Check-up 2.0

A tool for assessing your agency’s information and records management
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Part 1 – Strategy

Section 1 – Information and records management framework, strategy and information architecture

Your agency should have:

- an information and records management framework;
- an information and records management strategy; and
- an information architecture.

These may be in dedicated documents or used in combination with other high-level statements.

Framework

An information and records management framework is a high-level statement outlining an organisation’s vision for its information and records management and should:

- include information principles;
- include objectives and directives;
- include high-level implementation strategies;
- identify the current information needs of the agency;
- anticipate future needs; and
- enable your agency to identify areas of high risk and priorities.

When answering the framework questions, look for whole-of-agency coordination, planning and leadership.

Strategy

An information and records management strategy is a high-level statement outlining an organisation’s systematic approach to the management of information and records.

Your agency should create and maintain a strategy that focuses on information and records as evidence of actions that:

- document business transactions;
- support accountability and effective business;
- map your agency’s information assets;
- help to understand and manage the purpose and relationships between information and systems that use the information; and
- provide detail about standards adopted in your agency such as records management functionality, metadata, and security and access controls.
When answering the information and records management strategy questions, assess the effectiveness of your records control and accessibility and whether records are transferred or destroyed appropriately (as approved by the National Archives).

**Information architecture**

An Information architecture is a high-level statement outlining how whole-of-agency information and records can be used, described and organised.

An information architecture should:

- identify business processes;
- identify which business systems store records;
- provide a whole-of-client or whole-of-process view across platforms and systems by combining information such as case records that are kept in a number of different systems;
- show the relationships between different business systems, including the duplication or reuse of data;
- cover both published and unpublished information and records in all formats, including electronic, paper, film and photographic records;
- specify and manage the design, labelling, navigation and indexing of information systems; and
- set standards for metadata and terminology for use in all agency systems.

When answering information architecture questions, look for evidence of coordinated strategic planning for use of business information and records across the agency.

**Question 1.1**

Minimum requirement for basic information and records management

**How comprehensive is your agency’s information and records management framework?**

An information and records management framework outlines a long-term vision and strategy for managing your agency’s information assets. Records are an important subset of your information. They provide evidence of your agency’s business. Your framework should guide the creation, management and use of information and records.

To ensure that it is implemented, your framework should be endorsed and supported by a senior officer and actively promoted.

**Source of authority**

Question 1.2
Minimum requirement for basic information and records management

How comprehensive is your agency’s information and records management strategy?

For an information and records management strategy to be fully comprehensive, it should:

- be endorsed by senior management;
- identify the importance of records to agency business;
- identify who in your agency is responsible for information and records management;
- document any information risks to agency business;
- reflect all applicable legislation, standards, business plans and other strategic requirements for your agency; and
- acknowledge records in all formats and locations.

Source of authority


Question 1.3
Minimum requirement for basic information and records management

How comprehensive is your agency’s information architecture?

The information architecture should:

- be enterprise-wide in its intended scope;
- have high level endorsement for its intent, application and evolution;
- promote flexible, standards-based information sharing and re-use; and
- be intrinsic to governance decisions for new system initiatives and business process change management.

Source of authority


Question 1.4

Minimum requirement for basic information and records management

How well does your information and records management strategy identify who is responsible for information and records management?

Responsibilities for information and records management include the:

- identification of a senior manager responsible for information and records management;
- provision of information and records management advice within your agency;
- development of information and records management policies;
- design of information and records management systems;
- monitoring and maintaining compliance of information and records management systems;
- management of information assets (both electronic and paper-based); and
- development and management of a classification schema used for classifying information and records.

Source of authority


Question 1.5

Minimum requirement for basic information and records management

How well is your agency’s information and records management supported and promoted by senior and middle managers?

You should consider the following issues:

- does senior management actively support information and records management policies and practices?
- do middle managers actively encourage staff to comply with information and records management policies and practices?
- has a robust information and records management culture been instilled into your agency?
• have sufficient funding and other resources been allocated for information and records management?

