National Archives of Australia

Australian Government | **NATIONAL ARCHIVES OF AUSTRALIA**

Your story, our history

2016 Survey of Information and Records Management Practices in Australian Government Agencies

Report of Survey Findings

August 2016

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I. Executive summary

Introduction

The National Archives of Australia (the Archives) has a responsibility to promote the creation, management, preservation and use of Commonwealth records. In late 2015, the Archives commissioned ORIMA Research to design and implement an online survey of Australian Government agencies, with the primary objectives of:

♦ understanding the state of information and records management practices in government;

♦ better directing the Archives' services and products to meet agencies' needs;

♦ identifying key, longer term, strategic and whole-of-government initiatives.

The research follows on from similar research conducted in 2008, 2010 and 2013. The survey was conducted between January and April 2016. Of the 181 agencies who were regarded as 'In scope' (currently operational and with their own records management practices) and invited to take part, 158 responded fully, representing a response rate of 87%.

Key findings

Agency demographics

Agencies recorded a total of 799 individual staff (or 741 FTE staff) dedicated to information and records management.

Approximately one third (34%) of individual staff dedicated to information and records management were APS 1-4, with a further 31% being APS 5-6. 28% of individual staff were at the Executive Level or higher, while the remaining 7% of staff were contractors.

Just over one-third of these staff (35%) had a formal qualification related to information and records management, and just over half of agencies (53%) had at least one staff member with at least one qualification.

Capture and management

A total of 118 agencies (75%) reported that they capture and manage current records in an electronic records management system (ERMS). Nearly one quarter of agencies (39 agencies or 24%) have not transitioned fully (i.e. over 70% of current records created and managed digitally) to digital information and records management. The main reason cited was funding or resource constraints.

Of 110 agencies with records designated as Retain as National Archives (RNA), just over half (64, or 58%) manage at least some of these records in business systems.

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Storage and outsourcing

Across the 143 agencies which provided an estimate on their storage of **digital** records, approximately 29,410 terabytes of records were being stored—89% of these records onsite, with almost all of the remaining 11% offsite under agency control.

♦ Approximately 14.5% of this storage volume (or approximately 4,625 terabytes) is estimated to be Retain as National Archives (RNA).[1]

Across the 155 agencies which provided an estimate on their storage of **physical** records, approximately 102 million physical files were being stored, taking up approximately 1,492 kilometres.[2] Around half of this storage volume (48%) was in the form of dedicated onsite storage, and around half (49%) was under the control of an offsite storage provider, with 3% offsite but under agency control.

♦ Approximately 11.9% of this storage volume (or approximately 178 kilometres) is estimated to be RNA.

Agencies reported that the total cost of all records storage is approximately $127.5 million, of which $125.8 million was spent on physical storage ($108.5 million on onsite physical storage and $17.2 million on offsite physical storage), and $1.7 million on digital records storage.

Sentencing

A total of 105 agencies, (66% of agencies) had sentenced records in the past year; almost all of these had sentenced **physical** records, and just over half had sentenced **digital** records. The lower rate of sentencing digital records was partly due to agencies lacking procedures for sentencing records of this kind. Other reasons for *not* sentencing, common to both digital and physical records, were resource shortages, other tasks taking priority, and current storage capabilities being deemed adequate.

Destruction and transfer

Just under half of agencies (77 agencies or 49%) had destroyed physical records in the past 12 months. All 77 agencies had destroyed physical records, and 23 of these had also destroyed digital records.

Across agencies that provided estimates of quantities of records destroyed (75 agencies for physical records, 18 agencies for digital records), 94 kilometres of physical records and 5 terabytes of digital records had been destroyed.

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[1]   RNA quantities are based on agencies' estimates of the *proportion* of their records that are RNA.

[2]   For physical records, agencies provided estimates in shelf metres or number of files. The conversion rate between number of files and shelf metres was defined as 70 files per shelf metre, which for large aggregate figures is converted directly into kilometres.

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Awareness and communication

Agencies were asked to rate their awareness and use of information materials and courses provided by the Archives.

♦ 145 agencies, or 92% of the 158 responding agencies, had made use of one of the Archives' forms, publications or tools—most commonly the Check-up Digital self-assessment, used by 123 agencies; [3]

♦ 123 agencies (or 78%) had attended or taken part in a training course—most commonly GAIN forums, in which 83 agencies had taken part; and

♦ 111 agencies (or 70%) had made use of an information and records management standard — most commonly the Australian and International Recordkeeping Standard AS ISO 15489, used by 72 agencies.

Agencies indicated strong levels of support for both online and face-to-face communication methods. Of the online methods for receiving advice, the most preferred was through information available on the website.

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[3] This represents an underestimate, as the most recent Check-up Digital self-assessment survey achieved a 97% response rate among in-scope agencies when most recently conducted in 2015.

II. Introduction

Background

Under the *Archives Act 1983*, the National Archives of Australia (the Archives) has a legislative responsibility to promote the creation, management, preservation and use of authentic, reliable and usable Commonwealth records. Under the Act, the Archives also has the authority to undertake surveys of Commonwealth records.

The Archives conducts surveys of Australian Government agencies at regular intervals. Previous surveys were undertaken in 2008, 2010 and 2013. These surveys informed development of the Digital Transition Policy, the Digital Continuity 2020 Policy and the National Archives Preservation Facility (NAPF).

This survey complements the annual Check-up Digital self-assessment and consists of a number of questions about agencies' demographics, information and records management practices (e.g. capture, creation, storage, sentencing, disposal, transfer) and use of services and products offered by the Archives. Responses to both this survey and the annual Check-up Digital assessments contribute to the annual report to the Minister responsible for the Archives which is required under the Digital Transition Policy and the Digital Continuity 2020 Policy.

This report covers the 2016 results and makes comparisons with the data collected in 2013 where possible.

Aims and objectives of the research

The primary objectives of the research were to allow the Archives to form a better understanding of information and records management practices and issues across the Australian Government, particularly:

♦ summarising the state of information and records management **across the Australian Government as a whole**, including identifying overall improvements, declines and increased risks since 2013;

♦ better directing the Archives' services and products to meet agencies' needs;

♦ allowing the Archives to form an accurate profile of the volume of records it will need to deal with in the future;

♦ identifying key, longer term, strategic and whole-of-government initiatives.

This report provides an overview of record quantities and information and records management practices in the Australian Government. Individual agencies are identified only in specific agency reports and survey responses provided to the Archives.

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III. Methodology

Data collection

An online survey was conducted with agencies identified as being in-scope by the Archives. Agency heads of 'In-scope' agencies were contacted individually by the Archives via email and provided with information about the survey prior to the commencement of the fieldwork period. Agency heads were advised that the survey would be sent to a senior manager with responsibility for overall records management for each agency.

Nominated agency contacts were sent an email invitation from ORIMA requesting them to register and complete the survey online.

The survey was conducted over a period of 10 weeks (inclusive of an extension period), from 28 January to 7 April 2016. During this fieldwork period, agencies had access to full assistance from a nominated contact at the Archives.

Survey responses were approved by the senior (SES) officer responsible for information and records management.

Questions were generally compulsory, although 'no response' options were built in where possible, along with the ability to qualify responses for each section of the questionnaire. An 87% response rate (158 agencies) was achieved across 181 agencies to which the survey was applicable.

Interpreting this report

When percentages of agencies are reported, the base consists of those agencies that completed the survey and provided answers for given questions. This is reflected in the base numbers which appear throughout the report.[4]

Where applicable, this report provides total aggregate figures (for instance, the total storage volume of records of a certain type across the Australian Government). While these figures are as precise as possible, they are based on figures reported by agencies and may have been collected by different internal mechanisms.

Not all responding agencies were able to, or did provide a response to every question, and figures reflect only the aggregate totals of agencies that responded. Aggregate figures generally do *not* include estimates for agencies who did not provide data.

In some cases, extreme outlier responses, which may indicate a large degree of error, have been excluded from the totals. This is indicated in the report where it occurs.

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[4] The base number is the denominator on which a percentage is based. In most cases the *base* is 158, the total number of agencies responding (so 50% = 79/158). For some measures other bases may be appropriate—for instance, when reporting on agencies' reasons for not digitising records, the relevant base number is 124, the number of agencies who had not digitised records (so 50% = 62/124).

This report makes comparisons with the data collected in 2013 where possible. All such comparisons should be treated with some caution, since the set of agencies responding (both to the survey as a whole and to individual questions) is not the same in both years.

Conversion rates

In some cases, agencies were able to provide figures in two separate ways: in particular, file counts and terabytes (for digital) or shelf metres (for physical).

In order to consolidate these two different means of reporting into a single figure for digital records (terabytes), an *average* size per file was calculated on the basis of agencies who provided both figures, and this average was then used to estimate the total data volume in terabytes for agencies only able to provide a file number.

The average conversion rate was calculated from question 14, the question asking agencies to estimate their *total* records storage, and also the question with the highest number of responses in both ranges. Based on responses to this question, a conversion rate of 1 TB for every 98,419 records was used. Where *audio-visual* digital files are specified, a lower conversion rate of 1TB for every 25,956 records is used (calculated from responses to question 44).

For physical records, the conversion rate between number of files and shelf metres was defined as 70 files per shelf metre, and this figure was used to calculate quantity in metres. This is the figure used for conversion in previous surveys to provide comparison.

IV. Agency demographics

Agency staff

The total number of full-time equivalent staff reported by the 158 agencies was 251,140 in all offices across Australia and overseas. Agencies were grouped into size categories based on their total number of staff and classified according to Australian Public Service Commission groupings, as either small (250 or fewer staff), medium (251-1,000 staff) or large (more than 1,000 staff). The majority of agencies were classified as being small (61%), with 19% being medium-sized and 20% large.

♦ This distribution is broadly similar to 2013 (55% small, 24% medium and 21% large).

Figure 1: How many full-time equivalent (FTE) staff (including contractors) work in your agency in all offices across Australia, and overseas if applicable? (q1)

Base: All agencies (n=158)
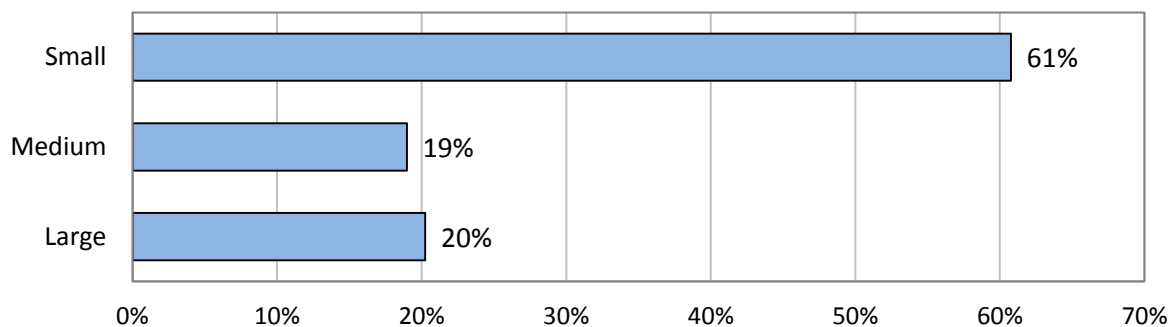
Information and records management staff

This section asked about classification levels of all staff working in information and records management in each agency, as well as about specialist qualifications held by these staff.

