



National Archives of Australia

2021 Check-up PLUS Questionnaire

Canberra Melbourne Sydney Brisbane
www.orima.com



Part 1 – Information and Instructions

A. Background and purpose of this survey

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

Check-up PLUS is structured to align with the Archives’ [Information Management Standard](#) to assist Australian Government agencies 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*.

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

The survey:

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

You can use the results of assessments to:

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

The Archives will use the findings from the survey to:

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

Who is conducting the survey?

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

How do staff access the survey?

All agencies have been asked to nominate Check-up Coordinators and at least one ‘Administrator’ who can manage survey access for other agency staff. Coordinators will be emailed a link to the online survey portal at the time of the survey open period. If you are unsure who is your agency Check-up Coordinator, please contact your information management area or ORIMA Research at CheckupPLUS@orima.com.

Who should complete the survey?

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

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

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

What is the date of effect for survey responses?

The 2021 Check-up PLUS survey aims to capture each agency's achievements against the DC2020 Policy recommended actions and targets.

Survey responses should be made with a date of effect as at 1 January 2021. Every question from Part 3 – Part 6 should be read with the following preface: 'As at 1 January 2021'.

For example:

- 15 ***As at 1 January 2021***, does your agency have a staff member identified as a Chief Information Governance Officer (CIGO)?
 - 1 Yes – at the Senior Executive Service level
 - 2 Yes – below the Senior Executive Service level
 - 3 No

Who should submit (approve) your agency's survey responses?

The survey can only be signed off (approved) by a person within your agency who has the user type 'approver'. Your 'approver' is the Agency Head, unless otherwise agreed with the Archives. The 'approver' does not necessarily need to access the survey to complete the submission.

How long will the survey take to complete?

The time to enter the data into the survey online should be around 20 minutes on average. However, additional time will be required to gather information to complete the survey. The survey does not need to be completed in one session.

Is the survey confidential? – See also Privacy Statement (next page)

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

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

De-identified data (consolidated APS wide responses) from this survey may be provided by the National Archives to relevant APS agencies or APS Networks (eg Data Champions Network) for the purpose of describing current APS information management practices. Any such data sharing will be performed in accordance with the best practice as outlined by the Office of the National Data Commissioner. No individual agency's results will be shared. ORIMA will not be part of such sharing arrangements.

Accuracy of survey response

Under *Archives Regulations 2018*, the National Archives may make arrangements with individual agencies to validate their survey responses. B. Privacy Statement

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

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

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

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

C. Definitions

Term	Definition
Accountable disposal	Appropriate disposal action authorised by the National Archives through general or agency specific records authorities, or Normal Administrative Practice under section 24 of the <i>Archives Act 1983</i> .
Audiovisual digital records	Records created as recorded sound or moving image in any digital format including digital files that may be stored on CD/DVD, USB or hard disk drives.
Audiovisual physical records	Records created as recorded sound or moving image in any physical format including gramophone records, video and audio magnetic tape recordings (open reel, cartridge or cassette tapes), motion picture film and sound recordings.

Business information	Records, data and information (in any format) created, sent and received as part of your agency's business.
Contemporary information management	Management of information using current capabilities, technologies and tools in an environment that is predominantly digital.
Digital records	Information which originated in a digital format. Also referred to as born digital or digital information.
Information architecture	Artefacts such as enterprise taxonomies, metadata registers, vocabularies, classification schemes, namespaces and ontologies.
Physical records	Includes paper, microfiche, photographs and film negatives.
Retain as national archives (RNA)	Commonwealth records appraised as having permanent archival value. Also referred to as 'RNA records'.

D. Instructions

How should the assessment be completed?

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

Q1 *Was your agency impacted by machinery of government change in the last 12 months?*

[Please select all that apply]

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

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

Q2 *What were the main information and data management issues or challenges for your agency from machinery of government changes in the last 12 months? [Please select up to three challenges]*

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

E. Who do I contact for further information?

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

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

Part 2 – Background

A. Agency profile

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

- 1 What is the name of your agency? _____
- 2 What is the name of your agency's portfolio? _____
- 3 Please specify the name and contact details of the head of your agency.