Source of authority
Section 2 – Policies and procedures

Your agency should develop and promote policies and procedures on creating and managing authentic, reliable and usable information assets and records for business and accountability purposes.

Policies should:
- be endorsed by the head of the agency and/or senior management; and
- support your information and records management framework and strategy.

Policies and procedures should:
- define responsibilities for information and records management staff;
- define responsibilities for all other agency staff;
- be easily understood;
- be detailed, comprehensive and up-to-date; and
- be communicated, implemented and made accessible across the agency.

Look for evidence that staff fulfil their information and records management obligations in their work.

Question 2.1

How comprehensive are your agency’s information and records management policies and procedures?

Your agency’s information and records management policies and procedures should:
- include the information and records management principles to be followed;
- express a commitment to effective information management;
- explain and allocate responsibilities for information and records management;
- provide principles for developing and implementing more detailed practices and processes;
- be compliant with legislative requirements;
- cover records of all formats (for example, paper, email, websites, online transactions and other systems);
- be endorsed and promoted by a senior officer who has authority to ensure that your agency complies with the policies; and
be accessible to all employees.

Source of authority


Question 2.2

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<th>Minimum requirement for basic information and records management</th>
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How effectively does your agency manage Cabinet documents in accordance with the provisions of the Cabinet Handbook?

The *Cabinet Handbook* gives guidance on the management of Cabinet records including their preparation, handling, copying, access and transfer or destruction.

Source of authority
Section 3 – Compliance

Your agency should monitor compliance with information and records management policies and procedures to ensure that appropriate records are created and effectively managed.

Regular audits can identify gaps or problems and help to develop strategies to address these issues.

To assess your agency’s compliance look for:

- established monitoring and compliance programs;
- benchmarks for quantitative and qualitative measurement;
- reporting arrangements; and
- evidence of follow-up action.

Question 3.1

How comprehensively does your agency perform audits of its information and records management functions and the information and records management aspects of other business activities?

Information and records management audits should be performed when necessary (eg following administrative changes) and/or regularly (eg biannually).

Information and records management audits should check that records are being created and captured into systems that have appropriate records management functionality. The audit should also ensure the records and controls are fit for purpose and:

- accurate;
- detailed enough to support business needs and be understood by others;
- authentic;
- secure from unauthorised access, alteration and deletion;
- findable and readable; and
- related to other relevant records.

Source of authority


Section 4 – High risk business

Your agency should take a more rigorous approach to the management of the information and records for high risk business areas.

High risk businesses include those that:

- receive a high level of public and media scrutiny;
- instigate or are subject to litigation;
- allocate or spend large amounts of money;
- relate to issues of national security;
- are outsourced;
- relate to the health, welfare, rights and entitlements of citizens or staff; and
- relate to employment conditions of staff.

The Check-up 2.0 Requirements for high risk business assessment should be undertaken for each area of high risk business.

Question 4.1

Minimum requirement for basic information and records management

How comprehensively is your agency managing the information and records of its high risk business?

Your agency should identify its high risk business activities and provide a greater focus for the management of relevant information and records.

The Archives recommends that agencies undertake the Requirements for high risk business assessment for each area of high risk business.

In your agency, at a minimum, the following should be addressed:

- your agency’s information management framework and strategy and information architecture should identify the information and business systems that manage high risk business information;
- your agency’s policies and procedures for high risk business information should include information and records management requirements;
- additional information and records management training should be provided for staff involved in high risk business and processes;
- your agency should undertake a detailed analysis of high risk business to determine which records need to be created and captured;
- assess what additional metadata is required for records of high risk business; and
- apply additional quality assurance processes to the sentencing of records of high risk business.
Source of authority
Section 5 – Training

Your agency should ensure all staff are trained to understand their information and records management responsibilities.

This includes:

• senior management;
• ongoing and non-ongoing staff;
• full-time and part-time staff; and
• contract and volunteer staff.