Classification levels

Agencies were asked to provide classification level details for all their records management staff, and 155 agencies (or 98% of agencies) responded to the question. The total number of full-time equivalent (FTE) staff working in a dedicated information and records management role was 741, or an average of 5 per agency. This represents 0.3% of all FTE staff across these agencies.

♦ The 2013 survey recorded a total of 728 FTE staff dedicated to information and records management.[5]

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[5]   Both 2013 and 2016 have been recalculated so as to remove one outlier agency.

The proportion of staff in an information and records management role was similar in both small agencies (with an average of 1 information and records management staff out of an average of 80 FTE per agency, or 2%) and large agencies (on average 137 out of 6,963, also 2%), with marginally fewer in medium sized agencies (3 out of 490 staff, or 1%).

Agencies were asked to identify the classification level of their information and records management staff. A total of 799 *individual* staff were identified.

♦   Numbers of individual staff are higher than the number of FTE staff as it includes staff who fulfil this role part time (for example, two employees working in information and records management part time (0.5 FTE each) would count as two individuals, but only one (1.0) FTE).

Figure 2 shows that, of these 799 individual staff across 158 agencies:

♦   nearly two-thirds of information and records management staff—including staff performing this role only part of their time at work—were either at the APS 1-4 level (34%, or 271 staff) or APS 5-6 (31%, or 250 staff); while remaining staff were more likely to be EL 1-2 (24%) than either SES (4%) or contractors (7%); and

♦   staff with an information and records management role as a component of their duties tend to have a higher level of seniority than the APS as a whole, in which 40% are below the level of APS-5, 17% are Executive Level and 2% are SES.[6]

Figure 2: Of the staff who work in information and records management in all offices in your agency, please indicate how many individual staff members (not FTE) are at the following classification levels (or equivalent). (q3)

Base: All information and records management staff (based on responses from n=158 agencies)

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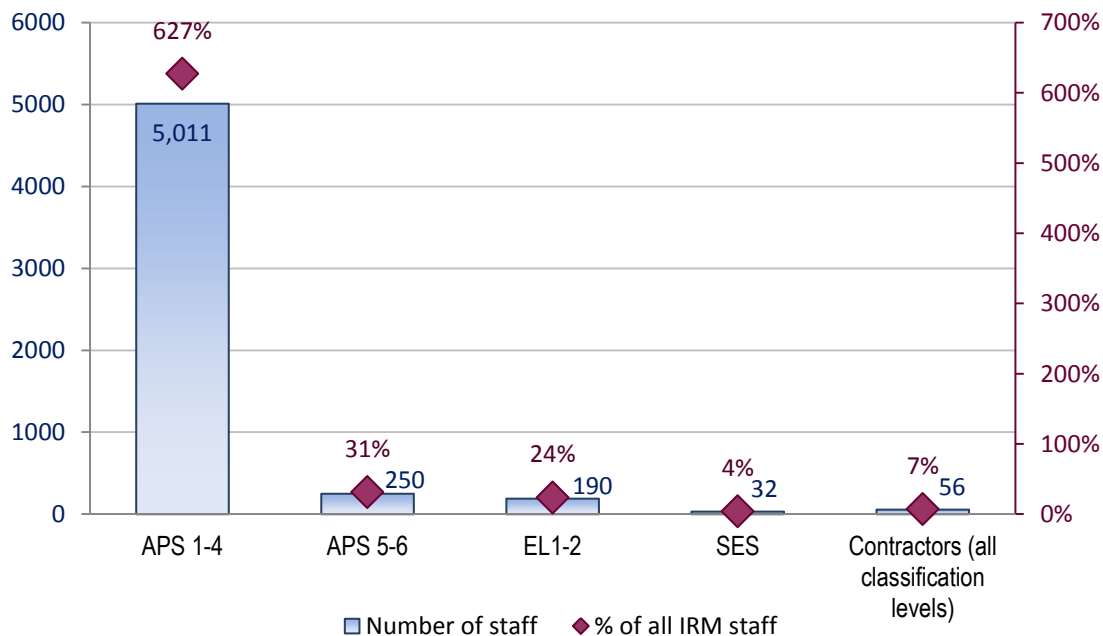
[6]   Source: APS Commission State of the Service Report, 2014-15. These figures do not include contractors separately, but the more senior profile of information and records management staff holds whether or not contractors are counted.

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Specialist qualifications

Agencies were asked to identify the qualifications held by their information and records management staff. Agencies specified the qualification status (including "no relevant qualifications") of the 799 information and records management staff they had individually identified. Of these, 239 (or 30%) had at least one relevant qualification. Across the 158 responding agencies, 84 (or 53%) had at least one formally qualified staff member.

♦   Information and records managements staff employed in large agencies were more likely to have relevant formal qualifications (40%, compared to 32% in small agencies and 27% in medium-sized agencies).

Figure 3 shows the extent to which information and records management staff are qualified across 158 agencies. In total:

♦   12% of information and records management staff had formal qualifications at either a Certificate III, a Certificate IV or a Diploma level;

♦   11% had either an Information Studies Bachelor, Graduate Certificate, Graduate Diploma or equivalent; and

♦   4% had a relevant Masters degree (none had a PhD).

The majority of formally qualified information and records management staff were employees rather than contractors. Contractors were most highly represented among staff with a Bachelor of Information Studies (3 of 40 identified such staff, or 8%).

Figure 3: For each staff member in the information and records management area of your agency, please indicate which of the following relevant qualifications they hold. (q4)

Base: n=158 agencies / n=871 specified staff

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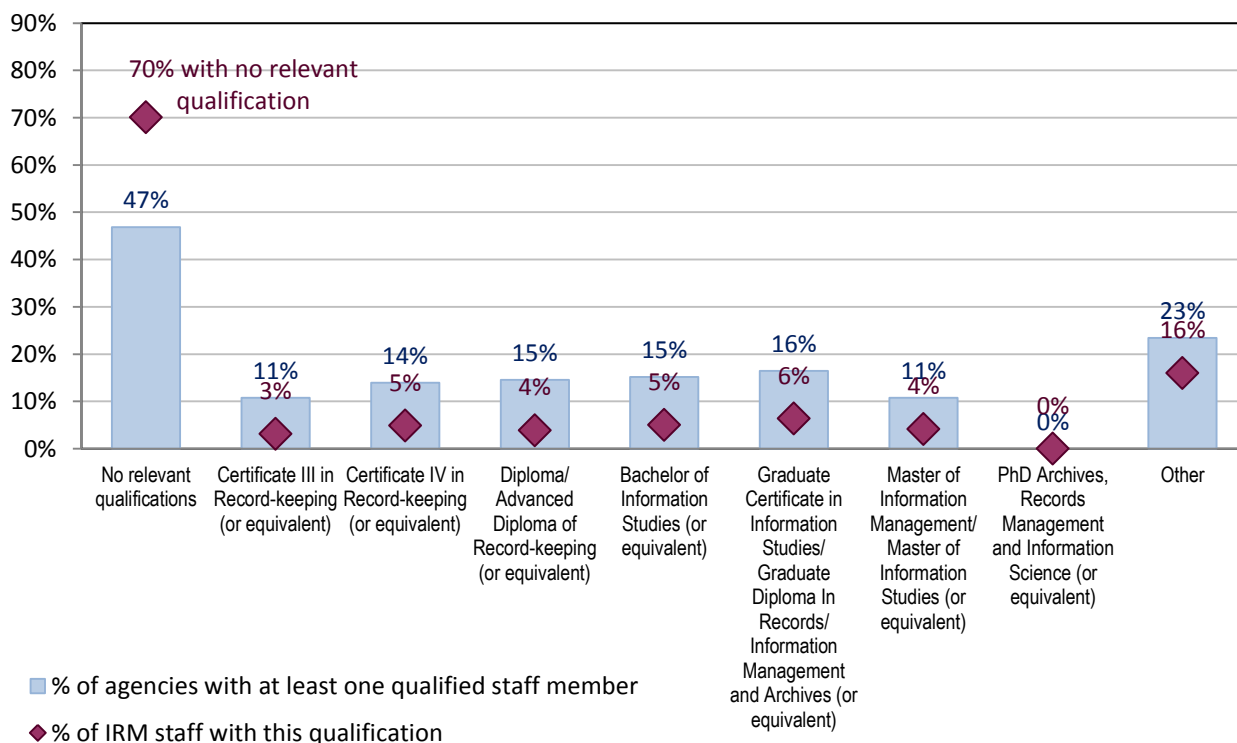
# Area responsible for information and records management

Agencies were asked to identify the area primarily responsible for the provision of information and records management services. The three main areas primarily responsible across all 158 agencies were:

♦ Corporate Services (42%);

♦ Information Management or Information Services (32%); and

♦ Information and Communications Technology (ICT) (31%).

In 2013, agencies were asked to provide the *most common functions and responsibilities within the branch* of staff responsible for information and records management. The most common such function was ICT, followed by three functions typically adopted by Corporate Services (mail room services, property and facilities management, and web content management).

Figure 4: Which area in your agency is primarily responsible for the provision of information and records management services? (q5)

Base: Applicable to all agencies (based on responses of n=158); multiple responses allowed

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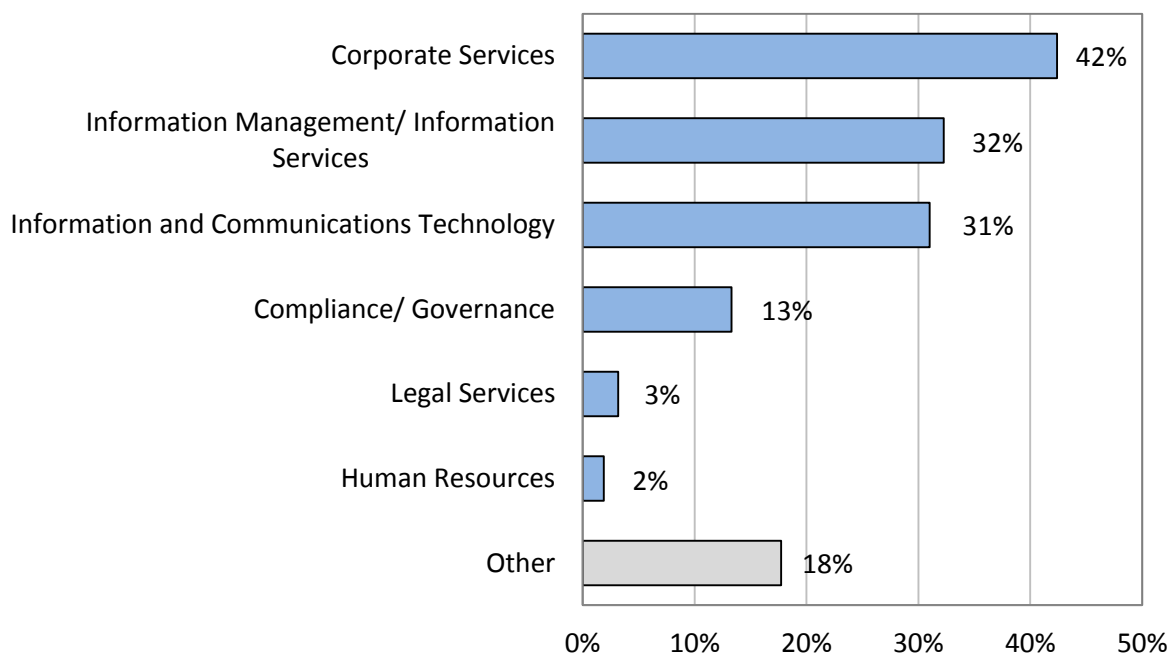
V. Capture and management

This section covers information created, captured and managed digitally in controlled environments, and the transition to digital information and records management.