First name _____ Last name _____

Position _____ Email address _____

Telephone number _____

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

First name _____ Last name _____

Position _____ Email address _____

Telephone number _____

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

Statement for out of scope agencies

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

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

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

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

Coordinator levels users can request that the out-of-scope statement be sent to the Approver. This will create an auto-generated email with a unique URL that will allow the Approver to access the system

without generating a password or logging in and allow them to agree with the following out-of-scope statement and submit their response.

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

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

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

Operating environment

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

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

Please indicate whether your agency agrees with the following statements:

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

1 Agree *Please elaborate if necessary:* _____

2 Disagree *Please elaborate:* _____

- 9 We confirm that we have identified Retain as National Archives (RNA) information in offshore offices and have policies and processes in place to ensure this information is stored, protected and is able to be transferred to the National Archives in line with the requirements under the *Archives Act 1983*.

1 Agree *Please elaborate if necessary:* _____

2 Disagree *Please elaborate:* _____

Impact of Machinery of Government change

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

1 Yes, gained a function(s)

2 Yes, lost a function(s)

3 No *[Please go to the next section]*

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

1 Large volumes of physical records to move

2 Large volumes of digital records to move

3 Physical records moving to a digital environment

4 Large, complex digital records to move (e.g. migration of a significant database or datasets)

5 Need to develop specific supporting technologies to accommodate transfer of business information (e.g. Application Programming Interface or API)

6 Difficulties surrounding security and or privacy concerns

7 Insufficient internal human resources with appropriate skills

8 Significant system development or modifications required

9 Lack of understanding and/or visibility of what information was impacted by the change

10 Negative impact of existing resourcing or funding

11 No significant impact

12 Other *[Please specify]* _____

Part 3 – Information management maturity assessment

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

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

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

A. Governance

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

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

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

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

	Is not developed / planned (yet)	Planning / consultation has commenced to develop	A draft version is under development	Is in place but needs to be updated/ revised	Is in place and up-to-date / current
	architecture includes artefacts such as enterprise taxonomies, metadata registers, vocabularies, classification schemes, namespaces and ontologies				

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

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

	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always	
	capability to manage information and data for as long as it is required. Hover text on 'Contemporary Information Management' to show definition text					
f	All staff responsible for information management possess professional qualifications and /or accreditation. This includes staff in the process of obtaining qualifications and/or certification.	0-20% of staff	21-40% of staff	41-60% of staff	61-80% of staff	81-100% of staff
g	Data is managed across its lifecycle using systems and processes to reduce manual effort.	1	2	3	4	5

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

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

- 14 Does your agency have a formal governance mechanism (for example an information governance committee) with broad representation ensuring information management requirements are considered when making decisions?
- 1 Yes – for all agency information management decisions
 - 2 Yes – for ICT-related matters only
 - 3 Partial – the mechanism is planned but not fully implemented or lacks maturity
 - 4 No
- 15 Does your agency have a staff member identified as a Chief Information Governance Officer (CIGO)?
- 1 Yes – at the Senior Executive Service level
 - 2 Yes – below the Senior Executive Service level
 - 3 No

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

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

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

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

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

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

B. Creating / generating information

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

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

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

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

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

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

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

	To what extent....	Almost always/ always	Usually/ most of the time	Often	Sometimes	Rarely/ never	N/A
a	Are manual processes <u>preventing</u> your agency's progress toward digital information management?	1	2	3	4	5	
b	Does lack of appropriately secured systems for security classified digital information <u>prevent</u> progress toward digital information management?	1	2	3	4	5	6
c	Does lack of suitably qualified and experienced information management staff <u>prevent</u> progress toward digital information management?	1	2	3	4	5	
d	Is a risk averse culture <u>preventing</u> progress toward digital information management?	1	2	3	4	5	
e	Does your agency's technological environment <u>prevent</u> data use, reuse and sharing?	1	2	3	4	5	

