

# Spatial Information Custodianship Guidelines

Part of Victoria's Spatial Information Management Framework  
Second Edition

The Victorian Spatial Council was established under the Victorian Spatial Information Strategy 2004-2007 to support the advancement of Victoria's social, economic and environmental goals through the provision and application of spatial information. It does this by providing a coordinated approach to spatial information policy, development and management, and facilitating opportunities for greater partnership building, collaboration, cooperation and education.



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# CONTENTS

VSC CHAIRMAN’S FOREWORD.....	4
INTRODUCTION.....	5
THE SPATIAL INFORMATION MANAGEMENT FRAMEWORK .....	5
THIS DOCUMENT .....	7
PART A.....	8
BACKGROUND .....	8
WHAT IS CUSTODIANSHIP?.....	8
THE NEED FOR CUSTODIANSHIP .....	9
BENEFITS OF CUSTODIANSHIP .....	9
PRINCIPLES OF CUSTODIANSHIP .....	10
<i>Principle 1 – Trusteeship</i> .....	10
<i>Principle 2 - Standards</i> .....	11
<i>Principle 3 – Maintenance of data</i> .....	11
<i>Principle 4 – Authoritative source</i> .....	11
<i>Principle 5 - Accountability</i> .....	11
<i>Principle 6 – Data Collection</i> .....	11
<i>Principle 7 – Maintain access</i> .....	12
CUSTODIANSHIP POLICY.....	12
PART B – THE GUIDELINES.....	13
GUIDELINES FOR CUSTODIANSHIP.....	13
1 – <i>Statewide framework for custodianship</i> .....	13
2 – <i>Selection and appointment of custodians</i> .....	14
3 – <i>Management framework for custodianship within custodial organisations</i> .....	14
4 – <i>Implementation of custodial responsibilities for specific datasets</i> .....	15
5 – <i>Register of custodians</i> .....	16
APPENDIX 1 .....	17
REFERENCES .....	17
APPENDIX 2 .....	18
TEMPLATE FOR A CUSTODIANSHIP AGREEMENT.....	18
APPENDIX 3 .....	21
MANAGEMENT FRAMEWORK FOR CUSTODIANSHIP WITHIN THE DEPARTMENT OF SUSTAINABILITY AND ENVIRONMENT AND THE DEPARTMENT OF PRIMARY INDUSTRIES .....	21
APPENDIX 4 .....	25
GLOSSARY OF TERMS USED IN THESE GUIDELINES .....	25

## VSC CHAIRMAN'S FOREWORD

The Victorian Spatial Information Management Framework consolidates the policies, principles and guidelines for information management that were articulated by both the Victorian Geospatial Information Strategy 2000-03 and the Victorian Spatial Information Strategy 2004-07.

The Framework aims to support the effective use of spatial information to support Victoria's social, environmental and economic goals through the establishment of institutional arrangements for developing spatial information; creating and maintaining spatial information; making spatial information accessible and available; and strategic development of technology and applications.

The custodian of spatial information is at the heart of the Spatial Information Management Framework. Its policies set out the minimum requirements for custodians to manage their datasets, while a set of underlying principles provide the foundation for enabling them to maintain these datasets and ensure all Victorians are aware of and have ready access to them.

These principles address all elements of the Spatial Data Infrastructure of Victoria: *governance, custodianship, framework information, business information, quality, metadata, awareness, access, pricing and licensing, and privacy.*

The Framework is accompanied by ten Guideline documents to assist custodians in the implementation of these policies and principles. These *Custodianship Guidelines* provide an introduction to Victoria's approach to custodianship: how it is defined, the principles that underpin it, and a guide for custodians to assist with the effective implementation of it for their data.

The Guideline documents are also intended to be accessible to the general reader by setting out fully the basis on which the Framework will be delivered.

The Victorian Spatial Council is Victoria's principal coordinating body for spatial information, with a mandate to develop policy and promote best practice for spatial information management. These *Custodianship Guidelines* are a key contributor to the Spatial Information Management Framework's objective to make spatial information accessible and useable. It is intended that they will be informed by practical experience, and contributions to future editions are welcome from practitioners and readers alike.



Olaf Hedberg

Chair, Victorian Spatial Council

# INTRODUCTION

## The Spatial Information Management Framework

The Spatial Information Management Framework is Victoria's best practice approach for establishing and retaining consistency in the management of spatial information across all organisations – whether public or private – with a role or interest in doing so.

Its objective is that spatial information be made as accessible as possible.

The Victorian Spatial Council has endorsed the development of the Framework because a coordinated approach to information management will provides the greatest opportunity to:

- reduce duplication of datasets, systems and processes, and increase consolidation, leading to more efficient spending on spatial information
- optimise investment and develop partnerships across the spatial information community (public, private and academic sectors)
- deliver higher quality datasets
- improve access to spatial information

Management of spatial information by participants in the Framework should facilitate its effective use, based on four key principles: that the spatial information will:

- represent the definitive and authoritative source of the data it contains
- be managed by designated custodians
- be accessible and available to all members of the community, except where confidentiality and commercially sensitive conditions apply
- be able to be combined with other spatial information products for the purposes of analysis and decision making

The Spatial Information Management Framework provides a holistic approach to managing spatial information in Victoria, encompassing the

1. **institutional arrangements for developing spatial information;**
2. requirements for **creating and maintaining spatial information;**
3. mechanisms for **making spatial information accessible** and available; and
4. **strategic development of technology and applications.**

Together, these components of the Framework create Victoria's Spatial Data Infrastructure (SDI).

