A note on presentation of results: The report presents results from the second cycle (2019) of the NAA Check-up PLUS online survey that was conducted between July and October 2019. Comparisons to the first cycle (2018) of the NAA Check-up Plus online survey are also presented where appropriate. Percentages are based on the total number of valid responses made to questions in the survey. Some results shown in this report have been changed to avoid the appearance that rounded percentages do not sum to 100%. These percentages will differ slightly to results shown in other reports, such as individual agency reports, that are based on the underlying data. Results reflect responses from agencies where the particular questions were applicable and where they were answered.
Check-up PLUS is an online self-assessment tool designed to gauge Australian Government agencies’ maturity and performance in information and data management. This report presents the results from the 2019 survey with comparisons to 2018 results where appropriate.

Check-up PLUS is structured to align with the National Archives of Australia (the National Archives) Information Management Standard, which was developed to assist Australian Government agencies to create and manage business information effectively. The Information Management Standard comprises eight principles, consistent with the key concepts and principles of Australian Standard AS ISO 15489.1 (2017) - Records Management. The findings of the survey give an understanding of information management maturity and progress towards Digital Continuity 2020 targets.

The National Archives commissioned ORIMA Research to conduct Check-up PLUS over 2018-2022. A total of 169 agencies completed the 2019 Check-up PLUS survey, representing all in-scope agencies that were required to make a Check-up submission. This report presents a summary of the findings of Check-up PLUS across all in-scope agencies that formally submitted their survey (n=166). The size and functional profile of these agencies is presented below:
Executive Summary

The 2019 Check-up PLUS survey found that the overall information management maturity index recorded a score of 3.25 out of 5. This rating improved slightly from the 2018 result (3.1) and is just above the mid-point level – considerable progress is still required before required information management practices are consistently followed across agencies.

The highest maturity level in 2019 was recorded for digital operations, a new maturity dimension introduced to Check-up PLUS in 2019. The other maturity ratings performed similarly to 2018 – the highest maturity levels were recorded for creating and storage of information, while the lowest maturity levels were recorded for interoperability, disposal and governance of information.

The 2019 Check-up PLUS survey generally recorded results that were similar to, or improved from those recorded in 2018. The most notable improvements were in relation to the:

- overall information maturity index for nano agencies (3.4 out of 5, up from 2.6 in 2018)
- percentage of agencies that regularly:
  - identify and remove paper from internal and external processes to improve efficiency (71%, up from 58% in 2018)
  - use appropriate technologies to automate processes (45%, up from 31%)

Almost two-thirds of agencies indicated that their information and records were covered by agency-specific records authorities. However, awareness of the volume of Retain as National Archive (RNA) records was again mixed – agencies were much more likely to know the volume of physical RNA records than digital RNA records.

- AV records were less likely to have been sentenced (3% for AV digital and 4% for AV physical records) compared to other digital (12%) or physical (54%) records
- 63% of digital material holdings are un-sentenced with unknown disposal classifications – a reduction in un-sentenced material from 74% in 2018
- Of the 1.9 million shelf metres of physical records held by agencies, only 10% is estimated as RNA records – however, this has increased slightly from 6% in 2018. Digital material holdings were 154,839 TB in 2019, with only 4% estimated to be RNA material (similar to 3% in 2018)

In 2019, progress was made towards achieving the Digital Continuity 2020 Policy Objectives. Although progress varied among the recommended actions needed to meet these objectives, a number of improvements were recorded across all the principles – e.g. agencies regularly:

- identify and remove paper from internal and external processes (71%, up from 58% in 2018) and implement preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as required (54%, up from 46%) [Principle 1: Information is valued]
- use appropriate technologies to automate processes (45%, up from 31%) [Principle 2: Information is managed digitally]
- adopt relevant metadata standards at the appropriate level (42%, up from 36%) and ensure new or updated business systems and services have the capacity to manage information in place for its whole life (45%, up from 38%) [Principle 3: Information, systems and processes are interoperable digitally]
Information management maturity indexes

The 2019 survey measured agency performance against six information management indexes:

- **Information Governance**: Managing information assets across an entire organisation to support its business outcomes. It involves having frameworks, policies, processes, standards, roles and controls in place to meet regulatory, legal, risk and operational requirements.
  
