



National Archives of Australia

Check-up PLUS

Questionnaire

Information and Instructions

A. Background and purpose of this survey

Welcome to the National Archives of Australia's (Archives) annual information management survey. Check-up PLUS is an online self-assessment tool designed to gauge Australian Government agencies' maturity and performance in information and data management.

Check-up PLUS is structured to align with the Archives' [Information Management Standard](#), which was developed to assist Australian Government agencies to create and manage business information effectively. The Information Management Standard comprises eight principles, consistent with the key concepts and principles of Australian Standard AS ISO 15489.1 (2017) - *Records Management*.

As Check-up PLUS replaces both *Check-up Digital* and the triennial *Survey of Information and Records Management Practices*, some questions will concern your agency's behaviours or maturity, while others will concern your agency's quantitative data relating to information and data holdings.

Completing the survey will give you an understanding of your agency's information management maturity, your progress towards Digital Continuity 2020 targets and next steps to achieve best practice in information management. To gain a whole of agency picture and successfully complete all questions in the survey, you will need to consult other areas within your agency.

The survey:

- supports the government's digital transformation agenda and efficiency in government
- assesses agency transitioning to fully digital information management, and
- provides an opportunity for senior staff visibility of agency maturity in information and data management.

You can use the results of assessments to:

- improve awareness of what mature, best practice information management looks like
- identify pathways to improve your agency's information management performance
- set priorities for next steps to increase information management maturity, and
- build business cases for resources to improve whole of agency information management.

The Archives will use the findings from the survey to:

- plan future service delivery, such as transfers, digitisation and preservation
- provide practical information management advice to agencies
- prepare reports to the Minister and Prime Minister on the state of information management across the Australian Government

Benefits of effective information management

Australian Government activities range from developing national policies on trade, taxation, or foreign affairs, to servicing the claims for individual benefits and entitlements. Every day actions are taken or decisions made that affect the lives of Australian citizens, residents and visitors. Those actions and decisions are made based on the Commonwealth information and data produced

through the government's activities. Managing Commonwealth information and data as assets is essential for the ongoing success of your agency's business.

Well-managed business information is a valuable asset that contributes to good government through:

- supporting efficient business
- informing decision-making
- demonstrating government accountability and transparency
- assisting to mitigate risks
- adding economic value; and
- protecting rights and entitlements.

Better information management drives operational excellence, protects the agency during audits and legal matters and allows effective information integration activities. An agency with holistic enterprise-wide information governance reduces agency risks and improves operational efficiency.

Who is conducting the survey?

This survey is being conducted by ORIMA Research on behalf of the National Archives of Australia.

Who should complete the survey?

The survey can be accessed by anyone within your agency who has been created as a user. The survey can be accessed by multiple staff during the submission period, and they are able to edit and update responses prior to submission.

The survey should be completed and coordinated by the person (or people) with responsibility for information management within your agency, with assistance from other areas.

All relevant questions need to be completed prior to submission of your survey in each assessment period. Agencies attempting to submit an incomplete survey will be asked to complete missing questions prior to submission.

Who should submit our agency's survey responses?

Submission must be completed each survey period (during July to September annually). Submission can only be completed by a person within your agency who has the user type 'approver'. The 'approver' does not need to access the survey to complete the submission. Your 'approver' is your Head of Agency, unless otherwise agreed with the Archives.

How long will the survey take to complete?

The time to enter the data into the survey online should be around 45 minutes on average. However, additional time will be required to gather information to complete the survey. The survey does not need to be completed in one session.

A PDF copy of the [Survey Questionnaire](#) is available on the [Documents and Resource](#) page to provide you with a full list of the information required.

Is the survey confidential?

Information gathered in the survey will be treated as confidential. Any responses can only be viewed by staff who have been granted access in your agency, staff at the Archives and staff at ORIMA Research, who are bound by strict confidentiality provisions.

There is no intention to identify individual agencies in public reporting of the survey findings. In the event that the Archives wishes to publicly report individual findings (for example, as an example of good practice), the agency will be approached individually for consent prior to publication.

How do staff access the survey?

Each agency should have initial access provided to one nominated Check-up coordinator who manages access for other users within their agency, and is the 'Administrator' for the survey. If you are unsure who is your agency's Check-up coordinator, please contact your information management area.

If you are not the nominated Administrator and you wish to access the survey, contact the person in your agency with responsibility for information management, and ask them to provide you access. If the Check-up coordinator has left your agency, please contact ORIMA Research at CheckupPLUS@orima.com.

B. Privacy Statement

ORIMA Research will not disclose any identifiable research information for a purpose other than conducting our research or to overseas recipients unless we have your express prior consent or are required to do so by an Australian law.

Our Privacy Policy is available at www.orima.com and contains further details regarding how your agency can access or correct information we hold about it, how you can make a privacy related complaint and how that complaint will be dealt with. Should you have any questions about our privacy policy or how we will treat your information, you may contact our Privacy Officer, Liesel van Straaten on (03) 9526 9000.

Until we destroy our research records, your agency has the right to access the information that we hold about it as a result of this survey. Your agency may request at any time to have this information de-identified or destroyed.

If you have any queries about this survey, or would like any further information, you can call us on 1800 806 950.