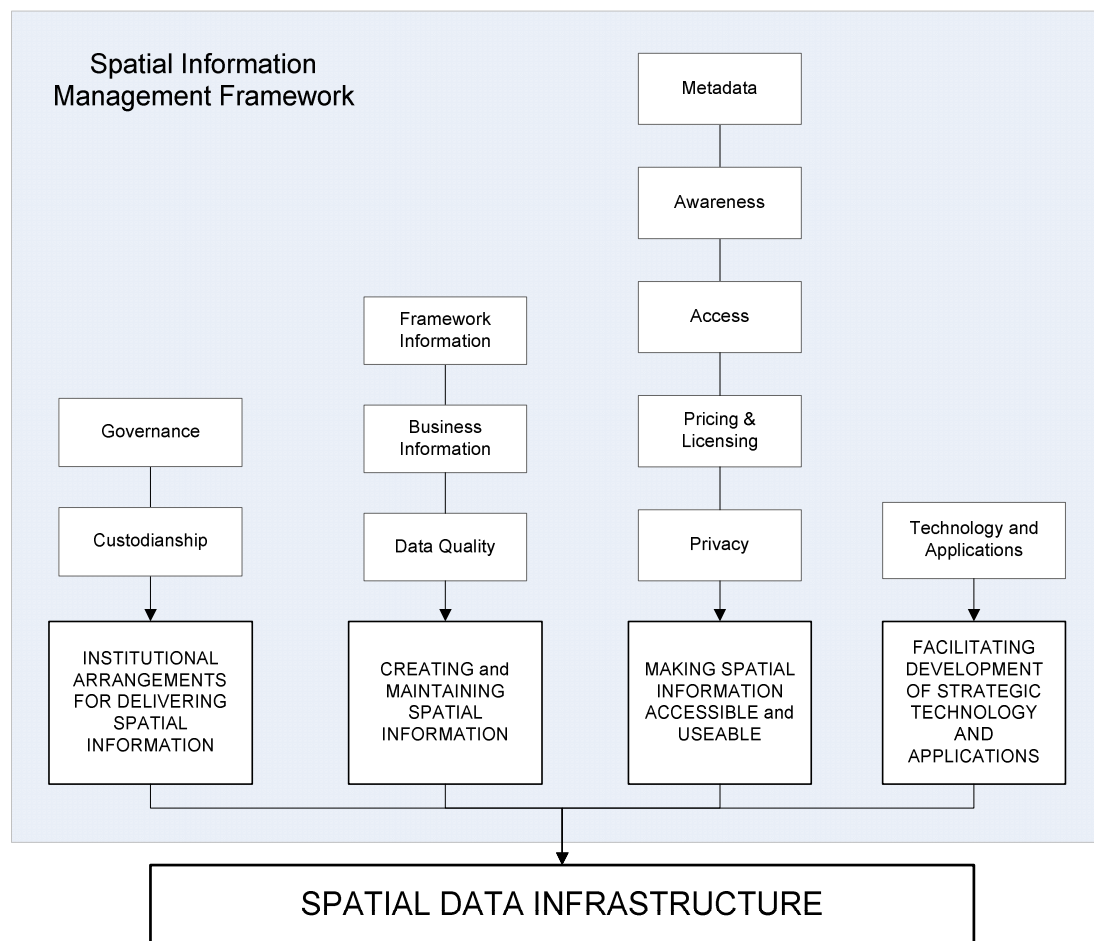
The SDI is an enabler – a mechanism for making data available and for sharing and exchanging it to enhance the achievement of social, environmental and economic goals. Behind it are the myriad of activities that create the conditions in which that sharing and exchange can take place, ie the development of the data, technology, policies, institutional arrangements and capacity building (ie equipping people to use the technology and information).

The Framework allows for the management of these elements in an integrated way to provide an environment for the effective use of spatial information.

This integrated approach is illustrated in Figure 1.

The Framework is supported by policies and guidelines that provide the formal requirements for implementing it, and tools and resources to support those responsible for that task.

**Figure 1: The Victorian Spatial Information Management Framework**



Separate Guidelines have been prepared for the following components of the Framework:

- Governance
- Custodianship
- Framework Information
- Business Information
- Data Quality
- Metadata
- Awareness
- Access
- Pricing and Licensing
- Privacy

The purpose of the Guidelines is to explain the policies and principles outlined in the relevant component of the Framework, and to describe activities that will support their application in implementing it.

It is envisioned that these Guidelines will vary over the life of the Framework as new information, policies, and procedures are developed, and as new issues arise.

## **This Document**

It is intended that the Guidelines be read in conjunction with the document '*Victoria's Spatial Information Management Framework and Directory of resources*', also produced by the Victorian Spatial Council.

These Custodianship Guidelines have two sections.

- Part A is an overview of the spatial information management principles discussed in the Guidelines.
- Part B is a detailed guide to the implementation of custodianship; it is intended as a practical guide for data custodians.

## PART A

### Background

The principles of custodianship are at the heart of spatial information management because they provide accountability for spatial datasets, and identify authoritative sources that give users a measure of consistency and certainty in the data they are using.

Custodial principles cover all aspects of managing spatial information including data quality, metadata, pricing, licensing, and access. In recent years these principles have been applied, either implicitly or explicitly, and to varying degrees, in many different organisations.

