



Your story, our history



Check-up Digital

July 2016

A tool for gauging your digital information management maturity



© Commonwealth of Australia (National Archives of Australia) 2016.

This product, excluding the National Archives of Australia logo, Commonwealth Coat of Arms and any material owned by a third party or protected by a trademark, has been released under a Creative Commons BY 4.0 (CC–BY-NC 4.0) licence.

Excluded material owned by third parties may include, for example, design and layout, images obtained under licence from third parties and signatures. The National Archives of Australia has made all reasonable efforts to identify and label material owned by third parties.

You may copy, distribute, remix and build on this work. However, you must attribute the National Archives of Australia as the copyright holder of the work in compliance with its attribution policy available at naa.gov.au/copyright and indicate if changes were made. You may not use this work for commercial purposes. The full terms and conditions of this licence are available at creativecommons.org/licenses/by-nc/4.0/. Inquiries relating to copyright should be emailed to checkup@naa.gov.au.

Contact officer

Enquiries regarding Check-up Digital should be directed to:

Information Policy and Systems
National Archives of Australia
PO Box 7425
Canberra Business Centre ACT 2610
Telephone: (02) 6212 3610
Email: checkup@naa.gov.au

Table of Contents

Introduction	1
1 Optimising business outcomes	2
1.1 My agency works digitally by default	2
1.2 My agency's information governance framework is digital-ready	7
1.3 Senior management supports digital information management as a priority	11
1.4 My agency's business decisions are informed and influenced by digital information management costs and benefits	16
1.5 Effective digital information management improves my agency's business outcomes.....	20
2 Addressing risk	25
2.1 Everyone meets their digital information management roles and responsibilities	25
2.2 My agency sufficiently resources its digital information management program.....	31
2.3 My agency's digital information is authentic, reliable and accurate.....	35
2.4 My agency manages the appropriate retention, migration or destruction of its digital information.....	39
2.5 My agency actively manages its digital information for as long as needed	44
2.6 Digital information in outsourced provider and third-party arrangements is managed.....	49
2.7 Digital information in collaborative spaces and social media is managed	53
3 Managing business systems	57
3.1 Digital information in my agency's business systems is managed	57
3.2 Management of digital information is planned when acquiring or developing, upgrading, decommissioning and migrating business systems	64
3.3 My agency is ready to migrate (transfer) 'Retain as National Archives' (RNA) digital information to the National Archives (the Archives).....	68
3.4 My agency's digital information is available for use and protected from unforeseen loss.....	72

Introduction

Check-up Digital helps you gauge your agency's digital information management maturity. It is based on a five-level capability maturity model that includes benchmarks and examples to help you determine your agency's rating. It also provides a pathway for improving your agency's digital information management over time.

A Check-up Digital assessment has three sections with 16 performance statements in total:

- Section 1 'Optimising business outcomes' is about linking good digital information management with good business outcomes and strategies for improving digital information management;
- Section 2 'Addressing risk' is about managing your agency's risks through appropriate resourcing and information quality; and
- Section 3 'Managing business systems' is about key aspects of managing digital information in business systems.

This document contains a full version of Check-up Digital, including all statements, capabilities, benchmarks and examples. It also includes the resources and references you may need when completing your assessment. You can use this document to discuss your approach to Check-up Digital with colleagues in your agency. You can also send parts of the document to relevant work areas for their input.

There are some changes to the statements in Check-up Digital 2016, reflecting the requirements of the [Digital Continuity 2020 policy](#) which was released in October 2015. Targets from the Policy to be achieved in 2016 are listed against relevant statements within Check-up Digital. When providing your rating, comments and validation documents, you should consider your progress towards these targets. For statements without specific targets, you should report general progress towards meeting requirements of Digital Continuity 2020 Policy principles, pathways and targets.

Five statements (1.1, 1.2, 1.3, 2.1 and 3.1) require documentary evidence to be uploaded for a rating of 'level 2- Developing' or higher. All other statements now require documentary evidence to be uploaded for a rating of 'level 5 - Optimising'. Otherwise, submitting evidence to support a rating is optional.

1 Optimising business outcomes

1.1 My agency works digitally by default

When rating your agency consider the extent to which:

- your agency's business processes, systems, technologies and tools systematically manage the ownership, creation, storage, use, access, continuity, metadata preservation, destruction or migration (transfer) of data or information in digital formats suitable for your agency's business; and
- your agency has reviewed any paper-based processes, including filing practices, approval processes and applications, for replacement with digital processes (unless there is a compelling business or compliance requirement).

Mature agencies have systematically implemented digital workflows and authorisations as the preferred way of working, and digital information is managed digitally.

Digital Continuity 2020 Policy – 2016 targets

Statement 1.1 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- All records created in digital formats after 1 January 2016 are managed digitally.

Upload documents for this statement

You need to provide documents to validate your rating for levels 2-5. For example, your agency's strategic information management plan, or documents showing that your agency's work is 'digital by default', such as business process training materials, business process procedures or digital approval or authorisation workflows.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Working digitally by default	My agency is aware of some of the benefits of working digitally.	My agency has formal plans to review how it works, and systematically implement digital business processes, systems, technologies and tools throughout.	My agency has implemented some digital business processes, systems, technologies and tools, as planned.	My agency has systematically transformed many business processes, systems, technologies and tools to digital, as planned.	My agency works digitally by default.
Examples:	<ul style="list-style-type: none"> • My agency uses some digital business processes but not in a systematic way • My agency sometimes scans or digitises incoming paper correspondence in an <i>ad hoc</i> way • Some information is distributed digitally via email • In my agency people work digitally but rely on paper records or are required to print digital records 	<ul style="list-style-type: none"> • My agency has an information review plan to systematically identify when, where and how digital information needs to be created, captured and managed • My agency has a plan to review all key business processes, systems, technologies and tools with the intention to move to digital processes • My agency has an agency-wide 	<ul style="list-style-type: none"> • My agency has completed an information review for some business processes areas or systems (eg high risk information), as planned, and has some business process improvements underway (eg limiting the creation of paper records) • My agency has analysed some business processes as planned, to determine information management 	<ul style="list-style-type: none"> • My agency has completed an information review for most business process areas or systems, as planned, and has made many digital improvements • All paper forms have been replaced with digital processes and forms • Information submitted digitally is reused, stored and managed in digital business systems • Online forms are designed or 	<ul style="list-style-type: none"> • My agency creates, captures and manages all information in digital form • My agency only creates paper records as an exception and where it is essential to do so (such as for network security, size limitations) • My agency continually reviews, analyses and improves business processes that create, capture and manage digital

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	<p>to store as paper</p> <ul style="list-style-type: none"> Information is generally duplicated in paper and digital form 	<p>project to phase out filing its records in paper files</p> <ul style="list-style-type: none"> My agency has funding to replace paper forms with online processes and digital information management My agency has a project to phase out physical signatures for all authorisations and approvals My agency has several business improvement and transformation projects to develop digital business processes 	<p>requirements, and for these processes it has identified some strategies for managing digital information digitally</p> <ul style="list-style-type: none"> All public forms are digital and information collected is saved and managed digitally Business areas save their correspondence into digital business systems or an EDRMS rather than printing to paper Electronic communications with stakeholders are treated as formal communications and are rarely followed up with paper copies 	<p>redesigned to capture and use additional relevant descriptive data (metadata)</p> <ul style="list-style-type: none"> All client communications and responses are created, sent and recorded in digital business systems or an EDRMS All invoices are received, approved, paid and kept digitally Digital workflows are integrated across business systems My agency uses mobile technology to conduct some of its business, and has processes and tools to manage its digital information 	<p>information digitally</p>

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
			<ul style="list-style-type: none"> ICT system management processes incorporate digital information management requirements 		

The Australian Government requires agencies to work digitally to deliver improved services, increase efficiency and innovation, and provide leadership in the transition to a digital economy. For some agencies this means meeting specific targets. For example, high-volume agency transactions must be conducted digitally by 2017. To work digitally your agency needs appropriate digital information management infrastructure.

Where you may find evidence to support your agency rating (examples only):

- agency strategic, business and/or information management strategy and planning documents showing that your agency is planning to transform its business processes to digital
- agency information management strategy, policy, procedural, training and education materials showing that no, some, many, or all digital processes are being used
- business process and information management policies, procedures, processes training and education materials showing that no, some, many, or all digital processes are being used
- agency business system and office productivity tools functionality
- business cases supporting business system acquisition or redevelopment and/or business process analysis and renewal
- photocopy paper budget or spending and trend over recent years (assuming reduced spending on paper if digital information is managed digitally)
- physical onsite and offsite storage budget or spending and trend over recent years (assuming reduced physical storage if digital information is managed digitally)
- discussion with business managers, information managers and agency staff in business areas shows no, some, many, all digital processes
- agency key corporate and strategic documents
- discussion with business managers, information managers and agency staff in business areas
- previous Check-up results or reports, agency and ANAO audit reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 1 – Information is valued](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Benefits of digital information and records management](#)

National Archives of Australia, [Conducting an information review](#)

National Archives of Australia, [Information governance](#)

National Archives of Australia, [Policies, procedures and guidelines](#): Defining your agency's approach to records management

Australian Government Information Management Office, Department of Finance and Deregulation, [Australian Public Service Information and Communications Technology Strategy 2012–2015](#), 2012.

Australian Government Information Management Office, Department of Finance and Deregulation, [Australian Public Service Mobile Roadmap](#), 2013.

Australian National Audit Office, [Audit Report No. 53 2011–12 Performance Audit: Records management in the Australian Public Service](#), Recommendation 2, 2012.

Australian Signals Directorate, Department of Defence, [Bring Your Own Device \(BYOD\) for Executives](#), 2014.

Department of Broadband, Communications and the Digital Economy, [Advancing Australia as a Digital Economy: an update to the National Digital Economy Strategy](#), Action 13 Implement the Digital First initiative, 2013, p. 48.

Turnbull, Malcolm, Minister for Communications, [The Coalition's Policy for E-Government and the Digital Economy](#), 2013, p. 19.

1.2 My agency's information governance framework is digital-ready

When rating the effectiveness of your agency's information governance framework consider whether it:

- identifies your agency's digital information and includes your agency's principles and requirements for managing digital information;
- is documented and endorsed by senior management;
- is systematically communicated and implemented across your agency; and
- is assessed against expected outcomes.

Mature agencies have an information governance framework which identifies its digital information and its digital information requirements and standards, and is systematically communicated, implemented and successfully assessed throughout the agency.

Digital Continuity 2020 Policy – 2016 targets

Statement 1.2 closely relates to Principle 1 – *Information is valued* and specifically the following target:

- Agencies have an information governance framework by 31 December 2016.