C. Definitions

Term	Definition
Accountable disposal	Appropriate disposal action authorised by the National Archives through general or agency specific records authorities, or Normal Administrative Practice under section 24 of the <i>Archives Act 1983</i>
Contemporary information management	Management of information using current capabilities, technologies and tools in an environment that is increasingly and predominantly digital
Information architecture	Artefacts such as enterprise taxonomies, metadata registers, vocabularies, classification schemes, namespaces and ontologies
Retain as National Archives (RNA)	The disposal action for Commonwealth records appraised as having archival value. Records of archival value are often referred to as 'RNA records'.

D. Instructions

How should the assessment be completed?

1. Read each question carefully.
2. Where options have been provided, select the response that represents the answer you want to give. For example, if your agency was impacted by machinery of government changes in the last 12 months, mark option 1 as shown below:

10. Was your agency impacted by machinery of government change in the last 12 months?

[Please select all that apply]

- 1 Yes, gained a function(s)
- 2 Yes, lost a function(s)
- 3 No [Please go to the next section]

3. Where multiple answers apply, select each applicable answer.

11. What were the main information and data management issues or challenges for your agency from machinery of government changes in the last 12 months? [Please select up to three challenges]

- 1 Large volumes of physical records to move
- 2 Large volumes of digital objects to move
- 3 Physical records moving to a digital environment
- 4 Large, complex digital objects to move (e.g. migration of a significant database or datasets)

- 5 Need to develop specific supporting technologies to accommodate transfer of information assets (e.g. Application Programming Interface or API)
- 6 Difficulties surrounding security and or privacy concerns
- 7 Insufficient internal human resources with appropriate skills
- 8 Significant system development or modifications required
- 9 Lack of understanding and/or visibility of what information was impacted by the change
- 10 Negative impact of existing resourcing or funding
- 11 No significant impact
- 12 Other *[Please specify]* _____

E. Who do I contact for further information?

If you have any queries about Check-up PLUS, please email the Commonwealth Information Management Team at the Archives at information.management@naa.gov.au.

Please contact Mabel Dela Cruz from ORIMA at CheckupPLUS@orima.com if you have any questions about accessing or completing the survey.

II. Background

A. Agency profile

The purpose of this section is to collect profiling information about your agency and its environment. This information will be used to facilitate analysis of other data collected in the survey.

- 1 What is the name of your agency?

- 2 What is the name of your agency's portfolio?

- 3 Please specify the name and contact details of the head of your agency.

First name _____

Last name _____

Position _____

Email address _____

Telephone number _____

Postal address _____

- 4 Please specify the name and contact details of your agency's Check-up PLUS coordinator.

First name _____

Last name _____

Position _____

Email address _____

Telephone number _____

Postal address _____

Programming note: Online survey to pre-populate questions 1 to 4 from the agency sample list.

- 5 How many employees (full-time equivalent) are currently working in your agency?

Statement for out of scope agencies

Programming note: This section only displayed for agencies identified as out-of-scope on the system database / sample list. Agreement with the below statement can only be done by an 'approver' level user. This step will constitute 'submission' for out-of-scope agencies.

Your agency has been identified as being out-of-scope for Check-up PLUS. Out-of-scope agencies are not required to complete Check-up PLUS, but may choose to complete the survey as a self-assessment of their information and data management.

Any information supplied by out-of-scope agencies will not be included in the analysis and reporting of Check-up PLUS undertaken by the Archives.

Please request your agency head to read and acknowledge the confirmation that your agency is out-of-scope. Note: your agency head is required to finalise this process.

Coordinator levels users can request that the out-of-scope statement be sent to the Approver. This will create an auto-generated email with a unique URL that will allow the Approver to access the system without generating a password or logging in) and allow them to agree with the following out-of-scope statement and submit their response.

We agree that [name of agency] is out-of-scope for Check-up PLUS. We understand that our agency is not required to complete Check-up PLUS but can choose to use Check-up PLUS as an optional self-assessment tool. We understand that any information provided by our agency will not be included in analysis and reporting of Check-up PLUS undertaken by the Archives.

Following agreement with this statement, the system will display the following message on screen and send an automatically generated acknowledgement email to the Coordinator level user(s) and the Approver.

Your agency has been recorded as out-of-scope for Check-up PLUS. You have the option of using the survey as a self-assessment tool. If you choose to complete the survey, please treat all questions as optional.

Operating environment

- 6 Please choose the statement that best describes your agency's physical location(s)
- 1 Single office in a capital city in Australia *[Please go to question 10]*
 - 2 Single office in a regional centre in Australia *[Please go to question 10]*
 - 3 Multiple offices in capital cities in Australia *[Please go to question 10]*
 - 4 Multiple offices in various locations around Australia with a main office in a capital city *[Please go to question 10]*
 - 5 Multiple office in Australia and overseas (if they tick this box the statement below appears for their agreement)
 - 6 Other *[Please specify]:* _____
- 7 Please indicate whether your agency would like to include overseas information assets in your Check-up PLUS assessment.
- 1 Include information assets located overseas in our assessment (assessment will be based on information assets located in Australia and overseas) *[Please go to question 10]*
 - 2 Exclude information assets located overseas in our assessment (assessment will be based on information assets located in Australia only)
 - 3 Not applicable – our agency does not have information assets located overseas *[Please go to question 10]*