Systems used

The primary systems surveyed for capturing and managing current records were electronic records management systems (e.g. ERMS, EDMS, EDRMS) and business systems.

Electronic Records Management Systems

A total of 118 agencies (or 75% of agencies) reported that they capture and manage current records in an electronic records management system (e.g. ERMS, EDRMS, etc.).

♦ These results are comparable to the proportion of agencies in 2013 who indicated they captured and managed at least "some" records in an electronic records management system (73%).

A follow up question[7] asking for details of the system used found that 113 of these agencies (72% of agencies) were using a recognised electronic records management system. The most commonly used electronic records management systems among these 113 agencies were:

♦ HP TRIM, or HP Records Manager (79 agencies, or 70% of these agencies);

♦ RecordPoint (19 agencies, or 17%); and

♦ Objective (12 agencies, or 11%).

Business Systems

Given the potentially high number of business systems used in an agency, the survey only asked which business systems were used to manage Retain as National Archives (RNA) records. A total of 64 agencies (or 41% of the 110 agencies that hold RNA records) indicated that they maintain at least some Retain as National Archives (RNA) records in a business system.[8]

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[7] Not asked in 2013.

[8] This figure excludes 14 agencies who indicated they managed RNA records in a business system, but in follow-up questions about the nature of these business systems, these agencies listed only electronic records management systems (e.g. TRIM, Objective, etc.).

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Transition to digital information and records management

The Digital Continuity 2020 and Digital Transition policies require Australian Government agencies to move to digital information and records management for efficiency purposes. Over two thirds of agencies (111 of 158, or 70%) indicated that at least 70% of their agency's current records are created, captured and managed digitally.

♦   This represents a strong increase on 40% of agencies in 2013.

♦   There was no clear direct relationship between digital transitioning and agency size. Medium-sized agencies were most likely to have transitioned to a 70% digital environment (25 out of 30, or 83%), while large-sized agencies were least likely to have done so (20 out of 32, or 63%).

Of the 47 agencies (or 30% of agencies) that had *not* completed their transition to a digital information and records management environment, 45 provided reasons for not doing so. The most commonly cited reasons (as shown in Figure 5) were:

♦   funding or resource constraints (71%);

♦   technical or infrastructure barriers (53%); and/or

♦   staff capability constraints (40%).

Figure 5: If your agency hasn't completed its transition to a digital information and records management environment, please indicate the main reasons. (q12)

Base: Agencies that have not transitioned (n=45)

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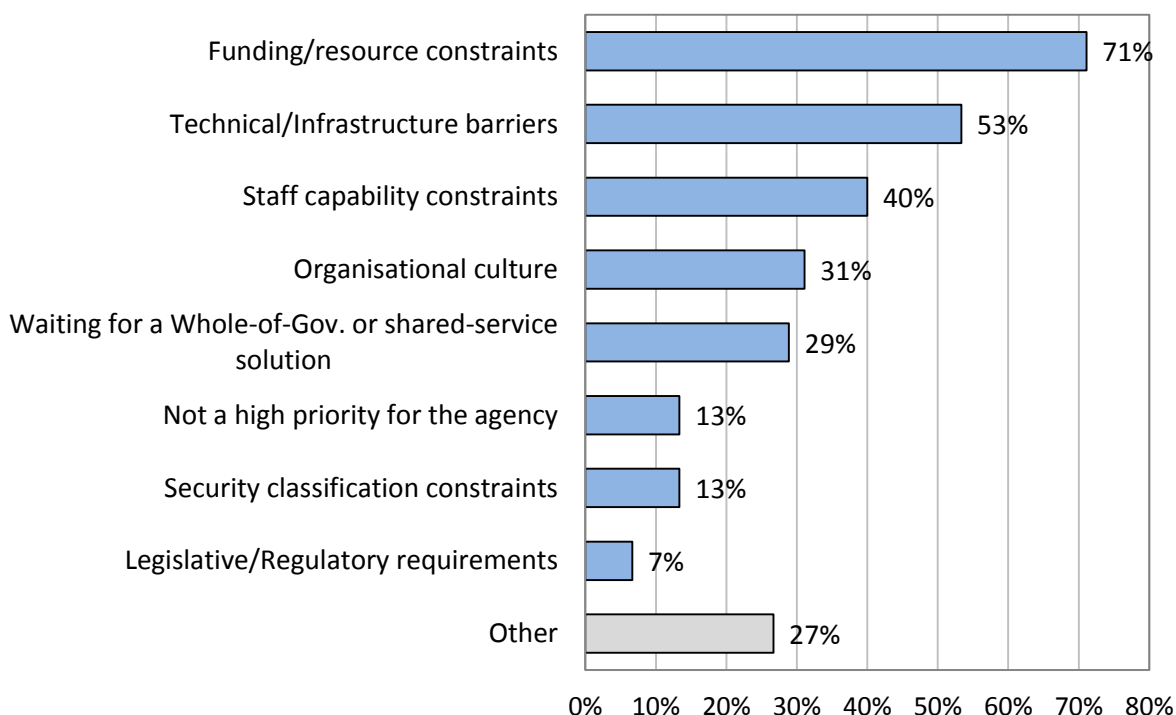
VI. Storage and outsourcing

Digital records

A total of 143 agencies (or 91% of agencies) reported they store digital records and provided an estimate to the size of their storage, either as terabyte volume or file number. The total estimated storage volume of records across these agencies is approximately 29,410 terabytes (TB, see Table 1). Approximately 89% of this volume is stored onsite, with almost all of the remaining 11% stored offsite under agency control.

The average proportion of digital records likely to be 'Retained as National Archives' (RNA) was 14.5%. When this RNA percentage is multiplied by the total digital records storage volume (29,410 TB), the total digital RNA volume equates to 4,625 TB (or an average of 53 TB per agency, across 88 agencies that provided both a total digital storage value and an RNA percentage). In comparison, the average volume of digital RNA records was 41 TB per agency in 2013.

Table 1: Where does your agency currently store its existing digital records and what are the relevant quantities? (q14)

Total of records and total storage volume across responding agencies (n=139)

	Number of agencies	% of agencies	Total storage volume (TB)	RNA records (TB)*
Onsite	105	66%	26,238	-
Offsite (under agency control, including cloud)	19	12%	3,090	-
Offsite (under control of a storage provider, including cloud)	14	9%	82	-
Total	**143**	**91%**	**29,410**	**4,625***

* Total RNA volume is based on the average *percentage* of RNA digital records as reported by agencies (q45), multiplied by the total digital storage volume across agencies.

Physical records

Across the 155 agencies providing figures on their storage of physical records, there were approximately 1,492 kilometres of records (see Table 2). Around half of this storage volume (48%) was stored onsite, and around half (49%) was under the control of an offsite storage provider, with 3% offsite but under agency control.

♦ Physical record storage was similar to what was recorded in 2013, when agencies reported a total of approximately 1,399 kilometres, with the same proportion onsite (48%), and a more balanced distribution of offsite storage under agency control. In 2013, offsite storage consisted of 15% under agency control and 37% under the control of a storage provider (compared to 3% and 49% respectively in 2016).

♦ The average proportion of physical records likely to be RNA was 11.9%. When this RNA percentage is multiplied by the total storage volume of physical records (1,492 shelf kilometres), the total physical RNA volume equates to 178 shelf kilometres (or an average of 1.24 shelf kilometres per agency, across 144 agencies that provided both a total physical storage value and

an RNA percentage). In comparison, the average volume of physical RNA records was 1.68 shelf kilometres per agency in 2013.

Table 2: Where does your agency currently store its existing physical records and what are the relevant quantities? (q15)
Total of files and total shelf space across agencies (n=158)

	Number of agencies	% of agencies*	Kilometres	RNA records (kilometres)**
Dedicated onsite storage	126	80%	719	-
Offsite (under agency control)	27	17%	45	-
Offsite (under control of storage provider)	96	61%	729	-
Total	**155**	**98%**	**1,492**	**178**

* Note that totals sum to more than 100% due to some agencies using two or more forms of storage.
** Total RNA volume is based on the average *percentage* of RNA physical records (q45), multiplied by their total physical storage volume across all responding agencies.

Onsite storage costs of physical records

The total cost of storing **physical records onsite** in the 2014-15 financial year, across the 122 agencies that provided cost figures, was $108.5 million.

In order to calculate onsite storage costs, agencies were asked to provide information about offices or locations which have dedicated onsite storage for existing **physical** records. Of the 126 agencies storing their **physical** records onsite, 122 agencies provided details of the storage space occupied. As shown in Table 3, total storage volume across these agencies was 59,727 square metres, with a total base rental cost of $47 million, plus an additional operating cost of $61 million

Table 3: Onsite storage of existing <u>physical</u> records in the 2014-15 financial year (q16)
Total of files and storage space across responding agencies (n=122)*

		Total	Large agencies	Medium-sized agencies	Small agencies
Storage quantity (m2)		**59,727**	**43,120**	**11,449**	**5,159**
Base rental cost	Per square metre	$789.49	$955.35	$113.77	$902.76
	Total	$47,153,994	$41,194,328	$1,302,525	$4,657,141
Property Operating Expense (POE)	Per square metre	$1,027.85	$1,034.34	$674.68	$1,757.37
	Total	$61,390,876	$44,600,473	$7,724,553	$9,065,851
Total storage cost	**Per square metre**	**$1,817.34**	**$1,989.70**	**$788.45**	**$2,660.13**
	Total	**$108,544,870**	**$85,794,800**	**$9,027,077**	**$13,722,992**

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Offsite storage costs

A total of 118 agencies (or 75% of agencies) have one or more contracts or other arrangements with either commercial providers, their portfolio department, or another government agency, for the offsite storage of records. This includes:

♦   35 agencies (22%) with contracts or other arrangements for offsite storage of **digital** records— including 16 (10%) with their portfolio department or another agency, and 25 (16%) with commercial providers; and

♦   115 agencies (73%) with contracts or other arrangements for offsite storage of **physical** records—including 18 (11%) with their portfolio department or another agency, and 103 (65%) with commercial providers.

The proportion of agencies with contracts or other arrangements in place for the offsite storage of **digital** records is in line with 2013 (when 23% reported having such arrangements). The proportion of agencies with contracts or other arrangements for offsite storage of **physical** records has increased, from 63% to 73%.

Of the 108 agencies with contracts or other arrangements with commercial providers (for either digital or physical records), 105 agencies provided details of the value of these contracts. Across these 105 agencies, the total contract value was approximately **$21 million**.

Table 4 summarises the value of these contracts.

♦   The total offsite storage costs for physical records recorded a modest increase (from $15.6 million to $17.2 million) between the 2011-12 and 2014-15 financial years. Over the same period, storage costs for digital records declined from $2.3 million to $1.7 million.

