

National Archives of Australia

Check-up Questionnaire

2022

DRAFT 8 June 2022

Part 1: Information and Instructions

Background and purpose of this survey

Check-up is the National Archives of Australia's (the Archives) annual information management survey. It is an online self-assessment tool designed to measure Australian Government agencies' maturity and performance in managing their information assets (records, information and data).

Check-up is structured to align with the National Archives' [Information management standard – Australian Government](#), which supports Australian Government agencies to create and manage information assets effectively. The *Information management standard* is based on eight principles that provide the foundation for well-managed information assets. It is consistent with the key concepts and principles of the International and Australian Standard AS ISO 15489.1 (2017) – *Information and documentation - Records Management, part 1: concepts and principles*.

Completing the survey will give you an understanding of your agency's information management maturity and next steps to achieve better practice in information management. This includes your progress towards achieving the outcomes outlined in policy statement of the National Archives' [Building trust in the public record: managing information and data for government and community policy](#) (Building trust in the public record policy):

Agencies will:

- manage information assets strategically with appropriate governance and reporting to meet current and future needs of government and community
- implement fit-for-purpose information management processes, practices and systems that meet identified needs for information asset creation, use and re-use
- reduce areas of information management inefficiency and risk to ensure public resources are managed effectively.

Some survey questions relate to your agency's information management maturity. Other questions relate to challenges in managing information assets, or provide quantitative data relating to information assets in agencies. To successfully complete all questions in the survey, you may need to consult several areas within your agency.

You can use the results of assessments to:

- improve awareness of your agency's current information management performance
- set priorities and identify pathways to improve information management maturity
- embed good practices and processes
- 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, including transfer, storage and preservation of the national archives of the Australian Government
- gather information on challenges agencies are facing
- provide an evidence base for practical information management advice to agencies
- assess agency progress on implementing the *Building trust in the public record* policy

- prepare reports to the Australian Government on the state of information management across agencies.

Who is conducting the survey?

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

How do agencies 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 Checkup@orima.com.

Which agencies should complete the survey?

Completion of the Check-up survey is a mandatory action under the *Building trust in the public record* policy.

The National Archives' reviews and determines scoping criteria and principles for participation for each Check-up survey period.

An agency is considered 'in-scope' if the agency:

- is a Commonwealth institution that has primary responsibility for its information management regime. A Commonwealth institution is defined under Section 3(1) of the Archives Act 1983, and includes non-corporate or corporate Australian Government entities, wholly owned companies or government business enterprises as defined under the Public Governance, Performance and Accountability Act 2013 (PGPA Act); and
- is not assessed to be 'out-of-scope' in this survey period.

Which staff 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 2022 Check-up survey aims to capture each agency's achievements against the *Building trust in the public record* policy's outcomes and implementation actions. A list of the Check-up questions most relevant to the implementation actions can be found in Appendix A.

Survey responses should be made with a date of effect as at 30 June 2022. Every question from Part 3 – Part 4 should be read with the following preface: ‘As at 30 June 2022’.

For example:

As at 30 June 2022, does your agency have Chief Information Governance Officer or similar role?

- 1 Yes – the role covers oversight of all information assets – records, information and data
- 2 Yes – the role covers oversight of some information assets – records and information only

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 National 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 60–90 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?

Information gathered in the survey will be treated as confidential. Responses can only be viewed by staff who have been granted access in your agency, staff at the National 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 a case study 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 (e.g. Data Champions Network) for the purpose of describing current APS information management practices. No individual agency’s results will be shared. ORIMA will not be part of such sharing arrangements.

Accuracy and assurance of survey responses

The National Archives expects agencies to complete the survey accurately based on the best available sources and current understanding of information management within their agency. Agencies should, where practicable, keep a record of sources used in the completion of the survey. This may include, as examples, reference numbers of: governance frameworks and policies, strategies, registers, guidance and advice for staff, reports, contracts, approvals, audit documentation, training programs or capability skill assessments, system procurement, specification and assessment documents, system performance monitoring documentation, business rules, metadata documentation and other sources used.

The National Archives of Australia regards survey sign off by the recognised agency head as assurance that the survey has been completed accurately and accountably by the agency in

accordance with governance responsibilities including the Public Governance Performance and Accountability Act 2013.

The National Archives' survey provider ORIMA may contact agencies to verify data which appears inconsistent. Under Archives Regulations 2018, the National Archives may request individual agencies to provide information to validate their survey responses. The National Archives may consider other mechanisms by which to assure quality and reliability of agency responses and will advise agencies if and when other mechanisms are adopted.

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ORIMA Privacy Statement

Privacy and Access Statement by ORIMA

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.

Definitions

Term	Definition
Accountable and compliant destruction	<p>Destruction of an information asset which has occurred if:</p> <ul style="list-style-type: none"> • approved by the National Archives through a records authority • required by legislation • covered under a Normal Administrative Practice. <p>Following appropriate procedures including: checking if the information is covered by a disposal freeze; documenting the disposal action obtained through a records authority issued by the National Archives; ensuring the destruction method is appropriate.</p>
Core business	The unique business functions of an agency as distinct from administrative functions which all agencies perform, such as managing people or finances.
High risk or high value information assets	<p>Indicators of high value information assets or those needed to mitigate high business risk include that they:</p> <ul style="list-style-type: none"> • are critical to business continuity and/or accountability • affect rights and entitlements • significantly affect workplace health and safety • are subject to a high level of scrutiny or have a high likelihood for legal action • involve large sums of public money • have a high potential for reuse by other agencies or the general public • are of long-term value to the community and future generations.
Information assets	Records, information and data (in any format) created, sent and received as part of your agency's business.
Information assets – digital	Information which originated in (born digital), or was converted into (digitised), digital format.
Information assets – digital – audio-visual	Information assets created or managed 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.
Information assets – physical	Information assets created or managed in physical format - includes paper, microfiche, photographs and film.
Information assets – physical – audio-visual	Information assets created or managed 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.
Information management	The management of information assets – records, information and data.

Term	Definition
Retain as national archives (RNA)	Australian Government information assets appraised as having permanent value – information assets of national significance or public interest that have enduring value to the Australian Government and the community. Also referred to as 'RNA'.
Vital information assets	<p>Information assets that are essential to the operation of an agency during or after an emergency, critical network failure or disaster to:</p> <ul style="list-style-type: none">• enable or re-establish business activities• establish and protect the rights and entitlements of clients and the agency.

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:

Was your agency affected by machinery of government change between 1 January 2021 and 30 June 2022? *[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, please select each applicable answer.

What were the main information management issues or challenges for your agency from machinery of government changes between 1 January 2021 and 30 June 2022? *[Please select all that apply]*

- ☒ 1 Large volumes of physical information assets to move
- ☐ 2 Large volumes of digital information assets to move
- ☒ 3 Physical records moving to a digital environment
- ☐ 4 Complex digital information assets 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

Who do I contact for further information?

If you have any queries about Check-up, please email the Government Records Assurance Team at the Archives at information.management@naa.gov.au.

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

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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 coordinator.
First name: _____ Last name: _____
Position: _____ Email address: _____
Telephone number: _____
5. How many employees (full-time equivalent) are currently working in your agency?

6. Does your agency provide information management services for another Australian Government agency within your portfolio and/or entities listed on the [Australian Government Organisation Register \(AGOR\)](#)?
 - 1 No *[Please go to question 9]*
 - 2 Unsure *[Please go to question 9]*
 - 3 Yes
7. Will the survey submission include the details of the other agency/entities?
 - 1 Yes *[If selected, display the following text and the name-of-agency text box items below:]*
[Please list all relevant agencies]
Name of agency: _____
Name of agency: _____
Name of agency: _____
 - 2 No

[The following section containing Q8 is 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.]

Statement for out-of-scope agencies

Your agency has been identified as being Out-of-Scope for Check-up. However, the National Archives strongly encourages your voluntary participation in the survey to better understand your agency's information management maturity and practices.

Data from survey responses supplied by Out-of-Scope agencies will be included in the whole of government analysis and reporting, and Out-of-Scope agencies will receive an agency specific report on their information management maturity.