In 1998, ANZLIC, the body that provides leadership in the collection, management and use of spatial information in Australia and New Zealand, published its *Guidelines for Custodianship* as part of the process of establishing an Australian Spatial Data Infrastructure. In due course, the ANZLIC Guidelines provided the basis for similar documents in most of the States and Territories.

The first *Geospatial Information Custodial Guidelines for Victoria* published in 2000 contributed to this process by providing a practical guide for data custodians, including a description of custodial roles and responsibilities. They were used to establish explicit custodial arrangements for a range of datasets in the government sector, including the eight framework datasets that were first identified in the Victorian Geospatial Information Strategy 2000-03.

A priority of the Spatial Information Management Framework and of these guidelines is to

- establish a more explicit framework and program for the implementation of custodianship for spatial information in Victoria, and
- help extend the custodial principles to the management of a broader range of spatial datasets, not only in the government sector but also in the private sector and academia.

### What is Custodianship?

Custodianship of spatial information is the act of ensuring appropriate care in the collection, storage and maintenance of the information.

Custodianship is not synonymous with ownership. The differences between custodianship and ownership are significant and will be different within each sector – government, industry and academia. Within government, for example, the owner of a Department's spatial information is the Crown. Government Departments have custodial responsibilities on behalf of all stakeholders for the spatial data and information that those Departments collect, contract to have collected or are licensed to use.

Within government, the concept of custodianship has meaning at the Federal, State and local levels. It also has meaning within Departments and other agencies, and can be applied beyond government to other organisations.

At the national level, ANZLIC, has developed a definition of a custodian. With minor amendments, the definition is as follows:-

*A custodian of a dataset, or a component of that dataset, is an agency or other organisation having the responsibility to ensure that a dataset is collected and maintained according to specifications and priorities determined by consultation with the user community, and made available to the community under conditions and in a format that conform with standards and policies established for the national spatial data infrastructure*

Thus, in accordance with this definition, the concept of custodianship assigns to an organisation certain rights and responsibilities associated with the management of spatial information.

## **The Need for Custodianship**

Spatial information is a valuable resource and a major community asset. Spatial information plays a crucial role in achieving the objectives of government and other business programs. Many businesses and other organisations depend on particular spatial information being available, accessible, accurate, complete, current and consistent.

Spatial information can be used for an increasing range of decision making and other purposes. Different users could be left to collect spatial data in their own way and to meet their own needs, but this can lead to costly duplication of data and data systems, and to an associated inconsistency between data sources. It can also result in data that cannot be integrated with other data to produce value-added products. Given appropriate planning and coordination, data collected for one purpose can be used for other purposes with significant saving of costs. However, to take full advantage of this principle, the data must be consistent, it must be of an acceptable standard, its existence must be widely known, it must be accessible, and there must be an easily identified, single authoritative source for the data.

Custodianship is implicit in many of the information management practices within organisations. However, if the full benefit is to be obtained from an organisation's spatial information, arrangements for custodianship must be made explicit and must be implemented in a consistent manner within and between organisations. A number of separate actions will be required to achieve this, including

- Establishment of a framework for implementation of custodianship within Victoria
- Selection a specific organisation to be custodian for a specific dataset and assigning to that organisation the responsibility to be the custodian of the dataset
- Establishing of appropriate management frameworks for the effective implementation of custodianship within the custodial organisations
- Implementation of the custodial responsibilities for each dataset.
- Maintenance of a register of custodians and of the datasets for which the custodians are responsible

Each of these actions is outlined in the sections that follow.

## **Benefits of Custodianship**

Custodianship is at the heart of spatial information management because it provides accountability for information products, and identifies authoritative sources that give users a measure of consistency and certainty. In addition, custodianship is also a means of:

- eliminating unnecessary duplication and cost in the collection and maintenance of spatial information products;
- managing information on behalf of others;

- providing a sound spatial information infrastructure;
- assisting the production and management of spatial information products;
- facilitating the collection of information products;
- improving awareness and availability of data;
- identifying single authoritative sources for data; and
- encouraging the extensive and effective use of data resources.

Collectively, custodian organisations manage spatial information as trustees in a partnership with national, regional and local providers and users to enable the integration of spatial information for the benefit of the entire community. Consequently, custodian activities, including negotiations with other organisations and users as well as information product development, are able to take place for the betterment not just for any single organisation but for the broader community as well. The overriding philosophy in all these activities should be one of the custodian being a trustee working in partnership with all participants. Custodianship reinforces the concept of one organisation, usually the producer, being ultimately responsible for an information product that others might use. This gives users confidence in the level of integrity, timeliness, precision and completeness of that information product.

## Principles of Custodianship

Custodianship assigns to an organisation certain rights and responsibilities for the collection of spatial information and the management of this on behalf of the community. The rights and responsibilities include the right to set conditions and fees for the use of the information, and responsibilities regarding the maintenance and quality of the information and the provision of metadata. It also ensures accessibility of the information and provides a recognised contact point for the distribution, transfer and sharing of the information.

There are advantages in custodianship to be gained by organisations, government, industry and the community generally. Adoption of the principles and practices of custodianship within an organisation provides a means of accountability and reliability of source for designated data sets. There can be increased confidence that, for any particular dataset, the data is from the single authoritative source and that it is accurate, complete, identifiable and accessible. Custodianship also eliminates unnecessary duplication of capturing and maintaining spatial information, which allows funds that would otherwise be spent on data collection to be reallocated to higher priorities. For data users, custodianship lessens the confusion regarding sources of accurate information. Users can also receive more accurate advice on the source, currency, completeness and suitability of the data.