Table 4: Total value of offsite storage of records and services for the 2014-15 financial year (q21)
Total of files and storage space across responding agencies (n=105)

	Storage	Associated services	General*	Total
Digital records	$242,672	$162,985	$1,294,223	$1,699,880
Physical records	$4,029,629	$6,343,862	$6,873,061	$17,246,552
Combined contract	**$4,272,301**	**$6,506,847**	**$10,132,229**	**$20,911,377**

* Agencies were able to provide either separate figures for storage and associated costs, or a single total figure. The "General" column includes total contract values that could not be broken down into separate figures for storage and associated costs.

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Total storage costs

As shown in Table 5, agencies collectively reported spending a total of approximately $127.5 million on records storage in the 2014-15 financial year, with the majority of this cost ($125.8 million, or 99%) being spent on storing **physical** records. This in turn consisted largely of physical records storage by large agencies ($100.8 million, or 79% of records storage costs across agencies).

Table 5: Total records storage costs in the 2014-15 financial year (q16 and q21)

Total costs across agencies (n=158)

	Total	Large agencies	Medium-sized agencies	Small agencies
Digital records	$1,699,880	$817,191	$638,872	$243,817
Physical records	$125,791,422	$100,815,355	$10,404,454	$14,571,612
Physical records - Onsite	$108,544,870	$85,794,800	$9,027,077	$13,722,992
Physical records - Offsite	$17,246,552	$15,020,555	$1,377,377	$848,620
All records	**$127,491,302**	**$101,632,546**	**$11,043,326**	**$14,815,429**

Nature of associated services

Of the 118 agencies with offsite storage contracts, 91 (or 77%) indicated paying for the use of 'associated services' (in addition to storage) over the course of the 2014-15 financial year. As shown in contracts with third parties for the offsite storage of records, the most commonly used 'associated service' was retrieval and delivery of offsite records (80 agencies, or 88% of agencies with associated services) followed by disposal (47 agencies, or 52%).

Figure 6: Other than offsite storage, what were the associated services your agency paid for in the 2014-15 financial year? (q23)

Base: Agencies with offsite storage contracts making use of associated services in the 2014-15 financial year (n=91)

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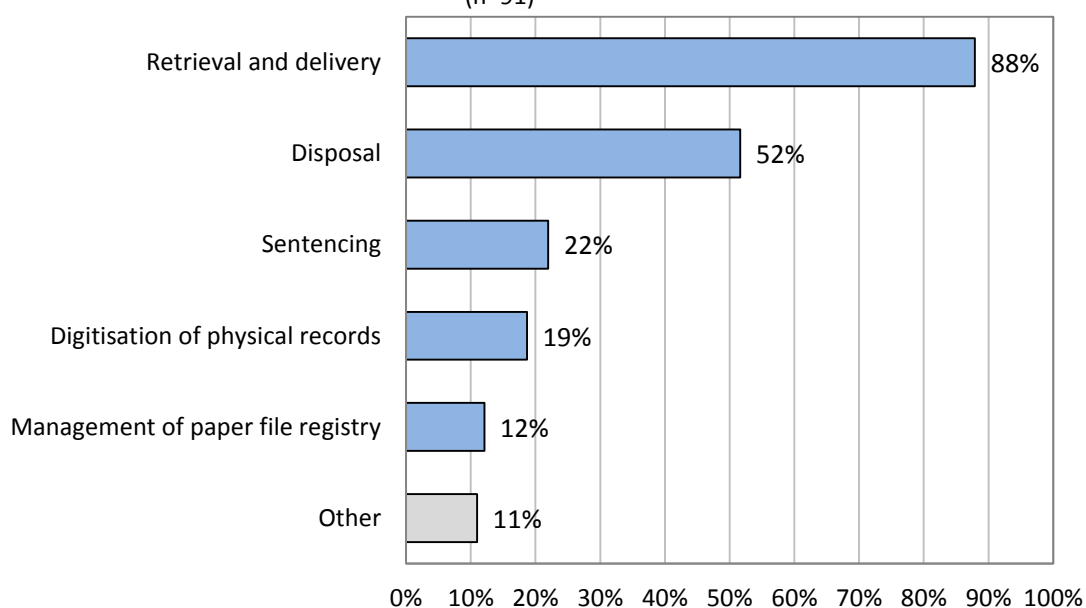
Retrieval of physical records

A total of 93 agencies indicated they had retrieved physical files from offsite storage in the past 12 months. Of these agencies, 89 provided an estimate of the number of files retrieved. As shown in Table 6, a total of approximately 1.5 million files were retrieved, the vast majority (rounding to 100%) from offsite locations outside the agency's direct control.[9]

Of the 89 agencies that provided figures on how many physical files they had retrieved from offsite storage, 87 agencies estimated the average cost of doing so. As shown in Figure 7, the majority of these agencies (53, agencies, or 61%) indicated an average cost of $5 or less per file.

♦ As expected, the average cost of file retrieval tended to be lower among agencies with a high volume of file retrieval. Agencies paying $5 or less per file retrieved on average 25,903 files, while agencies paying more retrieved on average 728 files.[10]

Table 6: What quantity of physical records did your agency retrieve from offsite over the last 12 months? (q26)
Total of files and total shelf space across agencies (n=158)

|	Number of agencies	% of agencies	Number of files retrieved
Offsite (under agency control)	8	5%	2,684
Offsite (under control of storage provider)	85	54%	1,507,142
Unable to provide an estimate	4	3%	-
Total quantity retrieved			**1,509,826**
Total retrieval cost*			**$3,995,508**

* This figure was derived by multiplying the cost per file by the total quantity retrieved for each agency. The cost per file was assumed to be at the mid-point of each range ("Up to $5" was assigned a value of $2.50; "Over $20" was assigned a value of $22.50). For two agencies that could not specify a cost per file, the conservative (and most common) value of $2.50 was assigned.

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[9] Most agencies answered these questions in relation to offsite locations outside the agency's direct control, as they did not consider access to records from a parent agency as being a retrieval process or may not have such processes recorded.

[10] The total cost of file retrieval among these 87 agencies in the past 12 months is thus likely to be between $3.7 million (assuming an average of $2.50 for the 'up to $5' category and the midpoint for the rest) and $7.1 million (assuming the maximum of $5 for the 'up to $5' category and the midpoint for the rest).

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Figure 7: Please indicate the cost range per physical record (file) for a standard retrieval service within Australia. (q27)

Base: Agencies retrieving offsite records in the past 12 months and able to estimate as to both volume and cost (n=87)
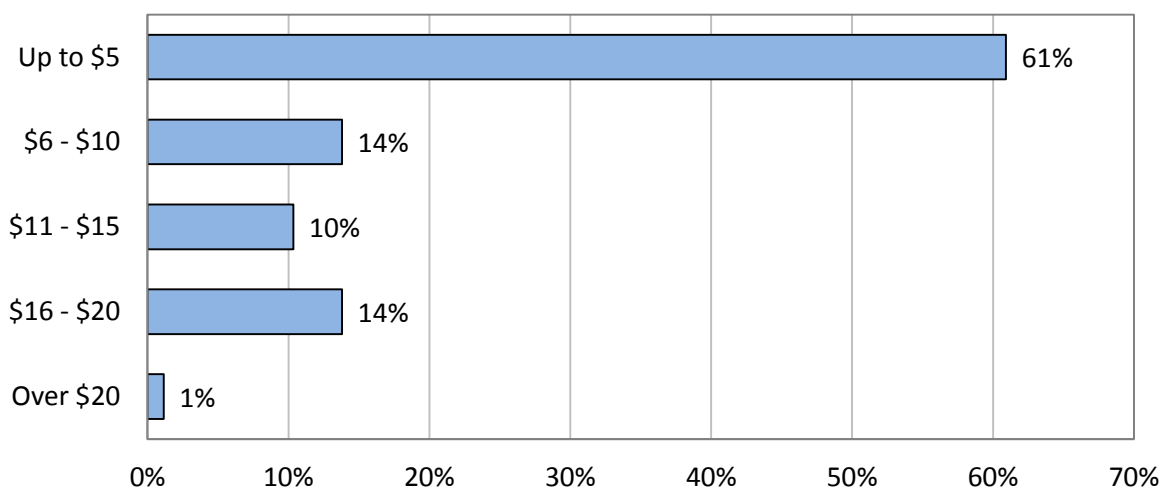

Of the 87 agencies that requested retrieval of physical records and quantified this retrieval, 6 agencies (or 7%) requested at least some of these retrieved files be digitised. The amount of digitisation varied, from 24 files to 4,241 files (an average of 875 files across 5 agencies, with the sixth unable to provide an exact figure).

Expiry date of contracts

Agencies were asked to specify when their contract for offsite storage and associated services was due for renewal/extension or coming to an end. As shown in Figure 8, a majority of contracts required action (renewal, extension or completion) to be taken by or at the end of the 2017-18 financial year.

Figure 8: When is your contract for offsite storage and associated services due for renewal/extension or coming to an end? (q24)

Base: Agencies with offsite storage contracts (n=118)
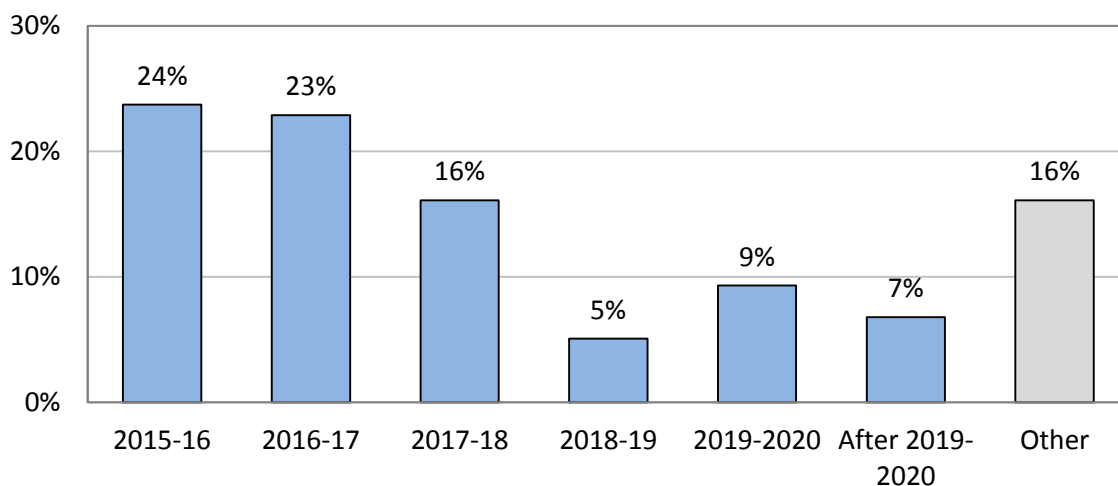
Digitisation projects

A total of 33 agencies (or 21% of agencies) indicated they had undertaken large-scale digitisation of physical records over the preceding 12 months. Table 7 provides a breakdown of the type of records digitised.

Table 7: What quantity of physical records did your agency digitise over the last 12 months? (q31)
Total across agencies conducting large-scale digitisation in the past 12 months (n=33)

	Number of agencies	% of agencies conducting large-scale digitisation (n=33)	% of agencies (n=158)	Number of items digitised
Paper records	25	76%	16%	195,159 (2.76 kilometres)
Photographs	6	18%	4%	15,170
Maps and plans	5	15%	3%	36,885
Other	*2*	6%	1%	-
Total digitisation cost over the last 12 months				*$2.1 million*

Of these 33 agencies, just over half (18) outsourced at least some of their digitisation processes. The total cost of this outsourced digitisation was approximately $2.1 million.