Upload documents for this statement

You need to provide documents to validate your rating for levels 2-5. For example, your agency's information governance planning documents, information governance framework or your records and information management strategy and policy document, data sharing policy document or framework implementation and/or digital information measurement and evaluation documents.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Effective digital information governance framework	My agency has not documented digital information requirements in its information governance framework.	My agency has formal plans to develop its information governance framework to include digital information.	My agency's digital information governance framework is somewhat effective.	My agency's digital information governance framework is usually effective.	My agency's digital information governance framework is fully effective.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Examples:	<ul style="list-style-type: none"> • My agency's information governance framework mostly relates to paper records • My agency has not documented its information governance framework or its information management and strategies 	<ul style="list-style-type: none"> • Digital information requirements are under development • My agency has included digital information requirements in its information governance framework, but is yet to implement them • My agency has developed some metrics to measure its digital information governance framework's effectiveness 	<ul style="list-style-type: none"> • My agency's digital information governance framework is documented and some strategies, principles, policies and procedures have been implemented • My agency has some metrics to measure its information governance framework's effectiveness, and has found it to be effective in some parts or business areas • My agency's digital information governance framework is measured as somewhat effective, but the framework needs further development, or its implementation 	<ul style="list-style-type: none"> • Strategies, principles, policies and procedures identified in my agency's digital information governance framework are systematically implemented across the agency • Metrics show the digital information governance framework in my agency is effective in relation to most information or business areas • Metrics show there may be small pockets in my agency where its digital information governance framework is not effective 	<ul style="list-style-type: none"> • My agency's digital information governance framework is implemented, assessed, reviewed and continuously improved • Digital information governance is an integral part of my agency's corporate governance • My agency's digital information governance framework incorporates whole-of-government digital objectives

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
			needs to be more consistent across the agency		

An information governance framework is the legal, regulatory and business context within which information assets are created, used and managed. Documenting this for your agency sets out an approach and commitment to implementing an effective information governance framework and the controls that are required to maintain it. Given the particular needs and risks associated with digital information, your agency's information governance framework also needs to consider and document the specific principles, standards and/or other governance requirements for digital information. This includes identifying what digital information your agency manages, where it is kept, who has responsibilities, how it is created and managed to support your agency's business and accountability requirements.

Where you may find evidence to support your agency rating (examples only):

- your agency's information governance documents (may be a separate document or comprised of several documents, such as strategies, policies and procedures, roles and responsibilities, your agency's Information Publication Scheme (IPS) information architecture documentation)
- your agency's corporate governance framework and related review and planning processes, including the relative visibility of digital information management in corporate governance materials
- your agency's strategy and policy documents
- your agency's annual report
- your agency's previous Check-up results or reports
- discussion with information management and corporate governance staff.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 1 – Information is valued](#)

National Archives of Australia, [Benefits of digital information and records management](#)

National Archives of Australia, [Digital Transition Policy](#)

National Archives of Australia, [Information governance](#)

National Archives of Australia, [Information governance framework](#)

National Archives of Australia, [Information management policy](#)

National Archives of Australia, [Information management strategy](#)

Australian Government Information Management Office, Department of Finance and Deregulation, [Australian Public Service Mobile Roadmap](#), 2013.

Department of Finance, [Resource Management Guide No. 209 – Guidance for Commonwealth entities on the requirements to keep non-financial records](#), 2015

Digital Transformation Office, [Digital Service Standard](#), 2016

[Public Governance, Performance and Accountability Act 2013 s.16](#), Duty to establish and maintain systems relating to risk and control

Office of the Australian Information Commissioner, [\[Guidelines\] Part 13 – Information Publication Scheme](#) (IPS), 2013, p. 26, 'Governance and administration'.

1.3 Senior management supports digital information management as a priority

When rating your agency consider the extent to which:

- senior management is aware of digital information management issues;
- senior management sets clear expectations about digital information management for effective decision-making;
- senior management regularly articulates expectations for digital information management;
- senior management reinforces effective digital information management messages through behaviours; and
- your agency's digital information management culture has matured in recent times.

In mature agencies, senior management promotes and develops appropriate digital information management as a priority, through awareness, setting expectations and personal behaviour.

Digital Continuity 2020 Policy – 2016 targets

Statement 1.3 closely relates to Principle 1 – *Information is valued* and specifically the following target:

- Agencies have an information governance committee by 30 June 2016.

Upload documents for this statement

You need to provide documents to validate your rating for levels 2-5. For example, documents showing senior management responsibility, buy-in and support from relevant information specialist stakeholders such as those responsible for ICT, legal, business, information management, security, privacy, and freedom of information.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Senior management supports digital information management	Senior management is aware of some benefits of digital information management or is yet to recognise the benefits of digital information management.	My agency has identified and implemented strategies to increase senior management support for digital information management.	Senior management supports an agency culture that creates, manages and uses its information digitally.	Senior management promotes digital information management as a priority.	Senior management champions digital information management and drives a culture that continuously improves digital information management inside and outside the agency.
Examples:	<ul style="list-style-type: none"> • Staff are required to use paper processes, print to paper filing practices and/or process signed approvals • My agency does not have a system that manages digital information appropriately (eg an EDRMS) and/or its business systems do not manage digital information • In my agency there is some in-principle support 	<ul style="list-style-type: none"> • My agency regularly reports digital information management issues or problems to senior management • My agency is implementing a digital information communications plan for senior management • My agency sometimes reports to senior management on the status of digital information management 	<ul style="list-style-type: none"> • There is wide variation in senior management support for digital information management (only some support it) • Senior management sometimes resources digital information management projects or digital information management training and development • Senior management 	<ul style="list-style-type: none"> • Senior management adequately resources systems which manage digital information effectively • Senior management provides ongoing funding for digital information management training and development • Digital information management is embedded in business projects • Senior 	<ul style="list-style-type: none"> • Senior management champions new technologies and tools which manage digital information more effectively • Senior management supports participation of digital information management specialists in relevant industry forums • Senior management works with other

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	<p>for digital information management, but it may not be resourced as a priority</p> <ul style="list-style-type: none"> • Senior management is aware of the challenges of managing paper records and can see some benefits of digital information management • Senior management is aware of some digital information benefits (eg through ICT procurement, corporate compliance and security reporting, through regular agency-wide branch or section reports) • Senior management has 	<p>across the agency</p> <ul style="list-style-type: none"> • An information governance committee has been established with senior representation from relevant information, data and records stakeholders. 	<p>supports digital business processes in some areas or in relation to some agency business</p> <ul style="list-style-type: none"> • There is some senior management support of cross-business unit process reviews with a view to improving digital information management • Senior management sometimes models effective digital information management practices • Senior management sometimes encourages digital information management as part of strategic corporate planning or ICT planning 	<p>management routinely promotes digital work flows and business processes</p> <ul style="list-style-type: none"> • Senior management models effective digital information management practices • There is widespread support for digital information management across senior management • The information governance committee is coordinating digital information management initiatives that can lead to improved business outcomes and new opportunities. 	<p>agencies to develop whole-of-government systems and/or processes which manage digital information more effectively</p> <ul style="list-style-type: none"> • Senior management champions digital information management in cross-agency, whole-of-government and cross-jurisdictional projects, collaborations and networks • Senior management shares digital information management lessons learned and improvements with others • The information governance committee is optimising the

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	<p>little awareness of digital information management and its benefits</p> <ul style="list-style-type: none"> Senior management is planning to establish an information governance committee. 		<p>and projects</p> <ul style="list-style-type: none"> The information governance committee has established frameworks, strategies and policies to help coordinate information management initiatives. 		<p>value of information assets leading to new business opportunities.</p>

Agency-wide digital transformation is a significant cultural shift for most agencies, as established processes are modified or become obsolete, and new processes and technologies are put in place. Senior management is responsible for proactively shaping corporate culture and personally contributing to organisational responses to government requirements.

Under the Digital Continuity 2020 Policy, senior management is required to drive digital information management. Previous Check-up results show a clear relationship between agencies which perform well in information management and agencies with senior management who support digital information management as a priority.

Where you may find evidence to support your agency rating (examples only):

- terms of reference for your agency's information governance committee
- agency key corporate and strategic documents that specifically include digital information management issues and considerations
- agency strategy, policy, procedural, training and education materials that specifically include digital information management issues and considerations
- high-level reports and briefings (eg exception, adverse, incident, breach reports)
- senior management meeting agenda and/or minutes
- business and information management policies, procedures and processes, that specifically include digital information management issues and considerations

- information management performance and practices of senior management staff
- information management strategies and plans (including communications plans) for improving senior management support
- discussion with senior management staff, business managers, information managers and agency staff in business areas
- previous Check-up results or reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 1 – Information is valued](#)

National Archives of Australia, [Allocate roles and responsibilities in records management](#)

National Archives of Australia, [Digital Information and Records Management Capability Matrix](#)

National Archives of Australia, [Digital Transition Policy](#)

Australian Public Service Commission, [Integrated Leadership System \(ILS\), 2012](#)

Australian Public Service Commission, [Senior Executive Leadership Capability Framework, 2015](#)

International Organization for Standardization (ISO), [ISO 16175-1:2010 Information and documentation - Principles and functional requirements for records in electronic office environments - Part 1: Overview and statement of principles](#), 4.1 Components of successful digital business information management, 2010.

1.4 My agency's business decisions are informed and influenced by digital information management costs and benefits

When rating your agency consider the extent to which it:

- identifies digital information management costs in the budget;
- measures whole-of-life digital information management costs and benefits;
- ensures that business decisions about risk, resourcing and business priorities are informed by whole-of-life digital information management costs and benefits; and
- has developed metrics to determine soft¹ costs and benefits associated with digital information management, and uses this information when making decisions.

Mature agencies have metrics which quantify the full costs and benefits of digital information management to inform business decisions.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Business decisions are informed and influenced by digital information costs and benefits	My agency quantifies some of the costs of managing its digital information, but does not make business decisions on an understanding of the costs and benefits of managing digital information over its	My agency has formal plans to measure and quantify the total costs and benefits of managing digital information over its life to inform business decisions.	My agency makes business decisions which are informed by some of the costs and benefits of managing digital information over its life, as planned.	My agency routinely makes business decisions which are informed by many of the costs and benefits of managing digital information over its life, as planned.	My agency uses information about the total costs and benefits of managing digital information over its life as a predictor of future requirements.

¹ Soft costs may include, for example, staff time spent looking for information, costs of information processing, searching for information with insufficient metadata or post-machinery of government integration issues arising from a lack of systems interoperability.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Examples:	<ul style="list-style-type: none"> Digital information management costs, such as offsite storage, offsite retrieval and insurance, are known The cost of discrete or reported information management (including digital) activities such as privacy, FOI applications, litigation and e-discovery are quantified Digital information management costs (other than offsite storage, offsite retrieval and insurance) are unknown Business decisions are based on immediate or 	<ul style="list-style-type: none"> My agency has business plans to measure and include immediate and long-term digital information management costs and benefits in agency decision-making processes My agency has plans to identify areas to be costed and measured Cost and benefit reporting processes have been developed, but are not yet implemented 	<ul style="list-style-type: none"> Some agency business cases include some digital information management metrics, costs and benefits Some digital information preservation costs are known, including storage, migration or conversion Some business processes improve digital information management efficiency Some significant costs are unknown, such as cost of providing access to legacy data into the future 	<ul style="list-style-type: none"> My agency knows and manages many of the costs of managing its digital information over its life, and usually considers soft costs when making business decisions Agency business cases routinely include whole-of-life digital information management metrics, costs and benefits 	<ul style="list-style-type: none"> My agency proactively plans and manages digital information management requirements (eg predicting data storage and disposal, when planning ICT systems and storage requirements) My agency continuously improves metrics and business processes for digital information management efficiencies

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	short-term information management costs				

The Australian Government's efficiency initiatives and current fiscal constraints make it essential for your agency to prioritise its spending and demonstrate business value to the government and the people of Australia. The *Public Governance, Performance and Accountability Act 2013* (Cwth) also requires high standards of governance, performance and public accountability.