8. 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.]

- 1 We agree that [name of agency] is out-of-scope for Check-up. We understand that our agency is not required to complete Check-up but can choose to use Check-up as an optional self-assessment tool.
- 2 We elect NOT to participate in the Check-up survey and provide the following justification:
[Please explain your reason below]

[Following agreement with the above second 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.

Operating environment

9. 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 12]*
 - 2 Single office in a regional centre in Australia *[Please go to question 12]*
 - 3 Multiple offices in capital cities in Australia *[Please go to question 12]*
 - 4 Multiple offices in various locations around Australia with a main office in a capital city *[Please go to question 12]*
 - 5 Multiple offices in Australia and overseas
 - 6 Other *[Please specify]* _____
10. [If question 9, option 5 display this question] Please indicate whether your agency would like to include overseas information assets in your Check-up assessment.
- 1 Include information assets located overseas in our assessment (assessment will be based on information assets located in Australia and overseas) *[Please go to question 12]*
 - 2 Exclude information assets located overseas in our assessment (assessment will be based on information assets located in Australia only)
 - 3 Not applicable – our agency does not have information assets located overseas *[Please go to question 12]*

[The following section containing Q11 and Q12 is only displayed if the respondent's agency has overseas offices: Q9=5.]

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

Please indicate whether your agency agrees with the following statements.

11. We acknowledge that information management requirements also apply to offshore offices and we have established appropriate governance and procedures to ensure all information assets are appropriately managed according to their 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 if necessary]*

12. 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 if necessary]*

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Part 3: Information management maturity assessment

Well managed information is the result of planned enterprise-wide management of information assets, technologies, processes and staff behaviours. Improved information management capability enables delivery on government objectives in order to meet community needs.

Please refer to the following key when using the standard maturity scale used in this part of the survey. Some parts of the survey may use a different maturity scale which will be indicated in the heading of the relevant part.

Scale point	Quantitative measure	Qualitative description
5 Almost always / always <i>Embedded</i>	More than 80% of the time	<ul style="list-style-type: none"> • User behaviours demonstrate a sound understanding of information management (IM) responsibilities and a high-level of adoption of good IM practises occurs across the agency. Training and education on good practices is provided and refreshed regularly. IM training and education is embedded into work processes and procedures. • Monitoring and review is continuous, occurs across the agency and includes regular planned reviews. Reviews are followed by corrective action to address identified risks and areas needing improvement. • Systematic transformation and change is managed, supported and appropriately resourced. • IM requirements are embedded in organisational business activities and assessed in system acquisition, maintenance and decommissioning. • IM policies, practices and processes are aligned with corporate and business objectives. They are implemented across the agency in all, or almost all, applications and platforms used by the agency. • The systematic creation of accurate and reliable information assets, managed to maintain integrity and trust, is occurring at least almost always across the agency. High value information assets have been identified across the agency.
4 Usually / most of the time <i>Operational</i>	61–80% of the time	<ul style="list-style-type: none"> • User behaviours demonstrate that IM practises are understood and adopted across most of the agency. Training and education in good practice approaches is both regular and systematic. • Monitoring and review occurs across the agency on a regular basis including planned reviews. Reviews are followed by corrective action to address identified risks and areas needing improvement. • Transformation and change is usually managed, supported and appropriately resourced.

Scale point	Quantitative measure	Qualitative description
		<ul style="list-style-type: none"> • IM requirements are usually incorporated into business activities and assessed in system acquisition, maintenance and decommissioning. • IM policies, practices and processes are largely implemented across the agency and most applications and platforms used by the agency. • The systematic creation of accurate and reliable information assets, managed to maintain integrity and trust is occurring at least most of the time across the agency.
3	Sometimes <i>Formalising</i>	41–60% of the time <ul style="list-style-type: none"> • User behaviours sometimes or more often demonstrate an understanding of IM responsibilities and adoption of good IM practices. Training and education in good practice approaches is available although it may not be provided on a regular or systematic basis. • Transformation and change is sometimes or more often planned and supported, although it may not be implemented across the agency or sufficiently resourced. • IM requirements are sometimes or more often incorporated into business activities and assessed in system acquisition, maintenance and decommissioning. However, there may be some activities or systems where IM requirements have not been fully considered. • IM policies, practices and processes are implemented across parts of the agency and many applications and platforms used by the agency. • The systematic creation of accurate and reliable information assets, managed to maintain integrity and trust is occurring sometimes to more often across the agency. High value information assets have been identified for many business activities.
2	Occasionally <i>Initial</i>	21–40% of the time <ul style="list-style-type: none"> • User behaviours demonstrate occasional understanding of IM responsibilities and there is some adoption of good IM practices, however this is inconsistent. There is occasional training and education in good practice approaches. • Monitoring and review occurs occasionally for IM activities and processes but is not systematic or regular. There may be unknown weaknesses and risks. • There may be some plans for positive transformation and change for specific areas or systems. • IM requirements, policies, practices and processes are developed or implemented occasionally. They may be at

Scale point	Quantitative measure	Qualitative description
		<p>initial stages, require review, or be limited to specific areas or systems.</p> <ul style="list-style-type: none"> • The systematic creation of accurate and reliable information assets, managed to maintain integrity and trust is occurring in some areas and platforms of the agency. High value information assets have been identified for at least some business activities.
1 Never / rarely <i>Ad hoc</i>	Less than 21% of the time	<ul style="list-style-type: none"> • User behaviours generally demonstrate unfamiliarity with IM responsibilities and adoption of good IM practices is rare. Training needs have not been identified. • Monitoring and review is ad hoc and risks are largely unknown. Corrective action is reactive after an adverse event or consequence. • There is no supported and resourced systematic plan for agency-wide positive transformation or change. • IM requirements policies, practices and processes are developed / applied sporadically, or they are limited to specific business areas or systems. • The systematic creation of accurate and reliable information assets, managed to maintain integrity and trust, is inconsistent across the agency. Some high value information assets may have been identified.

Some of the questions in the following sections, A–F in Part 3 have been included to enable the National Archives to understand agency challenges in particular areas or gather data on agency environments and practices. Responses to these questions may be consolidated and used in the Check-up reporting but will not impact on individual agency maturity scores. **These questions have been clearly identified as not impacting maturity scores and have been marked with an *.** No questions in other parts of the survey affect agency maturity scores.

B. Governance and culture

The questions in this section relate to the [Information management standard](#) *Principle 1: Business information is systematically governed* and its [implementation guidance](#).

13. Please indicate whether your agency has established the following enterprise-wide frameworks, strategies and policies covering the management of all information assets across the agency regardless of format or location.

Note: Each agency will develop these differently and may use different titles. Smaller agencies may combine a number of governance documents together, while larger agencies or agencies with more complex or high-risk functions may have a number of separate governance documents. You should indicate your state of progress separately against each option, regardless of how you have combined or titled these governance documents.

	Not developed	Planning consultation underway to develop	Draft completed	Completed and needs to be reviewed / updated	Completed and up to date
a Enterprise-wide information management strategy	1	2	3	4	5
b Information management policy (including accountable destruction)	1	2	3	4	5
c Normal Administrative Practice (NAP) policy	1	2	3	4	5
d Information risk management strategy	1	2	3	4	5
e Information security (including cyber and protective security) strategic and policy documents aligning with: Australian Government Protective security policy framework (Attorney-General's Department) and Australian Government Information security manual (Australian Cyber Security Centre)	1	2	3	4	5
f Secure Cloud Strategy Includes aligning with Secure cloud strategy (Digital Transformation Agency)	1	2	3	4	5
g Privacy policy (Office of Australian Information Commission (OAIC) requirement)	1	2	3	4	5

	Not developed	Planning consultation underway to develop	Draft completed	Completed and needs to be reviewed / updated	Completed and up to date
h Data strategy (Office of the National Data Commissioner advice)	1	2	3	4	5
i Open access to information policy Includes aligning with: Principle 1 – Principles on open public sector information (Office of the Information Commissioners (OAIC)) Australian Government Public data policy statement – Department of the Prime Minister and Cabinet Freedom of information – (OAIC)	1	2	3	4	5