  **2019**: 3.08 out of 5
  **2018**: 3.04

- **Information Creation**: Creating business information that is fit for purpose to effectively support business needs.
  
  **2019**: 3.72 out of 5
  **2018**: 3.63

- **Interoperability**: Supporting the use and reuse of government information and data as key assets. Providing accessible, consistent, coordinated and more timely services, and reducing obsolescence and costs.
  
  **2019**: 3.12 out of 5
  **2018**: 3.09

- **Storage**: Storing business information securely and preserving it in a useable condition for as long as required for business needs and community access.
  
  **2019**: 3.37 out of 5
  **2018**: 3.31

- **Disposal**: Keeping business information for as long as required after which time it should be accountably destroyed or transferred.
  
  **2019**: 2.86 out of 5
  **2018**: 2.83

- **Digital Operations**: Managing information as an asset and creating and managing information in digital format, including via business processes such as digital authorisations and approvals.
  
  **2019**: 3.92 out of 5

- **Overall**: The 2019 overall maturity index is calculated as a weighted average of the above six information maturity indexes based on the National Archives’ assessment of their relative importance.
  
  **2019**: 3.25 out of 5
  **2018**: 3.13

* This index was not included in the 2018 survey analysis.
Overall information management maturity index by...

### Agency Size:

Nano sized agencies recorded the greatest improvements compared to 2018 and are now recording maturity ratings similar to or slightly higher than larger agencies.

Consistent with 2018, there was no general correlation between maturity ratings and the size of agency.

### Agency Function:

The lowest maturity scores were for agencies with cultural or heritage (2.8) and smaller operational (2.7) functions.

Agencies with scientific or research (3.6), specialist (3.45) or regulatory (3.4) functions recorded the highest maturity scores on average in 2019.
Just over half of agencies were usually or always providing all staff with access to appropriate training to develop contemporary information management skills (57%) and had established information management roles and responsibilities that were articulated throughout the agency (54%). A lower proportion indicated they implement information governance holistically (47%).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

- **57%** of agencies have provided all staff with access to appropriate training to develop contemporary information management skills
- **54%** established information management roles and responsibilities and articulated these throughout the agency
- **47%** implemented information governance holistically
Nearly half of all agencies (unchanged from 2018) reported that they have a formal governance mechanism with broad representation for ensuring information management requirements are considered in decision making.

The proportion of agencies that had formal governance mechanisms (for example an information governance committee) for ensuring information management requirements are considered when making decisions:

49% of agencies had established a formal governance mechanism for all agency information management decisions.

- 17% had a mechanism for ICT only
- 25% had planned but not fully implemented a formal governance mechanism for information management
- 8% did not have a mechanism in place
While agencies continued to report mixed ratings about implementing a range of better practices for creating information, solid to strong improvements were recorded in all measures since 2018. The majority of agencies reported they usually or always continually identify and remove paper from internal and external processes (71%, up from 58%), while less than half ensure new or updated business systems can manage information for its whole life (45%, up from 38%) and use appropriate technologies to automate processes (45%, up from 31%).

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

- **71%** continually identify and remove paper from internal and external processes to improve efficiency (up from 58% in 2018)
- **45%** ensure new or updated business systems can manage information for its whole life (up from 38% in 2018)
- **45%** use appropriate technologies to automate processes (higher than 31% in 2018)
Less than half of agencies indicated they have implemented various interoperability measures in 2019, although an improvement was recorded in the proportion that have adopted metadata standards at the appropriate level (42%, up from 36% in 2018).

The proportion of agencies that have implemented the following interoperability measures (is in place and up-to-date, or needs to be updated):

- **42%** have adopted relevant metadata standards at the appropriate level (up from 36% in 2018)

- **41%** collect descriptive information in line with the Information Management Standard
Just over half (54%) of agencies implement preservation strategies to ensure information can be accessed, used and understood for as long as it is required – an improvement from 46% in 2018.

54% implement preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required (higher than 46% in 2018)
Less than half (43%) of agencies indicated that they usually or always establish governance across all business systems for the identification or transfer of agency information assets – similar to 2018.

The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

- Establish governance across all business systems for the identification, destruction or transfer of agency information assets.