Quantifying the costs and benefits of your agency's digital information helps to determine its value, and provides a sound basis for making decisions about digital information priorities. A business case for digital information management initiatives can be strengthened by detailed and accurate data about the costs of managing digital information over its entire life and the expected return on investment from savings and efficiencies gained.

Where you may find evidence to support your agency rating (examples only):

- agency performance goals, measures, metrics, processes and reporting (eg business areas, storage, Freedom of Information (FOI) or privacy application processing)
- agency plans to quantify, manage and use information about its digital information management costs and benefits, (eg what measures, metrics, costs and methodology your agency uses and how it collects this information)
- information management costs in the agency budget and expenditure reporting (eg costs wherever they are incurred, including in business areas, data and physical media storage and retrievals, insurance, capital building costs, stationery and suppliers, system software, specialist staff costs)
- agency and ANAO audit reports, in particular system post-implementation reviews, efficiency and effectiveness (performance) reports
- agency business system reports (eg case or transaction numbers and lapsed time)
- agency business process analysis, time and motion analysis
- sampling or survey results (eg lost time looking for information, case studies).

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Benefits of digital information and records management](#)

National Archives of Australia, [Digital Information and Records Management Capability Matrix](#)

[Public Governance, Performance and Accountability Act 2013](#) Part 2-2 and Part 2-3

[Public Service Act 1999](#) s10(4)

1.5 Effective digital information management improves my agency’s business outcomes

When rating your agency consider the extent to which:

- its digital information management influences business outcomes;
- it knows whether its digital information management improves business outcomes; and
- it has developed metrics² to quantify how its digital information management influences business outcomes.

Mature agencies have metrics which measure or quantify how digital information management influences business outcomes and use this information to improve digital information management and business outcomes.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Effective digital information management results in better business outcomes	My agency does not know how its digital information management influences business outcomes.	My agency has formal plans to determine how its digital information management influences its business outcomes and how they can lead to business improvement.	My agency knows how effective its digital information management is and how it influences business outcomes, but not in all areas.	My agency’s digital information management is effective and routinely results in improved business outcomes, as planned.	My agency continuously reviews and improves its digital information management, resulting in expected, planned and positive business outcomes.

² Metrics can range from basic digital information management measures, such as number of files created or destroyed, storage size to more advanced models of digital information value.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • My agency has not considered how its business outcomes are influenced by digital information management • Digital information is created and captured, but my agency is not aware whether digital information is adequately managed to support agency business 	<ul style="list-style-type: none"> • My agency has plans to identify the extent to which digital information management practices influence business outcomes, how to measure the effectiveness of digital information management and how to gather the measurements • My agency has developed communication plans to report on the extent to which digital information management practices influence business outcomes, but the plans have not been implemented 	<ul style="list-style-type: none"> • My agency knows how well its digital information management meets business needs and influences business outcomes, but not in all areas • My agency has some existing <i>ad hoc</i> processes in place to determine how its management of digital information influences business outcomes (eg poor digital information management processes or practices are noted in reviews, audits or investigations) • My agency knows whether FOI, privacy, destruction and pro-disclosure obligations are met 	<ul style="list-style-type: none"> • My agency collects data about its digital information management effectiveness and uses the findings to improve technologies, processes and systems, leading to improved business outcomes • My agency has identified and introduced more effective digital information management processes to improve business performance in key areas • My agency regularly uses audit or investigation findings to improve digital information management (eg faster and/or more accurate case 	<ul style="list-style-type: none"> • My agency has a reputation for transparency and accountability within government and society • My agency has positive industry or media reports about its business performance and digital information management • My agency participates in cross-agency business improvement projects, including a focus on improving digital information management • My agency continuously reviews digital information management practices to ensure they are effective in all areas,

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
			<p>within acceptable time and effort</p> <ul style="list-style-type: none"> My agency has started improving its digital information management and this has influenced business outcomes (eg reduced time to complete case reviews, processing more transactions per day, or consulting a wider range of stakeholders) 	<p>processing, increased stakeholder engagement, increased number of transactions)</p> <ul style="list-style-type: none"> My agency regularly meets accountability requirements in internal or external audits or investigations or case reviews (there are no adverse digital information management findings) FOI, privacy, destruction and pro-disclosure obligations are met and the agency has processes in place to pro-disclose information commonly requested My agency regularly reuses 	<p>contributing to positive business outcomes</p>

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
					and repurposes existing digital information to meet business needs more efficiently

There are many documented instances where poor digital information management has resulted in less than desirable business outcomes (eg poor decisions, inappropriate release of information, and loss of confidence and reputation). However, the positive relationship between effective digital information management and better agency business outcomes is generally less well measured and understood.

Digital information management is not an end in itself, but exists to support and enable your agency's work. Digital information that is well managed can be easily shared with others, is more accessible and can be found more quickly, help your agency work more effectively and efficiently, make more robust and informed decisions, complete processing more quickly and reliably, and improve its business outputs, including its policies, products, services and operations.

Where you may find evidence to support your agency rating (examples only):

- your agency's performance measurement and review reports
- FOI, privacy and destruction metrics and reporting
- results of internal and external agency audits, or investigation case files and outcomes or case review outcomes
- agency plans to develop measures and sources of data to determine digital information management effectiveness and its relationship with business outcomes (eg measures, metrics, costs and methodology for collecting the information, including implementation and processes)
- cross-agency business project documentation
- business improvement processes (linking to audit or investigation and case review findings)
- digital information management effectiveness metrics in business areas (especially high performing)
- media reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Benefits of digital information and records management](#)

National Archives of Australia, [Digital Information and Records Management Capability Matrix](#)

National Archives of Australia, [Systems that create, keep and manage digital records](#)

Australian Government Information Management Office, Department of Finance and Deregulation, [Australian Public Service Information and Communications Technology Strategy 2012–2015](#), 2012.

Australian Public Service Commission, [Learning from Failure](#), 2015

International Organization for Standardization (ISO), [AS/NZS ISO 16175.1:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Overview and statement of principles](#), 2010.

2 Addressing risk

2.1 Everyone meets their digital information management roles and responsibilities

When rating your agency consider the extent to which it:

- identifies and assigns responsibilities for digital information management;
- advises employees, consultants and outsourced providers of their responsibilities;
- supports employees, consultants and outsourced providers through appropriate training, education and reminders; and
- has measures to determine how consistently and effectively employees, consultants and outsourced providers meet their responsibilities.

Mature agencies have identified and assigned digital information management responsibilities and these are incorporated in existing business processes and systems, so they happen seamlessly, wherever possible. Mature agencies also have regular education and training programs, assessing how well employees, consultants and outsourced providers meet their responsibilities.

Digital Continuity 2020 Policy – 2016 targets

Statement 2.1 closely relates to Principle 1 – *Information is valued* and specifically the following target:

- Agencies have an information governance framework by 31 December 2016.

Upload documents for this statement

You need to provide documents to validate your rating for levels 2-5. For example, documents outlining your agency's identification or assignment of roles and responsibilities, such as information and records management policy. Other evidence may include information about regular communication of responsibilities, such as a communication plan, or professional development to support these roles, such as training calendars and standard clause for inclusion in Individual Work Plans.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Employees, consultants and outsourced providers meet their	Employees, consultants and outsourced providers have limited	My agency has formal plans to improve employee, consultant and outsourced	My agency regularly makes employees, consultants and outsourced providers	Employees, consultants and outsourced providers routinely meet their	Employees, consultants and outsourced providers proactively raise new

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
digital information management responsibilities	awareness of their responsibilities for creating, storing, using, accessing, managing and destroying digital information.	provider awareness of their responsibilities for creating, storing, using, accessing, managing and destroying digital information.	aware of their responsibilities for creating, storing, using, accessing, managing and destroying digital information.	responsibilities for creating, storing, using, accessing, managing and destroying digital information.	issues, solutions and innovations in relation to creating, storing, using, accessing, managing and destroying digital information.
Examples:	<ul style="list-style-type: none"> • Training in digital information management is not readily available • Employees, consultants and outsourced providers are not aware of their digital information management responsibilities 	<ul style="list-style-type: none"> • Training for digital information use and management is under development • A digital information awareness plan has been developed • My agency has developed a digital information management training plan and content, but it is not yet implemented 	<ul style="list-style-type: none"> • Digital information management training is provided regularly • New employees, consultants and outsourced providers attend introductory or induction training in digital information management • Employees, consultants and outsourced providers receive regular communications about their digital information management responsibilities 	<ul style="list-style-type: none"> • My agency monitors the extent to which employees, consultants and outsourced providers meet their digital information management roles and responsibilities • Monitoring shows that employees, consultants and outsourced providers routinely meet their digital information management roles and responsibilities • Employees, consultants and outsourced providers regularly 	<ul style="list-style-type: none"> • My agency continuously reviews the extent to which employees, consultants and outsourced providers meet their responsibilities for creating, storing, using, accessing, managing and destroying digital information and updates its processes to improve performance • My agency provides opportunities for employees, consultants and

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
			<ul style="list-style-type: none"> Some employees, consultants and outsourced providers meet their responsibilities but there is widespread variation across the agency 	attend digital information training	<p>outsourced providers to raise digital information management issues, solutions and innovations</p> <ul style="list-style-type: none"> My agency rewards employees, consultants and outsourced providers who meet their digital information management responsibilities

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Digital information management specialists meet their roles and responsibilities	Roles and responsibilities for digital information management specialists have not been identified and/or assigned.	My agency has formal plans to identify and/or assign digital information management specialist roles and responsibilities.	My agency regularly makes digital information management specialists aware of their roles and responsibilities.	Digital information management specialists routinely meet their roles and responsibilities.	Digital information management specialists drive innovation in digital information management.
Examples:	<ul style="list-style-type: none"> My agency has identified and assigned only 	<ul style="list-style-type: none"> Digital information management specialist roles 	<ul style="list-style-type: none"> Digital information management specialist roles 	<ul style="list-style-type: none"> My agency has an ongoing professional 	<ul style="list-style-type: none"> Digital information management specialists

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	some specialist digital information management roles	<p>have been identified, but not yet assigned and communicated</p> <ul style="list-style-type: none"> • A communications plan for digital information management specialists has been developed 	<p>have been identified, assigned and communicated to relevant workers</p> <ul style="list-style-type: none"> • Information management specialists receive regular training about digital information management • Information management specialists receive regular communications about their digital information management roles and responsibilities • Some information management specialists meet their digital information management responsibilities but there is widespread variation across 	<p>development and training plan for digital information management specialists</p> <ul style="list-style-type: none"> • My agency monitors the extent to which digital information management specialists meet their roles and responsibilities 	<p>participate in whole-of-government and/or cross-agency digital information management initiatives</p> <ul style="list-style-type: none"> • Digital information management specialists contribute to relevant industry forums

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
------------	-------------------	----------------------	-------------------	-------------------	----------------------

the agency

All agency employees, consultants and outsourced providers create, use and delete digital information in their work and have digital information management responsibilities. These could range from documented business processes to ensure digital information is created and kept in the right place, to ensuring that emails are captured and managed, comments posted on social media are kept, and ensuring digital information is not inappropriately deleted.