Statement for agencies that plan to exclude overseas information from their Check-up PLUS assessment

Please indicate whether your agency agrees with the following statements:

- 8 We acknowledge that information management requirements also apply to offshore offices and we have established appropriate governance and procedures to ensure all government information is appropriately managed according to its value. Where possible, we manage born digital information digitally to reduce information risks and for efficiency.
- 1 Agree *Please elaborate if necessary:*

 - 2 Disagree *Please elaborate:*

- 9 We confirm that we have identified Retain as National Archives (RNA) information in offshore offices and have policies and processes in place to ensure they are stored, protected and are able to be transferred to the National Archives in line with the requirements under the *Archives Act 1983*.
- 1 Agree *Please elaborate if necessary:*

 - 2 Disagree *Please elaborate:*

Impact of Machinery of Government change

10 Was your agency impacted by machinery of government change in the last 12 months? [Please select all that apply]

- 1 Yes, gained a function(s)
- 2 Yes, lost a function(s)
- 3 No [Please go to the next section]

11 What were the main information and data management issues or challenges for your agency from machinery of government changes in the last 12 months? [Please select up to three challenges]

- 1 Large volumes of physical records to move
- 2 Large volumes of digital objects to move
- 3 Physical records moving to a digital environment
- 4 Large, complex digital objects to move (e.g. migration of a significant database or datasets)
- 5 Need to develop specific supporting technologies to accommodate transfer of information assets (e.g. Application Programming Interface or API)
- 6 Difficulties surrounding security and or privacy concerns
- 7 Insufficient internal human resources with appropriate skills
- 8 Significant system development or modifications required
- 9 Lack of understanding and/or visibility of what information was impacted by the change
- 10 Negative impact of existing resourcing or funding
- 11 No significant impact
- 12 Other [Please specify] _____

III. Information management practice assessment

Information management best practice supports the ongoing development and maturity of the agency by taking an holistic approach to governance, building a culture that values information as an asset.

Please refer to the following key when using the standard maturity scale used in this part of the survey.

Scale point	Quantitative measure	Description
Almost always/always	More than 80% of the time	<ul style="list-style-type: none"> Best practice approach has become business as usual Change is planned, systematic and consistent across the agency Existing cycles of refresh and development, continuous monitoring and improvement is occurring across the agency
Usually/most of the time	61-80% of the time	<ul style="list-style-type: none"> Practice change is at an advanced stage Plans are being implemented Change has occurred in most parts of the agency
Often	41-60% of the time	<ul style="list-style-type: none"> Behavioural change is in progress Plans are established, resources have been identified Some change is occurring in parts of the agency
Sometimes	21 – 40% of the time	<ul style="list-style-type: none"> Initial steps have been taken and some progress has been made in either policy development or operation change The agency is preparing for change and has identified the necessary steps and resources, but progress is limited
Rarely/never	Less than 21% of the time	<ul style="list-style-type: none"> Change has not started or is limited Activities are isolated, ad hoc and unrelated to an holistic plan for change Behaviours are limited to specific individuals/areas rather than evidence of cross agency progress

A. Governance

The questions in this section relate to Information Management Standard [Principle 1: business information is systematically governed](#).

12 Please indicated whether your agency has established the following enterprise-wide strategies, policies and procedures* covering the management of all information assets across the agency.

* The strategy, policy or procedure may have an alternate name (or form part of a suite of documents) addressing the function(s).

		Is not developed / planned (yet)	Planning / consultation has commenced to develop	A draft version is under development	Is in place but needs to be updated/ revised	Is in place and up-to-date / current
a	Information management policy	1	2	3	4	5
b	Information governance and management strategy	1	2	3	4	5
c	Information security policy including (Protective Security Policy Framework or PSPF requirement)	1	2	3	4	5
d	Open access to information policy (Office of Australian Information Commission or OAIC requirement)	1	2	3	4	5
e	Confidentiality, Privacy or Data protection strategy and disclosure policy	1	2	3	4	5
f	Information risk management strategy	1	2	3	4	5
g	Agency specific records authorities	1	2	3	4	5
h	Accountable disposal policy and procedures Hover text on 'Accountable Disposal' to show definition text	1	2	3	4	5
i	Data policy and data management strategy (Prime Minister and Cabinet or PM&C requirement)	1	2	3	4	5

	Is not developed / planned (yet)	Planning / consultation has commenced to develop	A draft version is under development	Is in place but needs to be updated/ revised	Is in place and up-to-date / current	
j	<p>Enterprise-wide information architecture</p> <p>Hover text on the term 'Enterprise-wide information architecture': information architecture includes artefacts such as enterprise taxonomies, metadata registers, vocabularies, classification schemes, namespaces and ontologies</p>	1	2	3	4	5

13 To what extent are the following best practices implemented in your agency?

	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always	
a	<p>Information governance is implemented <u>holistically</u> to ensure complete and consistent management of all information assets regardless of format, location, type or value.</p> <p>Hover text on 'holistically': Holistic indicates all information and data regardless of format or location (onsite and offsite, including cloud) are covered by the information governance framework, and not isolated to discrete collections of information.</p>	1	2	3	4	5
b	Information management roles and responsibilities are established and articulated throughout the agency.	1	2	3	4	5
c	Everyone* has been made aware of their information management responsibilities.	1	2	3	4	5
d	<p>Contractual arrangements require the complete and consistent management of Australian Government information.</p> <p>This includes when information is held with third party providers, in the cloud or under shared services arrangements.</p>	1	2	3	4	5

		Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
e	Everyone* has access to appropriate training to develop contemporary information management skills relevant to their role, ensuring they have the capability to manage information and data for as long as it is required. Hover text on 'Contemporary Information Management' to show definition text	1	2	3	4	5
f	Data is managed across its lifecycle using systems and processes to reduce manual effort.	1	2	3	4	5

* Hover text on 'everyone': Everyone includes permanent staff at all levels, contractors and volunteers.

Please read this statement before answering the next question: The [Digital Continuity 2020](#) Policy recommends agencies establish an Information Governance Committee or similar mechanism. The committee should include broad representation from stakeholders across the agency (legal, regulatory, risk and business) to consider information management requirements when making decisions (for example, when acquiring new business systems or undertaking a significant project).

14 Does your agency have a formal governance mechanism (for example an information governance committee) with broad representation ensuring information management requirements are considered when making decisions?

- 1 Yes – for all agency information management decisions
- 2 Yes – for ICT-related matters only
- 3 Partial – the mechanism is planned but not fully implemented or lacks maturity
- 4 No

Identifying and understanding your information risks allows you to plan their mitigation. Risk management applied to information assets should reflect their value, now and into the future.

15 To what extent are the following best practices implemented in your agency?

	To what extent does your agency ...	Rarely / never	Sometimes, for our highest value assets	Often, for our high value information	Usually, with only low value or legacy still to be managed	Always / almost always
a	Undertake audits or reviews to identify the agency's information assets and the business owners.	1	2	3	4	5
b	Create and maintain an information asset register, catalogue or systems register.	1	2	3	4	5
c	Describe information assets through taxonomies, ontologies, categorisation tools, creating an information architecture that enables seamless sharing and reuse of information. Hover text on 'Information Architecture' to show definition text	1	2	3	4	5
d	Use analytics to identify how information is being used and how long it needs to be kept. For example, using statistical analysis or business intelligence tools as part of an information audit.	1	2	3	4	5

	To what extent does your agency ...	Rarely / never	Sometimes, for our highest value assets	Often, for our high value information	Usually, with only low value or legacy still to be managed	Always / almost always
e	Undertake regular, systemic risk management activities such as training, process reviews and application of security protocols specifically focused on information management.	1	2	3	4	5
f	Report results of information management risk assessments, including metrics and the level of success achieved.	1	2	3	4	5

16 In the last 5 years, has your agency undertaken an information audit to assess how well agency staff are complying with your information governance requirements for creating and managing business information?

- 1 Yes – in the last 2 years
- 2 Yes – between 2 and 5 years ago
- 3 No

Hover text on 'information audit': internal audit, review or systematic independent assessment of the effectiveness of information and data management, conducted by an internal auditor, subcontractor or evaluator not directly responsible for managing information and data.

B. Creating / generating information

The questions in this section relate to Information Management Standard [Principle 2: Necessary business information is created](#).

17 Please answer this question with reference to the findings from recent internal audits or other evidence on the extent of compliance with information governance requirements in your agency.

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always	Not sure
a	Create information as evidence of government business, enabling business operations, decisions and continuity.	1	2	3	4	5	6
b	Capture communications, research and investigations, deliberations, decisions made and actions taken.	1	2	3	4	5	6
c	Create and capture information that is complete, accurate and reliable.	1	2	3	4	5	6
d	Store unstructured and semi-structured information in the agency's approved information management systems.	1	2	3	4	5	6
e	Manage information in place, in business systems with appropriate functionality.	1	2	3	4	5	6
f	Keep information and data in <u>uncontrolled</u> environments.	1	2	3	4	5	6

18 To what extent are the following best practices implemented in your agency?

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
a	<p>Automate the process of information creation with digital systems and tools, for efficient and effective information management.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> managing digital information in the system where it is created storing and managing information in systems approved for information management not printing to paper for storage and preservation. 	1	2	3	4	5
b	<p>Ensure new or updated business systems and services (Software as a Service - SaaS) have the capacity to manage information in place for its whole life.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> assessing new and updated business systems (for example, using Business System Assessment Framework or BSAF) to meet the requirements of ISO 16175 managing information using automation (for example, automating governance). 	1	2	3	4	5
c	<p>Continually identify and remove paper from internal and external processes to improve efficiency.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> digitising paper as early as possible re-engineering procedures for digital efficiencies creating paper records only as exceptions to support client needs or comply with specific legislation. 	1	2	3	4	5

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
d	<p>Convert existing analogue formats to digital formats where there is a value to business.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> digitising paper for easy discovery and use moving to digital authorisations and workflows. 	1	2	3	4	5
e	<p>Automate the discovery and removal of duplicate, redundant, obsolete and trivial information.</p>	1	2	3	4	5
f	<p>Use appropriate technologies to automate processes.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> using digital signatures and authorisations by default recording decisions digitally implementing automated workflows. 	1	2	3	4	5