14. Does your agency have an information governance framework?

- 1 Yes
- 2 Partial – in the process of developing one
- 3 No

[Only display Q15-16 if respondent's agency has an information governance framework: Q14=1]

15. Has your agency's information governance framework been developed, or reviewed and updated, since 1 January 2021?

- 1 Yes *[Please enter the year it was developed, or most recently reviewed and updated]* _____
- 2 No

16. Does your agency's information governance framework cover:

- 1 All information assets – records, information and data
- 2 Records and information only

17. Does your agency have an active [information governance committee](#) (or similar mechanism) with responsibility for oversight of enterprise-wide information management? The committee should include broad representation from stakeholders across the agency (legal, regulatory, risk, and business) and cover the governance of all information assets.
- 1 Yes – the committee, or similar mechanism, regularly meets and makes decisions on enterprise-wide information management issues (includes all types of information assets)
 - 2 Partial – a records and information governance committee or similar mechanism operates regularly (excludes data)
 - 3 Partial – a data governance committee or similar mechanism operates regularly (covers data only)
 - 4 No – my agency does not have an information governance committee or similar mechanism
[Please go to question 19]
18. Have the responsibilities of your information governance committee (or similar mechanism) been created, or reviewed and updated since 1 January 2021?
- 1 Yes *[Please enter the year it was created, or most recently reviewed and updated]* _____
 - 2 No
19. Does your agency have a [Chief Information Governance Officer](#) (CIGO), or similar role, which establishes and maintains an enterprise-wide culture for an accountable and business-focused information management environment?
- 1 Yes
 - 2 No *[Please go to question 23]*
20. Does your agency's CIGO, or similar role, cover oversight of all information assets – records, information and data?
- 1 Yes
 - 2 No
21. Is your agency's CIGO, or similar role, at a senior executive level?
- 1 Yes
 - 2 No
22. Have the responsibilities of your agency's CIGO, or similar role, been developed, or reviewed and updated, since 1 January 2021?
- 1 Yes *[Please enter the year it was created, or most recently reviewed and updated]* _____
 - 2 No

23. Which of the following best describes how information assets (records, information and data) are aligned in your agency?

- 1 Information governance frameworks, committees and roles cover all information assets – records, information and data
- 2 While separate governance mechanisms exist for records, information and data, there is an overarching governance mechanism that ensures their management is aligned for business benefit

[Hover text: For example, you may have a Chief Data Officer with responsibility for data and a Chief Information Governance Officer with responsibility for records and information however they are both represented on your information governance committee to ensure alignment of their management and your information governance framework covers all information assets.]

- 3 Records and information are governed separately from data

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

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>a Implement information governance to ensure complete and accountable management of all information assets regardless of format, location, type or value.</p> <p>[Hover text on 'location': onsite and offsite, including cloud]</p> <p>For example, incorporate information governance policies and strategies into business systems, processes and procedures.</p>	1	2	3	4	5
<p>b Align information governance with, or incorporate within, corporate governance frameworks.</p> <p>For example: risk, privacy, freedom of information, ICT.</p>	1	2	3	4	5
<p>c Undertake information management risk assessments, and implement actions or controls to mitigate risks where required.</p>	1	2	3	4	5

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>d Require contractual arrangements to meet agency and Australian Government requirements for information asset management.</p> <p>(This includes when information is held with third party providers, in the cloud, or under shared services arrangements.)</p>	1	2	3	4	5
<p>e Identify and register its information assets where there is business value to do so.</p> <p>(Information asset registers record information about your information assets enabling them to be known and effectively governed.)</p>	1	2	3	4	5
<p>f Identify high-value and high-risk information assets, including vital information assets, to ensure they are managed appropriately.</p>	1	2	3	4	5
<p>g Review how well information management practices and processes support business objectives and report to senior management on achievements and gaps.</p>	1	2	3	4	5
<p>h Monitor and report to senior management on progress towards achieving the policy actions of the Building trust in the public record: managing information and data for government and community policy. With risks of not following recommended practice documented.</p>	1	2	3	4	5

25. In the last 5 years, has your agency undertaken an information audit to assess how well your agency, and agency staff, are complying with regulatory, business and community requirements for creating and managing information assets? These requirements are outlined in your information governance and other corporate documents.

- 1 Yes – in the last 2 years
- 2 Yes – between 2 and 5 years ago
- 3 No *[Please go to question 27]*

26. Have you started to address any compliance gaps that were identified as a result of that audit?

- 1 Yes
- 2 No
- 3 Not applicable – No significant compliance gaps were identified

27. To what extent are the following practices, to develop a culture that values information assets and information management, implemented in your agency?

To what extent is each of the following statements true for your agency?	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>a Senior management actively support information management as a business priority.</p> <p>For example, they:</p> <ul style="list-style-type: none"> authorise information governance documents advocate for implementation of information management policies and initiatives recognise and champion the importance of information management to achieve business objectives support the value of experienced or professional information management staff are accessible to information managers for reporting and oversight of agency information management adequately resource information management. 	1	2	3	4	5
b Senior management are represented on the Information Governance Committee or equivalent.	1	2	3	4	5
c Agency information management roles and responsibilities are documented and explained to staff.	1	2	3	4	5
d Everyone's understanding of, and capability to undertake, their information management responsibilities is subject to periodic checks or audits.	1	2	3	4	5

To what extent is each of the following statements true for your agency?	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
e Plans are in place to address staff information management capability gaps.	1	2	3	4	5
f User adoption of information management policies, products, systems or system functionality is reviewed and barriers to adoption identified and addressed.	1	2	3	4	5
g Everyone has access to appropriate training to continuously develop information management skills relevant to their role, ensuring they have the capability to create and manage information assets appropriately. Note: Everyone includes ongoing and non-ongoing staff at all levels, contractors, consultants, and volunteers.	1	2	3	4	5
h Plans are in place to address information management capability gaps for staff with specialist information management roles.	1	2	3	4	5
i Staff responsible for information management possess professional qualifications and /or accreditation. Note: This includes staff in the process of obtaining qualifications and/or certification.	1	2	3	4	5

28. * How are staff and others informed about their information management responsibilities and the value of well managed information to the business? This includes ongoing and non-ongoing employees, contractors, consultants, and volunteers, both at Senior Executive Service (SES) or equivalent levels and below SES level. *[Please select all that apply for both levels]*

Method	i. Below SES	ii. SES or equivalent
a Induction training or on-boarding briefing	1	1
b On-the-job training	2	2
c Briefings – written or verbal	3	3
d Information governance documents such as frameworks and policies	4	4
e Job descriptions	5	5
f Performance development plans / agreements	6	6
g As part of contractual agreements	7	7
h Refresher training	8	8
i Other	9 <i>[Please specify]</i>	9 <i>[Please specify]</i>

Optional additional comments

Please use this section to add any additional comments to clarify or further explain your responses on Governance and culture for internal assessment and reporting purposes (will not be provided as part of your Check-up submission), or to inform the National Archives of Australia.

For internal use only (not submitted to National Archives):

For National Archives:

C. Creating information assets

The questions in this section relate to [Information management standard Principle 2: Necessary business information is created](#) and its [implementation guidance](#).

29. To what extent are the following practices, to create necessary, fit-for-purpose, information assets, implemented in your agency?

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>a Identify requirements for creating information assets, including to enable efficient business, meet legal and regulatory obligations, manage business risks and support rights and entitlements.</p> <p>For example, provide practical guidance to staff to assist them to identify when records should be created based on these requirements.</p>	1	2	3	4	5
<p>b Create and capture information assets routinely as evidence of government business, to meet business and stakeholder needs.</p> <p>Note: This includes communications made or received, actions undertaken or observed, research, investigations, deliberations and decisions.</p>	1	2	3	4	5
<p>c Create and capture good quality information assets that are complete, accurate and have sufficient detail to be understood in the future.</p> <p>Note: The implementation guideline of the <i>Information management standard – Australian Government</i> provides more information about sufficient detail for good quality business information.</p>	1	2	3	4	5

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
d Integrate information asset creation into business processes by: <ul style="list-style-type: none"> automating creation in business systems, and/or ensuring staff understand when and how to document business information through other means, such as templates, procedures or training. 	1	2	3	4	5

30. To what extent are the following best practices implemented in your agency to create (and manage) information assets in digital formats that enable efficient business processes?