Training should:

• outline general information and records management responsibilities;
• be tailored to work areas; and
• be tailored to business information systems.

Look for evidence that the training is regular, ongoing, up-to-date and relevant.

Question 5.1

| Minimum requirement for basic information and records management |

To what extent does your agency provide information and records management training to its employees, contractors and consultants?

To be fully effective, staff at all levels, including contractors and consultants, should attend information and records management training.

Your agency’s training program should:

• support the information and records management policies and be up-to-date;
• discuss detailed procedures for information and records management and business information systems;
• be tailored to suit the needs of certain work areas and roles, or as a refresher program; and
• be delivered as soon as possible after staff commence.

Source of authority

Section 6 – Business continuity

Your agency should ensure that its business continuity and disaster management plans cover its vital information and records. Vital records could include:

- contracts;
- research data;
- strategic plans;
- policy advice; and
- customer records, payments and receipts.

Look for business continuity plans that identify vital records and how to manage these records to ensure business continuity.

Look for disaster management plans that address records in all formats and in all business information systems.

Question 6.1

Minimum requirement for basic information and records management

How effective are your agency’s business continuity and/or disaster management plans?

To be fully effective, your agency’s business continuity and disaster management plans should:

- identify your agency’s vital records;
- cover records in all formats; and
- be regularly reviewed and updated.

Source of authority


Standards Australia, Australian Standard Records Management, AS ISO 15489.2, 2002, ‘4.3.7.1: Record storage decisions’
Section 7 – Outsourcing

Your agency should ensure that all contractors providing outsourced services comply with your information and records management policies and procedures.

Look for evidence that:

- outsourcing contracts outline the responsibilities for information and records management;
- outsourcing contracts outline appropriate standards and quality of service; and
- your agency regularly monitors and reviews the quality and quantity of records being created and managed by the contractor.

Question 7.1

Minimum requirement for basic information and records management

To what extent do contracts for outsourced services specify that appropriate records are maintained and returned to your agency after the contract finishes?

Contracts for outsourced services should stipulate the information and records management requirements needed to protect the Australian Government’s interest. Ensure that such contracts:

- ascribe ownership of records, either to the Government or the contractor;
- establish information and records management requirements;
- prohibit the destruction of records without permission from your agency;
- specify what happens to the records at the end of the contract;
- prescribe requirements for use and disclosure of records;
- protect the security of the records;
- specify who can access the records, eg your agency or the public;
- specify what access the provider will have to records kept in agency custody; and
- specify any subcontractors who should also comply with these requirements.

Source of authority

Part 2 – Practice

Section 8 – Creating and capturing records

Your agency should determine what records it needs to create to meet accountability, legislative and business requirements.

Knowing what records to create involves:

- understanding the requirements of legislation;
- understanding the agency’s business, including its policies, procedures and directives;
- identifying what records are needed to document business or work processes; and
- assessing risks associated with not creating records.

As well as creating records, your agency should capture or save them into an approved records management system. This will ensure the records:

- can be proven to be genuine;
- are accurate and can be trusted;
- are complete and unaltered;
- are secure from unauthorised access, alteration and deletion;
- can be found when needed; and
- are related to other relevant records.

Look for evidence that records are created and captured consistently and are complete and accurate.

Question 8.1

Minimum requirement for basic information and records management

How comprehensively has your agency identified what records need to be created and captured?

To comprehensively identify the records that need to be created and captured, your agency will need to:

- know the requirements of legislation;
- know your agency’s business including its policies, procedures and directives;
- incorporate the needs of internal and external stakeholders; and
- assess the risks associated with not creating records.
Source of authority


Section 9 – Describing records

Your agency should ensure that records are described and managed appropriately so they can be found, used and understood over time.

Describing records involves collecting information about them, such as who created them, how they were used, and how long they need to be kept.

This information is known as ‘metadata’.

Metadata is generated at two levels, in the:

- content and structure of the record – examples include the ‘From’ and ‘Sent’ fields in email headers; and
- business information system managing the record – examples include, the audit trail of changes to a document and a paper file index.