43% establish governance across all business systems for the identification, destruction or transfer of agency information assets.
Agencies reported **generally positive ratings** about implementing a range of better practices for digital operations. Over three quarters indicated they usually or always **work digitally by default** (81%) and **senior management support digital information management as a business priority** (77%). A lower proportion indicated that their **staff usually or always meet their digital information management roles and responsibilities** (54%).

**81%** work digitally by default

**77%** of agencies’ senior management support digital information management as a business priority

**54%** of agencies’ staff meet their digital information management roles and responsibilities
Records authorities and RNA arrangements

Around two-thirds of agencies’ information and records were covered by agency-specific records authorities, while less than half of agencies had destroyed information in the last 12 months (down from 53% in 2018). Approximately one-in-five agencies were planning to transfer RNA to the National Archives in the next 12 months, however, agencies were much less likely to have undertaken sentencing or declassification in preparation for transfer in 2019.

75% of the information and records of agencies’ core business was covered by agency-specific records authorities

Note: This is a finding from NAA data collected outside the Check-up Plus Survey

46% of agencies had destroyed information in the last 12 months (down from 53% in 2018)

<table>
<thead>
<tr>
<th>Question</th>
<th>2019 (n=166)</th>
<th>2018 (n=160)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is your agency planning to transfer RNA to the Archives in the next 12 months?</td>
<td>19.9%</td>
<td>23.8%</td>
</tr>
<tr>
<td>Is your planned transfer already on the Archives’ National Transfer plan?</td>
<td>51.5%</td>
<td>47.4%</td>
</tr>
<tr>
<td>Has the information been sentenced in preparation for transfer?</td>
<td>57.6%</td>
<td>88.9%</td>
</tr>
<tr>
<td>Has a declassification activity been completed for the proposed transfer?</td>
<td>26.3%</td>
<td>50.0%</td>
</tr>
</tbody>
</table>

20% of agencies are planning to transfer RNA to the National Archives in the next 12 months.

52% of planned transfers were already on the National Archives’ National Transfer plan.

Of these, 58% had sentenced the information in preparation for transfer (down from 89% in 2018) and 26% had completed a declassification activity for the proposed transfer (down from 50%).
RNA volumes

Agencies continue to have a much higher proportion of RNA in physical records (10% for non-AV and 71% for AV) than in digital records (4% non-AV and 30% AV). Agencies also indicated that 63% of digital records had unknown disposal status (34% for AV digital). While this unsentenced material is down from 74% in 2018 (49% for AV digital), it remains more than double the percentage for physical records (26% for non-AV and 14% AV).

Figures in brackets represent the 2018 results
While physical records were much more likely to have been sentenced (54.3%) than digital records (12.4%), AV records had by far the lowest sentencing rates. Sentencing rates were similar for AV digital records (3.4%) and AV physical records (3.5%) in 2019, representing slight declines from 2018 levels (4.2% and 4.4%, respectively).
The **Digital Continuity 2020 Policy** plays a key role in supporting the Australian Government's digital transformation initiatives and driving e-government. Agencies that understand and fully realise the benefits of their assets – information, technology, people and processes – will deliver better and more efficient services to Australians.

The policy enables the integration of information governance principles and practices into the work of agencies and their governance arrangements to:

- optimise the delivery of government programs and services
- enable information reuse for economic and social benefits
- protect the rights and entitlements of Australians

The policy promotes a consistent approach to information governance across the Australian Government and within individual agencies. It applies to government information, data and records, as well as systems, services and processes, including those created or delivered by third parties on behalf of Australian Government agencies.

The policy is built on three principles:

- information is valued
- information is managed digitally
- information, systems and processes are interoperable

For the 2019 Check-up PLUS reporting, the National Archives has introduced a new section summarising agency progress towards the objectives of the Digital Continuity 2020 Policy.
Principle 1 – Information is valued

Just under half of agencies have yet to establish an information governance committee (action 2) or have not widely implemented holistic governance arrangements (action 3) – both of which had a target date of 2016. However, progress has been made since 2018 to implement preservation activities, procedures and activities (action 4).