Some employees, consultants and outsourced providers will have additional, specialist digital information management responsibilities because they have specialist ICT or business knowledge and skills, are responsible for making decisions about the care and management of large volumes of digital information (eg business systems or data stores); developing and implementing digital information management strategies; and/or for allocating resources to the care and management of digital information.

Your agency is responsible for informing everyone about their roles and what they need to do to manage digital information, and to support them through appropriate training, education and reminders.

Where you may find evidence to support your agency rating (examples only):

- job description statements for positions which have some responsibility for digital information management
- professional development program or opportunities for staff with responsibility for digital information management
- existence and availability of digital information management and business process policies and procedures (eg on intranet, during induction, in manuals, in other training)
- agency strategy, policy, procedural, training and education materials (eg availability and easy-to-use information and guidance for staff)
- performance management system content and measures
- succession planning documentation
- agency membership of key information management professional associations (eg IIM, ACS, RIMPA, ASA)
- agency training and professional development calendar and staff attendance at professional development opportunities
- discussion with information managers, specialist digital information asset management staff and information advocates
- discussion with agency capability development/training staff and agency staff in business areas
- previous Check-up results or reports, agency and ANAO audit reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 1 – Information is valued](#)

National Archives of Australia, [Allocate roles and responsibilities in records management](#)

National Archives of Australia, [Digital Information and Records Management Capability Matrix](#)

National Archives of Australia, [Digital Transition Policy](#)

National Archives of Australia, [Legislation, policies, standards, advice and your agency's accountability](#)

National Archives of Australia, [Qualifications, skills and knowledge](#)

Australian Public Service Commission, [Integrated Leadership System \(ILS\), 2012](#)

Department of Finance, [Resource Management Guide No. 209 – Guidance for Commonwealth entities on the requirements to keep non-financial records](#), 2015

International Organization for Standardization (ISO), [ISO 16175-1:2010 Information and documentation - Principles and functional requirements for records in electronic office environments - Part 1: Overview and statement of principles](#), 4.1 Components of successful digital business information management, 2010.

2.2 My agency sufficiently resources its digital information management program

When rating the effectiveness of your agency consider the extent to which it allocates resources to:

- immediate and/or longer term digital information management initiatives;
- an ongoing program of digital information management rather than individual activities or projects;
- the engagement and ongoing development of appropriately qualified or experienced staff;
- business system enhancements and development to improve digital information management; and
- long-term digital information preservation.

Mature agencies have a systematic and planned program to ensure the management of digital information over its life. The program has access to appropriately qualified and experienced personnel and sufficient resources for business system analysis and enhancement.

Digital Continuity 2020 Policy – 2016 targets

Statement 2.2 closely relates to Principle 1 – *Information is valued* and specifically the following target:

- Agencies have an information governance committee by 30 June 2016

Statement 2.2 also closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- Agencies identify high-value and long-term information assets, evaluate risk and management requirements, and implement strategies by 31 December 2016.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Sufficient resources are allocated to a program of digital information management	My agency resources digital information management activities to meet immediate digital information management needs.	My agency resources sufficient digital information management projects to meet some of its ongoing digital information management needs.	My agency has started to resource an ongoing program of digital information management.	My agency sufficiently resources its ongoing digital information management program.	My agency innovatively sources additional resources to improve its digital information management program in the longer term.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • My agency resources <i>ad hoc</i> activities to meet immediate needs, such as scanning incoming correspondence (but not full migration and preservation of legacy data) • My agency has not considered or planned for long-term digital preservation requirements • My agency 	<ul style="list-style-type: none"> • My agency resources digital information sentencing or disposal (transfer, delete or destroy) in some budget cycles • My agency resources the full migration of legacy data from one business system to another to ensure that the data are preserved 	<ul style="list-style-type: none"> • My agency has started to allocate some resources for long-term digital information management but there is widespread variation across the agency • My agency has allocated resources for a digital information program that includes quality assurance and sentencing, but transfer, preservation and conversion are not currently funded 	<ul style="list-style-type: none"> • My agency routinely resources a digital information quality assurance, sentencing, disposal (transfer, delete or destroy), preservation and conversion program • My agency routinely resources the review and enhancement of business systems to ensure they manage digital information effectively 	<ul style="list-style-type: none"> • My agency resources its digital information program through funding or partnerships with other agencies, organisations and/or vendors • My agency resources intra-, inter- and whole-of-government initiatives to manage digital information in the longer-term (eg shared data archive and preservation, participation in integrated management of

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	resources the creation and capture of digital information, but not digital information sentencing and disposal (transfer, delete or destroy)		<ul style="list-style-type: none"> My agency has plans to fund future programs to replace or enhance the digital information management capabilities of one (or more) key business system(s) 		digital information)

A digital information management program systematically addresses your agency's digital information management requirements in a planned way. It identifies the resources, priorities and processes needed to enable the ongoing management of your agency's digital information over its entire life.

Where you may find evidence to support your agency rating (examples only):

- budget allocations for information management (where known), comparative funding with similar areas (eg audit, governance)
- project planning and implementation documentation
- discussion with senior management staff, business managers and agency staff in business areas
- previous Check-up results or reports, agency and ANAO audit reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 1 – Information is valued](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Allocate roles and responsibilities in records management](#)

National Archives of Australia, [Digital Information and Records Management Capability Matrix](#)

National Archives of Australia, [Digital Transition Policy](#)

National Archives of Australia, [Information governance](#)

National Archives of Australia, [Legislation, policies, standards, advice and your agency's accountability](#)

2.3 My agency's digital information is authentic, reliable and accurate

When rating the effectiveness of your agency consider the extent to which it:

- has considered and knows the authenticity, reliability and accuracy of its digital information;
- collects and uses information, including metrics about the authenticity, reliability and accuracy of its digital information; and
- has systems, processes and guidelines in place to improve the authenticity, reliability and accuracy of its digital information to improve business outcomes.

Mature agencies have metrics to measure and quantify how authentic, reliable and accurate their digital information is, and have implemented business systems, processes and guidelines which result in the creation of authentic, reliable and accurate digital information.

Digital Continuity 2020 Policy – 2016 targets

Statement 2.3 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- Agencies identify high-value and long-term information assets, evaluate risk and management requirements, and implement strategies by 31 December 2016.

Statement 2.3 also closely relates to Principle 3 – *Information, systems and processes are interoperable* and specifically the following targets:

- Business systems procured after 31 December 2016 will meet minimum metadata standards
- Business systems procured after 31 December 2016 will be evaluated against the Archives' business systems assessment framework to meet functional requirements for information management.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability

Level 1 – Initial

Level 2 – Developing

Level 3 – Defined

Level 4 – Managed

Level 5 – Optimising

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Digital information is authentic, reliable and accurate	My agency does not yet monitor the extent to which its digital information is authentic, reliable and accurate.	My agency has formal plans to monitor the extent to which its digital information is authentic, reliable and accurate.	Planned agency monitoring shows that some of my agency's digital information is routinely authentic, reliable and accurate.	Planned agency monitoring shows that my agency's digital information is routinely authentic, reliable and accurate.	My agency continuously reviews and updates its systems, technologies, tools and business processes to incorporate changing requirements for the creation, storage and management of authentic, reliable and accurate digital information.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • My agency does not know if its digital information is authentic, reliable and/or accurate • My agency knows its information is accurate, but does not know how authentic and reliable it is 	<ul style="list-style-type: none"> • My agency has identified key digital information that needs to be monitored and has developed metrics for determining authenticity, reliability and accuracy, but has not yet implemented a measurement program • My agency has a project plan to monitor the authenticity, 	<ul style="list-style-type: none"> • My agency has implemented metrics for determining authenticity, reliability and accuracy of digital information • In accordance with the plan, my agency has started monitoring, but there is widespread variation across the agency 	<ul style="list-style-type: none"> • In accordance with the plan, monitoring shows that most digital information is authentic, reliable and accurate • My agency has processes and systems which systematically support the creation of authentic, reliable and accurate digital information 	<ul style="list-style-type: none"> • My agency monitors the external environment (eg legal findings, better practices, industry standards) and updates its business and data collection processes to ensure that digital information meets its business authenticity, reliability and accuracy requirements

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
		reliability and accuracy of its digital information			

Authentic, reliable and accurate digital information enables your agency to make sound decisions which support its business and be open and accountable for the decisions that it has made.

Authentic digital information can be proven to have been created or sent by the person claimed to have created or sent it, and to have been created or sent at the time claimed. An authentic record has not been tampered with or corrupted over time and is able to be used as evidence of decisions made or actions taken. Authenticity is enhanced when digital information is captured into appropriate business systems, along with appropriate security and access mechanisms and audit trails, when sufficient metadata is used to explain its content and context, and when it is managed over time.

Reliable digital information has been created by someone with appropriate authority, using proper procedures, processes or systems and is complete. Reliability is enhanced when business systems automatically create and capture digital information, when staff create digital information using standard business processes, and when the digital information is managed, migrated and converted appropriately over time.

Accurate digital information can be trusted as a true representation of the transactions or events which it documents. Accuracy is enhanced when information is created at the time of or closely after the event, when business systems automatically create and capture digital information, when business processes place importance on data quality and accuracy, and when the digital information is managed, migrated and converted correctly over time.

Where you may find evidence to support your agency rating (examples only):

- existence and availability of authenticity, reliability and accuracy requirements for digital information management in business process policies and procedures
- agency policies, procedures and processes for information content, structure and context including metadata or data entry; data accuracy and integrity checking; data matching; development of standardised list or language and business processes
- business and information management policies, procedures and processes
- documentation demonstrating use of metadata standards, including the minimum metadata set
- business system assessments or reviews including assessments against the Business Systems Assessment Framework or ISO 16175.
- results of agency audits or surveys of digital information in business systems to gauge authenticity, reliability and accuracy
- discussion with business managers, information managers and agency staff in business areas

- previous Check-up results or reports, agency and ANAO audit reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Assessing information management functionality in business systems](#)

National Archives of Australia, [Digital Transition Policy](#)

National Archives of Australia, [Information governance](#)

National Archives of Australia, [Legislation, policies, standards, advice and your agency's accountability](#)

National Archives of Australia, [Minimum metadata set](#)

[Archives Act 1983](#) s 24

International Organization for Standardization (ISO), [ISO 15489-1:2016 Information and documentation - Records management - Part 1: Concepts and principles](#), Section 8.1, 2016.