C. Interoperability

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

21 Does your agency identify itself as data-centric?

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

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

	To what extent does your agency ...	Is not developed / planned (yet)	Planning / consultation has commenced to develop	A draft version is under development	Is in place but needs to be updated/ revised	Is in place and up-to-date / current	N/A
a	Adopt standardised data models at the appropriate level, for example: enterprise, domain, government, international. Hover text on 'domain': agencies of similar business e.g. geospatial, financial regulation etc.	1	2	3	4	5	6
b	Adopt relevant metadata standards at the appropriate level, for example: enterprise, domain, government, international. Hover text on 'domain': agencies of similar business e.g. geospatial, financial regulation etc.	1	2	3	4	5	
c	Manage metadata using a metadata repository or register.	1	2	3	4	5	
d	Undertake data discovery and indexing activities using data catalogues, dataset registers or indexes.	1	2	3	4	5	6

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

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

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

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

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

25 Does your agency contribute or lead any whole of government or cross agency processes eg Parliamentary Workflow Solution, GovCMS, whole-of-Government procurement, collaborative projects or partnerships?

- 1 Yes – a high level (lead)
- 2 Yes – a medium or low level (contribute)
- 3 No

26 Information governance requirements

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
a	Incorporate information governance requirements into its whole of government and/or cross agency processes?	1	2	3	4	5

D. Storing (and preserving) information digitally

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

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

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

E. Disposing (destruction and transfer)

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

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

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always	N/A
a	<p>Establish governance across all business systems for the identification, disposal (destruction or transfer) of agency information assets.</p> <p>For example, under an approved, accountable disposal policy and process.</p> <p>Hover text on 'Accountable Disposal' to show definition text</p>	1	2	3	4	5	
b	<p>Automate identification and destruction of low value and low risk information.</p> <p>Examples of behaviours of agencies with high maturity in this practice include routinely:</p> <ul style="list-style-type: none"> configuring an agency's EDRMS to flag information for destruction sentencing on creation implementing identification and destruction of low value information assets in existing business systems. 	1	2	3	4	5	
c	<p>Ensure business systems with high risk information (eg. legacy systems, and systems due for decommissioning) are configured to identify information for disposal based on records authorities (including identifying Retain as National Archives or RNA).</p> <p>Hover text on 'RNA' to show definition text</p>	1	2	3	4	5	
d	<p>Base the transfer of information, both to the Archives or during Machinery of Government changes, on shared standards (for example, Archives' minimum metadata set requirements) and agreed business requirements.</p>	1	2	3	4	5	6

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

F. Digital operations

The questions in this section relate to the Digital Continuity 2020 Policy [Principle 1: Information is Valued](#), and [Principle 2: Information is managed digitally](#).

By 2020 agencies will manage their information as an asset, ensuring it is created, stored and managed for as long as required, taking into account business requirements and other needs and risks. Additionally, agencies will create and manage information in digital format. This means that business processes, including authorisations and approvals, are completed digitally.

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

	To what extent does your agency ...	Rarely/ never	Sometimes	Often	Usually/ most of the time	Almost always/ always
a	Work digitally by default ie create, store and manage information digitally.	1	2	3	4	5
b	Senior management support digital information management as a business priority.	1	2	3	4	5
c	Staff meet their digital information management roles and responsibilities	1	2	3	4	5

Part 4 – Records authorities and Retain as National Archive (RNA) records

This next section of Check-up PLUS covers disposal of business information, RNA and planned transfers of RNA to the National Archives.

A. Records authority coverage

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

_____ % Positive whole numbers from 0 to 100

- 31 Has your agency destroyed information in the last 12 months?

- a. Yes
- b. No [Please go to question 31]

Statement of Assurance for Records Destruction

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

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

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

B. RNA Volumes

Please answer the following questions about the volume of business information held by your agency.