♦ The *average* cost to agencies outsourcing the digitisation was $115,941 per agency, although costs varied from zero (for two of the agencies with outsourced projects) to $713,416.

♦ As shown in Figure 9, agencies that outsourced their records digitisation were most commonly digitising their records to improve access and facilitate better information sharing (100%) or improve business efficiency (78%).

Figure 9: What were the main reasons for digitising physical records over the last 12 months? (q34)
Base: Agencies outsourcing their digitisation of records (n=18)

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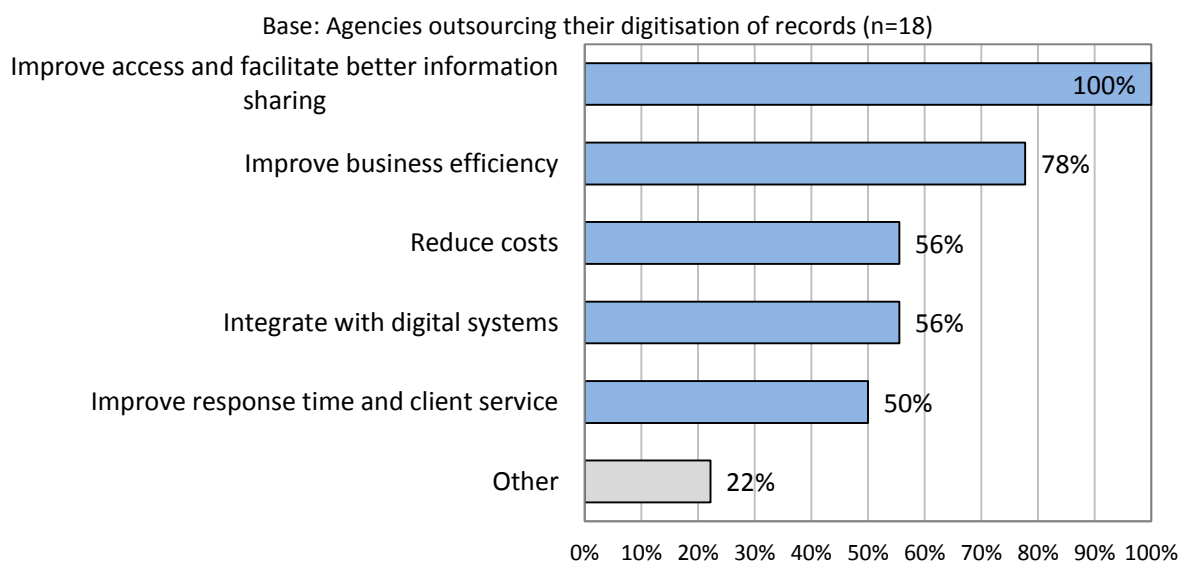
Of agencies that had *not* digitised records in the past 12 months, 123 provided reasons for not doing so, as summarised in Figure 10. The most commonly cited reason for not digitising was insufficient resources (financial or otherwise).

Figure 10: Please indicate the reasons for not digitising any physical records over the last 12 months. (q35)

Base: Agencies that had not digitised records in the last 12 months (n=123)
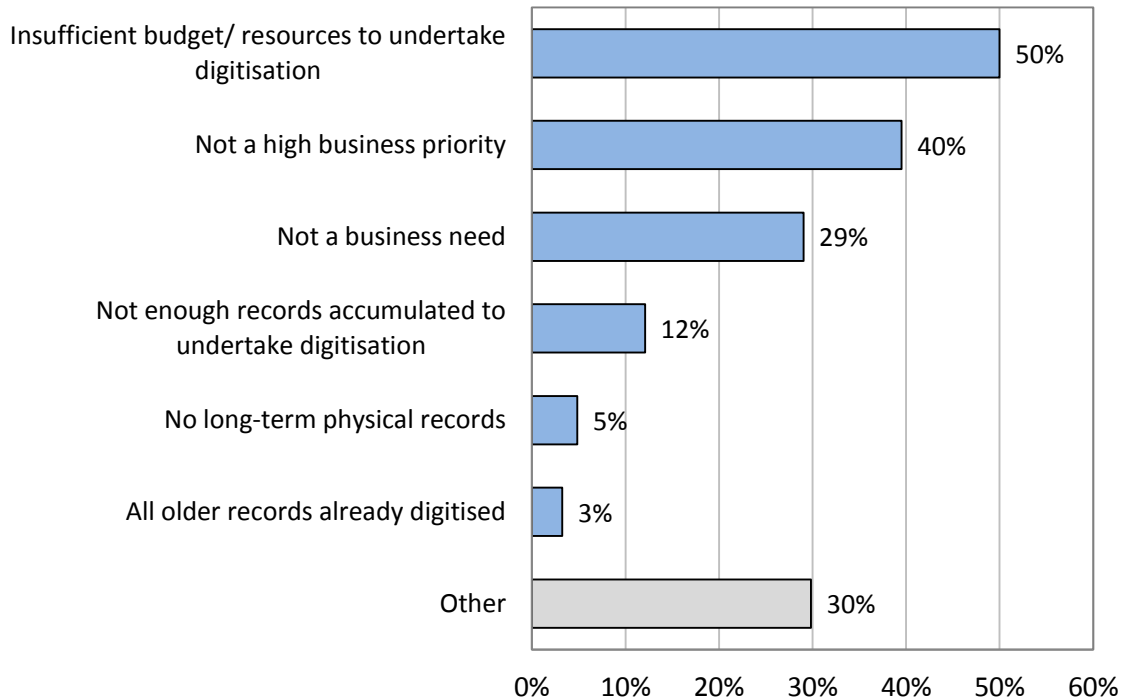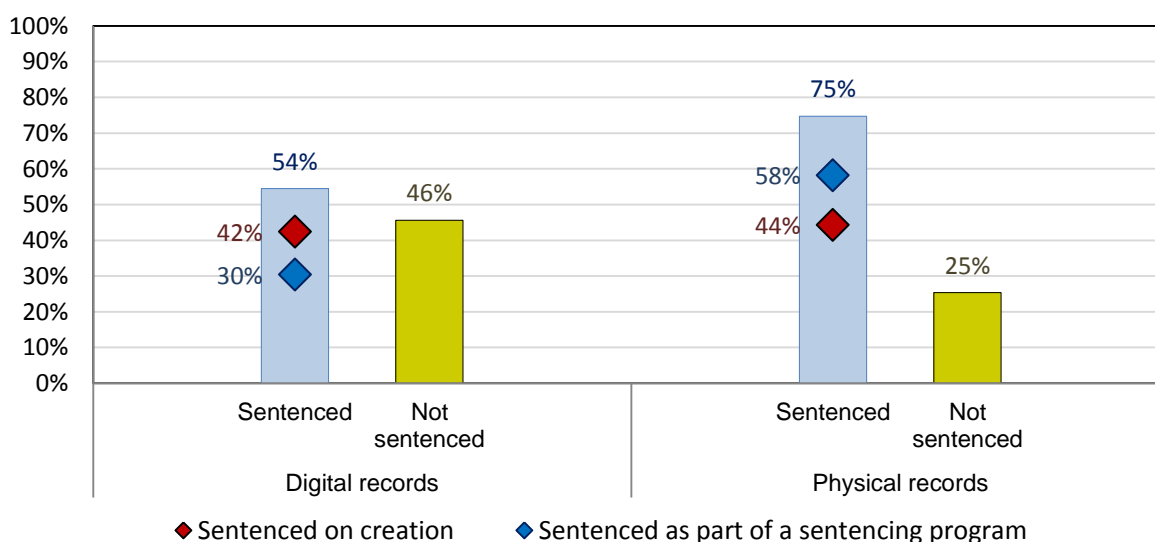
VII. Sentencing

Sentencing practices

As shown in Figure 11, a small majority of agencies sentence digital records (86 out of 158, or 54%). 118 agencies out of 158 (or 75%) sentence physical records. Similar proportions of agencies sentence digital and physical records on creation (42% and 44% respectively), but physical records are more likely to have a subsequent sentencing program (58% compared to 30% for digital), including ad hoc decisions and responses to trigger events, as well as planned or targeted sentencing.

♦ Out of a total of 122 agencies indicating that they sentence either digital or physical records, just over half (52%) sentence their records *only* manually, by authorised staff. Remaining agencies either sentence their records *only* automatically via the electronic records management system (24%); or in a combination of automatic and manual methods (25%).

♦ Of the 86 agencies that sentence **digital** records, 86% do so at an aggregated level (container, folder or file), while only 14% sentence each item individually.

Figure 11: Sentencing of digital and physical records (q37, q38)

Base: All agencies (n=158)

◆ Sentenced on creation   ◆ Sentenced as part of a sentencing program

Sentencing activities in the last 12 months

Of the 122 agencies with a sentencing program, 105 indicated that either they, or a contractor acting on their behalf, had sentenced records in the past 12 months (60 had sentenced **digital** records; 100 had sentenced **physical** records).

♦ This amounts to 66% of agencies sentencing either digital or physical records in the 12 months prior to the survey, up from 57% who had done so in the past year when surveyed in 2013.

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Agencies that had not sentenced any **digital records** over the last 12 months were asked to provide reasons as to why no action was taken, as were agencies that had not sentenced any **physical records** in this time. Most commonly cited reasons (as shown in Figure 12) were:

♦ insufficient staff, budget or resources (40% of those that had not sentenced digital records, 38% of those that had not sentenced physical records);

♦ current storage arrangements are adequate (35% digital, 34% physical);

♦ undertaking a sentencing project was not a business priority (32% digital, 34% physical).

Agencies were less likely to cite a lack of procedures for sentencing **physical** records (12 out of 58 agencies, or 21%) than they were to cite a lack of procedures for **digital** records (32 out of 96 agencies, or 32%).

In 2013, agencies were asked for their reasons for not sentencing records *in any format*. These agencies were more likely to cite the adequacy of their current storage arrangements (46%, compared to 35% for digital records in 2016, 46% compared with 34% for physical records in 2016) and less likely to cite resource constraints (30% compared to 40% for digital records in 2016, 30% compared to 38% for physical records in 2016).