19 Please answer the following question about barriers to implementing best practice in your agency.

	To what extent....	Almost always/ always	Usually/ most of the time	Often	Sometimes	Rarely/ never
a	Are manual processes <u>preventing</u> your agency’s progress toward digital information management?	1	2	3	4	5
b	Does lack of appropriately secured systems for security classified digital information <u>prevent</u> progress toward digital information management?	1	2	3	4	5
c	Does lack of suitably qualified and experienced information management staff <u>prevent</u> progress toward digital information management?	1	2	3	4	5
d	Is a risk averse culture <u>preventing</u> progress toward digital information management?	1	2	3	4	5
e	Does your agency’s technological environment <u>prevent</u> data use, reuse and sharing?	1	2	3	4	5

C. Interoperability

The questions in this section relate to Information Management Standard [Principles 3: Business information is adequately described](#) and [Principle 8: Business information is available for use and reuse](#).

20 Does your agency identify itself as data-centric?

1. Yes – a high level of business functions centre around data (e.g. scientific, geospatial, high volume transactional, complex datasets)
2. Yes – a medium level of business functions centre around data
3. No

21 To what extent does your agency describe data assets consistently so they are understood?

	To what extent does your agency ...	Is not developed / planned (yet)	Planning / consultation has commenced to develop	A draft version is under development	Is in place but needs to be updated/ revised	Is in place and up-to-date / current
a	Adopt standardised data models at the appropriate level, for example: enterprise, domain, government, international. <i>Hover text on 'domain': agencies of similar business e.g. geospatial, financial regulation etc.</i>	1	2	3	4	5
b	Adopt relevant metadata standards at the appropriate level, for example: enterprise, domain, government, international. <i>Hover text on 'domain': agencies of similar business e.g. geospatial, financial regulation etc.</i>	1	2	3	4	5
c	Manage metadata using a metadata repository or register.	1	2	3	4	5
d	Undertake data discovery and indexing activities using data catalogues, dataset registers or indexes.	1	2	3	4	5

22 To what extent does your agency assess and maintain the quality of its data assets?

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always	Not measured in the audit
a	Monitor data for accuracy, providing and documenting remediation where needed.	1	2	3	4	5	6
b	Identify data flow issues, using for example, data profiling or search and query tools.	1	2	3	4	5	6
c	Adopt standardised file formats to enable use and reuse.						
d	Assign roles and responsibilities for data management, curation or stewardship.	1	2	3	4	5	6
e	Collect descriptive information (metadata) in line with the Information Management Standard.	1	2	3	4	5	6
f	Ensure data governance is strong and embedded, guiding all other data functions. Hover text on 'strong and embedded': strong and embedded governance help to create processes that allow quality data to be used for strategic purposes, which in turn maximises data potential.	1	2	3	4	5	6

23 To what extent does your agency enable access to information according to legislation, user rights and permissions?

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
a	Assign roles and responsibilities to improve and coordinate access.	1	2	3	4	5
b	Implement authentication processes, access rights and privileges to systems and applications that are responsive to users' roles.	1	2	3	4	5
c	Automate information access based on business rules and roles.	1	2	3	4	5

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
d	Determine custody, ownership and negotiate conditions for sharing information and data.	1	2	3	4	5
e	Adopt an open by default position, documenting exceptions and the conditions upon whether access can be granted.	1	2	3	4	5

D. Storing (and preserving) information digitally

The questions in this section relate to Information Management Standard [Principle 4: Business information is suitably stored and preserved](#) and [Principle 7: Business information is saved in systems where it can be appropriately managed](#).

24 To what extent are the following best practices implemented in your agency?

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
a	Use contemporary technologies to reduce the cost of providing and managing digital information storage. For example, moving to cloud storage for savings or efficiency gains.	1	2	3	4	5
b	Convert and migrate information and its metadata to ensure it remains usable.	1	2	3	4	5
c	Implement preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required.	1	2	3	4	5
d	Migrate information into current business systems where there is need or business value.	1	2	3	4	5
e	Ensure digital repositories have appropriate functionality to preserve information according to its value. For example, meet international standards, such as the Open Archival Specification System (OAIS) Reference Model (ISO 14721) for digital repositories for high value information.	1	2	3	4	5
f	Ensure information and data movements are traceable and transparent, and metadata accompanies data throughout its life.	1	2	3	4	5
g	Ensure information that needs to be protected or secured (personally identifiable information, national security) is identified and managed appropriately (Information Security Manual requirement).	1	2	3	4	5

E. Disposing (destruction and transfer)

The questions in this section relate to Information Management Standard [Principle 5: how long business information should be kept is known](#) and [Principle 6: business information is accountably destroyed or transferred](#).