Digital Records

- 32 Existing digital information and data:

- i Total volume of digital information and data:
 - 1 _____ Drop down: Gigabytes/Terabytes/Petabytes (please choose the most appropriate unit(s) of measurement) [If zero volume go to next question]
- ii Amount (or percentage) of RNA:
 - 1 _____ Drop down: Gigabytes/Terabytes/Petabytes (please choose the most appropriate unit(s) of measurement)
 - 2 Percentage of RNA: _____ % Positive whole numbers from 0 to 100
 - 3 Not known [Go to part iv]

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

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

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

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

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

[If answer part iv, go to next question]

v Percentage of RNA held in:

- 1 EDRMS and/or approved information management system: _____%
- 2 Current working business systems: _____%
- 3 Other locations (for example email, corporate systems, HR, Finance, network drives):
_____%
- 4 Legacy systems: _____% Positive whole numbers from 0 to 100. Sum to 100%.
[Hover text on 'Legacy systems': Outdated software or hardware not in regular use.]

vi Proportion of digital information and data sentenced:

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

Physical Records

33 Existing physical records:

i Total volume of records:

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

ii Amount (or percentage) of RNA:

1 _____ Shelf metres

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

3 Not known [Go to part iv]

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

1 Not confident at all

2 Not very confident

3 Somewhat confident

4 Confident

5 Very confident

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

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

1 Lack of records authority coverage

2 Insufficient staff/budget/resources to undertake appraisal/sentencing

3 Not a business priority to undertake sentencing projects

4 Records are current and sentencing is not needed

5 No experience in sentencing

6 No procedures for sentencing

7 Other [please specify]: _____

[If answer part iv, go to next question]

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

1 Before 1980: _____ %

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

vi Proportion of physical records sentenced:

1 All

2 Some: _____ % Positive whole numbers from 0 to 100

3 None

Audiovisual Digital Records

34 Audiovisual records managed and stored in digital formats:

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

ii Amount (or percentage) of RNA:

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

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

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

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

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

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

[If answered part iv, go to next question]

v What proportion of your agency's audiovisual digital records have been sentenced?

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

Audiovisual Physical Records

35 Audiovisual records managed and stored in physical formats:

i Total volume:

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

ii Amount (or percentage) of RNA:

1 _____ Shelf metres

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

3 Not known [go to part iv]

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

1 Not confident at all

2 Not very confident

3 Somewhat confident

4 Confident

5 Very confident

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

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

1 Lack of records authority coverage

2 Insufficient staff/budget/resources to undertake appraisal/sentencing

3 Not a business priority to undertake appraisal/sentencing projects

4 Records are current and appraisal/sentencing is not needed

5 No experience in appraisal/sentencing

6 No procedures for appraisal/sentencing

7 Other [please specify]: _____

[If answer part iv, go to next question]

v Proportion of records sentenced:

1 All

2 Some: _____ % Positive whole numbers from 0 to 100

3 None

C. Transferring to the National Archives

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

- 1 Yes
- 2 No *[Please go to Part 5 Costs and Efficiencies]*

37 Has your agency advised the Archives of its' intention to transfer RNA material?

- 1 Yes
- 2 No [if "No", pop-up "If you are not on the Archives' National Transfer Forecast or are unsure, please email transfers@naa.gov.au "]

38 Has the RNA material been sentenced in preparation for transfer?

- 1 Yes
- 2 No *[Please go to Part 5 Costs and Efficiencies]*

RNA categories for transfer table only appears when the answer to questions 37 and 38 is 'Yes'

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

	i. Number of RNA records to be transferred*	ii. Volume of RNA records to be transferred*
Physical Records		
Paper records		
a Unclassified	_____	_____ shelf metres
b Classified excluding Secret and Top Secret	_____	_____ shelf metres
c Secret and Top Secret only	_____	_____ shelf metres
Audiovisual in physical formats		
d Unclassified	_____	_____ shelf metres
e Classified excluding Secret and Top Secret	_____	_____ shelf metres
f Secret and Top Secret only	_____	_____ shelf metres
Photographs including printed photographs and negatives		
g Unclassified	_____	_____ shelf metres
h Classified excluding Secret and Top Secret	_____	_____ shelf metres
i Secret and Top Secret only	_____	_____ shelf metres
Other physical including maps, plans, microfiche, microfilm		
j Unclassified	_____	_____ shelf metres
k Classified excluding Secret and Top Secret	_____	_____ shelf metres
l Secret and Top Secret only	_____	_____ shelf metres

	i. Number of RNA records to be transferred*	ii. Volume of RNA records to be transferred*
Digital Records		
Digital records (excluding audiovisual in digital formats)		
m Unclassified	_____	_____ Drop down: Gigabytes (GB); Terabytes (TB); Petabytes (PB)
n Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB
o Secret and Top Secret only	_____	_____ Drop down: GB, TB, PB
Audiovisual in digital formats		
p Unclassified	_____	_____ Drop down: GB, TB, PB
q Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB
r Secret and Top Secret only	_____	_____ Drop down: GB, TB, PB

* Programming note: Restrict to positive whole numbers.