The principles of custodianship have been outlined in the ANZLIC Guidelines for Custodianship (1998). In the context of Victoria and of the Spatial Information Management Framework, the principles can be described as follows.

### Principle 1 — Trusteeship

*Custodians do not 'own' data but hold it in trusteeship on behalf of the community.*

Under this principle, custodian organisations become the trustee not the owner of the datasets that they hold. This results in an emphasis upon cooperation in sharing information amongst organisations rather than competition. This does not mean that the interests of the custodian are subordinate to those of others, but that the custodian is required to consider the interest of all.

## Principle 2 - Standards

*Custodians, in consultation with users, are responsible for defining appropriate standards.*

The setting of standards to determine how the information will be collected, described and used is the most important commitment that an organisation makes when agreeing to become a Custodian. Custodians must seek input from users to assist in defining appropriate standards for information in their custody, and propose standards for ratification. These include standards for access, collection, classification, description, accuracy, quality, format and structure of the information.

In cases where users require standards that exceed the Custodian's own requirements, the Custodian would not be expected to provide the funds and other resources needed to achieve the higher standards. Opportunities for collaboration and funding from other sources would normally be pursued.

## Principle 3 – Maintenance of data

*Custodian organisations, in consultation with users, must prepare and implement plans for the collection, conversion and maintenance of data.*

Dataset maintenance is the process of ensuring that the dataset conforms to its specified standards. In preparing and implementing plans for the collection, conversion and maintenance of data, Custodians must liaise with users and any other affected parties when making any significant information management or dataset changes, so that the impact upon users can be assessed. The custodian organisation is also responsible for negotiating the terms and conditions under which other organisations collect and maintain the spatial information on its behalf.

## Principle 4 – Authoritative source

*The custodian becomes the authoritative source for the dataset in its care.*

In acting as the authoritative source, the custodian organisation becomes the preferred supplier of this information. This lessens confusion for users and overcomes the accuracy and reliability problems that may be encountered when supposedly identical information is held separately by several organisations, where several organisations contribute information to a common database, or where information provided by different organisations is combined. By virtue of its development and maintenance plans the custodian is also likely to have more current information than other organisations. As the organisation responsible for setting the standards, the custodian is also in the position of being able to advise the user on the source, currency and completeness of the information.

## Principle 5 - Accountability

*The custodian is accountable for the integrity of the data in its care.*

A custodian may delegate any or all of its responsibilities for a fundamental dataset in its care to another organisation. It will, however, still remain accountable for the integrity of the fundamental dataset. The custodian must ensure that through any delegation its full responsibilities can still be met. Where a custodian organisation agrees to another organisation marketing its information, or producing a value-added service or information product, it should draw up a formal agreement with the other organisation to ensure that no loss of data integrity occurs.

## Principle 6 – Data Collection

*Collection or conversion of information can only be justified in terms of a custodian's business needs.*

Custodians are not expected to collect or convert information for which they have no business requirement. Collection must be justified in terms of their own needs. These will generally reflect either the organisation's Government priorities or statutory responsibilities. If other organisations require further information to be collected, they can either;

- wait until the custodian can justify the collection/conversion;
- contribute the required resources to the collection/conversion of the information by the custodian;
- contribute to a submission by the custodian for more funds for the collection/ conversion of the required information; or,
- collect/convert it themselves.

If an organisation collects or undertakes work on any spatial information which is under the custodianship of another organisation, it must do this according to the custodian's standards and provide the custodian organisation with a copy free of charge and according to an agreed transfer standard. The custodian will then be responsible for future maintenance.

## Principle 7 – Maintain access

*A custodian must maintain access to the datasets in its care at the level agreed with users.*

At all times, the custodian must ensure that appropriate information management arrangements are in place to maintain access and sharing of the data according to specifications agreed with users.

## Custodianship Policy

The Spatial Information Management Framework is based on the application of consistent information management principles across a distributed network of autonomous data custodians operating throughout the whole spatial information community.

All spatial data will be managed by custodians according to formal custodianship principles.

These goals are expressed in the policy that has been set out in the Spatial Information Management Framework:

Datasets managed by participants in the Framework will have designated custodians who will manage them according to the information management principles established by the Framework.

Custodians will make their data available via the Victorian Spatial Data Directory.

The policy for custodianship is designed to formalise what is, in effect, good practice in data management. The implementation of the policy is covered by the guidelines that follow.

## PART B – THE GUIDELINES

Custodianship is implicit in many of the information management practices within organisations. For many datasets, there are already “de facto” custodians that, to a greater or lesser extent, are already managing the datasets in accordance with the custodianship principles and practices described in these Guidelines.

However, if the full benefit is to be obtained from spatial information in Victoria, arrangements for custodianship must be made explicit and these arrangements must be implemented in a coordinated and consistent manner, not only **between** but also **within** organisations.

To help bring this about, a Statewide Custodianship Program has been established as a joint venture of the Victorian Spatial Council (VSC) and the Victorian Government Spatial Committee (VGSC). One of the main components of the Custodianship Program is the establishment of a Statewide framework for custodianship in Victoria. The aim of the Statewide framework is to facilitate coordination **between** organisations. Working under the auspices of the VSC and VGSC, the Spatial Information Infrastructure Division within the Department of Sustainability and Environment (DSE) has been allocated specific roles and responsibilities for the Statewide coordination of custodianship that are outlined in the guidelines below.

The guidelines also address the need for coordination **within** participating custodial organisations. The guidelines include suggestions that could be used as the basis for the specification and delegation of custodial roles and responsibilities within the organisation.

