



# INFORMATION PUBLICATION SCHEME PLAN

21 November 2016

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# Introduction

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1. The Australian Prudential Regulation Authority (APRA) is an agency subject to the Freedom of Information Act 1982 (the FOI Act) and is required to comply with the Information Publication Scheme (IPS) requirements.
2. APRA is an independent statutory authority that was established by the *Australian Prudential Regulation Authority Act 1998* ('the APRA Act') on 1 July 1998. APRA is responsible for prudential supervision of financial institutions and for promoting financial system stability in Australia. APRA also acts as a national statistical agency for the Australian financial sector.
3. This publication plan ('the Plan') describes how APRA proposes to comply with the IPS requirements as required by section 8(1) of the FOI Act. The Plan describes how APRA proposes to implement and administer the IPS in respect of its own information holdings by addressing:
  - a) the establishment and administration of APRA's IPS;
  - b) information architecture;
  - c) information required to be published;
  - d) optional information to be published;
  - e) accessibility of information published; and
  - f) compliance review.

# Purpose

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4. The purpose of the Plan is to:
  - a) assist APRA to put appropriate procedures in place to proactively disclose its information holdings, in accordance with the objects of the FOI Act;
  - b) assist members of the public to understand the information and documents APRA is prohibited from disclosing or producing; and
  - c) demonstrate APRA's compliance with section 8(1) of the FOI Act.

# Objectives of the Plan

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5. APRA intends the Plan to result in the following:
  - a) the proper management of its information holdings relevant to its IPS requirements;
  - b) the proactive identification and publication all information required to be published, including this Plan and other optional information where permissible, subject to the APRA secrecy provision;
  - c) regular review to ensure that the published IPS information is accurate, up-to-date and complete;
  - d) published IPS information that is discoverable, understandable, machine-readable, re-usable and transformable;
  - e) satisfactory conformance with the Web Content Accessibility Guidelines (Version 2) ('WCAG 2.0'); and
  - f) publication of information by APRA that continues to ensure APRA effectively regulates bodies in the financial sector in accordance with other laws of the Commonwealth that provide for prudential regulation.

## APRA secrecy provision

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6. The publication of information by APRA is done within the framework of the secrecy provision of section 56 of the APRA Act.
7. Unless disclosure or production is in accordance with section 56 of the APRA Act, the secrecy provision prohibits the disclosure or production of:
  - a) 'protected information' (meaning information about people and institutions that are regulated by, or report to, APRA, and the related bodies and customers of those people and institutions); and
  - b) 'protected documents' (meaning documents that contain protected information).

# Establishing and administering APRA's IPS

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## Establishing APRA's IPS

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8. The Legal Group is responsible for leading APRA's work on establishing and administering compliance with the IPS. The Senior Manager, Litigation is designated by APRA as the senior officer responsible for leading APRA's compliance with the IPS.
9. APRA has conducted an examination of its records and information holdings and developed a register of information required or permitted to be published under the IPS and a 'disclosure log' of information released in response to FOI requests.

## Administering APRA's IPS

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10. APRA has an existing records and information management policy framework, including a Records Disposal Authority and Records and Document Management Policy, which applies to APRA information published under the IPS. APRA's Web Governance Framework describes for APRA staff the processes for
  - a) publishing information to the APRA website;
  - b) ensuring the accuracy, currency and completeness of published information; and
  - c) ensuring that information published to the website conforms with the WCAG 2.0.
11. APRA's compliance with the IPS is coordinated by the Legal Group.
12. APRA will continue to meet its IPS obligations by:
  - a) maintaining and improving its information management framework;
  - b) identifying on an ongoing basis information that is required to be published;
  - c) publishing information that is required to be published as soon as reasonably practicable and, wherever possible, publishing it online;
  - d) identifying any information that is required to be published that is already available;
  - e) ensuring the information published is discoverable, accessible, useable as well as accurate, up-to-date and accessible; and
  - f) ensuring information about any FOI access charges and how they will be calculated are published on its website.
13. As part of managing the administration of the IPS information holdings, the Legal Group will assist staff to identify, on an ongoing basis, any required or optional information to be published under the IPS.

14. The charges APRA intends to impose in relation to requests for access to documents and how they will be calculated are outlined at Appendix A. These charges are consistent with the *Freedom of Information (Charges) Regulations 1982*.

## Information architecture

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15. To ensure that the IPS information holdings (and individual IPS documents) are easily discoverable, understandable and machine-readable, APRA will:

- a) design and publish an IPS entry point on its website;
- b) wherever practicable, provide online content in a format that can be searched, copied and transformed;
- c) publish a sitemap for its website;
- d) provide a search function for its website to help individuals identify the location of information published under sections 8(2) and 8(4);
- e) provide an alert service to notify subscribers of new publications under the IPS or other developments in relation to APRA's contribution to the IPS; and
- f) seek and respond to feedback about whether the IPS information holdings (and individual IPS documents) are easily discoverable, understandable and machine-readable.

16. APRA will make its IPS documents available on the IPS section of the website in two ways:

- a) documents published on the APRA website prior to the introduction of the IPS requirements will be made available through a link from the IPS section; and
- b) those additional documents published on the APRA website specifically to meet the IPS requirements will be published in the IPS section.

17. APRA intends to publish IPS information to members of the public for download via [www.apra.gov.au](http://www.apra.gov.au):

- a) in English; and
- b) in PDF format.

18. The majority of documents listed on the IPS section of the website will also be converted to HTML and/or accessible PDF to meet accessibility requirements. A small number of exceptions may apply to:

- a) PDFs made of images of scanned documents;
- b) documents that are out of date but provided for historical reference (these will be provided in the formats in which they are currently available); and
- c) charts, tables and forms.

Accessible copies of historical documents and other documents covered by these exceptions may be requested on demand. Where this is not possible APRA will endeavour to provide an alternative format.

19. APRA will, as far as possible, make its published IPS holdings available for reuse via Creative Commons licensing.

## Information APRA is required to publish

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20. APRA will publish:

- a) this Plan;
- b) information about what APRA is, including its organisational chart and its Member and Executive General Manager appointments;
- c) information about what APRA does, including information about APRA's functions, its decision-making powers and operational information including rules, guidelines, practices and precedents that assist it to make decisions or recommendations affecting members of the public;
- d) its reports and responses to Parliament, including its annual reports, documents required by law to be tabled in Parliament and documents routinely tabled in accordance with Senate Standing Orders;
- e) information to which APRA routinely gives access in response to an access request under the FOI Act;
- f) information relating to the disclosures by APRA in response to an access request under the FOI Act;
- g) the details on how comments and submissions may be made on policy and other regulatory proposals; and
- h) contact details in relation to accessing APRA documents under the FOI Act.

## Optional information

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21. APRA will also publish on its web site or via other web sites, such as [www.tenders.gov.au](http://www.tenders.gov.au):

- a) speeches made to public audiences by its Members and its senior officers;
- b) its submissions to Parliamentary committees;
- c) information relating to its procurement of property or services in accordance with the requirements set out in the Commonwealth Procurement Guidelines; and
- d) information relating to its grants.

## Review

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22. APRA will review and revise this plan annually to coincide with APRA's business planning process.
23. APRA will review the operation of its IPS, in conjunction with the Information Commissioner, within the statutory review timeframes.



## Appendix A - Charges

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FOI and IPS Charges	
Service / action	Charge
Photocopy	10c per page
Transcript	\$4.40 per page
Supervised inspection	\$6.25 per half hour
Search and retrieval	\$15 per hour
Decision making	\$20 per hour (after the first 5 hours)
Delivery	The cost of postage or delivery



 **APRA**