Look for a standard set of metadata that is used across your agency and for tools to control the terminology used to describe records.

Question 9.1

Minimum requirement for basic information and records management

To what extent has your agency specified a minimum metadata set for records?

Metadata will help your agency:

- know when and who created a record;
- know when a record was captured into a system;
- find a record;
- manage access and use of a record;
- understand the meaning of records;
- manage record retention and destruction; and
- manage relationships between related records.

When establishing a minimum metadata set, take into account the requirements for managing records in the Australian Government Recordkeeping Metadata Standard.

Source of authority


Standards Australia, Australian Standard Records Management, AS ISO 15489.1, 2002, ‘9.1: Determining documents to be captured into a records system’

**Question 9.2**

**Minimum requirement for basic information and records management**

**How well does your agency manage metadata as a record?**

Metadata is a control record. It can be:

- embedded in a record (eg the date on a letter);
- attached to a record (eg a registration number applied to a document in a business system); or
- associated with the record it is controlling but managed separately (eg an electronic records management system can manage a paper file).

Well-managed metadata:

- is accurate and can be trusted;
- is secure from unauthorised access, alteration and deletion;
- can be found and understood; and
- is kept for as long as required.

**Source of authority**

Section 10 – Keep, destroy or transfer

Your agency should ensure that records are kept for as long as they are required and that any destruction, transfer of ownership or alteration complies with the Archives Act 1983.

Under section 24 of the Archives Act, Commonwealth records may not be destroyed without the permission of the National Archives unless:

- there is a law directing a particular action; or
- the destruction takes place in accordance with a normal administrative practice (NAP).

The National Archives gives permission for the destruction of records through ‘records authorities’.

Records authorities are legal instruments that outline how long records need to be kept and allow for the destruction or transfer of records after that time has passed.

Agency-specific or general legislation may direct a particular action be taken with your records.

An agency can use the NAP provision in the Archives Act by developing a NAP policy to destroy records that are duplicates, unimportant or of a short-term, facilitative nature.

Look for records authorities that apply to your agency’s records, and check whether they are being used correctly.

Question 10.1

Minimum requirement for basic information and records management

To what extent does your agency comply with the Archives Act 1983 in relation to retention and destruction of its records?

Your agency’s retention and destruction activities are legally compliant if:

- records are not destroyed before the minimum time specified in a records authority;
- destruction or transfer is specified by law;
- destruction is done as a normal administrative practice (NAP) that the National Archives does not disapprove of;
- records are not transferred to a non-Commonwealth organisation without authorisation from the National Archives;
- records more than 15 years old are not changed, added to, or have parts removed without authorisation from the National Archives;
- records are not destroyed when needed for legal purposes;
• records are not destroyed while covered by a disposal freeze (that is, a ban on disposal action that applies to certain groups of records as designated by the National Archives from time to time); and
• records identified as ‘Retain as National Archives’ are transferred to the care of the National Archives.

Source of authority

*Archives Act 1983*, section 24, published online at

National Archives of Australia, *Records disposal freezes*, published online at

National Archives of Australia, *Normal Administrative Practice*, published online at
Question 10.2

Minimum requirement for basic information and records management

How comprehensive are your agency’s normal administrative practice (NAP) policy and procedures?

To be fully comprehensive, your agency’s normal administrative practice (NAP) policy and procedures should:

- be endorsed by your agency’s senior managers;
- be consistent with the Archives Act 1983;
- be consistent with National Archives guidelines on NAP;
- clearly identify what records can be destroyed;
- include relevant examples; and
- cover records in all formats including paper and electronic.

Source of authority


Question 10.3

Minimum requirement for basic information and records management

When records are authorised for destruction, how appropriate are your agency’s destruction methods?

Once a record has been sentenced for destruction, it should be destroyed in such a way that it cannot be re-created. This is particularly important for electronic records, where ‘deletion’ is not the same as destruction.