The Archives recommends undertaking a declassification activity prior to transfer to ensure information in the Collection can be opened in accordance with the *Archives Act 1983* and accessible to the public.

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

- 1 Yes
- 2 No

Part 5 – Costs and Efficiencies

This next section covers costs and efficiencies when managing your agency's information assets.

Outsourcing

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

- 1 Yes
- 2 No

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

- 1 Yes – Through a shared service arrangement
- 2 Yes – Through a commercial provider [Please go to question 44]
- 3 No [Please go to question 44]

Programming note: If option 1 (Yes – Through a Shared Service Arrangement) is chosen in question 42, ask the following question.

43 Which statement best describes your shared service arrangements?

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

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

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

- 45 What is the main reason for your agency outsourcing these services?
- 1 To save money, reduce costs
 - 2 Lack of skilled resources in the agency
 - 3 Management preference
 - 4 For security
 - 5 Other *[Please specify]*: _____
- 46 What were the total costs of these contracts for the last 12 months?
- vi Shared service
- 1 Amount: _____ dollars
 - 2 Not known
- vii Commercial provider
- 4 Amount: _____ dollars
 - 5 Not known
- Total spend: _____ dollars [Auto-sum of option 1 and 2]
- 47 Has the volume of physical records in storage changed in the last 12 months?
- 1 Yes – it has increased
 - 2 Yes – it has decreased
 - 3 No – it is (roughly) unchanged
- 48 How does your agency calculate the cost of digital storage for reporting purposes? [Please select all that apply]
- 1 Our agency does not calculate the cost of digital storage for reporting purposes *[Please go to the end of the survey]*
 - 2 We calculate it as a percentage of the overall / total cost of ownership
 - 3 Business owners calculate it as part of business as usual processes
 - 4 ICT budgets calculate storage costs as part of business costs for hardware
 - 5 Other *[Please specify]*: _____
- 49 Please elaborate on the method and/or formula used by your agency to calculate the cost of digital storage for reporting purposes.

Part 6 – COVID-19

The purpose of this section is to collect information and agency comments about the impact of COVID-19 upon to your agency information management practices.

Responses to the following questions may be consolidated and included in the *Check-up PLUS Whole of Government Report Summary Report*, but these responses will not impact upon the individual agency maturity scores.

COVID-19 Impact to Agency Operations.

- 50 What impact, if any, has the implementation of the requirements of DC2020 Policy had on your agency’s ability to respond to the impact of COVID-19 on information management processes and activities?
1. [Very negative impact](#)
 2. [Negative impact](#)
 3. [No impact](#)
 4. [Positive impact](#)
 5. [Very positive impact](#)
- 51 Briefly comment on why you think the implementation of the requirements of DC2020 Policy have enabled your agency to respond [*“positively/negatively/with no differences”* depending on answer to question 50] to the impact of COVID-19 on information management processes and activities.
-
-
- 52 Were there certain information management activities that could not be undertaken as a result of COVID-19?
1. [Yes](#)
 2. [No](#) [Go to Q54]
 3. [Not known](#) [Go to Q54]
- 53 What are the main information management activities that could not be undertaken as a result of COVID-19?
- Information Governance**
- 1.
 - 2.
 - 3.
- Interoperability**
- 4.

5.

6.

Storage and preservation

7.

8.

9.

Disposal (incl. records authority projects, sentencing, destruction or transfer)

10.

11.

12.