Figure 12: Reasons for not sentencing records (q42 and q43)

Base: Agencies that had not sentenced digital records in the past 12 months (n=96)/
Agencies that had not sentenced physical records in the past 12 months (n=58)

□ Reason for not sentencing digital records ■ Reason for not sentencing physical records
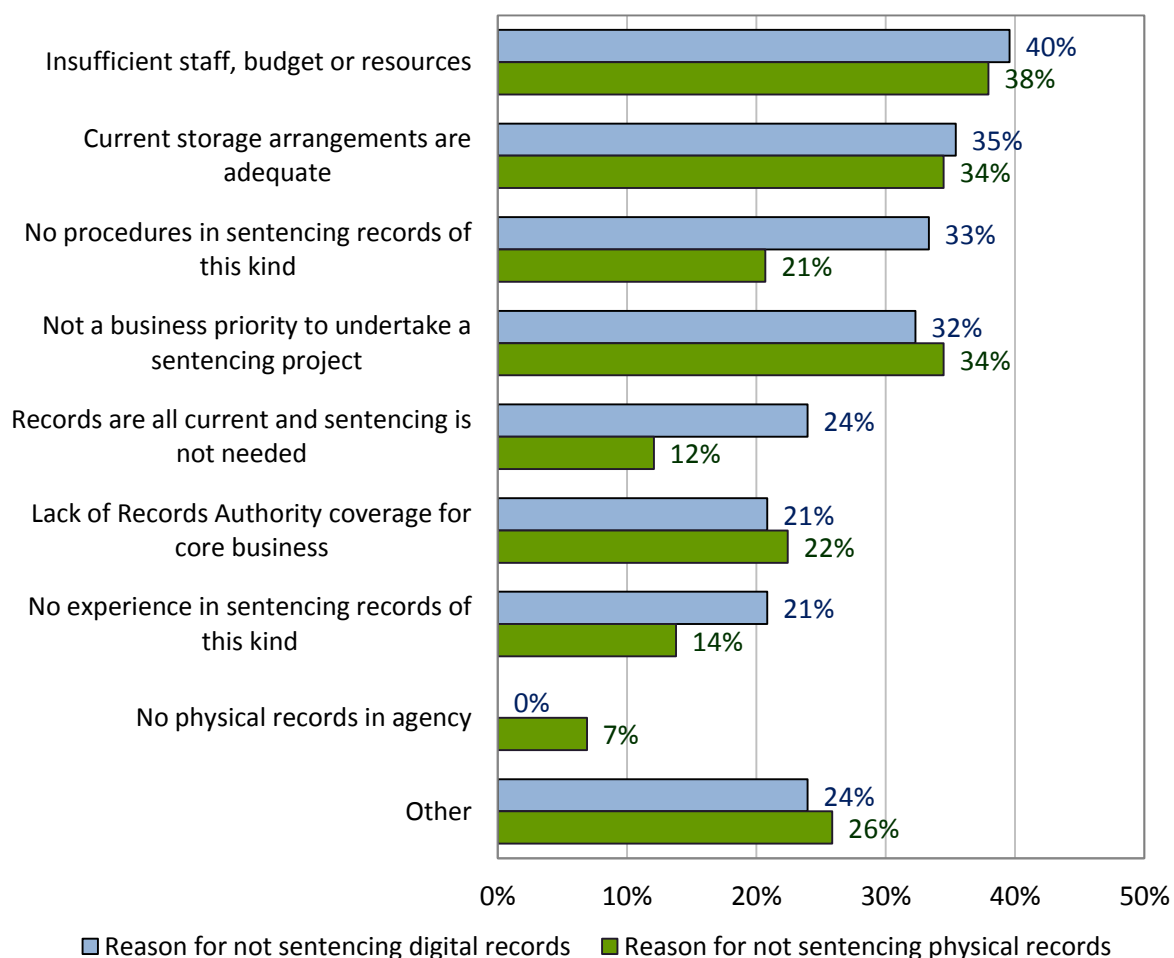
RNA records

A total of 110 agencies (or 70% of agencies) indicated they had records identified as Retain as National Archives (RNA)—91 agencies (or 58%) have *digital* RNA records; 104 (or 66%) have *physical* RNA records.

Table 8 provides a breakdown of the proportion of RNA records across agencies.

Table 8: What is the percentage of existing records held by your agency that are identified as, or estimated to be, RNA? (q45)

Base: All agencies (n=158)

Proportion of records that are RNA	Digital records		Physical records	
	Number of agencies	Percentage	Number of agencies	Percentage
None	54	42%	41	34%
Up to 5%	30	19%	37	23%
5% to less than 10%	14	9%	13	8%
10% to less than 20%	20	13%	24	15%
20% or more	27	17%	30	19%
Total	145		145	

Based on agencies' estimates, the proportion of records likely to be RNA is:

♦ 14.5% across all digital records (equating to 4,625 TB, or an average of 53 TB per agency, across 88 agencies that provided both a total digital storage value and an RNA percentage); and

♦ 11.9% of all physical records (equating to 178 shelf kilometres, or an average of 1.24 shelf kilometres per agency, across 144 agencies that provided both a total physical storage value and an RNA percentage).

Storage of RNA records

Of the 92 agencies with digital RNA records, 90 provided details about the types of systems these were stored in. Table 9 (on the following page) shows that a majority of these agencies (55 agencies, or 61%) manage at least 70% of their digital RNA records in an electronic records management system, and one-third (33 agencies, or 37%) manage *all* digital RNA records this way while 17 agencies (19%) manage at least 70% of their digital records in a business system and 5 (6%) manage all RNA records in these systems.

Table 9: Of the digital records that are identified as, or estimated to be, RNA, what percentage of records is held in the following systems: (q46)

Base: Agencies with digital RNA records (n=90)

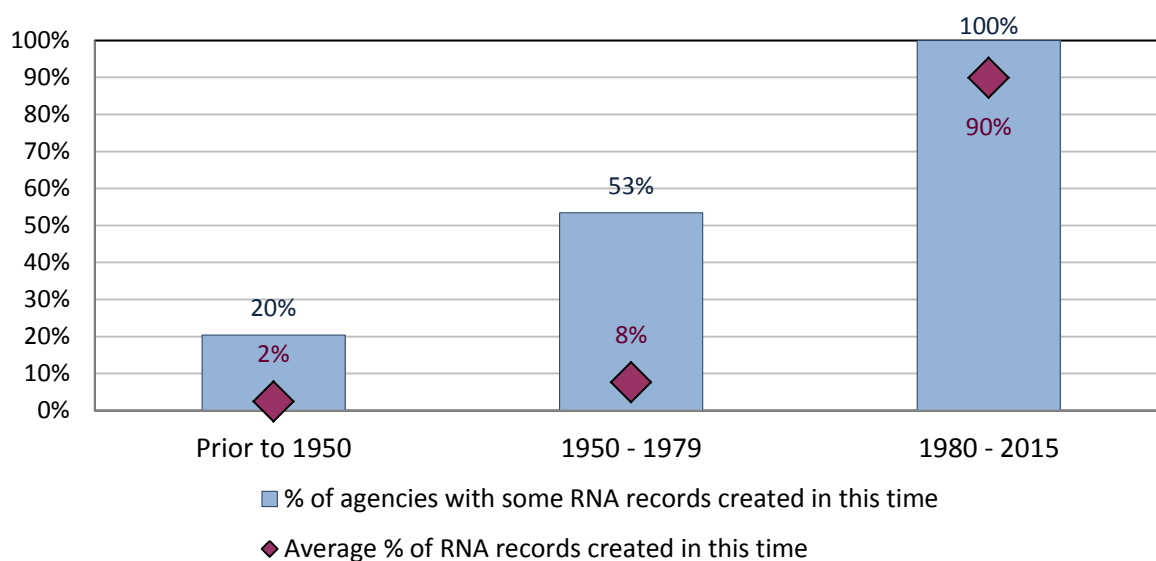|	Agencies with at least 70% of digital RNA records managed this way		Agencies with **all** digital RNA records managed this way	
	Number	Percentage	Number	Percentage
Electronic records management system (e.g. EDRMS)	55	61%	33	37%
Business systems	17	19%	5	6%
Other (e.g. email archiving solution)	3	3%	1	1%
Mixture of systems (no one type of system manages all records)	15	17%	51	57%

Date range of physical RNA records

Of the 104 agencies with physical RNA records, 103 categorised these records according to when they were created. Across these agencies (as shown in Figure 13):

♦ An average of 2% of physical RNA records were created prior to 1950, with 20 agencies (21% of 103) having at least some such physical RNA records.

♦ An average of 8% of physical RNA records were created in the 1950-1979 period, with 54 agencies (52% of 103) having at least some such records.

♦ An average of 90% of physical RNA records were created in the 1979-2015 period, with 103 agencies (100%) having at least some such records.

Figure 13: What is the date range for the RNA physical records held by your agency? (q47)

Base: Agencies with physical RNA records (n=103)

■ % of agencies with some RNA records created in this time

♦ Average % of RNA records created in this time

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Preservation of inactive RNA records

Agencies with records designated RNA were asked to indicate what approaches they use to ensure these records are preserved and remain accessible.

Of the 91 agencies with **digital** RNA records (see Figure 14):

♦ the most common process, adopted by 57 agencies (or 62%) is to migrate records from older hardware and software to current configurations; however,

♦ 17 agencies (or 19%) do not adopt any approach.

Of the 104 agencies with **physical** RNA records (see Figure 15):

♦ the most common process, adopted by 86 agencies (or 83%), involves maintaining an appropriate storage environment; however,

♦ 8 agencies (or 8%) do not adopt any approach.

Figure 14: If your agency stores inactive digital RNA records, including information in business systems and databases, what approaches do you use to ensure they are preserved and remain accessible? (q48)
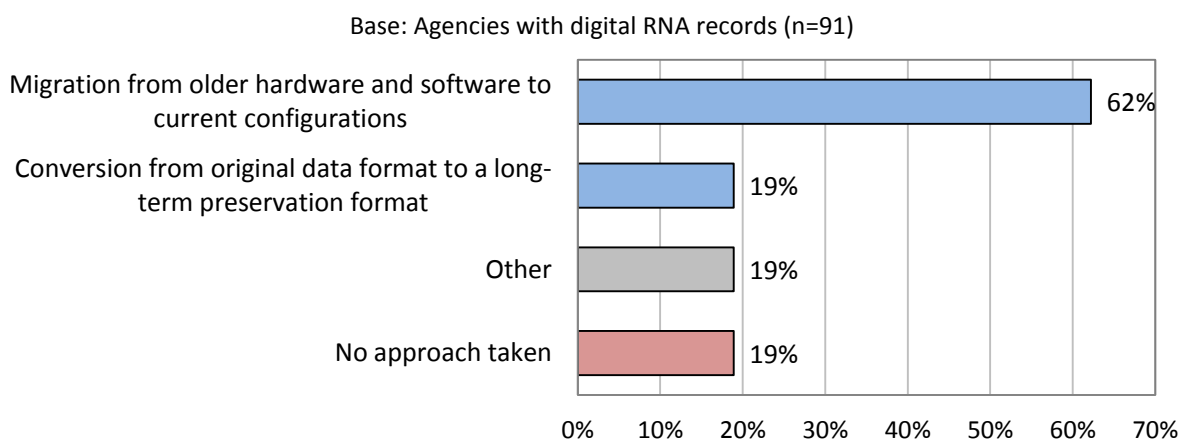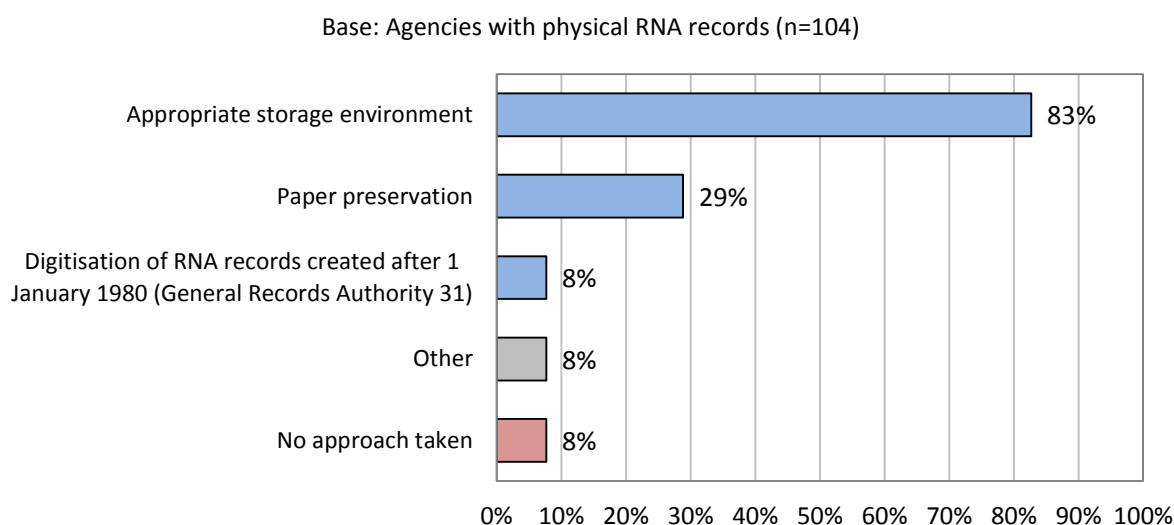
Base: Agencies with digital RNA records (n=91)

Approach	Percentage
Migration from older hardware and software to current configurations	62%
Conversion from original data format to a long-term preservation format	19%
Other	19%
No approach taken	19%

Figure 15: If your agency stores inactive physical RNA records, what approaches do you use to ensure they are preserved and remain accessible? (q49)

Base: Agencies with physical RNA records (n=104)

Approach	Percentage
Appropriate storage environment	83%
Paper preservation	29%
Digitisation of RNA records created after 1 January 1980 (General Records Authority 31)	8%
Other	8%
No approach taken	8%

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VIII. Destruction and transfer

Destruction

A total of 78 agencies (or 49% of agencies) indicated that they (or a contractor acting on their behalf) had destroyed records over the past 12 months. All 78 had destroyed physical records, and 23 of these agencies had also destroyed digital records.