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Work digitally by default (i.e., create, store and manage information digitally).	1	2	3	4	5
b Manage all digital information assets created from 1 January 2016 onwards digitally.	1	2	3	4	5
c Identify and remove paper from internal and external processes to improve efficiency. Examples of behaviours of agencies with high maturity in this practice include routinely: <ul style="list-style-type: none"> digitising paper received as early as possible re-designing processes for digital efficiencies moving to digital authorisations and workflows 	1	2	3	4	5
d Convert existing analogue formats to digital formats where there is value to business. For example: digitising needed paper information assets for easy discovery and use.	1	2	3	4	5

Responses to questions 31 to 32, which are marked with an *, will not impact upon individual agency maturity scores.

31. * Is your agency currently creating and managing information assets in physical formats?

1 No

2 Yes *[Please briefly explain in what circumstances]*

32. * Is your agency currently receiving information assets in physical formats and managing them in that format?

1 No

2 Yes *[Please briefly explain in what circumstances]*

Optional additional comments

Please use this section to add any additional comments to clarify or further explain your responses on Creating information assets for internal assessment and reporting purposes (will not be provided as part of your Check-up submission), or to inform the National Archives of Australia.

For internal use only (not submitted to National Archives):

For National Archives:

D. Describing information assets (metadata)

The questions in this section relate to [Information management standard Principle 3: Business information is adequately described](#) and its [implementation guidance](#).

33. To what extent are the following practices implemented in your agency to adequately describe information assets?

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>a Identify what metadata needs to be created to ensure information assets can be found, understood and accessed when needed.</p> <p>Note: This includes sufficient metadata to identify information assets, understand their context and use, and preserve their ability to be accessed appropriately.</p>	1	2	3	4	5
<p>b Ensure business systems, including whole-of government systems, meet minimum metadata requirements for information management.</p> <p>For example, assessing them against the National Archives' Australian Government recordkeeping metadata standard or minimum metadata set</p>	1	2	3	4	5
<p>c Create and maintain standardised metadata.</p> <p>For example, based on:</p> <ul style="list-style-type: none"> national, international and industry standards, controlled vocabularies (e.g. taxonomies, ontologies, data dictionaries, glossaries, thesauri) business rules. 	1	2	3	4	5
<p>d Review the usefulness of metadata to support business needs and update when required.</p>	1	2	3	4	5
<p>e Have systems that automatically apply metadata or ensure systems support consistent input of metadata (for example, through drop down menus and validation checks).</p>	1	2	3	4	5

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
f Provide advice to staff on consistent entry of metadata where system functionality cannot be built in.	1	2	3	4	5
g Undertake quality assurance checks on consistency of entry, or application of, metadata.	1	2	3	4	5

34. Does your agency have a metadata strategy to support continuous improvement of holistic enterprise- wide metadata management?

- 1 Yes
- 2 Partial – a metadata strategy is under development but has not been implemented yet
- 3 No

Metadata Management

The purpose of these questions is to collect information about the use of data and metadata standards and their implementation, to gain a better understanding of these standards being used by agencies.

Responses to questions 35 to 38, which are marked with an *, will not impact upon individual agency maturity scores.

35. * What data standards does your agency use? *[Please select all that apply]*

- 1 ABS 1292 - Australian and New Zealand Standard Industrial Classification (ANZSIC)
 - 2 ABS 1272 - Australian and New Zealand Standard Classification of Occupations (ANZCO)
 - 3 ABS 1267 - Australian Standard Classification of Languages (ASCL)
 - 4 ABS 1270 - Australian Statistical Geography Standard (ASGS)
 - 5 ABS 1269 - Standard Australian Classification of Countries (SACC)
 - 6 AS 4590 Interchange of Client Information
 - 7 AS/NZS 2632 (ISO 3166) Country Codes
 - 8 AS/NZS 4819 Rural and Urban addressing
 - 9 Geocoded National Address File (G-NAF® PSMA Australia Ltd)
 - 10 ISO 639 Language codes
 - 11 Standard Business Reporting (SBR) Taxonomy
 - 12 None *[Mutually exclusive with any other options in list]*
 - 13 Other: *[Please specify]*
-

36. * What metadata standards does your agency use? *[Please select all that apply]*

- 1 Australian Government Recordkeeping Metadata Standard (AGRkMS)
 - 2 The Minimum Metadata Set (an implementation set of AGRkMS)
 - 3 AGLS - AS 5044 Australian Government Locator Service
 - 4 AS/NZS ISO 19115.1:2015 Geographic information – Metadata (catalogue metadata)
 - 5 Dublin Core, AS/NZS ISO 15836 Dublin Core Metadata Element Set OR D-CAT (W3C profile of Dublin Core)
 - 6 ISO/IEC 11179 Metadata Registry (MDR) standard
 - 7 None *[Mutually exclusive with any other options in list]*
 - 8 Other: *[Please specify]*
-

[Display Q37 only if respondent's agency uses the AGRkMS: Q36=1 is SELECTED]

37. * How has your agency implemented/used the Australian Government Recordkeeping Metadata Standard (AGRkMS)?

- 1 Implemented 3 entities
 - 2 Implemented 4 entities
 - 3 Implemented 5 entities
 - 4 Use it as a property reference set
 - 5 Unsure
 - 6 Other: *[Please describe briefly]*
-

38. * To what extent does your agency do the following?

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	Not applicable
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

Optional additional comments

Please use this section to add any additional comments to clarify or further explain your responses on Describing information assets for internal self-assessment and reporting purposes (will not be provided as part of your Check-up submission), or to inform the National Archives of Australia.

For internal use only (not submitted to National Archives):

For National Archives:

E. Storing, preserving, and managing information assets

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

39. To what extent are the following storage and preservation practices implemented in your agency?

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Store information assets securely ensuring sensitive information (such as security classified or personally sensitive information) is identified and managed according to: <ul style="list-style-type: none"> protective security cyber security and, privacy requirements. 	1	2	3	4	5
b Create digital information assets in sustainable digital formats with a lower risk of becoming obsolete.	1	2	3	4	5
c Implement storage and preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required. For example: <ul style="list-style-type: none"> implement business continuity and disaster recovery plans assess preservation risks and implement corrective actions, such as converting information assets to current or lower risk formats to ensure information remains usable over time. make regular integrity checks in systems. 	1	2	3	4	5
d Ensure contractual arrangements for third-party storage (including cloud) cover information management requirements including security, access, migration, disposal and end-of-contract considerations to ensure access to needed information assets is not compromised.	1	2	3	4	5

Responses to questions 35 to 38, which are marked with an *, will not impact upon individual agency maturity scores.

Responses to questions 40 to 41, which are marked with an *, will not impact upon individual agency maturity scores.

40. * Does your agency have information which is unable to be accessed or used before its authorised disposal date?

- 1 No
- 2 Don't know
- 3 Yes

[Display Q41 only if respondent's agency has information unable to be accessed or used before its disposal date: Q0=3]

41. * What are the reasons your agency is unable to access or use that information? [Please select all that apply]

- 1 Damaged by a disaster such as flood or fire
 - 2 Hardware needed to access the information is no longer available
 - 3 Information is stored in obsolete file formats
 - 4 Information is stored in an obsolete medium that has deteriorated (e.g., floppy disk)
 - 5 Software needed to access the information is no longer available
 - 6 Other: *[Please describe briefly]*
-

42. To what extent are the following practices implemented in your agency to save information assets into systems where they can be appropriately managed?