The Protective Security Policy Framework (PSPF) outlines appropriate methods of records destruction. The method of destruction will depend on the records’ security classifications and formats.

Source of authority

Section 11 – Access to records

Your agency should ensure its records remain accessible for as long as they are required to meet accountability, legislative and business requirements.

To make it easier and more efficient to access records in your agency:

- records should have meaningful metadata including descriptive titles;
- records management systems should not be cluttered by records that can be destroyed or transferred;
- procedures should be developed to ensure records are captured into the right systems;
- the records content, along with the media, should be preserved; and
- records which should not be available to everybody should be properly secured.

Look for the application of strategies to ensure records will remain accessible for the long term.

Question 11.1

Minimum requirement for basic information and records management

How easily can staff in your agency access the records they need to do their job?

To be compliant with this requirement, agency staff need to be able to quickly and efficiently:

- identify and locate all relevant records;
- retrieve the records; and
- access all relevant records regardless of their location or format.

Source of authority

Question 11.2

Minimum requirement for basic information and records management

To what extent does your agency control, log or track staff access to electronic and paper records?

Controlling the use of records will help your agency to:

- prevent the loss of records;
- establish the history of records; and
- find records.

Controls include:

- recording the name of the person who has a paper file;
- conducting a regular census of paper records and following up on missing items;
- including classified and unclassified files in the census and following up on missing classified files or other important files as a priority;
- keeping metadata about who has accessed or tried to access electronic records;
- retaining audit trails of changes to electronic records;
- reporting on staff access; and
- implementing consequences for inappropriate use.

Source of authority

Question 11.3

Minimum requirement for basic information and records management

To what extent does your agency meet the requirements of the Senate Procedural Order of Continuing Effect No. 10: Indexed Lists of Departmental and Agency Files?

To be compliant with this requirement, agency staff need to place an indexed list of the titles of all relevant files, including new parts of existing files, on their website every six months.

Source of authority
Section 12 – Storage

Your agency should ensure that records are protected and managed in a cost-effective manner for as long as they are needed.

Where and how your records are stored will depend on:

- their format, for example, whether they are paper, electronic, film, or photographs;
- how long the records need to be kept;
- their value; and
- how often they will be accessed.

Look for evidence of appropriate storage conditions for all records irrespective of format.

Question 12.1

Minimum requirement for basic information and records management

To what extent has your agency identified its requirements for storage of electronic records?

Your agency should document its requirements in a records storage policy or procedure to ensure that electronic records are protected, accessible and managed in a cost-effective manner for as long as they are needed.

In developing a policy for storing electronic records, you should cover these elements:

- location;
- environmental control;
- maintenance and security;
- protection from disaster;
- accessibility;
- internal and external storage locations; and
- backup arrangements.

Source of authority


**Question 12.2**

Minimum requirement for basic information and records management

**To what extent has your agency identified its requirements for storage of paper and other non-electronic records?**

Your agency should document its requirements in a records storage policy or procedure to ensure that paper and other non-electronic records are protected, accessible and managed in a cost-effective manner for as long as they are needed.

In developing a policy for storing paper and other non-electronic records, you should cover these elements:

- location;
- environmental control;
- shelving and packaging;
- maintenance and security;
- protection from disaster;
- careful handling;
- physical access; and
- internal and external storage locations.

**Source of authority**


Section 13 – Preservation

Your agency should ensure records and their metadata are preserved to ensure they remain accessible, reliable, complete, authentic and usable for as long as required.

Your level of preservation action will depend on:

- how long the records needs to be kept;
- what facilities are available for preserving your short-term and long-term temporary records; and
- how quickly you need to access the records.

It is important to consider the preservation requirements of electronic records as they are more vulnerable in the short term due to equipment and software obsolescence.

Look for a preservation strategy that protects the integrity of the records and their metadata, in all formats, to guarantee their ongoing accessibility and functionality.

Question 13.1

Minimum requirement for basic information and records management

To what extent does your agency have a strategy to manage electronic records for as long as they are required?

