)

Face-to-face training

Agency visits

Agency placements – short-term placements of NAA staff; a several weeks program in agencies so NAA staff can understand the realities.

I am looking forward to the next roundtable discussions and phone interviews.

Thanks and regards

s 22 (1)(a)(ii)

s 22 (1)(a)(ii)

Assistant Director, Agency Engagement  
Collection Management Branch



s 22 (1)(a)(ii)

e s 22 (1)(a)(ii) [@naa.gov.au](mailto:naa.gov.au)

Queen Victoria Terrace, Parkes, ACT

PO Box 4924 Kingston ACT 2604 | [naa.gov.au](http://naa.gov.au)

**OFFICIAL**