

BTPR Policy actions to Check-up questions mapping

Policy key requirement 1 (Index 1) - Managing information assets strategically with appropriate governance and reporting					
Policy action number	Policy implementation action	Corresponding Check-up survey question(s) number	Corresponding Check-up survey text	Answer options	Allocation of score from 1-5
1	Assess your information management capability annually using the National Archives' survey tool – Check-up.	N/A (Submission workflow)	N/A (Agency head approval workflow)	1 - Yes	5
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.	13	Does your agency have an information governance framework?	1 – Yes 2 – Partial, in the process of developing one 3 – No	Q13-15 are scored as combos: All questions answered yes = a score of 5 Q13 and one other question answered yes and one answered partial = a score of 4 Q13 answered yes and the other two answered partial = a score of 3 Q13 answered partial = a score of 2 Q13 answered no = a score of 1
		14	Has your agency's information governance framework been developed, or reviewed and updated, since 1 January 2021?	1 – Yes 2 – No	
		15	Does your agency's information governance framework cover:	1 - All information assets - records, information and data 2 - Records and information only	

3	<p>Review and update roles and responsibilities for your Information Governance Committee and Chief Information Governance Officer to include enterprise-wide information management. 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.</p>	16	<p>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.</p>	<p>1 - Yes - the committee, or similar mechanism, 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 makes decisions on enterprise-wide information management for records and information (excludes data) 3 - Partial - a data governance committee or similar mechanism makes decisions on enterprise-wide data management (covers data only) 4 - No - my agency does not have an information governance committee or similar mechanism</p>	<p>q16-17 are scored as combos: Both questions answered yes = a score of 5 One answered yes and one answered partial (2) = a score of 3 Both questions answered partial (2) = a score of 2 Q16 answered 2 or 3, q17 answered yes = a score of 5 Q16 answered 2 or 3, q17 answered no = a score of 3 Q16 answered partial (3), q17 not answered = 2 Q16 answered no = a score of 1</p>
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		17	Have the responsibilities of your information governance committee (or similar mechanism) been created, or reviewed and updated since 1 January 2021?	1 - Yes 2 - No	
		18	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	q18-21 are scored as combos: Q18, q19 and q21 answered yes = a score of 5 Q18 and q19 answered yes and q21 answered no = a score of 3 Q18 answered yes, q19 answered partial, q21 answered yes = a score of 3 Q18 answered yes, q19 answered partial and q21 answered no = a score of 2 Q18 and q21 answered yes, q19 answered partial (2 or 3) = a score of 5 Q18 answered yes, q19 answered partial (2 or 3), q21 answered no = a score of 3 Q18 answered yes, q19 answered partial (3), q21 not answered = a score of 2 Q18 answered yes, q19
		19	Does your agency's CIGO, or similar role, cover oversight of all information assets - records, information and data?	1 – Yes, the CIGO, or similar role, has oversight of all types of information assets 2 – Partial, the CIGO, or similar role, has oversight of records and information (excludes data) 3 – Partial, a Chief Data Officer, or similar role, has oversight of data (covers data only)	

		21	Have the responsibilities of your agency's CIGO, or similar role, been developed, or reviewed and updated since 1 January 2021?	1 - Yes 2 - No	answered partial (3), q21 answered yes = a score of 2 Q18 answered yes, q19 answered partial (3), q21 answered no = a score of 2 Q18 answered no, q19 answered yes = a score of 1 Q18 answered no, q19 answered partial (2) = a score of 1 Q18 answered no = a score of 1
4	Create an enterprise-wide information management strategy	12a	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 (including outsourced arrangements) regardless of format or location. Enterprise-wide information management strategy	Not developed	1
				Planning consultation underway to develop	2
				Draft completed	3
				Completed and needs to be reviewed / updated	4
				Completed and up to date	5
5	Register your information assets where there is business value in doing so.	23d	To what extent are the following practices, to develop a culture that values information assets and information management, implemented in your agency? Identify and register its information assets where there is business value to do so. (Information asset registers record information about your	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4

			information assets enabling them to be known and effectively governed.)	Almost always / always	5
6	Identify staff capability gaps in information management, in particular for staff with specialist information management roles, and plan to address them.	26	To what extent are the following practices, to develop a culture that values information assets and information management, implemented in your agency?		
			d. Everyone's understanding of, and capability to undertake, their information management responsibilities is subject to periodic checks or audits.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
			e. Plans are in place to address staff information management capability gaps.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
			h. Plans are in place to address information management capability gaps for staff with specialist information management roles.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
Almost always / always	5				
7	Actively support information management	26	To what extent are the following practices, to develop a culture that values information assets and information management, implemented in your agency?		