2.4 My agency manages the appropriate retention, migration or destruction of its digital information

When rating your agency consider the extent to which it:

- is aware of its legal requirements to keep, destroy or migrate³ its digital information, including information on servers, in business systems, in email, and on network drives;
- makes decisions about what digital information to keep or destroy based on business and information risk;
- makes decisions about keeping or destroying digital information at appropriate levels of aggregation – at transaction, file or activity, business function or at whole-of-business system levels;
- uses technology to help identify and manage the retention or destruction of its digital information (eg automated searches, system reports, semantic web, data visualisation and/or storage technology to identify digital information eligible for preservation or destruction); and
- uses destruction methods appropriate to the security level, risk and value of the digital information.

Mature agencies have a routine program which assesses digital information and makes decisions about keep, destroy or transfer using a risk-based approach and appropriate technology to enable large volumes of data to be assessed automatically, where possible. The program results in digital information being kept or preserved, migrated or destroyed in a timely way to meet business and legal requirements.

Digital Continuity 2020 Policy – 2016 targets

Statement 2.4 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- Agencies identify high-value and long-term information assets, evaluate risk and management requirements, and implement strategies by 31 December 2016.

Statement 2.4 also closely relates to Principle 3 – *Information, systems and processes are interoperable* and specifically the following targets:

- Business systems procured after 31 December 2016 will meet minimum metadata standards
- Business systems procured after 31 December 2016 will be evaluated against the Archives' business systems assessment framework to meet functional requirements for information management.

³ Legal requirements may also include migration (transfer) of digital information to the Archives, which is covered in more detail in Statement 3.3. Depending upon the life of the system and legal requirements, digital information may be migrated (for example between business systems) more than once within your agency before it is either migrated (transferred) to the Archives for long-term preservation or destroyed.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Keeping, migrating or destroying digital information is well managed	My agency has some awareness of its legal requirements for keeping, migrating or destroying its digital information.	My agency has formal plans to routinely assess (sentence) and keep, migrate or destroy its digital information, in accordance with legal requirements.	My agency has started to implement a planned program of assessing and keeping, migrating or destroying some of its digital information.	My agency routinely assesses and keeps, destroys or migrates its digital information, as planned.	My agency uses information from its digital information retention and destruction program to improve its business and digital information management decisions and processes.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • General and agency-specific records authorities already cover most of my agency's digital business • My agency has some awareness of normal administrative practice (NAP) requirements for 	<ul style="list-style-type: none"> • My agency has developed a methodology for making decisions about keeping, migrating or destroying its digital information, which includes risk assessment about the aggregation levels of digital information (eg transaction, file or activity, business function or whole-of-business 	<ul style="list-style-type: none"> • My agency has assessed its high-risk digital information and knows how long it must be kept • My agency is starting to use technologies and tools (such as semantic web, business rules-driven, data virtualisation, and/or storage management tools) to assess 	<ul style="list-style-type: none"> • My agency has an ongoing program to assess, keep, destroy or migrate digital information • My agency routinely assesses its digital information and knows how long it must be kept • My agency routinely uses technologies and tools (such as semantic web, 	<ul style="list-style-type: none"> • My agency uses information from its retention and destruction program to improve planning and decisions about ICT tools, storage and services • My agency uses information from its retention and destruction program to inform the development of business system

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	digital information, such as email, ICT back-ups and duplication, but it does not have a NAP policy	<p>system)</p> <ul style="list-style-type: none"> • My agency has identified which records authorities, disposal freezes and NAP requirements apply to its digital information, including that in business systems • My agency has a project plan to assess digital information in its business systems to determine how long it needs to be kept • My agency has identified when General Records Authority 31 (GRA 31) can be used to destroy duplicate digital information in migration projects 	<p>and keep, migrate or destroy its digital information</p> <ul style="list-style-type: none"> • My agency routinely assigns a retention period to digital information, but may not manage its destruction or migration • My agency manages the destruction and migration of digital information in its approved digital information management system (eg in an EDRMS), but may not manage the keeping, migrating and destruction of digital information in business systems 	<p>business rules-driven, data virtualisation, and/or storage management tools) to identify and manage the retention and destruction of its digital information</p> <ul style="list-style-type: none"> • In accordance with legal requirements, my agency routinely destroys digital information in business systems, data warehouses and on shared drive 	<p>requirements for data destruction and migration</p>

Effective management of any asset also includes its retention, migration or destruction when it is no longer required. Managing the large volumes of digital information in every agency and making controlled decisions about how long to keep it and when to destroy it can help your agency make more effective decisions and operate more efficiently.

Where you may find evidence to support your agency rating (examples only):

- agency information retention, destruction and migration policies, methodologies, procedures and processes
- general and agency-specific records authorities (see also [Keep, Destroy, Transfer](#))
- agency NAP (normal administrative practice) Policy (see also [Normal administrative practice](#))
- agency information about relevant disposal freezes (see also [Records disposal freezes and retention notices](#))
- file creations, data destruction, duplication of information, business process failures, including from agency electronic document and records management system (EDRMS) and business system reporting (eg destruction reports)
- results or recommendations from internal and external audits or investigations (eg work health and safety, harassment, financial, client, performance audits) and statements of progress against recommendations
- previous Check-up results or reports, agency and ANAO audit reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Assessing information management functionality in business systems](#)

National Archives of Australia, [Conducting an information review](#)

National Archives of Australia, [General and agency-specific records authorities](#)

National Archives of Australia, [Information governance](#)

National Archives of Australia, [Minimum metadata set](#)

National Archives of Australia, [Preserving digital records for the future](#)

[Archives Act 1983](#) s 24

Attorney-General's Department, [Protective Security Policy Framework \(PSPF\)](#)

Australian Signals Directorate, Department of Defence, [Information Security Manual \(ISM\)](#)

Data Analytics Centre of Excellence (chaired by the Australian Taxation Office) and the Big Data Working Group (chaired by the Department of Finance), [Australian Public Service Better Practice Guide for Big Data](#), Information management in the big data context, Commonwealth of Australia, Barton, ACT, 2014, p. 16.

International Organization for Standardization (ISO), [SA/SNZ TR ISO 16175.3:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Guidelines and functional requirements for records in business systems](#), s3.4.2, 2010.

International Organization for Standardization (ISO), [AS/NZS ISO 16175.1:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Overview and statement of principles](#), 2010.

2.5 My agency actively manages its digital information for as long as needed

When rating your agency consider the extent to which it:

- is aware of the vulnerabilities of digital information due to technological obsolescence or changes to service providers over time;
- has identified its highest risk and long-term (ie to be kept for 15 years or more) digital information needing particular management; and
- has identified strategies⁴ to ensure its digital information remains complete, available and usable for as long as it is needed.

Mature agencies have a digital continuity program and take active steps to manage their long-term (ie to be kept for 15 years or more) and high-risk digital information to ensure it is complete, available and usable for as long as needed.

Digital Continuity 2020 Policy – 2016 targets

Statement 2.5 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- Agencies identify high-value and long-term information assets, evaluate risk and management requirements, and implement strategies by 31 December 2016.

Statement 2.5 also closely relates to Principle 3 – *Information, systems and processes are interoperable* and specifically the following targets:

- Business systems procured after 31 December 2016 will meet minimum metadata standards
- Business systems procured after 31 December 2016 will be evaluated against the Archives' business systems assessment framework to meet functional requirements for information management.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

⁴ Strategies may include maintaining legacy business systems in which the information is held, developing a program of ongoing conversion and migration to current formats to ensure it remains readable, conversion verification processes, adopting open source or common formats, ensuring appropriate and sufficient information management metadata is created and kept, and/or migrating (transferring) archival digital information to the Archives for long-term preservation.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Digital information accessible and usable for as long as needed	My agency can access and use active (or current) version digital information but future access and preservation requirements have not been considered.	My agency has formal plans to ensure that its digital information can be accessed and used into the future, for as long as needed.	My agency has started to implement its plans to ensure that its digital information can be accessed and used into the future, for as long as needed.	My agency has implemented its plans to ensure that its digital information can be systematically accessed and used into the future, for as long as needed.	My agency uses information from its digital continuity program to continuously improve its business and digital information management decisions and processes.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • Staff in my agency cannot find or identify the current version of documents • Staff in my agency can open and read current version documents • Staff in my agency can open and read data in current business systems, but cannot open 	<ul style="list-style-type: none"> • My agency's requirements for data format, deletion, export, migration and verification for digital information in business systems are identified • My agency has a plan to prepare for future digital access and preservation needs • My agency has a plan for the ongoing 	<ul style="list-style-type: none"> • My agency uses common, long-term data formats in some instances • My agency converts and verifies some of its data for accessibility and usability, but only when migrating data • My agency migrates some data when new business systems are acquired, but others have not 	<ul style="list-style-type: none"> • My agency routinely conducts authorised deletion, export, migration and verification of its data • My agency regularly verifies its data to ensure that legacy data remain readable and usable for as long as needed • Most digital business system projects consider and plan for future 	<ul style="list-style-type: none"> • My agency continuously improves its digital information management and preservation program activities and systems • My agency shares its digital information preservation experiences and tools with other agencies or organisations

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	<p>and read data from legacy business systems</p> <ul style="list-style-type: none"> My agency has not considered future digital access and preservation requirements when selecting which data format(s) to use 	<p>conversion and verification of legacy data to ensure that they remain readable and usable (are not corrupted)</p> <ul style="list-style-type: none"> My agency requires backwards compatibility for data to be considered when acquiring business systems My agency requires digital business system implementation projects to consider and plan for future digital access Requirements for documenting, copying, conversion and migration activities are identified 	<p>been migrated or maintained</p> <ul style="list-style-type: none"> My agency selects business systems which can read some older versions of information Some digital business system implementation projects consider and plan for future digital access and preservation requirements 	<p>digital access and preservation requirements</p> <ul style="list-style-type: none"> My agency has experienced no difficulties accessing data stored in different media or in older systems Digital information copying, conversion and migration activities are routinely conducted Digital information that needs to be retained long-term has been identified and targeted for conversion, migration and/or additional preservation measures 	

Digital information is particularly vulnerable to loss over time, especially due to system, hardware and service provider obsolescence and changes. It can be compromised during processes such as migration or conversion. Your agency needs to take active steps to look after its digital information to ensure that it is complete, available and usable for as long as needed.

Where you may find evidence to support your agency rating (examples only):

- agency policies, procedures and processes for information content, structure and context, data accuracy, integrity checking and verification, data migration and preservation
- results of information audits, reviews and inventories
- Information Asset register (as outlined in the Open Public Sector Information Principles), business system, file and information registers or control records
- ICT system or server storage, capacity and future-proof reporting
- business system functionality
- agency EDRMS and business system reporting (eg content and capacity reports).

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Assessing information management functionality in business systems](#)

National Archives of Australia, [Benefits of digital information and records management](#)

National Archives of Australia, [Conducting an information review](#)

National Archives of Australia, [Minimum metadata set](#)

National Archives of Australia, [Policies, procedures and guidelines](#): Defining your agency's approach to records management

National Archives of Australia, [Preserving your digital information and records](#)

[Archives Act 1983](#) s 24

Australian Government Information Management Office, Department of Finance and Deregulation, [Australian Government Policy on Open Source Software](#), 2011.