Records may be needed for longer than the life of their storage media. If your agency needs to retain electronic records for the long term, say more than five years, avoid technological obsolescence by ensuring that records can be copied, reformatted, converted or migrated across successive technologies.

Your agency’s preservation strategies should be:

- planned and documented;
- tested before application (to ensure there is no loss of functionality, format, structure and metadata); and
- inclusive of hardware, software, operating systems and storage devices.

Source of authority


Question 13.2

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How effectively does your agency ensure that paper and other non-electronic records are preserved for as long as they are required?

Your agency will need to ensure that paper and other non-electronic records are preserved so they can be accessed for as long as they are needed.

If you allow any record to become inaccessible before the minimum retention period specified in a record authority has expired, you are potentially in breach of the Archives Act.

Source of authority

Section 14 – Security

Your agency should ensure it has guidelines on who is permitted to access records and in what circumstances.

In addition, to prevent unauthorised access, your agency needs secure storage that is appropriate to the format, security and classification of the records.

This means that once records are captured, they cannot be:

- accessed by unauthorised people;
- tampered with or altered without authorisation; or
- disposed of without authorisation, or misplaced.

Look for evidence that the Protective Security Policy Framework (PSPF) and the Australian Government Information Security Manual (ISM) have been applied to all agency information and records.

Question 14.1

Minimum requirement for basic information and records management

How well are records in your agency managed to prevent unauthorised access?

To be fully compliant with the prevention of unauthorised access, records in all formats should be managed in accordance with the requirements of:

- the Protective Security Policy Framework (PSPF); and

The security of records is managed through security classifications and access controls. Controls to prevent unauthorised access to records in systems may be applied either through systems design or manually as records are captured.

Source of authority


Section 15 – Business information systems

Your agency should identify the information and records management requirements for its current and future business information systems.

A business information system is any system that assists an agency to perform its business and manage information – examples include case management systems, staff management, pay systems, and finance systems.

In supporting your agency's business, systems that manage information need to work so that records:

- can be proven to be genuine;
- are accurate and can be trusted;
- are complete and unaltered;
- are secure from unauthorised access, alteration and deletion;
- are findable and readable; and
- are related to other relevant records.

Look for a systematic and consistent approach by business information systems designers, owners and managers to identifying information and records management requirements for their current and future systems.

There are no questions under Section 15 for the minimum requirements assessment.
Section 16 – Digital records management

This section focuses on the management of digital records, ie electronic records created and maintained by digital computer technology.

Responses to questions in this section will help you to assess and track how well your agency is managing its digital records and help to plan for improvements.

Your agency should be adopting digital management of its information and records. Digital management means that where possible, records are created, kept and managed in digital form. It also means that where possible, digital processes replace paper, and the creation of paper files is discouraged.

Adopting digital records management practices requires an agency-wide commitment.

Digital records management in your agency includes:

- knowing where digital records are being created in your agency’s many systems;
- implementing scanning processes and procedures where appropriate;
- developing and implementing digital records policies; and
- controlling the creation of paper files to limited circumstances.

Question 16.1

Minimum requirement for basic information and records management

To what extent does your agency identify where digital records are created?

Agencies employ many types of systems in their day-to-day business. These systems may range from human resources and finance systems to custom-built systems that support the agency’s function. All these systems create records. Identifying the systems used in your agency and understanding what records are being created will help your agency maintain evidence of all business activities.

To identify where digital records are being created, your agency needs to know:

- what systems are used in the agency;
- what records are produced by business systems; and
- what business, regulatory and community requirements underpin the creation and capture of your agency’s digital records.
Question 16.2

Minimum requirement for basic information and records management

What proportion of your agency’s records are managed and stored in a digital records management environment?

Storing and managing records in a digital records management environment means, that wherever possible records are created, stored and managed digitally, including scanning incoming paper records so new paper files are not created.

When digital records are printed and a paper copy is kept as the ‘official’ record, the records can lose data and context and may possibly become incomplete.