### Guidelines for custodianship

#### 1 — Statewide framework for custodianship

**1.1 The Victorian Spatial Council (VSC) and the Victorian Government Spatial Committee (VGSC) will establish and oversee the implementation of a Statewide framework for custodianship of spatial data in Victoria.**

The Spatial Information Infrastructure (SII) group within the Department of Sustainability and Environment (DSE) will be responsible for implementing the custodianship framework for Victoria. SII will exercise the following specific roles and responsibilities:-

- Promotion of the concept of custodianship and of the Spatial Information Guidelines for Custodianship in particular
- Operation of the framework for implementation custodianship within Victoria
- Design of standard processes, tools and documentation for custodianship
- Establishment and maintenance of a register of custodians
- Brokering and negotiation of new custodianship agreements
- Provision of advice to custodial organisations
- Oversight, coordination and review of implementation of custodianship across Victoria

## 2 — Selection and appointment of custodians

### **2.1 SII will establish and implement a process to select and appoint custodians and to formally allocate to that organisation the responsibility for custodianship of specific datasets.**

Selection of the most appropriate organisation to undertake the custodial responsibilities for any particular dataset will need to include the consideration of criteria such as:

- Is the organisation willing and able to accept the responsibilities?
- Does the organisation have statutory responsibility for the capture and maintenance of the data?
- Does the organisation have the greatest business need for the data?
- Does the organisation already maintain the data?
- Is the organisation the best able to capture and/or maintain the data?
- Is the organisation well placed to obtain the resources needed for the collection and maintenance of the data?
- Does the organisation have the highest quality standards for the data?

In some cases, particularly when the dataset is complex and the data is used by several different organisations, it may be appropriate for the custodian to establish an arrangement where the custodial responsibilities are shared. For example, while still retaining the lead custodial role and overall responsibility, the custodial organisation could reach an agreement with other organisations for them to take subsidiary responsibility for particular components of the dataset.

Once the custodial organisation has been selected, the appointment as custodian will need to be formally ratified. This will normally be done by means of an Agreement (or other appropriate instrument) negotiated between the Secretary, Department of Sustainability and Environment (the body with lead responsibility for the management of spatial information in Victoria) and the head of the organisation selected as custodian

A sample of a Custodianship Agreement is given in Appendix 2.

## 3 — Management framework for custodianship within custodial organisations

### **3.1 Custodians will establish a suitable management framework within their organisations to facilitate the effective implementation of custodial roles and responsibilities within the custodial organisation.**

Once an organisation has agreed to accept the responsibility for custodianship of particular data, the responsibility and accountability for the custodianship will rest with the head of that organisation. Within the organisation, the various custodial roles and responsibilities will need to be explicitly defined and documented, and then be formally delegated to the most appropriate group or individual. The key “players” will need to be adequately briefed and resourced to perform the roles allocated to them.. The responsibilities associated with each of these roles will need to be defined and agreed.

The issue of coordination of custodianship within the organisation will need to be addressed. The extent of coordination required will vary from organisation to organisation, but the work could include

- Documentation of the arrangements for custodianship within the organisation, including descriptions of a management framework for the effective implementation of custodianship within the organisation, custodial roles and responsibilities, standard processes and documentation
- Promotion of custodianship within the organisation
- Advice to participants within the organisation
- Negotiating custodianship agreements within the organisation
- Oversight, coordination and review of implementation of custodianship within the organisation

SII will advise and assist organisations to develop management frameworks that are appropriate to the nature and extent of the organisations' custodial responsibilities. Examples of existing frameworks (such as that developed for the Department of Sustainability and the Department of Primary Industries and described in Appendix 3) may be of assistance.

## **4 — Implementation of custodial responsibilities for specific datasets**

### **4.1 The custodial organisation will implement the custodial responsibilities for each dataset, taking into account not only the needs of the users of the data but also the significance of the dataset.**

In implementing their custodial responsibilities for a particular dataset, the custodial organisation will need to establish and maintain an appropriate mechanism to determine the needs of the data users both within the custodial organisation and beyond. The custodial organisation will also need to ensure that the specific custodial roles are delegated to appropriate staff, and that appropriate management and resources are provided.

The exercise of the custodial responsibilities will need to take into account the needs of data users and will include work in the following categories:

- preparation and maintenance of a data product specification or equivalent descriptive documentation of the dataset
- preparation and maintenance of metadata
- assessment of data quality and development of quality standards in consultation with users of the data
- setting user fees and licensing arrangements
- establishing appropriate arrangements for access to the dataset

The other Spatial Information Guidelines should be used as a resource to assist with documentation, metadata, data quality, pricing and other aspects of this work.

For any particular dataset, the amount of effort required to exercise the custodial responsibilities will vary according to the significance of the dataset. While the general thrust of the requirements for custodianship will be the same for all datasets, some aspects of the detail may be modified to an extent determined by the significance of the particular dataset. SII will provide advice to custodians in this regard.

## **5 — Register of custodians**

### **5.1 SII will maintain and provide access to a register of custodians and of the datasets for which the custodians are responsible.**

The data for the register of custodians will be drawn from the information contained in the metadata records contained in the Victorian Spatial Data Directory. The register of custodians and the information within it will be fully accessible and freely available.