	at a senior management level and have structures in place for senior managers to engage with skilled information management professionals.		a. Senior management actively support information management as a business priority.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
			b. Senior management are represented on the information governance committee or equivalent.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
8	Monitor progress made towards achieving policy actions, and regularly report on progress to senior management. Document risks of not following recommended practice.	23g	To what extent are the following governance practices implemented in your agency? 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.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
Policy key requirement 2 (Index 2) - Implement fit for purpose information management processes, practices and systems that meet identified needs for information asset creation, use and re-use					

Policy action number	Policy implementation action	Corresponding Check-up survey question(s) number	Corresponding Check-up survey text	Answer options	Allocation of score from 1-5	
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.	29b	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? Manage all digital information assets created from 1 January 2016 onwards digitally.	Rarely / never	1	
				Occasionally	2	
				Sometimes	3	
				Usually / most of the time	4	
				Almost always / always	5	
10	Ensure business systems, including whole-of-government systems, meet functional and minimum metadata requirements for information management.	32b	To what extent are the following practices implemented in your agency to adequately describe information assets? Ensure business systems, including whole-of-government systems, meet minimum metadata requirements for information management.	Rarely / never	1	
				Occasionally	2	
				Sometimes	3	
				Usually / most of the time	4	
				Almost always / always	5	
		41	To what extent are the following practices implemented in your agency to save information assets into systems where they can be appropriately managed?	a. Review the capacity of existing business systems, including whole of government systems, to meet	Rarely / never	1
					Occasionally	2

			functional requirements for information management and address gaps. Note: Includes third party provided and cloud-based systems.	Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
			b. Ensure new business systems specifications, including whole of government business systems, meet functional requirements for information management. Note: This includes third party provided and cloud-based systems.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
11	Assess interoperability maturity based on business and stakeholder needs. Identify interoperability maturity gaps and plan to address them.	63a	63a. 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. Assess interoperability maturity based on business and stakeholder needs. This includes identifying interoperability maturity gaps and planning to address them.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
12	Implement strategies, including storage and	33	Does your agency have a metadata strategy or framework to support	Yes	5

	preservation strategies, for the management of all information assets.		continuous improvement of holistic enterprise-wide metadata management?	Partial - a metadata strategy is under development but has not been implemented yet	3
				No	1
		38c	To what extent are the following storage and preservation practices implemented in your agency? Implement storage and preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
		Almost always / always	5		
13	Create digital information assets in sustainable digital formats.	38b	To what extent are the following storage and preservation practices implemented in your agency? Create digital information assets in sustainable digital formats with a lower risk of becoming obsolete.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
Policy key requirement 3 (Index 3) - Reduce areas of information management inefficiency and risk to ensure public resources are managed effectively					
Policy action number	Policy implementation action	Corresponding Check-up survey question(s) number	Corresponding Check-up survey text	Answer options	Allocation of score from 1-5

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.	46f	To what extent are the following practices on appraising and disposing of information assets implemented in your agency? Transfer 'retain as national archives' information assets, as soon as practicable, or within 15 years of creation to the care of the National Archives.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
15	Identify remaining analogue processes and plan for transformation to digital, based on business need.	29c	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? 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. 	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
16	Identify poorly performing legacy systems; address information management requirements when	41	To what extent are the following practices implemented in your agency to save information assets into systems where they can be appropriately managed?	Rarely / never	1

	upgrading, migrating and/or decommissioning systems to meet business needs.		<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>	Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
			<p>c. Address information management requirements when upgrading, migrating or decommissioning systems, including legacy and poorly performing systems, to meet business needs.</p>	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5
			17	Sentence information assets regularly and promptly destroy information assets of temporary value when no longer needed.	46
Rarely / never	1				
Occasionally	2				
Sometimes	3				
Usually / most of the time	4				

			legacy systems to enable accountable disposal.	Almost always / always	5
			46h. After sentencing, promptly destroy information assets of temporary value when no longer needed, at or after they have reached their authorised retention period.	Rarely / never	1
				Occasionally	2
				Sometimes	3
				Usually / most of the time	4
				Almost always / always	5