AFP National Guideline on information management

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1. Disclosure and compliance

This document is marked **For Official Use Only** and is intended for internal AFP use.

Disclosing any content must comply with Commonwealth law and this instrument.

This instrument is part of the AFP's professional standards framework. The AFP Commissioner's Order on Professional Standards (CO2) outlines the conduct expected of AFP personnel. Inappropriate departures from the provisions of this instrument may constitute a breach of AFP professional standards and be dealt with under Part V of the *Australian Federal Police Act 1979* (Cth).

2. Guideline authority

This guideline was issued by National Manager Technology & Innovation using powers under s. 37(1) of the *Australian Federal Police Act 1979* (Cth) as delegated by the Commissioner under s. 69C of the Act.

3. Introduction

This guideline outlines the obligations for AFP personnel for effective management of data, information and knowledge and should be read in conjunction with the Information Management Handbook.

The purpose of this guideline is to help:

- enable stakeholders to distil and deliver data into actionable and trusted insights to detect, predict and prevent harm to Australians and AFP personnel
- ensure alignment with the Australian government's digital transformation policy, that data and information:

  - is valued (as an enterprise asset);
  - is managed digitally (all digital work processes)
  - systems and processes are interoperable (shared and re-used).

This guideline is structured around the Data-Information-Knowledge-Wisdom hierarchy model (Ackoff 1988) with further definitions and diagrams located in Section 4.1 of the Information Management Handbook.

4. Key information management principles

- Effective information management processes and practices maximise the efficiencies with which the AFP personnel can receive, create, organise, use, store, disseminate and dispose of information.
- Effective information management ensures the integrity and traceability of information.

- AFP personnel must adhere to the need-to-share principle which is an obligation to ensure that information is available to government personnel, organisations and individuals who require it to undertake their duties or support government programs. This principle recognises that information is an organisation resource and asset.
- AFP personnel must also adhere to the need-to-know principle where their access to information must be based on an official AFP requirement and dependent on an appropriate AFP security clearance.
- AFP personnel must use AFP information systems in a manner that ensures confidentiality and integrity of all information handled by the AFP.
- AFP personnel must assess and categorise information as soon as possible once it is received or created. This is accomplished largely through the use of metadata.
- AFP personnel must comply with all legislation, governance and policies in relation to information management.
- Specific legislation, governance and policies authorise and prohibit how that information and data is to be managed.

5. Information governance

Effective information management programs require clear governance mechanisms, authorisation channels, accountability structures, guidelines, standards, procedures and appropriately skilled AFP personnel that understand their responsibilities.

AFP information management governance is facilitated within a tiered governance committee structure.

5.1 Governance structure

5.1.1 Tier 3 - information governance - Metis Committee

The Tier 3 information governance body for the AFP is the Metis Committee, responsible for directing the AFP information governance and management agenda in line with the Whole-of-Government policy and AFP values.

The objectives of the Metis Committee are articulated in the Metis Terms of Reference document.

5.1.2 Tier 2 – Capability Committee

The Tier 2 Capability Committee provides escalation, consideration and approval function for information management governance impacting the wider organisation to ensure policies are in line with the AFP's vision and strategic priorities.

5.2 Roles and responsibilities

AFP personnel must ensure that information is managed as a strategic asset and in accordance with the Whole-of-Government policy.

5.2.1 Chief Information Governance Officer (CIGO)

The CIGO role is performed by the Manager of Information, Data Management and Analytics.

Responsibilities of the CIGO include:

- strategic – leveraging information/data, interoperability and risk
- technical – standards, best practices, intelligence, planning and security
- promotion – information as an asset, innovation, capabilities and access and reuse
- engagement – partnerships, architecture, stakeholders and Whole-of-Government initiatives
- the establishment and management of the authorised registers.

5.2.2 National Manager (and equivalents)

National Managers are responsible for ensuring the AFP meets legislative requirements for managing information and knowledge. The responsibilities of National Managers include:

- endorsing organisational information and records management guidelines and initiatives and direct staff to follow them
- championing AFP information management principles with a focus on their portfolio
- supporting AFP information management initiatives
- supporting ongoing enhancement of AFP information management infrastructure, processes and practices
- providing direction and guidance on information management issues
- promoting the use of all relevant information to improve the quality of decision making.