The creation of paper records should be controlled and limited to rare cases when paper format is required, for example for security or legislative requirements.

To answer this question, please choose the rating below that best describes the situation in your agency:

U (unable to rate) cannot answer
1 (poor) no records are managed and stored in a digital records management environment
2 (inadequate) occasionally records are managed and stored in a digital records management environment
3 (limited) some records are managed and stored in a digital records management environment
4 (adequate) a high proportion of records are managed and stored in a digital records management environment
5 (very good) most records are managed and stored in a digital records management environment
6 (excellent) all records, other than those with an identified requirement to be in paper format, are managed and stored in a digital records management environment

Source of authority
Question 16.3

Minimum requirement for basic information and records management

What percentage of your agency’s digital records is currently also managed and stored in physical format?

It is not uncommon practice for agencies to print digital records and manage and store both the digital and the paper copy. This means there are two versions of the same record.

To answer this question, please estimate what percentage of digital records is also managed and stored in paper format (ie both the digital record and the paper copies are managed and stored):

U (unable to rate) cannot answer

1 (poor) my agency maintains paper copies of more than half of all digital records and manages and stores both versions

2 (inadequate) my agency duplicates 20% - 30% of its digital records in paper form and manages and stores both versions

3 (limited) my agency duplicates 10% - 20% of its digital records in paper form and manages and stores both versions

4 (adequate) my agency duplicates 5% - 10% of its digital records in paper form and manages and stores both versions

5 (very good) my agency duplicates 1% – 5 % of its digital records in paper form and manages and stores both versions

6 (excellent) my agency does not maintain and store paper copies of any digital records

Source of authority


Question 16.4

Minimum requirement for basic information and records management

How soon are you planning to transition to a more comprehensive digital records management environment?

Provide an estimate of when your agency will be working in a more comprehensive digital records management environment. This means that the majority of your agency’s records will be created, stored and managed in a digital records management environment, with incoming paper records scanned so new paper files are not created.
Please use the rating scale as follows:

U (unable to rate)  do not know if plans exist to move to a digital records management environment

1 (poor)  my agency has no plans in the immediate future to move to a digital records management environment

2 (inadequate)  my agency will move to a digital records management environment in the future but has not yet commenced planning the move

3 (limited)  my agency will be working in a more comprehensive digital records management environment in 3 years

4 (adequate)  my agency will be working in a more comprehensive digital records management environment in 2 years

5 (very good)  my agency will be working in a more comprehensive digital records management environment in 1 year

6 (excellent)  my agency is already working in a digital records management environment

Source of authority


Question 16.5

Minimum requirement for basic information and records management

To what extent does your agency scan incoming paper records?

Scanning incoming paper records reduces the accumulation of paper records and makes information more accessible and findable. Agencies may scan incoming paper themselves or engage a third party. Scanning procedures include:

- identification of what to scan;
- defined scanning specifications (e.g., format, compression);
- quality control processes;
- storage processes; and
- processes for authorised disposal of the original source record
Source of authority

National Archives of Australia, *Source (including original) records after they have been copied, converted or migrated (GRA 31)*, 2011, published online at http://www.naa.gov.au/Images/GRA%2031%20-%20Source%20(including%20original)%20records%20that%20have%20been%20copied%20-%20September%202011_tcm16-49593.PDF

Question 16.6

Minimum requirement for basic information and records management

**To what extent does your agency identify which records must remain in paper format?**

Commonly, a small number of records need to be kept and managed in paper format. Agencies need to determine which records are required to be created and managed in paper format. Identification of requirements includes an analysis of:

- laws and regulations;
- operational requirements; and
- security requirements

Source of authority


Question 16.7

Minimum requirement for basic information and records management

**To what extent does your agency discourage the creation and use of paper records?**

Reducing the use and creation of paper records is an agency-wide commitment. To discourage the creation of paper records, agencies should ensure:

- any existing print-to-paper policy is removed;
- digital records are the preferred format ;
- records management policies set out the limited circumstances in which paper records need to be maintained;
- senior management understand the benefits of digital records management practices and support agency-wide compliance; and
- staff are trained in digital records awareness.