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>a Review the capacity of existing business systems, including whole of government systems, to meet functional requirements for information management and address gaps.</p> <p>Note: Includes third party provided and cloud-based systems.</p> <p>[Hover text on 'Functional requirements': This includes access, description, security, preservation, disposal and export requirements.]</p> <p>For example, assessing functionality against the National Archives' Business Systems Assessment Framework or <i>ISO 16175, Information and documentation – processes and functional requirements for software for managing records</i>.</p>	1	2	3	4	5
<p>b Ensure new business systems specifications, including whole of government business systems, meet functional requirements for information management.</p> <p>Note: This includes third party provided and cloud-based systems.</p> <p>[Hover text on 'Functional requirements': This includes access, description, security, preservation, disposal and export requirements.]</p> <p>For example, assessing functionality of new systems against the National Archives' Business Systems Assessment Framework or <i>ISO 16175, Information and documentation – processes and functional requirements for software for managing records</i>.</p>	1	2	3	4	5

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
c Address information management requirements when upgrading, migrating or decommissioning systems, including legacy and poorly performing systems, to meet business needs.	1	2	3	4	5
d Save information assets into endorsed systems with appropriate information management functionality or governance. Note: This includes information assets in all forms (e.g., physical, digital, audio-visual).	1	2	3	4	5
e Keep information assets in systems or platforms where they <i>cannot</i> be managed appropriately, such as uncontrolled network drives or collaboration platforms without appropriate information management functionality. Note: For this question 1 indicates good practice and 5 indicates poor practice.	1	2	3	4	5
f Please provide examples where you are storing information assets without appropriate information management. For example, for your agency, uncontrolled network drives, removable media, email applications and social media sites may be inappropriate places to manage information assets, particularly on a long-term basis.	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>				
g Provide guidance to staff on information governance controls and rules when using systems and platforms with limited information management functionality. For example, there may be a rule to capture needed information assets into a system where they can be managed appropriately.	1	2	3	4	5

Responses to questions 35 to 38, which are marked with an *, will not impact upon individual agency maturity scores.

Responses to questions 43 to 46, which are marked with an *, will not impact upon individual agency maturity scores.

43. * How easy or difficult does your agency find it to integrate functional requirements for information management into new or existing business systems?

- 1 Very easy
- 2 Fairly easy
- 3 A little difficult
- 4 Very difficult

[Display Q44 only if respondent's agency finds integrate functional requirements for information management into new or existing business systems 'a little difficult' / 'very difficult': Q0=3 or 4]

44. * Why does your agency find it [Answer to Q0: 'a little difficult' / 'very difficult'] to integrate functional requirements for information management into new or existing business systems? [Please select all that apply]

- 1 Age of business system/s
 - 2 Number of systems
 - 3 Information management requirements are not specified in the procurement process
 - 4 Information management requirements are not prioritised
 - 5 Information management staff are not consulted at design or procurement stages
 - 6 Other: *[Please describe briefly]*
-

Cloud based storage and services

45. * Does your agency use cloud-based storage and/or services for management of information assets? [Please select all that apply]

- 1 Yes, we use cloud-based storage
- 2 Yes, we use cloud-based services
- 3 No, we do not use cloud-based storage or services *[Please go to end-of-section optional additional comments box]*

46. * Please indicate which systems/services are stored in the cloud. [Please select all that apply]

- 1 Human Resources: *[Please specify product name/s]* _____
- 2 EDRMS: *[Please specify product name/s]* _____
- 3 Financial Systems: *[Please specify product name/s]* _____
- 4 Case Management: *[Please specify product name/s]* _____
- 5 Office subscription services (such as M365): *[Please specify product name/s]* _____
- 6 Software as a service (other than any listed above): *[Please specify product name or general description of the types of services]* _____
- 7 Other: *[Please specify product name/s]* _____

Optional additional comments

Please use this section to add any additional comments to clarify or further explain your responses on Storing, preserving or managing information assets for internal self-assessment and reporting purposes (will not be provided as part of your Check-up submission), or to inform the National Archives of Australia.

For internal use only (not submitted to National Archives):

For National Archives:

F. Appraising and 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 [implementation guidance](#) and [Principle 6: business information is accountably destroyed or transferred](#) and [implementation guidance](#).

47. To what extent are the following practices on appraising and disposing of information assets implemented in your agency?

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>a Analyse and document how long information assets need to be kept to meet:</p> <ul style="list-style-type: none"> operational needs stakeholder needs including rights and entitlements legislative and regulatory obligations community needs, including the need to have access to valuable Australian Government information for research and reuse. 	1	2	3	4	5
<p>b Ensure retain as national archives (RNA) information assets across systems and locations have been identified to inform appropriate management</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 identifying RNA information assets in asset registers identifying RNA information assets through metadata in systems. 	1	2	3	4	5

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>c Establish governance across all business systems, applications, and platforms used (includes social media) so that information assets are not destroyed before their authorised retention date.</p> <p>[Hover text on 'Governance': Governance includes:</p> <ul style="list-style-type: none"> building in functionality which enables identification of retention periods for information assets and prevents their unauthorised deletion or destruction and/or providing policy and guidance for all staff.] 	1	2	3	4	5
<p>d Facilitate automated identification of information assets due for destruction or transfer.</p> <p>Examples of behaviours of agencies with high maturity in this practice include:</p> <ul style="list-style-type: none"> sentencing to enable information to be flagged for destruction after its authorised retention period has been reached configuring an agency's EDRMS and business systems to flag information due for destruction based on disposal policies and rules. 	1	2	3	4	5
<p>e Transfer 'retain as national archives' information assets, as soon as practicable, or within 15 years of creation to the care of the National Archives.</p> <p>[Hover text on 'care': In accordance with approved arrangements with the National Archives. 'care' includes transferring custody of information assets to the National Archives or entering into agreed distributed custody arrangements.]</p>	1	2	3	4	5

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
<p>f 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 assets at the appropriate level (aggregation) • sentencing information assets in legacy systems to enable accountable disposal. 	1	2	3	4	5
<p>g After sentencing, promptly destroy information assets of temporary value when no longer needed, at or after they have reached their authorised retention period.</p>	1	2	3	4	5

Records authorities, sentencing and destruction

The purpose of the following questions is to collect information about records authority coverage, sentencing transfer, and destruction challenges and practices. Responses to questions 48 to 62, which are marked with an *, will not impact upon individual agency maturity scores.

48. * Do you need to improve disposal coverage for your core business information assets (excluding information assets covered by AFDA Express or general records authorities)? *[Please select all that apply]*

- 1 No, all core business information assets are covered by current records authority/ies
- 2 Yes, we need to develop a new records authority/ies
- 3 Yes, we need to update our existing records authority/ies
- 4 Unsure, we need to undertake a review of our existing records authority/ies to establish if they are current and/or cover all our core business information assets
- 5 Unsure, we do not understand how to determine if we need to improve disposal coverage for our core business information assets

49. * Has your agency sentenced any physical information assets in the period from 1 January 2021 to 30 June 2022?

- 1 We have no physical information assets *[Please go to question 51]*
- 2 We have sentenced all our physical information assets *[Please go to question 51]*
- 3 Yes *[Please go to question 51]*
- 4 No

50. * When does your agency plan to start sentencing its physical information assets?

- 1 In the next 6 -12 months
- 2 In the next 1-2 years
- 3 In the next 2-3 years
- 4 In 3 years or more
- 5 Unsure

51. * Has your agency sentenced any digital information assets in the period from 1 January 2021 to 30 June 2022?

- 1 Yes *[Please go to question 53]*
- 2 No

52. * When does your agency plan to start sentencing digital information assets?