25 To what extent are the following best practices implemented in your agency?

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
a	<p>Establish governance across all business systems for the identification, destruction or transfer of agency information assets.</p> <p>For example, under an approved, accountable disposal policy and process.</p> <p>Hover text on 'Accountable Disposal' to show definition text</p>	1	2	3	4	5
b	<p>Automate identification and destruction of low value and low risk information.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> configuring an agency's EDRMS to flag information for destruction sentencing on creation implementing identification and destruction of low value information assets in existing business systems. 	1	2	3	4	5
c	<p>Ensure business systems with high risk information are configured to identify information for disposal based on records authorities (including identifying Retain as National Archives or RNA).</p> <p>Hover text on 'RNA' to show definition text</p>	1	2	3	4	5
d	<p>Base the transfer of information, both to the Archives or during Machinery of Government changes, on shared standards (for example, Archives' minimum metadata set requirements) and agreed business requirements.</p>	1	2	3	4	5

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
e	<p>Ensure RNA information assets across systems and locations have been identified to ensure appropriate management and governance are in place.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> • knowing which systems hold RNA • knowing the percentage of RNA stored. 	1	2	3	4	5
f	<p>Ensure existing information has been sentenced and the disposal action is known (even if it has not been carried out).</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> • sentencing information at the appropriate level (aggregation) • sentencing digital information on creation • identifying, and planning appropriate or accountable disposal of, information in legacy systems. <p>Hover text on 'Accountable Disposal' to show definition text</p>	1	2	3	4	5

IV. Records authorities and RNA arrangements

This next section of Check-up PLUS covers disposal of information assets, RNA and planned transfers of RNA to the National Archives. [Hover text on first instance of 'RNA' to show definition text](#)

A. Records authority coverage

26 Please indicate the percentage of information and records of your core business that are covered by agency-specific records authorities (in addition to/excluding AFDA Express or general records authorities)

_____ % Positive whole numbers from 0 to 100

27 Has your agency destroyed information in the last 12 months?

- 1 Yes
- 2 No [[Please go to question 28](#)]

Statement of Assurance for Records Destruction

Your agency can now provide the following Statement of Assurance regarding accountable destruction (replacing NAS45).

If you agree to the following statement and submit your Check-up PLUS survey, your agency is providing assurance of destruction of records under the *Archives Act 1983*.

I confirm that the agency has accountable destruction practices in place and has destroyed information and records in line with the National Archives of Australia's requirements.

B. RNA Volumes

Please answer the following questions about the volume of various information and data held by your agency.

Audio-Visual Digital Records

28 Audio-visual information managed and stored in digital formats:

i Total volume:

- 1 _____ [Drop down: Gigabytes/Terabytes/Petabytes](#) (please choose the most appropriate unit(s) of measurement) [[If zero volume go to next question](#)]

- ii Amount (or percentage) of RNA:
- 1 _____ Drop down: Gigabytes/Terabytes/Petabytes (please choose the most appropriate unit(s) of measurement)
 - 2 _____% Positive whole numbers from 0 to 100
 - 3 Not known [go to part iv]

- iii How confident are you regarding the volume (or percentage) of RNA?

- 1 Not confident at all
- 2 Not very confident
- 3 Somewhat confident
- 4 Confident
- 5 Very confident

If part ii = Option 3 (Not known) or part iii = Option 1 or 2 (Not confident at all or Not very confident), online survey to display part iv (and then go to next question). If part iii=Option 3, 4 or 5, do not display part iv and go to part v.

- iv What is the main reason your agency is unsure of the volume (or percentage) of RNA?

- 1 Lack of records authority coverage
- 2 Insufficient staff/budget/resources to undertake sentencing
- 3 Not a business priority to undertake sentencing projects
- 4 Records are current and sentencing is not needed
- 5 No experience in sentencing
- 6 No procedures for sentencing
- 7 Other [please specify]: _____

[If answered part iv, go to next question]

- v What is the proportion of your agency's audio visual digital records that have been sentenced?

- 1 All
- 2 Some: _____ % Positive whole numbers from 0 to 100
- 3 None

Audio-Visual Physical Records

- 29 Audio-visual records managed and stored in physical formats:

- i Total Volume of records:

- 1 _____ Shelf metres [If zero volume go to next question]

- ii Amount (or percentage) of RNA:
- 1 _____ Shelf metres
 - 2 Percentage of RNA: _____ % Positive whole numbers from 0 to 100
 - 3 Not known [go to part iv]
- iii How confident are you regarding the volume (or percentage) of RNA?
- 1 Not confident at all
 - 2 Not very confident
 - 3 Somewhat confident
 - 4 Confident
 - 5 Very confident

If part ii = Option 3 (Not known) or part iii = Option 1 or 2 (Not confident at all or Not very confident), online survey to display part iv (and then go to next question). If part iii=Option 3, 4 or 5, do not display part iv and go to part v.

- iv What is the main reason your agency is unsure of the volume (or percentage) of RNA?
- 1 Lack of records authority coverage
 - 2 Insufficient staff/budget/resources to undertake sentencing
 - 3 Not a business priority to undertake sentencing projects
 - 4 Records are current and sentencing is not needed
 - 5 No experience in sentencing
 - 6 No procedures for sentencing
 - 7 Other [please specify]: _____

[If answer part iv, go to next question]

- v Proportion of records sentenced:
- 1 All
 - 2 Some: _____ % Positive whole numbers from 0 to 100
 - 3 None

Digital Information Records

30 Existing digital information and data:

- i Total volume of digital information and data:
- 1 _____ Drop down: Gigabytes/Terabytes/Petabytes (please choose the most appropriate unit(s) of measurement) [If zero volume go to next question]

ii Amount (or percentage) of RNA:

- 1 _____ Drop down: Gigabytes/Terabytes/Petabytes (please choose the most appropriate unit(s) of measurement)
- 2 Percentage of RNA: _____% Positive whole numbers from 0 to 100
- 3 Not known [Go to part iv]

iii How confident are you regarding the volume (or percentage) of RNA?