5.2.3 Managers / Commanders must:

- identify and manage information of value within their functional area in accordance with this guideline and related governance instruments
- ensure knowledge is managed in accordance with this guideline
- actively promote and ensure awareness of information management responsibilities within their area of responsibility
- monitor staff under their supervision to ensure that they understand and comply with the AFP's information management principles, guidelines and framework
- actively support and foster a culture within their functional area that promotes good information management practices
- actively promote using all relevant and available information to improve the quality of decision making.

5.2.4 Coordinator / Superintendents /Team Leaders / Sergeants must:

- ensure their team(s) is aware of role-specific information management responsibilities
- actively promote digital information management, where practicable
- actively promote using all relevant and available information to improve the quality of decision making
- ensure compliance with this guideline.

5.2.5 All AFP personnel must:

- understand their information management obligations and responsibilities that relate to their position
- adhere to organisational guidelines and standards in keeping information documenting their daily work, and specifically create and capture information into approved information management system(s)
- create and manage information in accordance with this guideline and related governance instruments
- uphold the confidentiality, integrity and availability of information
- actively promote using all relevant and available information to improve the quality of decision making.

6. Information management systems

The Information Management Handbook is the primary AFP information governance instrument and aligns to the Whole of Government Digital Continuity 2020 policy as well as the Information Management Standard for Australian Government. This standard contains key mandatory information management principles to manage systems including:

- Principle 1: Business information is systematically governed
- Principle 2: Necessary business information is created.
- Principle 3: Business information is adequately described.
- Principle 4: Business information is suitably stored and preserved.
- Principle 5: How long business information should be kept is known
- Principle 6: Business information is accountably destroyed or transferred.
- Principle 7: Business information is saved in systems where it can be appropriately managed.
- Principle 8: Business information is available for use and reuse.

To ensure alignment with the Standard, the AFP utilises the Information System Assessment Framework (ISAF) to assess information against these principles. This identifies whether information held in systems is genuine, complete, accurate, authentic, secure, protected and appropriately lifecycle-managed.

6.1.1 System owner responsibilities

System owners must ensure:

- all systems and processes have necessary metadata captured at the creation point so it can be stored in the future as a record
- all governance is incorporated into the overall solution, minimising user burden
- all data is automatically classified where possible
- metadata is managed in accordance with the Standing Operating Procedure for AFP Metadata Standards
- when planning systems, they comply with the Standard Operating Procedure on Information Systems Assessment Framework and the Standing Operating Procedure for Data Retention, Storage and Back-ups.

6.1.2 Data and application custodianship / stewardship

Data custodianship / stewardship involves formally assigning roles and responsibilities to delegated positions within the organisation for data and systems and applications.

Clear accountability in relation to AFP data and systems and applications ensures that information is known, used, managed and appropriately maintained and is able to be appropriately accessed and shared when appropriate.

Managers / Commanders should assign a delegated position for custodianship to their data and systems who is responsible for ensuring that information is known, used, managed and appropriately maintained as well as being able to be shared when appropriate.

When considering stewardship, guidance can be obtained from the Better Practice Guide for Data Steward Management (drafting).

7. Information security

AFP personnel must protect AFP information from unauthorised access and use, including unauthorised release, deletion or modification. When considering information security, AFP personnel must comply with section 5 of the Information Management Handbook.

System users working in the AFP Secret Network or AFP Top Secret Network must comply with separate security documentation available on the respective systems. Further information is available on request from Security Reporting and Referrals.

8. Release / disclosure of information

AFP personnel must only release or disclose information when they are authorised to do so.

When considering information disclosure or releasing information, AFP personnel must comply with section 8 of the Information Management Handbook.

9. Records management

AFP personnel must create and/or manage records that document AFP business activities and processes in accordance with the *Archives Act 1983* (Cth).

The AFP is committed to transitioning from paper-based processes and recordkeeping to a digital recordkeeping environment, in accordance with the National Archives of Australia's Digital Continuity 2020 policy.

When considering records management, AFP personnel must comply with section 6 of the Information Management Handbook.

10. Authentication of documents

Documents used by the AFP to record business process and decisions normally require authentication to record decisions, approval, or their author's identity.

When deciding the level and type of authentication, AFP personnel must comply with section 7 of the Information Management Handbook.

11. Knowledge management

All AFP personnel must promote, enhance and develop the AFP knowledge management capability to ensure corporate and operational knowledge is captured, shared and re-used by authorised AFP personnel.