Department of Finance and Deregulation, [Whole of Government Common Operating Environment \(COE\) Policy](#), Commonwealth of Australia, Barton, ACT, Principle 12, 2013.

International Organization for Standardization (ISO), [AS/NZS ISO 16175.1:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Overview and statement of principles](#), 2010.

2.6 Digital information in outsourced provider and third-party arrangements is managed

When rating your agency consider the extent to which it:

- is aware of the vulnerabilities of digital information created, held and managed by outsourced providers and third parties;
- includes its digital information management requirements in contracts, service agreements, and arrangements with outsourced providers and third parties (including business consulting contractors, marketing service providers, cloud storage and services providers, ICT service and product providers, and physical storage vendors and other outsourced service providers);
- has developed and uses agreement or contract templates containing its digital information management requirements when establishing and reviewing arrangements with outsourced providers and third parties;
- monitors compliance of outsourced providers and third parties with its digital information management requirements; and
- takes appropriate action if or when outsourced providers and third parties do not meet its digital information management requirements.

Mature agencies routinely include their digital information requirements in contracts, agreements and arrangements with outsourced providers and third parties and routinely monitor compliance with these requirements and take appropriate action when necessary.

Digital Continuity 2020 Policy – 2016 targets

Statement 2.6 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- Agencies identify high-value and long-term information assets, evaluate risk and management requirements, and implement strategies by 31 December 2016.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Outsourced providers and third parties manage digital information to meet agency requirements	Contracts and arrangements may not specify my agency's requirements for digital information created or used by outsourced providers or third parties.	Some contracts and arrangements specify some of my agency's requirements for digital information created or used by outsourced providers or third parties.	Most contracts and arrangements routinely specify most of my agency's requirements for digital information created or used by outsourced providers or third parties.	My agency manages its contracts and arrangements ensuring outsourced providers and third parties comply with my agency's digital information management requirements.	My agency continuously reviews and improves the ways it manages its digital information management contracts and arrangements with outsourced providers and third parties.
Example:	<ul style="list-style-type: none"> Contracts and arrangements specify management of information predominantly in paper My agency does not know its digital information requirements Contracts and arrangements do not specify digital information management requirements 	<ul style="list-style-type: none"> My agency has identified some of its digital information management requirements for outsourced providers and third parties (eg security and access) Contracts and arrangements for information or data-related services, such as offsite storage, data storage and cloud services specify some digital information requirements (eg 	<ul style="list-style-type: none"> My agency has specified most of its digital information management requirements in contracts and arrangements for outsourced providers and third parties Contracts and arrangements for general services, such as consulting, marketing, audit and case processing services, specify digital information 	<ul style="list-style-type: none"> My agency seeks regular compliance or exception reports from outsourced providers and third parties My agency takes appropriate action when digital information management requirements are not sufficiently met by outsourced providers and third parties My agency provides outsourced 	<ul style="list-style-type: none"> My agency proactively manages digital information management contracts and arrangements with outsourced providers and third parties with a view to realising whole-of-government or cross-agency efficiencies

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
		access) <ul style="list-style-type: none"> Contracts and arrangements specify digital information privacy requirements only 	requirements	providers and third parties with information to help them meet their compliance requirements	

Your agency is accountable for its spending and decisions, including any on its behalf by outsourced providers and third parties. As such your agency's requirements need to be specified in contracts, agreements and arrangements with outsourced providers and third parties.

Where you may find evidence to support your agency rating (examples only):

- international security agreements, where applicable
- agency policies, procedures and processes for contracts, agreements and other arrangements with outsourced providers or third parties
- outsourced provider and third-party information management, privacy, business continuity and related policies and procedures
- notes of meetings with outsourced providers, consultants and contractors
- status and exception reporting by outsourced providers, consultants and contractors
- discussion with legal advisers, contract managers, information managers and agency staff in business areas
- previous Check-up results or reports, agency and ANAO audit reports.

Consider the existence and availability of digital information ownership, creation, storage, management, use, access, continuity, metadata preservation and destruction or migration of digital information requirements in contracts, service level and other agreements, work orders, purchase orders and other arrangements with outsourced providers, consultants, contractors or other third parties. Also consider what happens to your digital information if the provider is acquired or merged with another provider, discovery or litigation processes, and how your agency might monitor compliance by providers.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [A checklist for records management and the cloud](#)

National Archives of Australia, [Conducting an information review](#)

National Archives of Australia, [Digital Information and Records Management Capability Matrix](#)

National Archives of Australia, [Outsourcing your records management](#)

National Archives of Australia, [Records Issues for Outsourcing including GDA 25](#)

National Archives of Australia, [Records management and the cloud](#)

[Archives Act 1983](#) s 24

Australian Government Information Management Office, Department of Finance and Deregulation, [Australian Government Cloud Computing Policy](#), 2013.

Australian Signals Directorate, Department of Defence, [Cloud Computing Security Considerations](#), 2012.

Department of Finance and Deregulation, [Commonwealth Procurement Rules](#), Section 7, Accountability and Transparency in Procurement, Commonwealth of Australia, Barton, ACT, 2012.

2.7 Digital information in collaborative spaces and social media is managed

When rating your agency consider the extent to which it:

- is aware of the vulnerabilities of digital information created, held and managed in collaborative spaces⁵ and social media⁶;
- includes its digital information management requirements for ownership, creation, storage, management, use, access, continuity, metadata preservation, destruction or migration of digital information created, held and managed in collaborative spaces and social media; and
- has developed and systematically uses systems and processes to help manage digital information created, held and managed in collaborative spaces and social media.

Mature agencies have identified the collaborative spaces and social media in which they work and their management requirements for digital information. They systematically manage this digital information to ensure it is complete, available and usable for as long as needed.

Digital Continuity 2020 Policy – 2016 targets

Statement 2.7 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- Agencies identify high-value and long-term information assets, evaluate risk and management requirements, and implement strategies by 31 December 2016.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

⁵ Collaborative spaces may include GovShare, GovDex, SharePoint, wikis, online communities of practice.

⁶ Social media may include blogs, Facebook, Twitter, Instagram.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Digital information in collaborative spaces and social media is managed to meet agency requirements	My agency shows increasing recognition that it needs to manage its digital information in collaborative spaces and social media.	My agency has formal plans to ensure its digital information in collaborative spaces and social media is managed to meet agency requirements.	My agency has started to implement its plans to ensure that its digital information in collaborative spaces and social media is managed to meet agency requirements.	My agency's digital information in collaborative spaces and social media, is managed systematically most of the time, as planned.	My agency continuously reviews and improves the ways it manages its digital information in collaborative spaces and social media.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • My agency is aware that its digital information in collaborative spaces and social media needs to be managed • My agency does not currently use collaborative spaces and/or social media 	<ul style="list-style-type: none"> • My agency has a project plan for identifying digital information management requirements for the collaborative spaces and social media in which it is active • My agency has a plan to survey the collaborative spaces and social media in which it is active to determine its requirements • My agency has identified its digital information management requirements for 	<ul style="list-style-type: none"> • Some agency digital information posted to third-party social media sites is managed to meet agency requirements • My agency has identified which party is responsible for maintaining digital information in cross-jurisdictional collaborative spaces 	<ul style="list-style-type: none"> • My agency routinely specifies access and reuse requirements for its digital information posted to collaborative spaces • My agency routinely captures agency blog contributions in agency systems • My agency has identified data ownership and management responsibilities for its digital information in, for example, closed online 	<ul style="list-style-type: none"> • My agency proactively manages digital information in collaborative spaces and social media with a view to realising whole-of-government or cross-agency efficiencies • My agency shares with others its lessons learned and improvements about digital information management for collaborative spaces and social media

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
		collaborative spaces and social media		communities of practice	<ul style="list-style-type: none"> My agency monitors the effectiveness of its management of digital information in collaborative spaces and social media

Your agency's requirements for managing digital information in collaborative spaces and social media must be clearly defined to ensure that your agency retains control of its information, and it remains accountable for the interactions and decisions in these spaces.

Your agency's requirements for digital information management in collaborative spaces need to be specified, taking into account any limitations imposed by third-party licences, terms and conditions.

Where you may find evidence to support your agency rating (examples only):

- existence and availability of digital information ownership, creation, storage, management, use, access, continuity and destruction or transfer of data requirements in agreements relating to collaborative spaces
- agency strategy for marketing and promotion
- agency collaborative space and social media policies and procedures
- system information management plans for collaborative spaces and social media
- discussion with senior executive staff, business managers, contract management staff, promotions and marketing staff and outsourced providers, consultants and contractors
- previous Check-up results or reports, agency and ANAO audit reports.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 1 – Information is valued](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Social media: Another type of Commonwealth record](#)

National Archives of Australia, [Your social media policy – what about records?](#)

[Archives Act 1983](#) s 24

See also References for [2.6 Digital information is managed in outsourced provider and third-party arrangements](#) as some issues are similar.

3 Managing business systems

3.1 Digital information in my agency's business systems is managed

When rating your agency consider the extent to which it:

- recognises the need to manage digital information in business systems;
- has a plan to assess its existing business systems for digital information management functionality, configuration, metadata and supporting processes;
- has assessed and documented digital information management functionality, configuration, metadata and supporting processes in business systems; and
- has identified and implemented strategies and/or enhancements to address lack of functionality in business systems, including improved metadata, business system functionality, reporting and management tools, and supporting processes.

Mature agencies have identified, assessed and documented the digital information management capabilities of their business systems, and have identified and implemented strategies and enhancements to ensure appropriate digital information management in business systems.

Digital Continuity 2020 Policy – 2016 targets

Statement 3.1 closely relates to Principle 3 – *Information, systems and processes are interoperable* and specifically the following targets:

- Business systems procured after 31 December 2016 will meet minimum metadata standards
- Business systems procured after 31 December 2016 will be evaluated against the Archives' business systems assessment framework to meet functional requirements for information management.