- 1 Not confident at all
- 2 Not very confident
- 3 Somewhat confident
- 4 Confident
- 5 Very confident

If part ii = Option 3 (Not known) or part iii = Option 1 or 2 (Not confident at all or Not very confident), online survey to display part iv (and then go to next question). If part iii=Option 3, 4 or 5, do not display part iv and go to part v.

iv What is the main reason your agency is unsure of the volume (or percentage) of RNA?

- 1 Lack of records authority coverage
- 2 Insufficient staff/budget/resources to undertake sentencing
- 3 Not a business priority to undertake sentencing projects
- 4 Records are current and sentencing is not needed
- 5 No experience in sentencing
- 6 No procedures for sentencing
- 7 Other [please specify]: _____

[If answer part iv, go to next question]

v Percentage of RNA held in:

- 1 EDRMS and/or approved information management system: _____%
- 2 Current working business systems: _____%
- 3 Other locations (for example email, corporate systems, HR, Finance, network drives): _____%
- 4 Legacy systems: _____% Positive whole numbers from 0 to 100. Sum to 100%.

vi Proportion of digital information and data sentenced:

- 1 All
- 2 Some: _____% Positive whole numbers from 0 to 100
- 3 None

Physical Records

31 Existing physical records:

i Total volume of records:

1 _____ Shelf metres [If zero volume go to next question]

ii Amount (or percentage) of RNA:

1 _____ Shelf metres

2 Percentage of RNA: _____ % Positive whole numbers from 0 to 100

3 Not known [Go to part iv]

iii How confident are you regarding the volume (or percentage) of RNA?

1 Not confident at all

2 Not very confident

3 Somewhat confident

4 Confident

5 Very confident

If part ii = Option 3 (Not known) or part iii = Option 1 or 2 (Not confident at all or Not very confident), online survey to display part iv (and then go to next question). If part iii=Option 3, 4 or 5, do not display part iv and go to part v.

iv What is the main reason your agency is unsure of the volume (or percentage) of RNA?

1 Lack of records authority coverage

2 Insufficient staff/budget/resources to undertake sentencing

3 Not a business priority to undertake sentencing projects

4 Records are current and sentencing is not needed

5 No experience in sentencing

6 No procedures for sentencing

7 Other [please specify]: _____

[If answer part iv, go to next question]

v (Actual or estimated) proportion of RNA records created:

1 Before 1980: _____ %

2 From 1980: _____ % Positive whole numbers from 0 to 100. Sum to 100%.

vi Proportion of physical records sentenced:

- 1 All
- 2 Some: _____ % Positive whole numbers from 0 to 100
- 3 None

C. Transferring to the National Archives

32 Is your agency planning to transfer RNA to the Archives in the next 12 months?

- 1 Yes [if “Yes”, pop up “A member of the Transfers team will contact your agency after the end of the survey submission period.”]
- 2 No [Please go to Section V]

33 Is your planned transfer already on the Archives’ National Transfer plan?

- 1 Yes
- 2 No [if “No”, pop-up “If you are not on the Archives’ National Transfer Plan or are unsure, please contact the Agency Service Centre”] [Please go to Section V]

34 Has the information been sentenced in preparation for transfer?

- 1 Yes
- 2 No [Please go to Section V]

RNA categories for transfer table only appears when the answer to questions 33 and 34 is ‘Yes’

35 Please provide a profile of the planned transfer, including details of the amount and size of the transfer. [Online form to pre-populate this table where data is available]

	i. Number of RNA records to be transferred*	ii. Volume of RNA records to be transferred*
Physical Records		
Paper records		
a Unclassified	_____	_____ shelf metres
b Classified excluding Secret and Top Secret	_____	_____ shelf metres
c Secret and Top Secret only	_____	_____ shelf metres
Audio visual in physical formats		
d Unclassified	_____	_____ shelf metres
e Classified excluding Secret and Top Secret	_____	_____ shelf metres
f Secret and Top Secret only	_____	_____ shelf metres
Photographs including printed photographs and negatives		
g Unclassified	_____	_____ shelf metres
h Classified excluding Secret and Top Secret	_____	_____ shelf metres
i Secret and Top Secret only	_____	_____ shelf metres

	i. Number of RNA records to be transferred*	ii. Volume of RNA records to be transferred*
Other physical including maps, plans, microfiche, microfilm		
j Unclassified	_____	_____ shelf metres
k Classified excluding Secret and Top Secret	_____	_____ shelf metres
l Secret and Top Secret only	_____	_____ shelf metres
Digital Records		
Digital records (excluding audio-visual in digital formats)		
m Unclassified	_____	_____ Drop down: Gigabytes (GB); Terabytes (TB); Petabytes (PB)
n Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB
o Secret and Top Secret only	_____	_____ Drop down: GB, TB, PB
Audio visual in digital formats		
p Unclassified	_____	_____ Drop down: GB, TB, PB
q Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB
r Secret and Top Secret only	_____	_____ Drop down: GB, TB, PB

* Programming note: Restrict to positive whole numbers.