- 1 In the next 6 -12 months
- 2 In the next 1-2 years
- 3 In the next 2-3 years
- 4 In 3 years or more
- 5 Unsure

53. * What challenges, if any, does your agency have regarding sentencing information assets?
[Please select all that apply]

- 1 No challenges
- 2 No current records authority for core business
- 3 Lack of resources
- 4 Lack of available staff with necessary skills
- 5 Sentencing is not prioritised above other information management activities
- 6 Lack of support from business areas
- 7 Volume of physical information assets that need sentencing
- 8 Volume of digital information assets that need sentencing
- 9 Difficulty sentencing physical information assets *[Please explain briefly:]*

10 Difficulty sentencing digital information assets *[Please explain briefly:]*

11 Other *[Please describe briefly:]*

54. * What challenges, if any, does your agency have in regard to transferring 'retain as national archives' information assets to the National Archives of Australia? *[Please select all that apply]*

- 1 Have not attempted to transfer 'retain as national archives' information assets
- 2 No challenges
- 3 Don't know how to get onto the National Archives' transfer plan
- 4 Difficulty understanding or implementing the National Archives' transfer requirements
[Please briefly describe the difficulty/ies:]

- 5 Our current system is unable to export information assets and metadata for digital transfer
- 6 Lack of capability and access to IT support, to undertake digital transfers
- 7 Have no 'retain as national archives' information assets over 15 years
- 8 We still have a business need for 'retain as national archives' information assets over 15 years
- 9 Have no 'retain as national archives' information assets under 15 years where business use has ceased
- 10 Lack of resources
- 11 Other *[Please describe briefly:]*

55. * What quantity of physical information assets did your agency destroy between 1 January 2021 to 30 June 2022 under authorised agency-specific or general records authorities?

_____ (Shelf metres) *[Numerical response only]*

[Display Q56 ONLY IF a quantity of destroyed physical information assets was indicated: 55>0]

56. * How did your agency determine the quantity of physical information assets destroyed?
[Please describe briefly]

57. * What quantity of digital information assets did your agency destroy between 1 January 2021 to 30 June 2022 under authorised agency-specific or general records authorities?

_____ *[Drop down: Gigabytes/Terabytes/Petabytes] [Please choose the most appropriate unit(s) of measurement]*

[Display 58 ONLY IF a quantity of destroyed digital information assets was indicated: 57>0]

58. * How did your agency determine the quantity of digital information assets destroyed? *[Please describe briefly]*

59. * What challenges, if any, does your agency have in regard to destroying information assets? *[Please select all that apply]*

- 1 No challenges
- 2 Lack of resources
- 3 Destruction is not prioritised above other information management activities
- 4 It is difficult to obtain consent from business areas for destruction
- 5 Agency is risk averse to destroying information assets
- 6 Difficulty destroying physical information assets *[Please describe briefly:]*

7 Difficulty destroying digital information assets *[Please describe briefly:]*

8 Other *[Please describe briefly:]*

Statement of Assurance for Information Asset Destruction

Your agency can now provide the following Statement of Assurance regarding [accountable and compliant destruction](#) (replacing previous accountability mechanisms such as the NAS45 form).

If you agree to the following statement and submit your Check-up survey, your agency is providing assurance of destruction of records under the Archives Act 1983. **This excludes any unauthorised destruction that you identify below.** [Note: Add check box below]

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

60. * Were there any instance/s of unauthorised destruction information assets in your agency over the period 1 January 2021 to 30 June 2022?

1 Yes *[Please briefly describe these instances:]*

2 No *[Please go to next section]*

61. * Were these instance/s reported to anybody internally as part of information governance?

[Please select all that apply]

- 1 Yes, to the Agency Head
- 2 Yes, to the Chief Information Governance Officer (or similar role)
- 3 Yes, to the Information Governance Committee (or equivalent mechanism)
- 4 Yes, to another officer/internal mechanism [Please specify:] _____
- 5 No, this was not reported internally

62. * Were these instance/s reported to the National Archives of Australia?

- 1 Yes
- 2 No

Optional additional comments

You may use this section to add any additional comments to clarify or further explain your responses on Appraising and disposing of information assets for internal self-assessment and reporting purposes (will not be provided as part of your Check-up submission), or to inform the National Archives of Australia.

For internal use only (not submitted to National Archives):

For National Archives:

G. Use, reuse and interoperability

The questions in this section relate to [Information management standard Principle 8: Business information is available for use and reuse](#) and [implementation guidance](#).

63. To what extent does your agency enable effective use and reuse to information for staff and other users with a right of access?

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Assess how easy it is for users to find and use information assets, and plan to improve discovery and retrieval.	1	2	3	4	5
b Find it is unable to locate needed information assets for business purposes, or to meet public and official requests for that information. Note: for this question 1 indicates good practice and 5 indicates poor practice.	1	2	3	4	5
c Remove restrictions on access to information assets as soon as they no longer apply. Note: This includes declassifying information assets when the security classification is no longer required. The Attorney-General's Department recommends agencies establish procedures so that information is automatically declassified and to regularly review if classified information retains its original sensitivity. Protective Security Policy Framework, Policy 8 C.2.5	1	2	3	4	5
d Adopt an open by default position for the release of non-sensitive information assets to staff and public, documenting exceptions and the conditions upon which access can be granted.	1	2	3	4	5

64. To what extent does your agency embed governance mechanisms to drive interoperability?
 Note: Questions relevant to interoperability, for example metadata, in other sections of the Check-up survey have not been repeated here. [Note: There is no 'Not applicable' option for statements a, b and d]

To what extent does your agency...	Rarely / never	Occasionally	Sometimes	Usually/ most of the time	Always / almost always	Not applicable
a Assess interoperability maturity based on business and stakeholder needs. This includes identifying interoperability maturity gaps and planning to address them. Note: Your assessment should be based on your needs for interoperable data. You may choose to use the National Archives' Data Interoperability Maturity Model for your assessment.	1	2	3	4	5	
b Ensure data governance is defined and guides business with agency-wide agreed standards.	1	2	3	4	5	
c Use agreed standards with other agencies, or organisations, for data publishing and exchange. Examples of behaviours of agencies with high maturity in this practice include: having agreed standards for controlled vocabulary, file format, data structure and approved data-sharing channels.	1	2	3	4	5	6
d Standardise metadata to support sharing of data between internal and external systems, where needed.	1	2	3	4	5	
e Assign staff roles that facilitate data management and interoperability (including data stewards, curators and custodians).	1	2	3	4	5	6
f Manage metadata using a metadata registry.	1	2	3	4	5	6

To what extent does your agency...	Rarely / never	Occasionally	Sometimes	Usually/ most of the time	Always / almost always	Not applicable
g Have a consistent and reliable agency-wide data inventory.	1	2	3	4	5	6

Optional additional comments

You may use this section to add any additional comments to clarify or further explain your responses on Use, reuse and interoperability of information assets for internal self-assessment and reporting purposes (will not be provided as part of your Check-up submission), or to inform the National Archives of Australia.

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For National Archives:

Part 4: Feedback and environmental impacts

No questions in this part will impact on individual agency maturity scores.

H. Feedback on products issued to support the Building trust in the public record policy

The purpose of this section is to seek feedback on the usefulness of the National Archives' products and advice in assisting agencies implement the *Building trust in the public record* policy.

65. The National Archives has a [public release schedule](#) of products and guidance identified as useful, or released or updated, to support implementation of the Building trust in the public record policy. Do you have any feedback on how useful you found these products, how they could be improved, or suggestions for further products and advice to support implementation of the policy?

1 No

2 Yes *[Please provide your feedback below:]*

I. Royal Commission into Institutional Responses to Child Sexual Abuse (RCIIRCSA)

The purpose of this section is to survey Australian Government agencies' awareness and use of the products and advice, issued by the National Archives, to assist agencies to meet the recordkeeping related recommendations of the Royal Commission. It also seeks to establish if further advice is needed.

In 2017 the Royal Commission into Institutional Responses to Child Sexual Abuse reported on its findings. These included 5 recommendations directly related to recordkeeping which can be found in volume 8 of its report. Recommendations 8.1 to 8.4 are relevant to the Australian Government jurisdiction. In response to these recommendations, the National Archives produced a number of products and advice to assist Australian Government agencies implement recommendations 8.1 to 8.4.

Recommendation 17.2 called for five years of annual reporting on implementation of the Royal Commission recommendations. 2022 is the fifth year of annual reporting by the Australian Government.