♦   The proportion of agencies who had destroyed records in the past year (49% of agencies) was comparable to the proportion who had destroyed records in the previous year when surveyed in 2013 (47%).

A total of 18 agencies provided details of the volume of **digital** records they had destroyed—across these agencies, 4.9 terabytes were destroyed, mostly from the agency's electronic records management system (see Table 10).

A total of 75 agencies provided details of the volume of **physical** records they had destroyed or ordered destroyed—across these agencies, 94 kilometres of records were destroyed, mostly paper records (see Table 11).

Table 10: Please specify the quantity of digital records your agency (or contractor on behalf of your agency) destroyed over the last 12 months. (q52)
Total of items and total storage space across agencies (n=158)

	Number of agencies	TB
In an electronic records management system	16	4.3
In a business system	0	0.0
Other digital records	3	0.8
Total	**18***	**5.2**

* One agency indicated destroying digital records in both an electronic records management system *and* "other" digital records (in neither an ERMS nor a business system).

Table 11: Please specify the quantity of physical records your agency (or contractor on behalf of your agency) destroyed over the last 12 months. (q54)
Total of items and total storage space across agencies (n=158)

	Number of agencies	Kilometres
Paper records	75	94.16
Other physical records	1	6 metres
Total		**94.17**

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Agencies that had not destroyed **digital** records over the past 12 months were asked to explain why. Commonly cited reasons (as shown in Figure 16) included:

♦ current storage arrangements are adequate and cost effective (38%);

♦ no procedures for destroying digital records (25%); and

♦ insufficient resources, including staff and budget (24%).

Nearly four in 10 agencies (38%) also reported that no digital records had been sentenced over the past 12 months. The three most commonly cited reasons for not *sentencing* digital records were also adequate current storage arrangements, lack of procedures for sentencing, and insufficient resources (see page 22).

Agencies that had not destroyed **physical** records over the past 12 months were asked to explain why. Commonly cited reasons included:
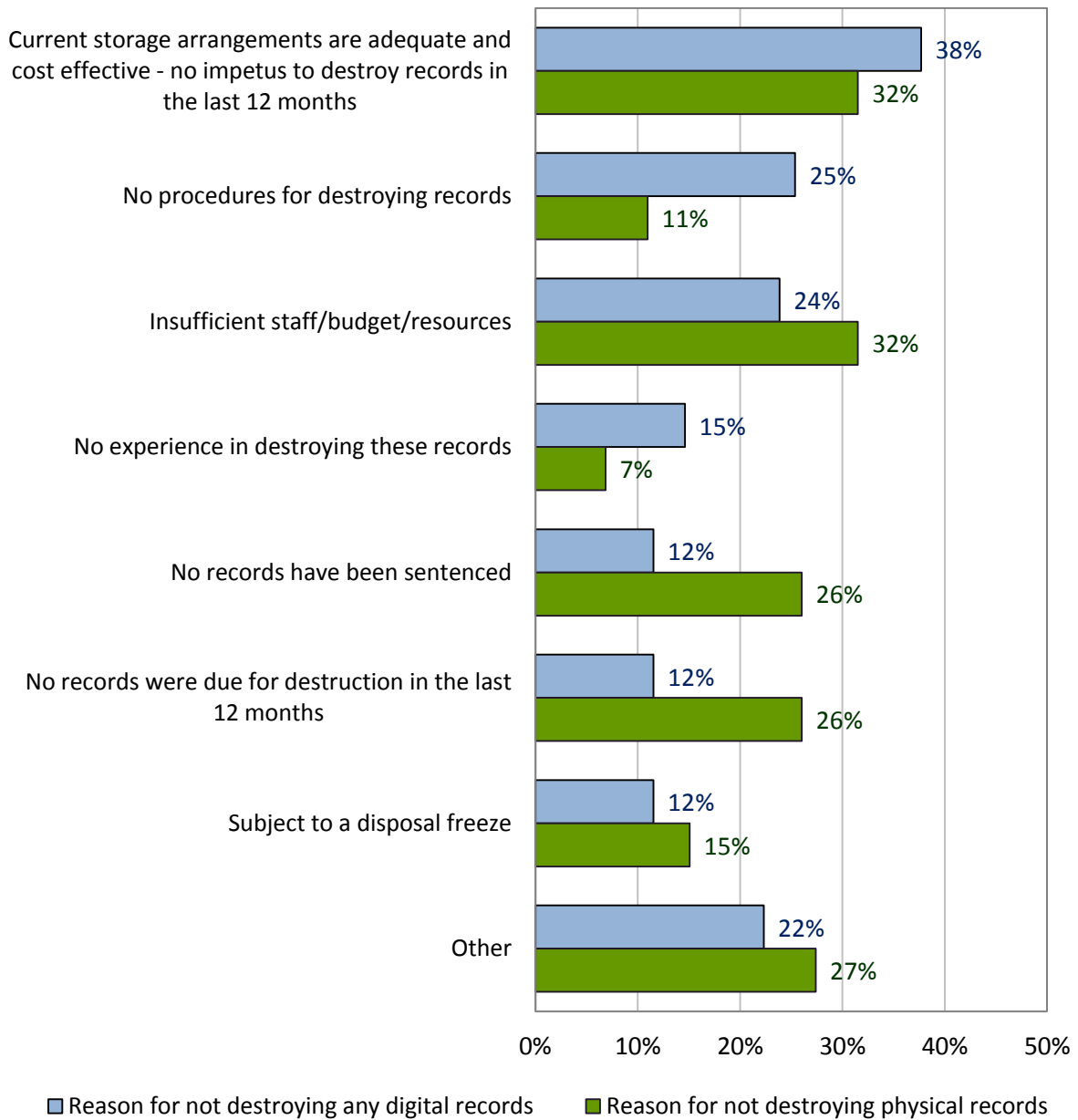
♦ insufficient resources, including staff and budget (32%); and

♦ current storage arrangements are adequate and cost effective (22%).

One quarter of agencies (26%) also reported that no physical records had been sentenced over the past 12 months. The most commonly cited reasons for not *sentencing* physical records were also insufficient resources, and adequate current storage arrangements (see page 28).

In 2013, agencies that had not destroyed records *in any format* were asked to provide their reasons, and gave a broadly similar set of overall responses. The most commonly cited reasons in 2013 were that no records had been sentenced (48%), current storage was adequate (43%) and resource constraints (31%).

Figure 16: Reasons for not destroying records over the last 12 months. (q56)

Base: Agencies that had not destroyed digital records in the past 12 months (n=131)/
Agencies that had not sentenced physical records in the past 12 months (n=73)

Reason	Reason for not destroying any digital records	Reason for not destroying physical records
Current storage arrangements are adequate and cost effective - no impetus to destroy records in the last 12 months	38%	32%
No procedures for destroying records	25%	11%
Insufficient staff/budget/resources	24%	32%
No experience in destroying these records	15%	7%
No records have been sentenced	12%	26%
No records were due for destruction in the last 12 months	12%	26%
Subject to a disposal freeze	12%	15%
Other	22%	27%

☐ Reason for not destroying any digital records   ☐ Reason for not destroying physical records

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Transfer of records to the Archives

A total of 43 agencies indicated they proposed to transfer RNA records to the Archives in the 2016-17 financial year (27% of agencies, similar to the proportion of 29% recorded in 2013 for the 2013-14 financial year). A further 27 agencies indicated they were unsure whether or not they would do so.

♦ 20 agencies indicated that they would be transferring **digital** RNA records to the Archives. Of these, 7 agencies estimated the volume of this transfer, which across those agencies totalled approximately 45 terabytes (see Table 12).[11] Of this material, almost all (rounding to 100%) was unclassified.

♦ 37 agencies indicated that they would be transferring **physical** RNA records to the Archives. Of these, 22 agencies estimated the volume of this transfer, which across those agencies totalled approximately 6 kilometres (see Table 13).[12] Of this material, 95% was unclassified.

♦ Of the 37 agencies planning to transfer physical RNA records to the Archives in 2016-17, eight (22%, or 5% of agencies) will be transferring records in a fragile or deteriorating condition.

When asked in 2013 about their plans for the 2013-14 financial year, agencies had reported a higher total of digital records to be transferred (1,164 terabytes, much higher than the 2016-17 estimate), but a lower total of physical records (4.42 kilometres).

Table 12: Which of the following categories of RNA digital records does your agency propose to transfer to the Archives in the 2016-17 financial year? (q58)
Total of items and total storage space across all responding agencies (n=7)

	TB		
	Standard digital	Audio-visual	Total
Unclassified	1.5	43.2	44.7
Classified	0.1*	0.0	0.1
Secret	0.0	0.0	0.0
Total	**1.6**	**43.2**	**44.8**

Table 13: Which of the following categories of RNA physical records does your agency propose to transfer to the Archives in the 2016-17 financial year? (q59)
Total of items and total storage space across all responding agencies (n=22)

	Physical (kilometres)				
	Paper	Audio-visual	Photographs	Other	Total
Unclassified	2.28	3.54	0.01	0.03	5.86
Classified	0.30*	0	0	0	0.30
Secret	0	0	0	0	0
Total	**2.59**	**3.54**	**0.01**	**0.03**	**6.17**

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[11]   These figures (agency count and total volume) exclude one outlier agency.

[12]   These figures (agency count and total volume) exclude one outlier agency.

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Of the 89 agencies indicating that they have no plans to propose *any* transfers of RNA material to the Archives in the 2016-17 financial year, 87 provided reasons, which are summarised in Figure 17.

♦ Compared to 2013, fewer agencies indicated that transferring was not a business priority (23%, down from 39% in 2013), or that they had not sentenced any records (15%, down from 34%).

♦ Positively, the proportion of agencies not transferring because they are unsure of the procedures for doing so has fallen (2% for physical records and 6% for digital records, down from 11% in 2013).

