

Machinery of Government Standard

Information Management Framework

Standard

Departments must transfer digital information, data and records during machinery of government changes in accordance with the requirements set out in this standard.

Document Control

Applies to	All departments and Victoria Police	Authority	CIO Leadership Group
Period	2017-2020	Advised by	Digital Strategy Transformation, Department of Premier and Cabinet
Issue Date	09/08/2018	Document ID	IM-STD-08
Review Date	09/08/2020	Version	1.0



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Requirements



In this standard 'information' and 'information asset' refers to 'information', 'data' and 'record'.

This standard should be read in conjunction with the [Victorian public sector operating manual on machinery of government changes](#) and the [PROS 10/17 G3 Transfer of Custodianship Guideline](#).

In implementing a machinery of government (MOG) change departments must at a minimum:

General

1. Collaboratively (between the transferring and receiving departments) agree on the minimum information assets and associated metadata to be transferred.

Transferring department¹

2. Transfer, in an agreed format and in accordance with the classification level of the information, the information assets and associated metadata, which relate to the function being transferred.
3. Ensure information assets that are owned by a transferred function, but continue to reside in the transferring department's systems, are:
 - a) recorded in the department's information asset register (IAR) as being owned by the receiving department
 - b) assigned a responsible officer as the information custodian in the transferring department.
4. Ensure all information assets being transferred are:
 - a) quality assured to the highest level possible prior to transfer (particularly Cabinet-in-confidence (CIC) records²)
 - b) disposal action sentenced (see the *PROS 10/17 G3 Transfer of Custodianship Guideline*, 4.1 Step One: Complete Outstanding Disposal Actions)
 - c) established as a permanent or temporary record.
5. Transfer all permanent and temporary CIC records.



A copy of a CIC record should not be kept in the transferring department or remain accessible on the transferring department's systems.

6. Provide the receiving department with the most current version of electronic document and records management system (EDRMS) records being transferred, as determined by the functions being transferred, as well as the history (previous versions and audit trail) of the record and associated metadata.

¹ The department, under a machinery of government change responsible for transferring a function and its information.

² Cabinet-in-confidence records as defined in S28 Cabinet documents of the *FOI Act 1982*.

7. Transfer digital information assets located outside the EDRMS (e.g. in the cloud, network drives) with as much supporting information as possible (e.g. metadata).
8. Transfer to the receiving department, in a mutually agreed format, the metadata entries in the transferring department's IAR which relate to the function being transferred.
9. Advise DataVic to change the ownership³ of all data assets registered on [Data.vic.gov.au](https://data.vic.gov.au) and the WoVG Data Register to the receiving department.
10. Provide the receiving department with an overview of the classification of the information being transferred, based on Business Impact Levels, and consolidated guidance on the commensurate storage, handling and destruction requirements under the [Victorian Protective Data Security Framework](#) (VPDSF).



Information should not be kept on the transferring department's systems without a supporting memorandum of understanding (MOU) in place for its management (see requirement 12. below).

Receiving department⁴

11. Import into the department's information asset register (IAR) the metadata which relates to the function/s being transferred into the department.
12. Import into the department's EDRMS, and other systems, the information received including the associated full original metadata record.
13. Handle, store and dispose of the information received according to its security classification (see requirement 9. above).
14. Maintain the higher level of security required by CIC records by ensuring the CIC records imported into the departmental EDRMS are kept separate from other corporate records.
15. Review and confirm information assets received (particularly CIC records) are of an acceptable level of quality. For example identifiable as CIC and temporary or permanent with a complete metadata record.



Departments who have responsibility for a portfolio function at the time of commencement of caretaker have responsibility for the complete 4 year term of the CIC records.

Functions ceasing to exist

16. Ensure, where a function ceases to exist, the ownership of its data assets registered on [Data.vic.gov.au](https://data.vic.gov.au) are allocated to its original department.
17. Ensure, where a function ceases to exist, ownership of its temporary records are assigned to a function within the department that has the authority to sign off and authorise disposal over time.

³ Throughout this standard 'ownership' refers to the department accountable for an information asset after a MOG change. For example when a function has been transferred its information is now owned by the receiving department.

⁴ The department, under a machinery of government change, responsible for receiving a transferred function and its information.

18. Ensure, where a function ceases to exist, its permanent records (except for CIC records – see requirement 19) are transferred to PROV as per *PROS 10/17 G3 Transfer of Custodianship Guideline*.
19. Ensure, where a function ceases to exist, its permanent CIC records remain in a secure location with the originating portfolio/department for the remainder of the 4 year term.

Governance

20. Collaboratively (between transferring and receiving departments) develop a MOU that covers:
 - a) transfer and destruction requirements of information assets, as per the VPDSF
 - b) transfer of CIC records located by the transferring department post MOG finalisation for processing by the receiving department during caretaker
 - c) transfer of information assets identified after the function has been transferred
 - d) ownership of information assets that continue to reside in the transferring department's systems
 - e) management of information assets that continue to reside in the transferring department's systems including how that information will be supported, who is responsible for compliance, and system access requirements (as well as service level requirements).



Departments who have responsibility for a portfolio at the time of commencement of caretaker have responsibility for the complete 4 year term of the CIC records.

Overview

The purpose of the *Machinery of Government Standard* (the standard) is to define a common approach and the minimum requirements for the transfer of **digital information** as a result of MOG changes within the Victorian Government (government). Digital information, in this context, is defined as information that is created, stored, managed and used in a digital (electronic) format. This includes information contained in office applications, online and web-based environments, databases and digital communication tools e.g. emails.