66. Are you aware of the following products and advice? [Please select all that apply]

- 1 [Disposal Freeze](#) on records related to institutional responses to child sexual abuse
- 2 [General Records Authority 41: Child Sexual Abuse and Allegations](#) issued in October 2018
- 3 [AFDA Express Version 2](#), released 2019 with updated coverage that increased retention periods for records relating to incidents and allegations of child sexual abuse, in accordance with the recommendations of the Royal Commission.
- 4 [Mapping](#) of the recordkeeping principles recommended by the Royal Commission to the National Archives' Information management standard – Australian Government
- 5 [Recommendation 8.3](#) guidance on identifying records which it is reasonable to expect may become relevant to an actual or alleged incident of child sexual abuse. This was created by the National Archives in conjunction with state and territory public records authorities through the Council of Australasian Archives and Records Authorities (CAARA)

67. Have you undertaken a survey, or other analysis, to determine if you have business activities which include interactions with children in order to identify where records need to be created and retained to protect the interests of the child?

This includes identifying records where it is reasonably likely they may be relevant if there is an incident or allegation of child sexual abuse now or in the future.

- 1 Yes
- 2 No

68. Does your agency have any relevant records relating to child sexual abuse incidents and allegations, including records relating to activities undertaken by your agency to care for, or provide services to, children that may be needed in the future to support delayed disclosures of abuse?

1 Yes

2 No *[Please go to Question 70]*

3 Unsure *[Please describe briefly why your agency is unsure:*

_____ *[Please go to Question 70]*

69. Has your agency sentenced records relating to child sexual abuse incidents and allegations since October 2018? *[Please select all that apply]*

Note: Agencies may sentence records relating to child sexual abuse incidents and allegations but they cannot destroy records because the disposal freeze on records relating to institutional responses to child sexual abuse is still current.

1 Yes, under General Records Authority 41 (issued in 2018)

2 Yes, under AFDA Express Version 2 (released 2019)

3 Yes, under our agency-specific-records authority which has been updated since October 2018

4 Yes, under another authority *[Please describe:]*

5 No, we have not sentenced any relevant records

70. Is there further advice that your agency would like from the National Archives of Australia related to creating and managing records relevant to incidents and allegations of child sexual abuse?

1 Yes *[Please briefly describe this advice:]* _____

2 No

J. Impact of Machinery of Government change

The purpose of this section is to collect information how changes in machinery of Government affects your agency's information management practices.

71. Was your agency affected by machinery of government change between 1 January 2021 and 30 June 2022? *[Please select all that apply]*

- 1 Yes, gained a function(s)
- 2 Yes, lost a function(s)
- 3 No *[Please go to Question 73]*

72. What were the main information management issues or challenges for your agency from machinery of government changes between 1 January 2021 and 30 June 2022? *[Please select all that apply]*

- 1 Large volumes of physical information assets to move
- 2 Large volumes of digital information assets to move
- 3 Physical information assets moving to a digital environment
- 4 Complex digital information assets 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 Difficulties negotiating with the transferring or receiving agency
- 8 Insufficient internal human resources with appropriate skills
- 9 Significant system development or modifications required
- 10 Lack of understanding and/or visibility of what information was affected by the change
- 11 Negative impact of existing resourcing or funding
- 12 Negative impact on implementing actions of the Building Trust in the Public Record policy
- 13 No significant impact
- 14 Other *[Please specify]* _____

K. Challenges and opportunities

This section provides you with an opportunity of sharing some of the challenges and opportunities for managing Australian Government information assets. The National Archives will use this information to develop or facilitate guidance on the issues raised.

73. What are the main challenges for information management in your agency?

The following examples are to assist you to consider the types of challenges your agency may be facing. If these examples are included in the main challenges for your agency, explain in your own words why it is a challenge for your agency. If other challenges are more important, please describe and explain them instead.

For example:

- cultural challenges such as information management is seen as a compliance issue, or as a barrier, rather than enabling business
- technological challenges such as:
 - emerging technologies including Blockchain, Machine Learning or Artificial Intelligence
 - new operating environments such as Microsoft Office 365
 - use of mobile devices or instant messaging
 - established communications methods such as email

Please briefly describe up to three main challenges:

1.

2.

3.

74. What are some of the opportunities for improving information management in your agency that you have experienced or implemented in the last year?

Note: This is an optional question. You do not need to respond to this question.

This is a chance for you to document any 'good news' stories for your agency, such as in implementing the *Building Trust in the Public Record* policy or a win with a successful information initiative in your agency. The National Archives may contact you to discuss if you would be willing to share your experience in a forum, or document your story as a case study, for the benefit of other agencies.

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Part 5: Information asset volumes and transfer of ‘retain as national archives’ (RNA) information assets

This next section of Check-up covers total volumes of information assets, volumes of RNA information assets, and planned transfers of RNA information assets to the National Archives. **No questions in this part will impact on individual agency maturity scores.**

L. Information assets and RNA volumes

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

Digital information assets (including audio-visual)

Note:

- Include all structured and unstructured information assets (include data holdings)
- Include digitised information assets
- Only include the primary copy of your information assets, and exclude any secondary copies, such as backups and redundant copies
- Exclude storage volumes occupied by IT infrastructure.

75. Total volume of digital information assets *[include sentenced and unsentenced temporary and retain as national archives information assets]*:

1 Total volume digital information assets:

_____ Drop down: Gigabytes/Terabytes/Petabytes *[Please choose the most appropriate unit(s) of measurement]*

76. Please describe briefly the sources you have used to answer Question 87:

77. Volume of sentenced digital RNA:

1 Drop down: Gigabytes/Terabytes/Petabytes *[Please choose the most appropriate unit(s) of measurement]*

2 No sentenced RNA

78. Volume or percentage of unsentenced, estimated digital RNA (exclude sentenced digital RNA in Question 89)

1 _____ Drop down: Gigabytes/Terabytes/Petabytes *[Please choose the most appropriate unit(s) of measurement]* or

2 Percentage of RNA (based on the total identified in Question 77): _____% *[Positive whole numbers from 0 to 100]*

3 Not known. *[Please briefly describe why volume or percentage of RNA cannot be estimated then go to Question 92]* _____

79. What information have you used to determine the volume (or percentage) of estimated digital RNA in Question 90? *[Please select all that apply]*

- 1 Our agency has identified potential RNA information assets in its information asset register
- 2 Our agency has identified potential RNA information assets as part of its business system assessment/s
- 3 Our agency has identified potential RNA information assets from RNA class descriptions in our specific records authorities and general records authorities (such as AFDA Express)
- 4 Other *[Please specify:]* _____

Physical Information assets (including audio-visual)

80. Total volume of physical information assets *[include sentenced and unsentenced temporary and retain as national archives information assets]:*

- 1 Total volume physical information assets:
_____ Shelf metres

81. Please describe briefly the sources you have used to answer Question 92:

82. Volume of sentenced physical RNA:

- 1 _____ Shelf metres
- 2 No sentenced RNA

83. Volume or percentage of unsentenced, estimated physical RNA, (exclude sentenced physical RNA in Question 82)

- 1 _____ shelf metres or
- 2 Percentage of RNA (based on the total identified in Question 80): _____% *[Positive whole numbers from 0 to 100]*
- 3 Not known. *[Please briefly describe why volume or percentage of RNA cannot be estimated then go to Question 85]* _____

84. What information have you used to determine the volume (or percentage) of estimated physical RNA? *[Please select all that apply]*

- 1 Our agency has identified potential RNA information assets in its information asset register
- 2 Our agency has identified potential RNA information assets from RNA class descriptions in its specific records authorities and general records authorities, such as AFDA Express
- 3 Other *[Please specify:]* _____

M. Transferring to the National Archives

85. Is your agency planning to transfer RNA information assets to the National Archives in the next 12 to 24 months?

- 1 Yes
- 2 No *[Please go to Part 6]*

86. Has your agency advised the National Archives of its intention to transfer RNA information assets?

- 1 Yes
- 2 No [if “No”, pop-up “If you are not on the Archives’ National Transfer Forecast or are unsure, please email information.management@naa.gov.au]

87. Does your proposed transfer include information assets which could be at risk? For example, because of a proposed closure of your agency, or information assets which have special preservation or storage needs such as information assets:

- in poor condition
- stored on obsolete formats
- where the medium is considered to be a fragile format, including chemically unstable formats such as nitrate and acetate film, magnetic tape, or thermal paper

- 1 No
 - 2 Yes, *please describe briefly which information assets may be at risk and why*
-

88. Does your proposed transfer include information assets which have sensitivities that may require specialised storage and/or handling, such as culturally sensitive material relating to Aboriginal and Torres Strait Islander peoples?