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### Recommended Actions*

<table>
<thead>
<tr>
<th>Action Description</th>
<th>Target Date</th>
<th>Check-up Plus Measure (% Almost always/ always + % Usually/ most of the time)</th>
</tr>
</thead>
<tbody>
<tr>
<td>#1  Information governance reporting</td>
<td>Annually until 31 December 2020</td>
<td>Submission of approved information management survey (Check-up PLUS)</td>
</tr>
<tr>
<td>#2  Agencies have established an information governance committee</td>
<td>30 June 2016</td>
<td>Staff meet their digital information management roles and responsibilities</td>
</tr>
<tr>
<td>#3  Agencies have an information governance framework</td>
<td>31 December 2016</td>
<td>Senior management support digital information management as a business priority. Information governance is implemented holistically to ensure complete &amp; consistent management of all information assets.</td>
</tr>
<tr>
<td>#4  Agencies manage their information assets for as long as they are required</td>
<td>31 December 2020</td>
<td>Implement preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required. Establish governance across all business systems for the identification, destruction or transfer of agency information assets.</td>
</tr>
<tr>
<td>#5  Agencies meet targets for skilled staff</td>
<td>31 December 2020</td>
<td>Staff meet their digital information management roles and responsibilities</td>
</tr>
</tbody>
</table>

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Key: ↑↓ Indicates a 2019 result that is at least 5 percentage points higher or lower than in 2018.
Principle 2 – Information is managed digitally

While four-fifths of agencies usually or always work digitally by default (action 6), less than half usually or always use appropriate technologies to automate processes (action 6) – although considerable progress has been made since 2018 on this measure along with improving efficiency by continually identifying and removing paper from internal and external processes.

**Recommended Actions**

| #6 | Agencies’ business interactions, decisions and authorisations are recorded digitally. Exemptions are based on legislative or agency specific requirements and are endorsed by the agency Information Governance Committee | 31 December 2020 | Use appropriate technologies to automate processes. | 45% ↑ | 31% |

| #7 | Information in analogue formats is migrated to digital format, where there is value for business | 31 December 2020 | Senior management support digital information as a business priority. | 77% |  
Continually identify and remove paper from internal and external processes to improve efficiency | 71% ↑ | 58% |

Key: ↑↓ Indicates a 2019 result that is at least 5 percentage points higher or lower than in 2018

### Principle 3 – Information, systems and processes are interoperable

Although **under half of agencies** indicated that information is managed based on format and metadata standards for information governance and interoperability (action 8) and that all business systems meet functional requirements for information management (action 9) in 2019, some progress has been made in these areas since 2018.

<table>
<thead>
<tr>
<th><strong>Recommended Actions</strong></th>
<th><strong>Target Date</strong></th>
<th><strong>Check-up PLUS Measure</strong></th>
<th><strong>2019</strong></th>
<th><strong>2018</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>#8 Information is managed based on format and metadata standards for information governance and interoperability</td>
<td>31 December 2020</td>
<td>Adopt relevant metadata standards at the appropriate level, for example: enterprise, domain, government, international. <em>(Is in place but needs to be updated/ revised or is in place and up-to-date/ current)</em></td>
<td>42%</td>
<td>36%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Collect descriptive information (metadata) in line with the Information Management Standard. <em>(i.e. accurate, understood and meets your business needs).</em></td>
<td>41%</td>
<td>39%</td>
</tr>
<tr>
<td>#9 All business systems meet functional requirements for information management</td>
<td>31 December 2020</td>
<td>Ensure new or updated business systems and services have the capacity to manage information in place for its whole life.</td>
<td>45%</td>
<td>38%</td>
</tr>
<tr>
<td>#10 Cross-agency and whole of government processes incorporate information governance requirements and specifications</td>
<td>31 December 2020</td>
<td>This action relates to multi-agency initiatives and cannot be responded to by individual agencies at present. The National Archives will introduce a new measure in future surveys to assess this action.</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

Key: **↑↓** Indicates a 2019 result that is at least 5 percentage points higher or lower than in 2018.

Further information and resources

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

Please contact ORIMA Research at Check-upPLUS@orima.com if you have any questions about accessing or using the online report.

Please visit the National Archives website for more information about Check-up PLUS: https://www.naa.gov.au/node/271

This project was conducted in accordance with the international quality standard ISO 20252 and the Australian Privacy Principles contained in the Privacy Act 1988.