## APPENDIX 1

### REFERENCES

ANZLIC 1998, *Guidelines for Custodianship* (available at <http://www.anzlic.org.au/policies.html>)

Department of Natural Resources and Environment, Victoria 2001, *Geospatial Information Custodial Guidelines for Victoria – part of the Victorian Geospatial Information Strategy 2000-2003* (Version 8.5, 2001)

Department of Sustainability and Environment, Victoria, and Department of Primary Industries, Victoria 2003, *Guidelines for Custodianship of Geographic Information* (Version 4.0, April 2003)

Department of Sustainability and Environment, Victoria 2005, *Victorian Spatial Information Strategy 2004-2007*

Victorian Spatial Council 2008, *Victorian Spatial Information Strategy 2008-2010*

*Spatial Information Guidelines:*

*Spatial Information Access Guidelines*

*Spatial Information Awareness Guidelines*

*Spatial Information Business Information Guidelines*

*Spatial Information Data Quality Guidelines*

*Spatial Information Framework Information Guidelines*

*Spatial Information Governance Guidelines*

*Spatial Information Metadata Guidelines*

*Spatial Information Pricing and Licensing Guidelines*

*Spatial Information Privacy Guidelines*

All documents are available at <http://www.victorianspatialcouncil.org/>

## **APPENDIX 2**

### **TEMPLATE FOR A CUSTODIANSHIP AGREEMENT**

The Custodianship Agreement can be adapted to best cover the custodianship arrangements that have been negotiated for the particular dataset or series of datasets as the case may be. The template Custodianship Agreement given in this Appendix was developed for custodianship of datasets held by Government Departments.

# Victorian Spatial Information Management Framework

## CUSTODIANSHIP AGREEMENT [INSERT NAME OF DATASET TYPE]

This Agreement is made between the Secretary, Department of Sustainability and Environment (the body responsible for the implementation of the Victorian Spatial Information Management Framework, the 'Framework'), and the Secretary, Department XXXX (the Custodian).

The Agreement is made in the context of the Framework and the associated Spatial Information Custodianship Guidelines for Victoria. The Agreement relates to the custodianship of the dataset/s set out in the attached Schedule/s

By virtue of this Agreement, the Custodian agrees to accept the custodial responsibilities outlined in the attached Schedule/s.

*[The custodian has arranged for Spatial Information Infrastructure, Department of Sustainability and Environment, to carry out the work of maintaining the dataset. The agreement provides for this arrangement.] [Delete if not applicable]*

The Agreement will be reviewed at the end of a period of two years from the date of signing, or sooner if required by either party.

### Custodianship allocated by:

.....

Secretary

Department of Sustainability and Environment

Date: .....

### Custodianship accepted by:

.....

Secretary

Department for xxxx

Date: .....

**DRAFT SCHEDULE***Part No. x*

<b>DATASET NAME:</b>	
<b>DATASET DESCRIPTION:</b>	
<b>CUSTODIAN:</b>	
<b>CUSTODIAN CONTACT:</b>	
<b>CUSTODIAL ROLES &amp; RESPONSIBILITIES:</b>	<p>The Custodian is the organisation primarily responsible for the development, storage and maintenance the dataset. The Custodian is responsible for ensuring accuracy, currency, storage, security, and for providing access to and distribution of the data.</p> <p>The Custodian has primary responsibility for:</p> <ul style="list-style-type: none"> <li>• developing a description of the dataset, its uses and its users;</li> <li>• developing appropriate quality standards, in consultation with the users of the dataset;</li> <li>• developing and maintaining metadata for the dataset;</li> <li>• ensuring that the dataset is maintained in accordance with agreed standards;</li> <li>• determining pricing and licensing conditions;</li> <li>• developing and implementing, in consultation with the users, plans for the maintenance and further development of the dataset;</li> <li>• developing and maintaining arrangements for providing users with appropriate access to the dataset.</li> </ul> <p>In exercising these responsibilities, the Custodian may arrange for other parties to carry out various tasks on the Custodian's behalf.</p> <p>The conditions that apply to this dataset are set out in the relevant Metadata Record.</p>
<b>METADATA RECORD ID</b>	
<b>DATA MAINTENANCE</b>	
<b>DSE CONTACT</b>	
<b>DATE</b>	

## **APPENDIX 3**

# **MANAGEMENT FRAMEWORK FOR CUSTODIANSHIP WITHIN THE DEPARTMENT OF SUSTAINABILITY AND ENVIRONMENT AND THE DEPARTMENT OF PRIMARY INDUSTRIES**

(Extract from “DSE/DPI Guidelines for Custodianship of Geographic Information”, version 4.0, April 2003)

Each of the Departments (DPI, DSE) performs the role of Custodian for a range of sets of land and resource data. The responsibilities of the Custodian rest with the Secretary of the relevant Department.

In particular, the Secretary is responsible for the development and implementation of data standards, principles and procedures for the collection, storage, security, maintenance, usage, access, transfer and sale of the data in order to facilitate its use. This includes documentation of the level of data integrity (accuracy, reliability, validation, precision and completeness), currency (timeliness), storage (definition and structure) and security of the data. The Secretary is also responsible for ensuring appropriate access to the data in accordance with documented procedures, and for providing authoritative advice on data interpretation to ensure appropriate use.

Custodianship needs to be agreed and implemented at agency level. Within the Departments, custodianship is already incorporated into many of the existing information management practices. However, an agreed management framework is required to ensure the effective implementation of custodial roles and responsibilities throughout the Departments. Various roles and responsibilities need to be properly defined and explicitly allocated. The key “players” and their roles and responsibilities are outlined below. These roles and responsibilities need to be agreed as part of the process of establishing the required management framework.