Upload documents for this statement

You need to provide documents to validate your rating for levels 2-5. For example, your agency's plans to assess digital information management capability in its business systems; including your agency's plans, digital information management requirements, results of any assessments against the business systems assessment framework or ISO 16175.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Business systems manage digital information	My agency is yet to assess the digital information management capabilities of its business systems.	My agency has formal plans to assess and document the information management capabilities of its business systems and implement appropriate digital information management strategies and enhancements.	My agency has assessed some of its business systems, as planned, and some systems effectively manage digital information.	My agency has assessed many of its business systems, as planned, and many systems are able to effectively manage digital information.	My agency continuously reviews its business systems to improve their digital information management capabilities.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • My agency does not recognise the need to manage digital information in business systems • My agency has not systematically assessed the digital information management capabilities of its business systems • Routine reports 	<ul style="list-style-type: none"> • My agency has a project plan to identify its requirements for digital information management in business systems • My agency has a project plan and checklist to assess and document its business systems against its digital information management requirements • My agency has started to identify 	<ul style="list-style-type: none"> • My agency has started to assess and document the digital information management capabilities of its business systems (eg high-risk, core business, high-volume transactional, case or grant management) and knows which ones require further enhancement • My agency has project plans for a number of 	<ul style="list-style-type: none"> • My agency has enhanced, configured, integrated and/or replaced most of its existing business systems so they manage digital information effectively • My agency's current business systems capture additional descriptive information (metadata) enabling staff to find and manage 	<ul style="list-style-type: none"> • My agency assesses and enhances its existing business systems when business processes and/or digital information management requirements change so that digital information continues to be managed effectively • My agency continuously reviews and improves business

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	<p>show that business systems do not generally manage digital information effectively</p> <ul style="list-style-type: none"> In my agency, staff routinely use manual 'work arounds' to ensure that digital information in business systems is managed (eg when managing information disposal) 	<p>strategies and enhancements to ensure that business systems effectively manage digital information. For example, development, enhancement, configuration, collection of additional metadata, integration with other systems and/or replacement</p>	<p>business system development or refresh projects to implement digital information management improvements</p> <ul style="list-style-type: none"> My agency has assessed and documented the digital information management capabilities of its business systems and findings reveal there is wide variation across the agency. My agency has prioritised business systems to improve its digital information management capabilities Auditing of my agency's high-risk business systems shows there has been improvements in managing digital 	<p>information more quickly and effectively</p> <ul style="list-style-type: none"> My agency routinely implements business systems that are capable of managing the destruction and migration of data which are authorised for destruction 	<p>processes regarding the acquisition or development of new business systems, to ensure they manage digital information effectively</p>

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
			information <ul style="list-style-type: none"> My agency has integrated its email system and digital information management systems to ensure that email can be kept and managed appropriately 		

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Metadata enables digital information management	My agency creates and applies basic identifying metadata (descriptors) to digital information.	My agency has formal plans to routinely collect and manage metadata to enable digital information management.	My agency has started to collect and manage metadata to enable digital information management, as planned.	My agency routinely collects and manages metadata to enable digital information management, as planned.	My agency continuously reviews and develops its metadata requirements and implementation to improve digital information management.
Examples:	<ul style="list-style-type: none"> Default system-captured metadata, such as date created, date modified and creator are kept with digital 	<ul style="list-style-type: none"> My agency knows what metadata is, and is aware of the benefits of digital information metadata to its 	<ul style="list-style-type: none"> Metadata requirements are specified in new business system acquisition and/or design 	<ul style="list-style-type: none"> My agency routinely uses recordkeeping and other general and specialist metadata schemas, 	<ul style="list-style-type: none"> My agency uses additional metadata tools, (such as semi-structured, controlled vocabulary,

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	documents in my agency	business	documentation	structured or controlled vocabulary (business classification scheme, thesaurus) and agency-wide metadata registers to manage its digital information	folksonomies, crowd sourcing, text categorisation) to describe and manage its digital information
	<ul style="list-style-type: none"> Basic audit logs of key transactions are created (eg network access logs) Meaningful email subject headings are generally used 	<ul style="list-style-type: none"> My agency is aware of relevant standards and industry-based and/or subject metadata standards and understands how they work My agency has documented its metadata requirements to ensure it can manage its digital information My agency has formal plans to assess business systems to determine their capability to record, capture and manage metadata to enable digital information management My agency has formal plans to 	<ul style="list-style-type: none"> Core business systems have been assessed for their ability to record and manage metadata to enable digital information management High-risk business systems are configured to collect specific metadata to enable digital information management Some business systems use a business classification scheme to improve accessibility of digital information Some business processes identify responsibilities for allocating metadata to digital information 	<ul style="list-style-type: none"> Agency metadata tools are reviewed and maintained to meet business and digital information management requirements My agency uses metadata to assess when digital information needs to be destroyed or migrated Metadata are accessible, preserved and linked to the digital information to which they relate 	<ul style="list-style-type: none"> My agency partners with other organisations to develop and implement common metadata requirements My agency improves data sharing practices across the whole-of-government through use of common metadata requirements My agency uses metadata to work with other agencies to reduce duplication of data across government My agency regularly assesses metadata capture for accuracy,

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
		enhance existing business systems to ensure they can record, capture and manage metadata to enable digital information management	<ul style="list-style-type: none"> High-risk business systems capture full audit logs documenting information creation, deletion, alteration and access metadata 	<ul style="list-style-type: none"> Business systems routinely create and capture metadata about transactions such as registration, classification, storage, access, retention and destruction, and migration Metadata creation and updating is automated in business systems 	<p>appropriateness and comprehensiveness</p> <ul style="list-style-type: none"> Business outcomes that can be improved by better metadata management are regularly assessed and recommendations implemented Business processes for metadata capture are updated to meet changing requirements

The Archives has endorsed ISO 16175 *Principles and Functional Requirements for Records in Electronic Office Environments* which identifies requirements for managing digital information and creating information management metadata in business systems.

Where you may find evidence to support your agency rating (examples only):

- business system assessments/reviews/surveys/audits including against the business systems assessment framework or ISO 16175.
- system information management plans and systems registers
- outcomes of your agency's information review, business needs and business process requirements
- your agency's compliance against the OAIC's [Information Publication Scheme](#) (IPS)
- agency ICT frameworks, policies, procedures and processes related to business system functionality and configuration
- agency policies, procedures and processes for system review, implementation, configuration, metadata collection, business processes

- intra-agency agreements, standards or conventions for sharing and/or exchanging information
- business system documentation and/or functionality
- discussion with business managers, ICT managers, information managers and agency staff in business areas
- previous Check-up results or reports, agency and ANAO audit reports.

Metadata

- agency policies, procedures and processes for metadata or data entry, development of standardised lists or language and business processes
- business system functionality and configuration.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Assessing information management functionality in business systems](#)

National Archives of Australia, [Destruction of source or original records after digitisation, conversion or migration \(GRA 31\) \(2015\)](#)

National Archives of Australia, [ISO 16175 Principles and Functional Requirements for Records in Electronic Office Environments](#)

National Archives of Australia, [Minimum metadata set](#)

National Archives of Australia, [Systems that create, keep and manage digital records](#)

Australian National Audit Office, [Audit Report No. 53 2011–12 Performance Audit: Records management in the Australian Public Service](#), Recommendations 1, 2 and 3, 2012.

Data Analytics Centre of Excellence (chaired by the Australian Taxation Office) and the Big Data Working Group (chaired by the Department of Finance), [Australian Public Service Better Practice Guide for Big Data](#), Information management in the big data context, Commonwealth of Australia, Barton, ACT, 2014, p. 16.

International Organization for Standardization (ISO), [AS/NZS ISO 16175.1:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Overview and statement of principles](#), 2010.

3.2 Management of digital information is planned when acquiring or developing, upgrading, decommissioning and migrating business systems

When rating your agency consider the extent to which it:

- recognises the need to manage digital information in business systems when business systems change;
- has a plan to incorporate digital information management into business system change projects⁷ (including data and metadata conversion and migration management, business system functionality, metadata identification and capture, preservation strategies);
- has implemented a range of measures to ensure that digital information management is routinely incorporated into business system change projects (eg through project planning templates, reporting requirements, risk identification and mitigation, approvals and gateway sign-offs, and requirements to consult with digital information management specialists at key project points); and
- monitors how consistently and effectively business system change projects consider and meet digital information management requirements.

Mature agencies routinely ensure that digital information management requirements are planned for, considered and met when acquiring or developing, upgrading, decommissioning and migrating business systems.

Digital Continuity 2020 Policy – 2016 targets

Statement 3.2 closely relates to Principle 3 – *Information, systems and processes are interoperable* and specifically the following targets:

- Business systems procured after 31 December 2016 will meet minimum metadata standards
- Business systems procured after 31 December 2016 will be evaluated against the Archives' business systems assessment framework to meet functional requirements for information management.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

⁷ Business systems change projects include acquiring or developing, upgrading, decommissioning and migrating business systems.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Business system change projects incorporate digital information management	My agency shows increasing recognition of the need for business system change projects to incorporate the management of digital information.	My agency has a formal plan to ensure that business system change projects incorporate the management of digital information.	Some business system change projects incorporate the management of digital information, as planned.	Business system change projects routinely incorporate the management of digital information, as planned.	My agency uses information gathered during business system change projects to continuously improve its digital information management.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • My agency is aware of digital information management problems in previous system migration projects • My agency recognises that some of its current business system change projects need to incorporate digital information management aspects • My agency has 	<ul style="list-style-type: none"> • My agency has a plan to identify its digital information management requirements for business system change projects • My agency assessed the extent to which previous business system change projects have incorporated digital information management • My agency has identified its digital information management requirements for business system 	<ul style="list-style-type: none"> • Some business system change projects incorporate digital information management, but there is wide variation across the agency • My agency ensures that digital information is assessed and migrated or destroyed to meet: <ul style="list-style-type: none"> ○ legal requirements (eg when implementing new finance, human resource, grant 	<ul style="list-style-type: none"> • Business system change projects are required to plan for, and document, digital information management requirements and strategies (eg through gateway sign-offs) • Business system change project managers routinely ensure that digital information management requirements are identified, planned for, documented and met • Relevant 	<ul style="list-style-type: none"> • My agency reviews its digital information management requirements for business system change projects to improve digital information management and all relevant stakeholders are consulted • My agency works with other agencies to ensure that cross-agency or whole-of-government business system change projects incorporate and meet the digital

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	<p>deleted key business information in previous business system change projects</p> <ul style="list-style-type: none"> My agency does not recognise the need to manage digital information in business systems 	<p>change projects</p> <ul style="list-style-type: none"> My agency has a project plan to routinely incorporate digital information management into business system change projects My agency has started to identify strategies to ensure that business system change projects appropriately manage digital information 	<p>or case management systems) and/or</p> <ul style="list-style-type: none"> descriptive information (metadata) requirements (eg when migrating website data to a new content management system) 	<p>stakeholders are routinely consulted before data are migrated and/or deleted in business system change projects</p> <ul style="list-style-type: none"> My agency monitors the extent to which digital information management is incorporated into business system change projects 	<p>information management requirements of all parties</p> <ul style="list-style-type: none"> Data migration in cross-agency business system change projects is managed to reduce duplication of data across government

Your agency should ensure that digital information management requirements are met, not only for existing business systems, but also when acquiring or developing, upgrading, decommissioning and migrating business systems.

Where you may find evidence to support your agency rating (examples only):

- agency policies, procedures and processes for ICT procurement or acquisition, business system development, upgrade, decommissioning, migration and review projects
- statements of requirements or procurement documentation
- agency ICT frameworks, policies, procedures and processes related to business system functionality and configuration
- business system assessments/reviews/surveys/audits, including against the business systems assessment framework or ISO 16175.outcomes of your agency's information review, business needs and business process requirements
- discussion with business managers, ICT managers, information managers and agency staff in business areas.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Assessing information management functionality in business systems](#)

National Archives of Australia, [Destruction of source or original records after digitisation, conversion or migration \(GRA 31\) \(2015\)](#)

National Archives of Australia, [ISO 16175 Principles and Functional Requirements for Records in Electronic Office Environments](#)

National Archives of Australia, [Minimum metadata set](#)

National Archives of Australia, [Systems that create, keep and manage digital records](#)

Australian Government Information Management Office, Department of Finance, [Australian Government Interoperability Framework \(AGIF\)](#), 2009.