The Archives recommends undertaking a declassification activity prior to transfer to ensure information in the collection is open and accessible.

36 Has a declassification activity been completed for the proposed transfer?

- 1 Yes
- 2 No

V. Costs and efficiencies

This next section of Check-up PLUS covers costs and efficiencies when managing your agency's information assets.

A. Outsourcing

37 Is your agency a provider of shared services for information management?

- 1 Yes
- 2 No

38 Do you outsource the delivery of information management services, either through shared service arrangements or through a commercial service provider? *[Please select all that apply]*

- 1 Yes – Through a shared service arrangement
- 2 Yes – Through a commercial provider *[Please go to question 40]*
- 3 No *[Please go to question 43]*

Programming note: If option 1 (Yes – Through a Shared Service Arrangement) is chosen in question 38, ask the following question.

39 Which statement best describes your shared service arrangements?

- 1 My agency participates in a single shared service arrangement for the delivery of information management capability
- 2 My agency participates in a number of shared service arrangements for the delivery of information management capability

40 Do you outsource the following services? *[Please select all that apply]*

Services	Yes – For digital information	Yes – For physical / analogue information	No – We do not outsource this service
a Storage	1	2	3
b Retrieval and delivery	1	2	3
c Sentencing	1	2	3
d Disposal (destruction and transfer)	1	2	3
e Digitisation of physical files (including the Archives' Agency Digitisation Service)	1	2	3
f Management of paper file registry	1	2	3
g Other <i>[Please specify]:</i> _____	1	2	3

41 What is the main reason for your agency outsourcing these services?

- 1 To save money, reduce costs
- 2 Lack of skilled resources in the agency
- 3 Management preference
- 4 For security
- 5 Other *[Please specify]*: _____

42 What were the total costs of these contracts for the last 12 months?

- i Shared service
 - 1 Amount: _____ dollars
 - 2 Not known
- ii Commercial provider
 - 1 Amount: _____ dollars
 - 2 Not known

Total spend: _____ dollars *[Auto-sum of option 1 and 2]*

43 How much is it costing your agency to store its physical information assets? Please provide detailed costs for parts (a) to (c) separately if available. If not available, please provide the total cost.

	i. Of those records in storage, what proportion are held in:*	ii. How many shelf metres is used by physical records in storage?*	iii. What was the cost of storing your agency's physical records in the previous year?
a Onsite dedicated storage	_____ %	_____	\$ _____
b Offsite (under agency control)	_____ %	_____	\$ _____
c Offsite (under third party control)	_____ %	_____	\$ _____
Total	100% <i>[Validation: a-c sum to 100%]</i>	_____ <i>[Auto-sum a-c if any is answered]</i>	\$ _____ <i>[Auto-sum a-c if any is answered]</i>

* Programming note: Restrict to positive whole numbers (percentage 0 to 100).

44 Has the volume of physical records in storage changed in the last 12 months?

- 1 Yes – it has increased
- 2 Yes – it has decreased
- 3 No – it is (roughly) unchanged

45 How does your agency calculate the cost of digital storage for reporting purposes? [Please select all that apply]

- 1 Our agency does not calculate the cost of digital storage for reporting purposes [Please go to the end of the survey]
- 2 We calculate it as a percentage of the overall / total cost of ownership
- 3 Business owners calculate it as part of business as usual processes
- 4 ICT budgets calculate storage costs as part of business costs for hardware
- 5 Other [Please specify]: _____

46 Please elaborate on the method and/or formula used by your agency to calculate the cost of digital storage for reporting purposes.

This is the final section of the assessment form

Please [submit](#) your survey to the Archives to complete the assessment

Submission Process

Coordinator levels users will be able to view a submission page. The submission page can be accessed via a link on the final page of the survey and from the menu. After all survey questions have been completed, Coordinators will be able to mark the survey as 'Ready for Approval'. This will:

- lock the survey, preventing any changes from Assessor or Coordinator level users
- send an automatically generated email to the Approver
 - This email will include a unique URL that will allow the Approver to access the system (without generating a password or logging in), view the survey answers, approve or not approve the survey (and include comments about why the survey was not approved) and submit the agency's response to National Archives.
 - If Approvers wish to edit the survey directly, they will be provided with instructions on how to log in (including how to create a password).
- display text on the survey and submission pages indicating that the survey has been marked as 'Ready for Approval', an email has been sent to the agency head to approve the survey and that the survey cannot be edited
- allow the Coordinator to indicate the survey is 'Not Ready for Approval'. This will generate an email to the Approver indicating that the Coordinator has withdrawn the request to approve the survey and will need to request approval again after making changes to the survey.

After the survey has been submitted to the Archives, the submission and survey pages will indicate that the survey has been submitted to the Archives for the current reporting period and has been locked. An automatically generated email will be sent to the Coordinator(s) and Approver as a record of the submission.

After submission, the submission page will allow Coordinator or Approver level users to 'recall' their submission. This will create an automatically generated email to be sent to the Coordinator(s) and Approver to indicate that the survey has been recalled and that it must be submitted again before the end of the fieldwork period. The survey will be unlocked after the survey has been recalled.