### **Custodial Division**

In practice, the Secretary delegates each Department’s custodial rights and responsibilities to line management. For any particular dataset, these rights and responsibilities are delegated to the Executive Director of the Division that accepts custodial responsibility for the particular dataset.

In some cases, particularly where the dataset is complex and the data is used by several different Divisions, it may be appropriate to consider an arrangement where the custodial responsibilities are shared. For example, while still retaining the lead custodial role and overall responsibility, the Custodial Division could reach an agreement for other Divisions to take subsidiary responsibility for particular components of the dataset.

### **Geographic Information (GI) Manager**

Within each of the Divisions, the Executive Director of the Division will appoint a GI Manager to co-ordinate the development, use and management of geographic information within the Division. Through participation in the GI Managers’ Forum and by other means the GI Manager will also contribute to information management at the “cross Division” and Departmental corporate level.

Working within arrangements that the Executive Director and line management will determine, the GI Manager's responsibilities will include

- ensuring the implementation, within the Division, of Departmental policies, standards and procedures on information management
- ensuring that a Custodial Officer is assigned to each of the datasets for which the Division has custodial responsibility;
- maintaining a directory of Custodial Officers;
- co-ordinating and cross-referencing definitions and standards for datasets;
- resolving issues of data redundancy, data security, conflicting terms and definitions, etc;
- ensuring that Custodial Officers and Systems Developers implement policies, procedures and standards for management of data and metadata;
- authorising the incorporation of datasets and data standards into systems;
- monitoring the use of definitions and standards for datasets and data within systems;
- monitoring the status and adequacy of datasets, and helping line management to monitor and forecast needs for data.

## Custodial Officer

For each of the datasets for which the Division has custodial responsibility, line management, with advice from the GI Manager, will assign a Custodial Officer. This person will usually be someone who is closely associated with the particular dataset. In some cases, the Custodial Officer may also perform the role of Data Author (see below).

Working within arrangements that line management and the GI Manager will determine, the Custodial Officer's responsibilities will include

- preparing of metadata, statements of data condition (quality, extent, currency etc) and other documentation about the dataset
- collecting, storing and maintaining the data;
- administering arrangements for access to and transfers of the data;
- making recommendations on licensing and pricing of the data;
- taking responsibility for the data definitions and values;
- providing advice on the proper use and interpretation of the data;
- preparing of standards for data quality and validation;
- monitoring of the data in the database (including initiating and approving changes to and maintenance of data values);
- taking responsibility for the security of the data; and
- monitoring and making recommendations on the condition and adequacy of the data, especially in relation to present and future needs for the data.

## Data Author

For each dataset, a Data Author is responsible to the Custodial Officer for collecting, storing and maintaining particular data in accordance with prescribed standards, protocols and conditions. The Data Author is the person that is most closely associated with the particular standard, dataset or subset.

Specifically the Data Author:

- is directly responsible for and involved in the collection and entering of the data in accordance with prescribed standards;
- verifies the data that have been entered against 'ground truth' (data accuracy);
- monitors data integrity and fixes errors in data;
- is responsible for the accuracy of the data in relation to the prescribed standards (data validation);
- maintains the data in the database ( i.e. is responsible for changing and maintaining data values);
- advises Custodians on the appropriateness of data standards;
- advises on the limitations and appropriate uses of the data, and accordingly makes recommendations to the Custodian on access to the data; and
- ensures data security.

## Distribution Agent

A Distribution Agent is any Departmental staff member or contractor who is authorised to distribute of datasets and data in accordance with protocols and conditions that the Data Custodian prescribes.

Specifically a Distribution Agent:

- provides access to data by both internal & external clients.
- seeks approval for access to and use of data from the Data Custodian.
- advises the Data Custodian of the intended use to which data are being put.
- provides quotations to clients based on the Departmental data pricing policy.
- maintains a register of clients and all data that are transferred to clients,
- distributes data to clients in agreed format, media and timelines.
- ensures that Data Supply Agreements are completed prior to data being distributed.