Australian National Audit Office, [Audit Report No. 53 2011–12 Performance Audit: Records management in the Australian Public Service](#), Recommendations 1, 2 and 3, 2012.

Data Analytics Centre of Excellence (chaired by the Australian Taxation Office) and the Big Data Working Group (chaired by the Department of Finance), [Australian Public Service Better Practice Guide for Big Data](#), Information management in the big data context, Commonwealth of Australia, Barton, p. 16.

International Organization for Standardization (ISO), [AS/NZS ISO 16175.1:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Overview and statement of principles](#), 2010.

3.3 My agency is ready to migrate (transfer) 'Retain as National Archives' (RNA) digital information to the National Archives (the Archives)

When rating your agency consider the extent to which it:

- is aware of its obligations and the benefits of migrating (transferring) archival digital information to the Archives;
- has systems and processes in place to identify archival digital information in business systems, capture the required metadata for migration, and destroy or manage a read only copy of the digital information once it has been successfully migrated;
- has business systems which are able to successfully export or migrate (transfer) archival digital information; and
- has identified and prioritised legacy archival digital information which is at highest risk of loss for migration (transfer) to the Archives.

Mature agencies have developed processes, systems and technologies to enable the regular migration (transfer) of archival digital information to the Archives and have prioritised legacy digital information for migration.

Digital Continuity 2020 Policy – 2016 targets

Statement 3.3 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- All records created in digital formats after 1 January 2016 are managed digitally.

Statement 3.3 also closely relates to Principle 3 – *Information, systems and processes are interoperable* and specifically the following targets:

- Business systems procured after 31 December 2016 will meet minimum metadata standards
- Business systems procured after 31 December 2016 will be evaluated against the Archives' business systems assessment framework to meet functional requirements for information management.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Agency is RNA digital information migration (transfer) ready	My agency has not considered the business benefits of migrating (transferring) RNA digital information to the Archives.	My agency has increasing awareness of the benefits of migrating (transferring) RNA digital information to the Archives.	My agency has started to develop business processes and systems to enable the migration (transfer) of RNA digital information to the Archives.	My agency is ready to migrate (transfer) legacy RNA digital information to the Archives.	My agency is ready to complete regular, scheduled migrations (transfers) of RNA digital information to the Archives when it is no longer required for business purposes and within 15 years of the information being created.
Examples:	<ul style="list-style-type: none"> • My agency manages its information mainly in paper • My agency does not have a records authority and/or does not know if it has any RNA information • My agency has not considered the business benefits of transferring its RNA digital information to the Archives for long-term preservation 	<ul style="list-style-type: none"> • My agency's current storage arrangements are suitable for the short-term storage of RNA digital information • My agency has costed and recognises the benefits of transferring the long-term storage and preservation of RNA digital information to the Archives • My agency has a project plan to 	<ul style="list-style-type: none"> • My agency has identified its requirements for migration, including appropriate migration formats, metadata requirements, transfer mechanisms and hardware • My agency has processes for exporting or migrating RNA digital information in appropriate formats for transfer 	<ul style="list-style-type: none"> • My agency has current records authorities and knows that it has no RNA digital information due for transfer to the Archives • Legacy digital information has been identified and prioritised for RNA assessment • My agency has reviewed its offline storage and legacy business systems and has identified RNA digital 	<ul style="list-style-type: none"> • My agency has processes to identify and prepare regular, scheduled RNA digital information migrations to the Archives when the information is no longer needed for business purposes • My agency regularly captures descriptive information (metadata) about RNA digital information as it is created to enable regular, scheduled

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
		<p>ensure it is ready to transfer RNA digital information to the Archives within 12 months</p> <ul style="list-style-type: none"> My agency has started to identify its requirements for migration (transfer), including appropriate migration formats, metadata requirements, transfer mechanisms and hardware 	<p>to the Archives</p> <ul style="list-style-type: none"> My agency has processes to ensure that adequate descriptive information (metadata) is available or applied to RNA digital information to enable it to be migrated to the Archives My agency has started to identify which digital information is RNA and is eligible for migration to the Archives 	<p>information which is eligible for migration to the Archives</p> <ul style="list-style-type: none"> My agency has exported legacy RNA digital information into appropriate formats with the necessary metadata, and is ready to migrate it to the Archives 	<p>migrations to the Archives</p>

In accordance with the Digital Transition Policy, from the end of 2015 archival information created in digital formats is only accepted for migration (transfer) to the Archives digitally.

Where you may find evidence to support your agency rating (examples only):

- agency policies, procedures and processes for digital RNA identification, including formats, descriptive information, export requirements, deletion or read-only status of migrated records, migration and integrity checking
- case studies and/or costings of migration business benefits
- discussion with information managers and ICT managers
- evidence of previous transfers.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Digital Continuity 2020 Principle 3 – Information, systems and processes are interoperable](#)

National Archives of Australia, [Digital Transition Policy](#)

National Archives of Australia, [General and agency-specific records authorities](#)

National Archives of Australia, [Preserving digital records for the future](#)

National Archives of Australia, [Transferring records to the Archives](#)

[Archives Act 1983](#) s 24 and s 27

Attorney-General's Department, [Protective Security Policy Framework \(PSPF\)](#)

Australian Signals Directorate, Department of Defence, [Information Security Manual \(ISM\)](#)

International Organization for Standardization (ISO), [AS/NZS ISO 16175.1:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Overview and statement of principles](#), 2010.

International Organization for Standardization (ISO), [SA/SNZ TR ISO 16175.3:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Guidelines and functional requirements for records in business systems](#), s3.4.2, 2010.

3.4 My agency's digital information is available for use and protected from unforeseen loss

When rating your agency consider the extent to which it:

- is aware of its obligations and the benefits of ensuring its digital information is available and protected from unforeseen loss;
- has business continuity and disaster recovery plans for all digital information, including that on mobile and bring your own (BYO) devices, in collaborative spaces and social media, and with outsourced providers and third parties; and
- successfully tests its plans or simulates test scenarios on a regular basis.

Mature agencies have developed processes, systems and technologies to ensure that all of its digital information is available and protected from unforeseen loss. Digital information is covered by business continuity and disaster plans and that those plans are successfully tested and/or simulated on a regular basis.

Digital Continuity 2020 Policy – 2016 targets

Statement 3.4 closely relates to Principle 2 – *Information is managed digitally* and specifically the following target:

- Agencies identify high-value and long-term information assets, evaluate risk and management requirements, and implement strategies by 31 December 2016.

Upload documents for this statement

You need to provide documents to validate your rating for level 5 only. Please refer to the suggested evidence to support your agency rating.

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
Digital information is available for use and protected from unforeseen loss	My agency's business continuity and disaster recovery plans cover some of my agency's digital information.	My agency has formal plans to develop business continuity and disaster recovery plans to cover all digital information.	My agency's business continuity and disaster recovery plans cover most of its digital information.	My agency successfully tests or simulates its business continuity and disaster recovery plans for digital information on a regular basis.	My agency regularly tests or simulates business continuity and disaster recovery scenarios for digital information, and uses the findings to continuously improve its business continuity and disaster recovery plans.
Examples:	<ul style="list-style-type: none"> • My agency manages its information predominantly in paper • My agency is aware of previous data losses and the impact on its business • My agency has a business continuity and disaster recovery plan for some digital information (eg ICT disaster recovery plan, corporate business) 	<ul style="list-style-type: none"> • My agency has a plan to develop business continuity and disaster recovery plans with its outsourced providers, other third parties, for digital information in collaborative spaces and social media, and/or digital information on mobile and BYO devices • My agency has a plan to regularly review its business continuity and disaster recovery 	<ul style="list-style-type: none"> • My agency has identified its business continuity and disaster recovery requirements for most or all of its digital information • My agency has a business continuity and disaster recovery plan for its digital information, including that held by outsourced providers, other third parties, digital information in collaborative 	<ul style="list-style-type: none"> • My agency comprehensively tests and reviews its business continuity and disaster recovery plans, and ensures that digital information is available for use and protected from unforeseen loss 	<ul style="list-style-type: none"> • My agency conducts annual disaster recovery simulations to test and improve its business continuity and disaster recovery plans for digital information • Business continuity and disaster recovery plans are updated to take account of the testing or simulation results, changing systems and environment and requirements

Capability	Level 1 – Initial	Level 2 – Developing	Level 3 – Defined	Level 4 – Managed	Level 5 – Optimising
	continuity plan) <ul style="list-style-type: none"> My agency does not have a business continuity and disaster recovery plan for digital information held by outsourced providers, other third parties, digital information in collaborative spaces and social media, and/or digital information on mobile and BYO devices 	plans, including with its cloud and other providers	spaces and social media, and/or digital information on mobile and BYO devices <ul style="list-style-type: none"> My agency has a plan to regularly test/simulate its business continuity and disaster recovery plans 		<ul style="list-style-type: none"> My agency regularly simulates business continuity and disaster recovery scenarios with other agencies and/or its partners using the results to improve its business continuity and disaster recovery plans

Your agency has obligations to ensure that your digital information is available for use and readable when it is needed and for long as it is needed. As a priority, evaluate risk and management requirements for high-value and long-term information assets and implement strategies to protect them from unforeseen loss.

Where you may find evidence to support your agency rating (examples only):

- agency, outsourced provider and third-party business continuity and disaster recovery plans
- agency, outsourced provider and third-party business continuity and disaster recovery policies and procedures including processes for review and update
- agency governance and/or audit reporting mechanisms
- results of disaster response and recovery simulations, testing or scenarios
- discussion with ICT, audit and/or corporate governance staff.

References

National Archives of Australia, [Digital Continuity 2020 Policy](#)

National Archives of Australia, [Digital Continuity 2020 Principle 2 – Information is managed digitally](#)

National Archives of Australia, [Digital Information and Records Management Capability Matrix](#)

[Archives Act 1983](#) s 24

Attorney-General's Department, [Protective Security Policy Framework \(PSPF\)](#), Mandatory Requirement GOV 11.

Australian National Audit Office, [Business Continuity Management: Building resilience in public sector entities](#), 2009.

Australian Signals Directorate, Department of Defence, [Data Spill Management Guide](#), 2014.

Australian Signals Directorate, Department of Defence, [Information Security Manual \(ISM\)](#)

Digital Transformation Office, [Digital Service Standard](#), 2016

International Organization for Standardization (ISO), [SA/SNZ TR ISO 16175.2:2012 Information and documentation - Principles and functional requirements for records in electronic office environments - Guidelines and functional requirements for digital records management systems](#), Part 5.8.5, 2010.

Office of the Australian Information Commissioner, [Australians better protected with mandatory data breach notification](#), 2013.