Other information management activities

13. : _____

Cloud Base Storage/Services (Cloud Computing)

54 Does your agency utilise cloud based storage/services?

1. Yes
2. No [Go to Q59]
3. Not known [Go to Q59]

55 Please specify the percentage (or volume by GB, TB, PB) of your agency's data in cloud based storage:

- 1 _____ % Positive whole numbers from 0 to 100
- 2 Not known

56 Please list what types of information or systems are stored in the cloud? [Please select all that apply]

- | | |
|---|--------------------|
| <input type="checkbox"/> Human Resources | Product name _____ |
| <input type="checkbox"/> EDRMS | Product name _____ |
| <input type="checkbox"/> Financial Systems | Product name _____ |
| <input type="checkbox"/> Case management (core business) | |
| <input type="checkbox"/> Retain as National Archive (RNA) | |
| <input type="checkbox"/> Long term temporary | |
| <input type="checkbox"/> Short term temporary | |
| <input type="checkbox"/> Transactional high volume | |
| <input type="checkbox"/> Administrative | |
| <input type="checkbox"/> Policy | |
| <input type="checkbox"/> Other _____ | |

57 Has COVID-19 resulted in your agency starting to use cloud computing or increasing its use?

1. Yes – started using cloud services
2. Yes – greatly increased usage of cloud services
3. Yes – moderately increased usage of cloud services
4. Yes – slightly increased usage of cloud services
5. No [Go to Q59]

58 Please describe how the use of cloud services has changed as the result of COVID-19.

Overall impacts of COVID-19

59 Overall, what impact, if any, has COVID-19 had on the information management practices of your agency?

1. Very negative impact
2. Negative impact
3. Minimal / no impact [Go to Part 7]
4. Positive impact
5. Very positive impact

60 What are the main impacts COVID-19 has had on the information management practices of your agency?

i) Please specify the main areas that were impacted (Select up to 3)

1. Information governance
2. Creating / generating information
3. Interoperability
4. Storing information digitally
5. Disposal
6. Digital operations
7. General information management

ii) Please briefly describe the nature of these impacts.

Part 7 – Metadata Management

The purpose of this section is to collect agency comments about the use of data standards and their implementation, to gain a better understanding of the data standards being used by agencies.

Responses to the following questions may be consolidated and included in the *Check-up PLUS Whole of Government Report Summary Report*, but these responses will not impact upon the individual agency maturity scores.

61 What data standards does your agency use: (Please tick all which apply)

- ABS 1292 - Australian and New Zealand Standard Industrial Classification (ANZSIC)
- ABS 1272 - Australian and New Zealand Standard Classification of Occupations (ANZCO)
- ABS 1267 - Australian Standard Classification of Languages (ASCL)
- ABS 1270 - Australian Statistical Geography Standard (ASGS)
- ABS 1269 - Standard Australian Classification of Countries (SACC)
- AS 4590 Interchange of Client Information
- AS/NZS 2632 (ISO 3166) Country Codes
- AS/NZS 4819 Rural and Urban addressing
- Geocoded National Address File (G-NAF® PSMA Australia Ltd)
- ISO 639 Language codes
- Standard Business Reporting (SBR) Taxonomy
- None
- Other _____

62 What Metadata standards does your agency use: (Please tick all which apply)

- AGRkMS - Australian Government Recordkeeping Metadata Standard
- AGLS - AS 5044 Australian Government Locator Service
- AS/NZS ISO 19115.1:2015-Geographic information – Metadata (catalogue metadata)
- Dublin Core, AS/NZS ISO 15836 Dublin Core Metadata Element Set OR D-CAT (W3C profile of Dublin Core)
- ISO/IEC 11179 Metadata Registry (MDR) standard
- None
- Other _____

63 To what extent does your agency?

	To what extent does your agency ...	Rarely / never	Sometimes, for our highest value assets	Often, for our high value information	Usually, with only low value or legacy still to be managed	Always / Almost Always	N/A
a	Make metadata available/accessible externally to the agency/organisation.	1	2	3	4	5	6
b	Ensure data exchanges with other agencies are accompanied by metadata/data dictionaries.	1	2	3	4	5	6

Part 8 – Comments

The purpose of this section is to collect agency comments about the survey, DC2020 Policy implementation, or any other relevant comments for consideration by the National Archives. This information will be used to facilitate analysis of other data collected in the survey.

64 Please contribute any other comments here.

Part 9 – Survey Submission

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

Submission Process

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

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

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

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