- 1 No
 - 2 Yes *[Please describe briefly these sensitivities and specialised storage and/or handling requirements:]*
-

89. Has the RNA material been sentenced in preparation for transfer?

- 1 Yes
- 2 Not completed, sentencing project in progress *[Please go to Part 6]*
- 3 No *[Please go to Part 6]*

90. Please provide a profile of the planned transfer, including details of the amount and size of the transfer for the next 12 months (2022-23).

RNA categories for transfer [Table only appears when the answer to Questions 86 and 89 is 'Yes'. Restrict all responses to positive whole numbers.]

	i. Number of RNA information assets to be transferred	ii. Volume of RNA information assets to be transferred
Physical Information assets		
Paper information assets		
a Unclassified	_____	_____ shelf metres
b Classified excluding Secret and Top Secret	_____	_____ shelf metres
c Secret and Top Secret only	_____	_____ shelf metres
Audio-visual in physical formats		
d Unclassified	_____	_____ shelf metres
e Classified excluding Secret and Top Secret	_____	_____ shelf metres
f Secret and Top Secret only	_____	_____ shelf metres
Photographs including printed photographs and negatives		
g Unclassified	_____	_____ shelf metres
h Classified excluding Secret and Top Secret	_____	_____ shelf metres
i Secret and Top Secret only	_____	_____ shelf metres
Other physical types 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 information assets to be transferred	ii. Volume of RNA information assets to be transferred
Digital Information assets		
Digital Information assets		
a Unclassified	_____	_____ Drop down: Gigabytes (GB); Terabytes (TB); Petabytes (PB)
b Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB
c Secret and Top Secret only	_____	_____ Drop down: GB, TB, PB
Audio-visual in digital formats		
d Unclassified	_____	_____ Drop down: GB, TB, PB
e Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB

	i. Number of RNA information assets to be transferred	ii. Volume of RNA information assets to be transferred
Digital Information assets		
Digital Information assets		
f Secret and Top Secret only	<input type="text"/>	<input type="text"/> Drop down: GB, TB, PB

91. Has, or will, a declassification activity be completed for the proposed transfer/s?

- 1 Yes
- 2 No *[Please briefly explain why a declassification activity cannot be completed before transfer:]*

92. Are you able to provide a profile of planned transfers for the following 12 months (2023-24)?

- 1 Yes
- 2 No *[Please go to Part 6]*

93. Please provide a profile of the planned transfer, including details of the amount and size of the transfer for the following 12 months (2023/4).

RNA categories for transfer [Table only appears when the answer to Question 92 is 'Yes']

	i. Number of RNA information assets to be transferred	ii. Volume of RNA information assets to be transferred
Physical Information assets		
Paper information assets		
a Unclassified	<input type="text"/>	<input type="text"/> shelf metres
b Classified excluding Secret and Top Secret	<input type="text"/>	<input type="text"/> shelf metres
c Secret and Top Secret only	<input type="text"/>	<input type="text"/> shelf metres
Audio-visual in physical formats		
d Unclassified	<input type="text"/>	<input type="text"/> shelf metres
e Classified excluding Secret and Top Secret	<input type="text"/>	<input type="text"/> shelf metres
f Secret and Top Secret only	<input type="text"/>	<input type="text"/> shelf metres
Photographs including printed photographs and negatives		
g Unclassified	<input type="text"/>	<input type="text"/> shelf metres
h Classified excluding Secret and Top Secret	<input type="text"/>	<input type="text"/> shelf metres
i Secret and Top Secret only	<input type="text"/>	<input type="text"/> shelf metres
Other physical types including maps, plans, microfiche, microfilm		
j Unclassified	<input type="text"/>	<input type="text"/> shelf metres
k Classified excluding Secret and Top Secret	<input type="text"/>	<input type="text"/> shelf metres

	i. Number of RNA information assets to be transferred	ii. Volume of RNA information assets to be transferred
Physical Information assets		
Paper information assets		
I Secret and Top Secret only	_____	_____ shelf metres

	i. Number of RNA information assets to be transferred	ii. Volume of RNA information assets to be transferred
Digital Information assets		
Digital Information assets		
a Unclassified	_____	_____ Drop down: Gigabytes (GB); Terabytes (TB); Petabytes (PB)
b Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB
c Secret and Top Secret only	_____	_____ Drop down: GB, TB, PB
Audio-visual in digital formats		
d Unclassified	_____	_____ Drop down: GB, TB, PB
e Classified excluding Secret and Top Secret	_____	_____ Drop down: GB, TB, PB
f Secret and Top Secret only	_____	_____ Drop down: GB, TB, PB

94. Has, or will, a declassification activity be completed for the proposed transfer/s?

- 1 Yes
- 2 No *[Please briefly explain why a declassification activity cannot be completed before transfer:]*

Part 6: Comments

The purpose of this section is to collect agency comments about the survey, *Building trust in the public record* 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.

95. Please contribute any other comments here.

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Part 7: Survey Submission

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

Submission Process

Coordinator level 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.

Appendix A: Building trust in the public record policy implementation actions

As mentioned in the introduction, completing the Check-up survey will give you an understanding of your progress towards achieving the outcomes outlined in policy statement of the National Archives' [Building trust in the public record: managing information and data for government and community policy](#) (*Building trust in the public record policy*).

A number of questions have been included in the survey (listed below) that will be used to measure Australian Government progress towards the implementation actions listed in the policy. Responses to these questions will be incorporated in the information management indexes used to assess Australian Government overall information management maturity. Additionally, there will be a separate section in the Check-up survey whole of government report that notes Australian Government progress in relation to the implementation actions listed in the policy. This is similar to reporting for the National Archives' previous policy Digital continuity 2020.

No.	Implementation Action	Check-up question/s
Manage information assets strategically with appropriate governance and reporting to meet current and future needs of government and community		
1	Assess your information management capability annually using the National Archives' survey tool – Check-up.	Submission of approved survey
2	Review and update your information governance framework, to incorporate enterprise-wide information management. This should include governance for records, information and data. Develop an information governance framework if one does not exist.	14 15 16
3	Review and update roles and responsibilities for your Information Governance Committee and Chief Information Governance Officer to include enterprise-wide information management. Establish an Information Governance Committee and Chief Information Governance Officer role if they do not exist.	17 18 20 22
4	Create an enterprise-wide information management strategy.	13a
5	Register your information assets where there is business value in doing so.	24e
6	Identify staff capability gaps in information management, in particular for staff with specialist information management roles, and plan to address them.	27d 27e 27h
7	Actively support information management at a senior management level and have structures in place for senior managers to engage with skilled information management professionals.	27a 27b
8	Monitor progress made towards achieving policy actions, and regularly report on progress to senior management. Document risks of not following recommended practice.	24h

No.	Implementation Action	Check-up question/s
Implement fit for purpose information management processes, practices and systems that meet identified needs for information asset creation, use and re-use		
9	Manage all digital information assets, created from 1 January 2016, digitally. Information assets created digitally from this date, that are eligible for transfer to the National Archives, will be accepted in digital format only.	30b
10	Ensure business systems, including whole-of-government systems, meet functional and minimum metadata requirements for information management.	33b 42a 42b
11	Assess interoperability maturity based on business and stakeholder needs. Identify interoperability maturity gaps and plan to address them.	64a
12	Implement strategies, including storage and preservation strategies, for the management of all information assets.	34 39c
13	Create digital information assets in sustainable digital formats.	39b
Reduce areas of information management inefficiency and risk to ensure public resources are managed effectively		
14	Transfer 'retain as national archives' information assets as soon as practicable, or within 15 years of creation, to the care of the National Archives.	47e
15	Identify remaining analogue processes and plan for transformation to digital, based on business need.	30c
16	Identify poorly performing legacy systems; address information management requirements when upgrading, migrating and/or decommissioning systems to meet business needs.	42a 42c
17	Sentence information assets regularly and promptly destroy information assets of temporary value when no longer needed.	47f 47g

Appendix B: Scoping Principles

To be finalised.

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