AFP personnel creating knowledge repositories or recording knowledge must ensure the knowledge repositories are open to all AFP personnel by default.

Further assistance is available from the Better Practice Guide for knowledge management or by contacting the Enterprise Knowledge Manager at Knowledge-Management@afp.gov.au.

11.1 Project and program managers

All project and program managers must maintain a knowledge repository for their program or project (separate to or part of their program or project document repository) that records their project or program knowledge, lessons learnt or retrospectives.

Further assistance is available from the Better Practice Guide for knowledge management or by contacting the Enterprise Knowledge Manager at Knowledge-Management@afp.gov.au

12. Further advice

Queries about the content of this guideline should be referred to Information-Management.

13. References

Legislation

- Archives Act 1983 (Cth)
- Australian Federal Police Act 1979 (Cth)

AFP governance instruments

- AFP Commissioner's Order on Professional Standards (CO2)
- AFP National Guideline on controlled operations under Commonwealth law
- AFP National Guideline on external agreements
- AFP National Guideline on Freedom of Information releases
- AFP National Guideline on information security
- AFP National Guideline on intellectual property, commercialisation, logos and insignia
- AFP National Guideline on international police-to-police assistance in death penalty situations
- AFP National Guideline on offshore situations involving potential torture or cruel, inhuman or degrading treatment or punishment
- AFP National Guideline on privacy
- AFP National Guideline on public interest disclosure
- AFP National Guideline on risk management
- SOP on Information System Assessment Framework (ISAF)
- SOP for AFP Metadata Standards
- SOP for Data Retention, Storage and Back-ups.
- Better Practice Guide on applying protective markings
- Better Practice Guide on conducting controlled operations under ACT law
- Better Practice Guide for knowledge management
- Information Management Handbook
- Metis Terms of Reference

Other sources

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14. Shortened forms

AFP	Australian Federal Police
CIGO	Chief Information Governance Officer
Cth	Commonwealth of Australia

15. Definitions

AFP appointee means a Deputy Commissioner, an AFP employee, special member or special protective service officer and includes a person:

- engaged overseas under s. 69A of the *Australian Federal Police Act 1979* (Cth) (AFP Act) to perform duties as an AFP employee
- seconded to the AFP under s. 69D of the AFP Act
- engaged under s. 35 of the AFP Act as a consultant or contractor to perform services for the AFP and determined under s. 35(2) of the AFP Act to be an AFP appointee.

(See s. 4 of the AFP Act.)

AFP personnel includes current and former:

- AFP appointees
- contracted service providers who provide services to the AFP
- AFP volunteers and other people who provide services to the AFP.

Authorised register is any list, document or page that is published onto a repository with read access to many and edit access to a few and has been approved by an AFP SES manager.

Data stewardship is the management and oversight of an organization's data assets to help provide business users with high-quality data that is easily accessible in a consistent manner.

Explicit knowledge is knowledge that can be readily articulated, codified, stored and accessed ("knowing that").

Information means AFP documentation which is created, received, used and/or maintained by the AFP regardless of its form.

Information governance is a governance subset that focuses on ensuring the business value of information is maximised and the risks and costs of information are minimised by ensuring policy-based controls meet all legal, regulatory, risk, and business demands.

Information Management Standard for Australian Government, published by the National Archives of Australia has been developed to assist Australian government agencies create and manage business information effectively. The standard aligns to international standards

Information system means a combination of strategic, managerial and operational activities to gather, process, store, distribute and use information and its related technologies.

Knowledge means the experience and skills acquired by the practical application and understanding of information.

Knowledge management is an integrated approach to identifying, capturing, evaluating, retrieving, and transferring explicit and tacit knowledge within business areas.
Manager means a senior executive AFP employee.

Metadata means structured details that are created to describe information resources.

Metadata standard means an approved set of metadata to describe information resources.

National Manager means an AFP appointee performing the role of National Manager or equivalent.

Record means a Commonwealth record as defined in the *Archives Act 1983* (Cth).

System owner means a person responsible for the overall business management, risk acceptance and formal accreditation approval of a designated information system or data system and includes system developers and system administrators.

System user means any AFP personnel or other persons specifically authorised to access AFP information systems.

Tacit knowledge is procedural knowledge such as riding a bike ("knowing how").