**Source of authority**
Appendix 1 – Rating scale for questions (except for questions 16.2, 16.3 and 16.4)

The rating scale is based on a continuous improvement model so progress can be tracked over time. The following explanations of each level are indicative only and illustrate some aspects to be considered when deciding on a rating. Not all aspects of the following explanations need to be fully met in order to assign a particular rating.

6. Excellent
For example:
- records management fully supports all of your agency’s functions, objectives, business processes, governance and accountability;
- advanced systems and networks are used for the creation and sharing of records and allow for communication and collaboration within and outside the organisation; or
- records management strategies and policies are proactively reviewed and improved regularly.

5. Very good
For example:
- records management is well integrated with business processes and supports organisational governance and accountability; or
- strategies and policies are reviewed and updated as needed.

4. Adequate
For example:
- records management is managed well in most areas of your agency, is linked to business processes and supports your organisational management goals; or
- there are some gaps in information and records management strategies and policies.

3. Limited
For example:
- your agency demonstrates limited capability, capacity and experience in the requirements of information and records management; or
- your agency recognises the need to link records management and business processes but has not yet achieved this.

2. Inadequate
For example:
• there is little awareness of records management and the importance of good records management policies and practices;
• there is little or no connection between records management and business processes; or
• your agency has an elementary knowledge of information and records management.

1. Poor

For example:
• there is no awareness of records management policies and practices;
• records management is non-existent, informal or ad hoc; or
• your agency is unable to offer any evidence of capability in the area.

Unable to rate

Choose this response if you are unable to assign a rating for a question. Ensure you also include a reason when selecting this response.
Appendix 2 – Rating scale for questions 16.2, 16.3 and 16.4

Question 16.2

What proportion of your agency’s records are managed and stored in a digital records management environment?

To answer this question, please choose the rating below that best describes the situation in your agency:

U (unable to rate) cannot answer
1 (poor) no records are managed and stored in a digital records management environment
2 (inadequate) occasionally records are managed and stored in a digital records management environment
3 (limited) some records are managed and stored in a digital records management environment
4 (adequate) a high proportion of records are managed and stored in a digital records management environment
5 (very good) most records are managed and stored in a digital records management environment
6 (excellent) all records, other than those with an identified requirement to be in paper format, are managed and stored in a digital records management environment
Question 16.3

What percentage of your agency’s digital records is currently also managed and stored in physical format?

To answer this question, please estimate what percentage of digital records is also managed and stored in paper format (ie both the digital record and the paper copies are managed and stored):

U (unable to rate)  cannot answer
1 (poor)          my agency maintains paper copies of more than half of all digital records and manages and stores both versions
2 (inadequate)    my agency duplicates 20% - 30% of its digital records in paper form and manages and stores both versions
3 (limited)       my agency duplicates 10% - 20% of its digital records in paper form and manages and stores both versions
4 (adequate)      my agency duplicates 5% - 10% of its digital records in paper form and manages and stores both versions
5 (very good)     my agency duplicates 1% – 5 % of its digital records in paper form and manages and stores both versions
6 (excellent)     my agency does not maintain and store paper copies of any digital records
**Question 16.4**

**How soon are you planning to transition to a more comprehensive digital records management environment?**

Please use the rating scale as follows:

- **U (unable to rate)** do not know if plans exist to move to a digital records management environment
- **1 (poor)** my agency has no plans in the immediate future to move to a digital records management environment
- **2 (inadequate)** my agency will move to a digital records management environment in the future but has not yet commenced planning the move
- **3 (limited)** my agency will be working in a more comprehensive digital records management environment in 3 years
- **4 (adequate)** my agency will be working in a more comprehensive digital records management environment in 2 years
- **5 (very good)** my agency will be working in a more comprehensive digital records management environment in 1 year
- **6 (excellent)** my agency is already working in a digital records management environment