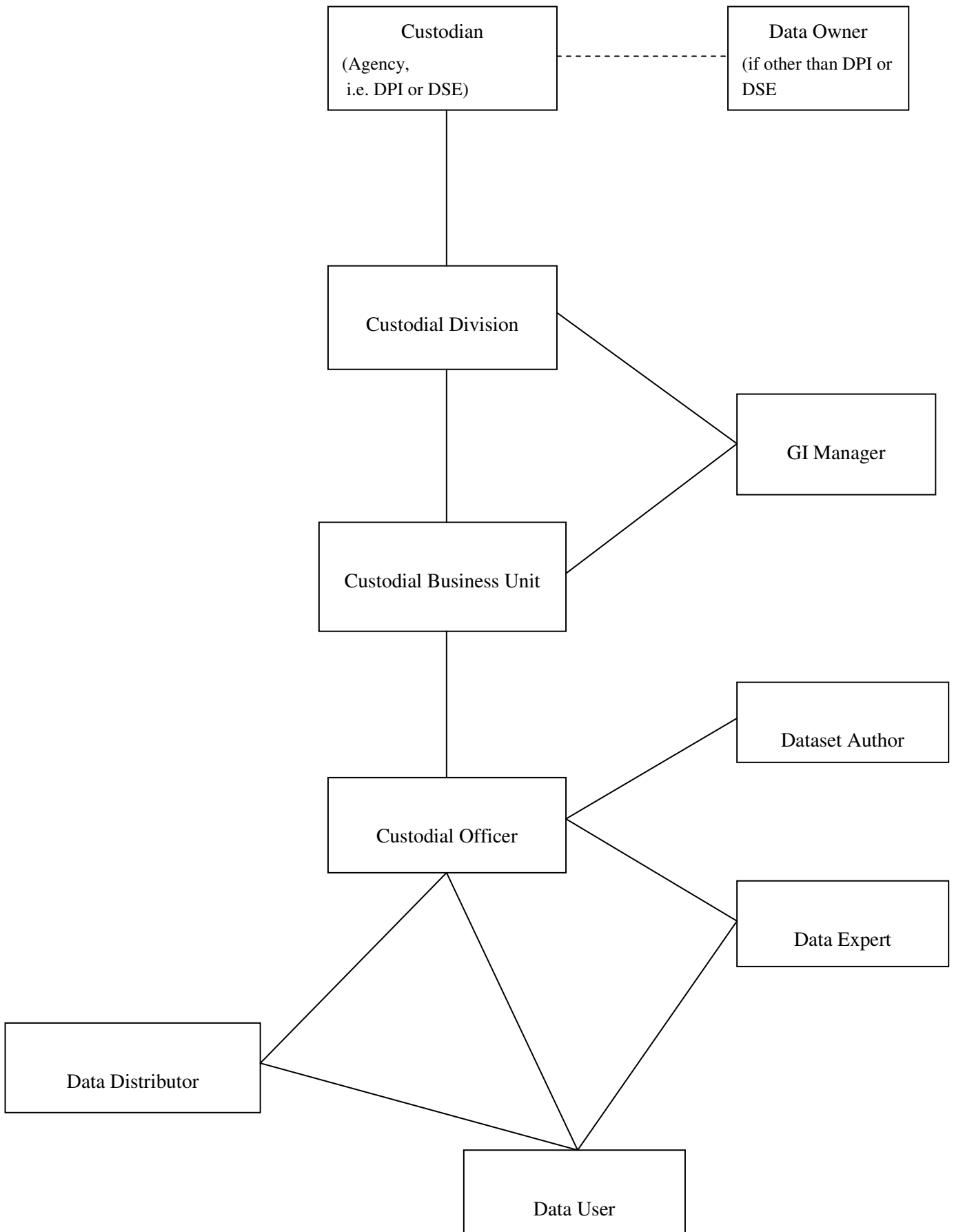
## Data User

A Data User can be

- either an Departmental staff member (or a contractor) who uses the data for the purposes of implementing Departmental work programs; or
- any other person who is licensed to use the data for a specified purpose.

All use of Departmental data is subject to prescribed conditions. For users in category (a) above, these conditions will include the standard conditions that apply to the use of Departmental data, together with any other particular conditions prescribed by the Custodial Officer. For users in category (b), conditions of use will be prescribed in a Licence Agreement between the user and the relevant Department.

**Fig 1 Management Framework for Custodianship in DPI-DSE**



## APPENDIX 4

### Glossary of Terms Used in these Guidelines

Access infrastructure	The way in which spatial information may be located and accessed. It broadly includes the policy framework, the physical network infrastructure and the spatial industry marketplace.
AS/ISO Standard on Metadata	AS/NZS ISO 19115:2005 Geographic information – Metadata, defines the schema required for describing geographic information and services.
Business information	Information considered valuable to the development and operation of Victoria’s spatial information infrastructure, but which is not framework information.
Custodian	<p>A custodian of a dataset, or a component of that dataset, is an agency or other organisation having the responsibility to ensure that a dataset is collected and maintained according to specifications and priorities determined by consultation with the user community, and made available to the community under conditions and in a format that conform with standards and policies established for the national spatial data infrastructure.</p> <p>Thus the custodianship is the organisation formally responsible for ensuring accuracy, currency, storage, security, and distribution of the data. The custodian need not be directly involved in maintaining or supplying the data, but should be in a position to direct such activities.</p>
Data	The base level of information stored in electronic or other databases. Data can exist in many formats including digital data, imagery such as aerial photographs and satellite images, and hardcopy products such as maps or plans.
Data product	Dataset that conforms to a data product specification.
Data product specification	Detailed description of a dataset that will enable it to be created, supplied to and used by another party.
Dataset	Identifiable collection of data.
Framework information	Information considered fundamental to the development and operation of Victoria’s spatial information infrastructure.
Information	The result of manipulating, analysing and interpreting data to produce a result which adds value or utility to the original data
Metadata	Data about data.
Spatial Data Infrastructure	The technologies, policies and institutional arrangements that facilitate the availability of and access to spatial data.
Spatial Information Infrastructure	The spatial information essential to the social, economic, and environmental development of Victoria.

Spatial Information Management Framework	Victoria's best practice approach for establishing and retaining consistency in the management of spatial information. It provides a holistic approach to managing spatial information, encompassing the institutional arrangements for developing spatial information; requirements for creating and maintaining spatial information; mechanisms for making spatial information accessible and available; and strategic development of technology and applications.
Victorian Government Spatial Committee (VGSC)	The body established to provide a coordinated government approach to spatial information policy development and decision making and to address the requirements for coordination within the Victorian public sector.
Victorian Spatial Council (VSC)	The body chartered with overseeing and coordinating the implementation of the Spatial Information Management Framework across the State.
Victorian Spatial Data Directory (VSDD)	The directory of metadata that describes data sets that originate or may be of use in Victoria. It is a public resource available on the Internet. It includes both current and archived data.