MOG changes can occur following a State Government election, but may occur at any time as a result of a sector or departmental restructure. MOG changes may result in the transfer of functions and the subsequent transfer of information and data assets between departments and agencies.

Rationale

MOG changes are a complex digital information management challenge involving extensive resourcing, time and cost. MOG changes are hindered by the volume of information involved and the lack of cross government consistency in digital information management.

The Department of Treasury and Finance's *Victorian public sector operating manual on machinery of government changes* provides guidance on the transfer of responsibility, functions and people between departments and agencies as a result of a MOG change. The Public Record Office Victoria's *PROS 10/17 G3 Transfer of Custodianship Guideline* provides guidance on the transfer of ownership (custodianship) of records.

This standard helps to ensure continuity of government operations and to maintain the business value and integrity of digital information being transferred by defining, at a lower level of detail, the minimum requirements for the transfer of digital information and data.

Derivation, scope and glossary

Derivation

This standard is derived from the [WoVG Information Management Policy](#), and is guided by the [Victorian Government Information Technology Strategy 2016–2020](#) (IT strategy).

Scope

The following departments and agencies are formally in scope:

- Department of Economic Development, Jobs, Transport and Resources
- Department of Education and Training
- Department of Environment, Land, Water and Planning
- Department of Health and Human Services
- Department of Justice and Regulation
- Department of Premier and Cabinet
- Department of Treasury and Finance
- Victoria Police.

These are referred to collectively as 'departments' in this document.

While not required, the standard may be adopted by agencies and partner organisations, if desired.

Glossary

The glossary of terms and abbreviations used in this document are defined in the [Information Management Glossary](#).

Related documents, tools and references

- [DataVic Access Policy](#)
- [Freedom of Information guidelines](#)
- [Public Record Office of Victoria \(PROV\) Standards Framework and Policies](#)
- [Victorian Protective Data Security Framework](#)

- [Victorian public sector operating manual on machinery of government changes](#)
- [WOVG Information Management Framework](#)
- [WOVG Information Management Governance Standard](#)
- [WOVG Information Management Policy](#)

Further information

For further information regarding this standard, please contact Digital Strategy and Transformation, Department of Premier and Cabinet, at: digital.transformation@dpc.vic.gov.au.

Supporting information

Metadata

Metadata is much like an entry in a library catalogue. It refers to structured data that describes, explains, locates or otherwise makes it easier to discover, retrieve, use or manage an information asset.

Most information systems will have metadata to describe each information asset. For example, an EDRMS will have metadata to describe a record and an IAR will have metadata to describe each information asset. In most instances the metadata will be a combination of system-generated and user defined; in many instances it will be incomplete.

When transferring information assets, as a result of MOG changes, the information asset should include the original metadata (even if the metadata is incomplete). Transferring the metadata with the information asset (and importing it into the destination system as is) ensures that the information retains its discoverability, business value and integrity as a record under the *Public Records Act 1973*.

Importing an information asset into the receiving department's EDRMS and replacing the 'date created' and 'creator' metadata with the same date (e.g. import date) and a standard name (e.g. administrator), compromises the ability to know when and who created the information.



If the transferring department/agency's metadata schema differs from the receiving department/agency's system then the metadata should be mapped to the destination system and populated.

Transferring a record

The transfer of records during a MOG change, transfers ownership and legal responsibility under the Act. PROV's [PROS 10/17 Operations Management Standard](#) and [PROS 10/17 S1 Operations Management Specification](#) defines the minimum requirements for transfer of record custodianship during a MOG, with guidance provided in the [PROS 10/17 G3 Transfer of Custodianship Guideline](#).

The information resides where?

In many instances a function will be transferred to another department, but its information will continue to reside and be accessible in the transferring (originating) department's systems. This is no different to a cloud-based system where the application and technology layer is owned by an external service provider (the transferring department), but the information is owned by the department (the receiving department).

“You're using our jar, but they are still your jelly beans”

Information asset register

The transferring department's IAR is a useful tool for identifying information assets to be transferred.

If an IAR doesn't exist (or the information asset isn't registered in the IAR), the transferring department should develop a register (or create an entry in the register) in consultation with functions to be transferred to identify the information assets (information, data and web content) to be transferred.

CIC Records

CIC records are treated differently during MOG changes. All CIC records (permanent and temporary) must be transferred with the transfer of a functional portfolio and should not remain accessible in the transferring department's systems.

Once the CIC data has been migrated to the receiving department, every attempt should be made to identify and erase transferred CIC records from the transferring department's systems (including from the EDRMS, databases and network drives). This may seem obvious but there have been instances in the past where data has been migrated for a MOG and the transferring department didn't clear the data from its EDRMS. This resulted in a duplicate transfer to PROV of identical CIC data at the next caretaker period.

When a function ceases to exist, the permanent CIC records remain in a secure location with the originating portfolio/department for the remainder of the 4 year term. During the next caretaker period custody is then transferred to the Cabinet Office (in the Department of Premier and Cabinet) in accordance with [PROS 07/01 Retention and Disposal Authority for Records of Common Administrative Functions](#). Post-election, they are transferred to PROV.

Document Control

Approval

This document was approved by the CIO Leadership Group under authority of the Victorian Secretaries Board on 06/08/2018 and applies from the date of issue (see first page).

Version history

Version	Date	Comments
0.1	03/04/2018	First draft for review by working group
0.2	27/04/2018	Second draft for review by IMG members
0.3	15/05/2018	Final draft for endorsement by IMG members
0.4	21/05/2018	Some additional changes to the final draft
0.5	25/06/2018	Reference to the <i>FOI Act</i> added and version for endorsement by the WOVG Information Management Group
1.0	09/08/2018	Final version approved in principal.