Figure 17: If your agency is not planning to propose any transfers of RNA records to the Archives in the 2016-17 financial year, please indicate the reasons. (q61)

Base: Agencies not planning to transfer RNA records in 2016-17 (n=87 responding agencies)
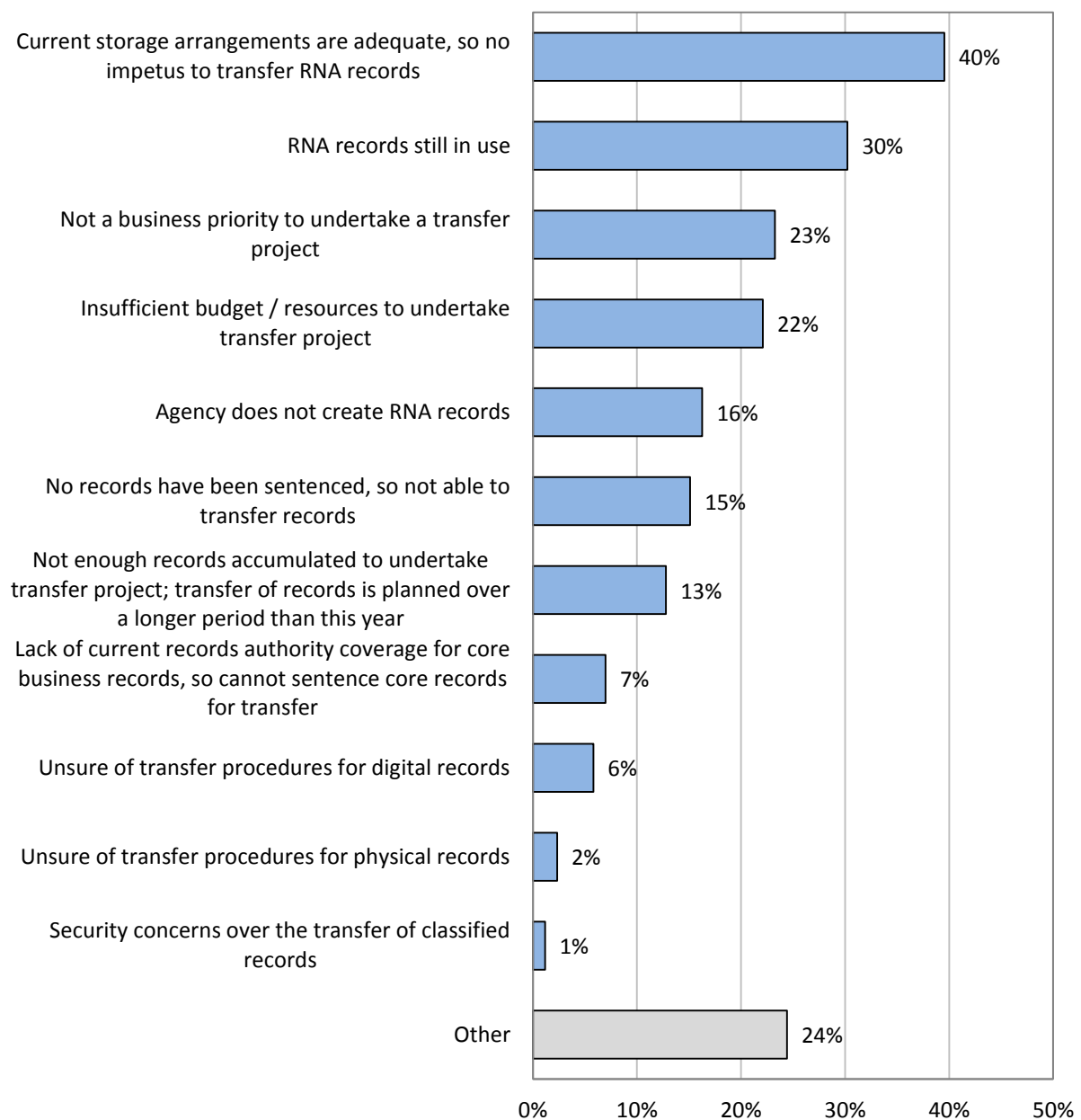
IX. Awareness and communication

Awareness of information and records management resources

Agencies were asked if they were aware of, and if so if they had ever made use of, a variety of training courses, publications and tools developed by the Archives. Out of 158 agencies:

♦   145 (or 92%) had made use of one of the Archives' forms, publications or tools;

♦   123 (or 78%) had attended or taken part in a training course or information forum; and

♦   111 (or 70%) had made use of an information and records management standard developed by the Archives (see Figure 18).

While *all* medium- and large-sized agencies had some awareness of the Archives' forms, publications and tools, training courses, and standards, with high levels of usage, awareness and usage levels were considerably lower among the 96 small-sized agencies surveyed—particularly with regard to:

♦   training courses—84% of small agencies were aware of these (compared to 100% for medium and large agencies) and 68% had attended one (compared to 90% for medium agencies and 97% for large agencies); and

♦   information and records management standards—86% of smaller agencies were aware of these (compared to 100% of medium and large agencies), and 56% had made use of one (compared to 87% for medium agencies and 97% for large agencies).

Figure 18: Familiarity and use of Archives training, publications and tools—broad categories (q63)

Base: All agencies (n=158)

■ Attended, implemented or made use of at least one of these

■ Aware of at least one of these, but have not used any

■ Not aware of any of these

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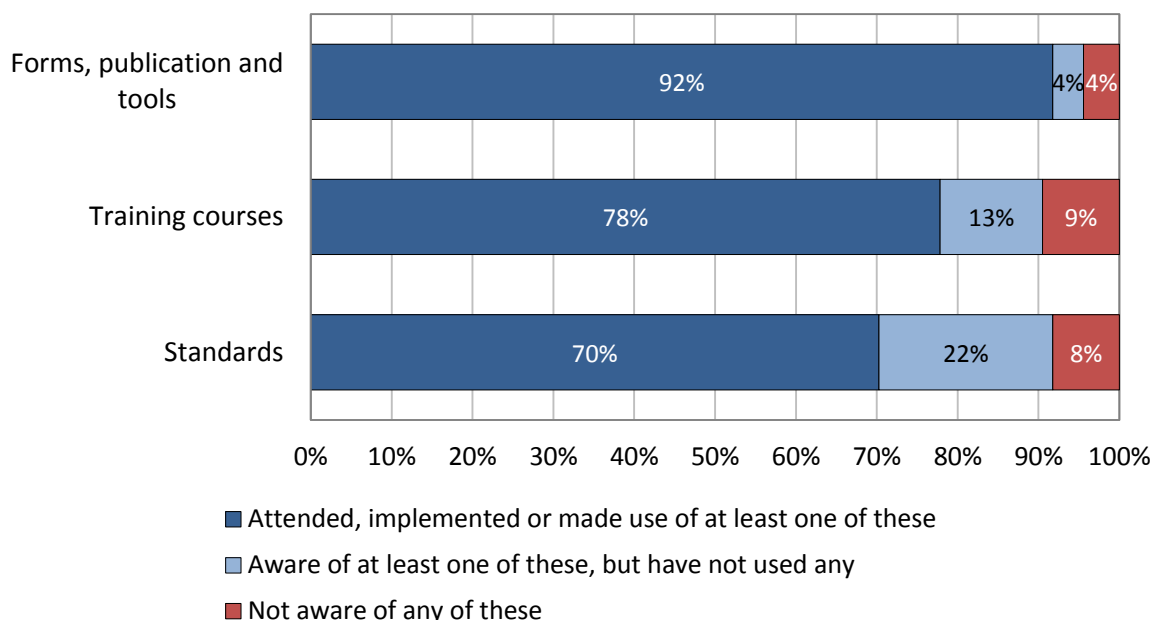
Specific resources

The Archives' most widely used **form, publication or tool** was the Check-up Digital self-assessment tool, of which 92% of agencies were aware, and which 85% of agencies indicated they had used (see Figure 19).[13]

Of the eight other publications agencies were asked about, four had been used by at least 70% of agencies, while the remaining four had been used by less than half of agencies.

♦ The least used product was the Transfer Proposal Pack for RNA records, which 72% of agencies were aware of, but only 27% had used.

Of Archives **training**, the majority of agencies took part in GAIN forums (67%), and information and records management training courses either face-to-face (64%) or online (53%).

At least 84% of agencies were aware of each **Standard**, with usage levels ranging from 63% (for the Australian and International Recordkeeping Standard AS ISO 15489 Records Management) to 44% (AGLS Metadata Standard 2010, AS 5044).

Where comparison is possible, awareness and usage levels were similar to those recorded in 2013.

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[13] This represents an underestimate, as the most recent Check-up Digital self-assessment survey achieved a 97% response rate among in-scope agencies when most recently conducted in 2015.

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Figure 19: Familiarity and use of Archives material and information channels—detailed (q63)

Base: All agencies (n=158)

Forms, publications and tools

	Attended/implemented or made use of	Aware of, but have not used	Not aware
Check-up Digital self-assessment tool	85%	7%	8%
Digital Transition and Digital Continuity 2020 policies	78%	16%	6%
Information and records management advice and publications via the Archives' website	78%	12%	10%
General Records Authorities issued by the Archives	73%	13%	13%
Records Disposal Freezes issued by the Archives	70%	16%	14%
Archives' technical specifications for digitising physical records	44%	35%	20%
Notification of Records Destroyed	42%	32%	25%
Digital information and records management capability matrix	39%	38%	23%
Transfer Proposal Pack for RNA records	27%	44%	28%

Training

GAIN forums	67%	18%	15%
Archives' information and records management face-to-face training courses	64%	24%	12%
Archives' online information and records management training courses	53%	35%	12%

Standards

Australian and international Recordkeeping Standard AS ISO 15489 Records Management	63%	28%	8%
Australian Government Recordkeeping Metadata Standard AGRkMS	53%	32%	15%
AS/NZ ISO 16175 (Principles and Functional Requirements for Records in Electronic Office Environments)	49%	35%	16%
AGLS Metadata Standard 2010 (AS5044)	44%	40%	16%

■ Attended/implemented or made use of　　□ Aware of, but have not used　　■ Not aware

Communication

As shown in Figure 20, the majority of agencies in a position to comment were satisfied with the Archives' performance in:

♦ providing information and records management advice and guidance to individual agencies (74%);

♦ providing information and records management training (68%);

♦ implementing whole-of-government standards and advice for information and records management (64%);

♦ issuing Records Authorities to individual agencies (57%); and

♦ assisting agencies in accessing their records in the Archives' custody (54%).

By contrast, of the 89 agencies in a position to express an opinion on the Archives' assistance with the transfer of RNA material less than one third (31%, or 28 agencies) were satisfied.

The highest levels of *dissatisfaction* with the Archives performance were recorded with regards to:

♦ assisting with the transfer of RNA material (17%);

♦ issuing Records Authorities to individual agencies (6%); and

♦ assisting agencies in accessing their records in the Archives' custody (5%).

Figure 20: Please indicate how satisfied or dissatisfied you are with the Archives' performance in the following areas: (q66)

Base: All agencies excluding "unsure / not applicable" responses (counts provided in chart)

Legend: ■ Very Satisfied ■ Satisfied □ Neither Satisfied nor Dissatisfied ■ Dissatisfied ■ Very Dissatisfied

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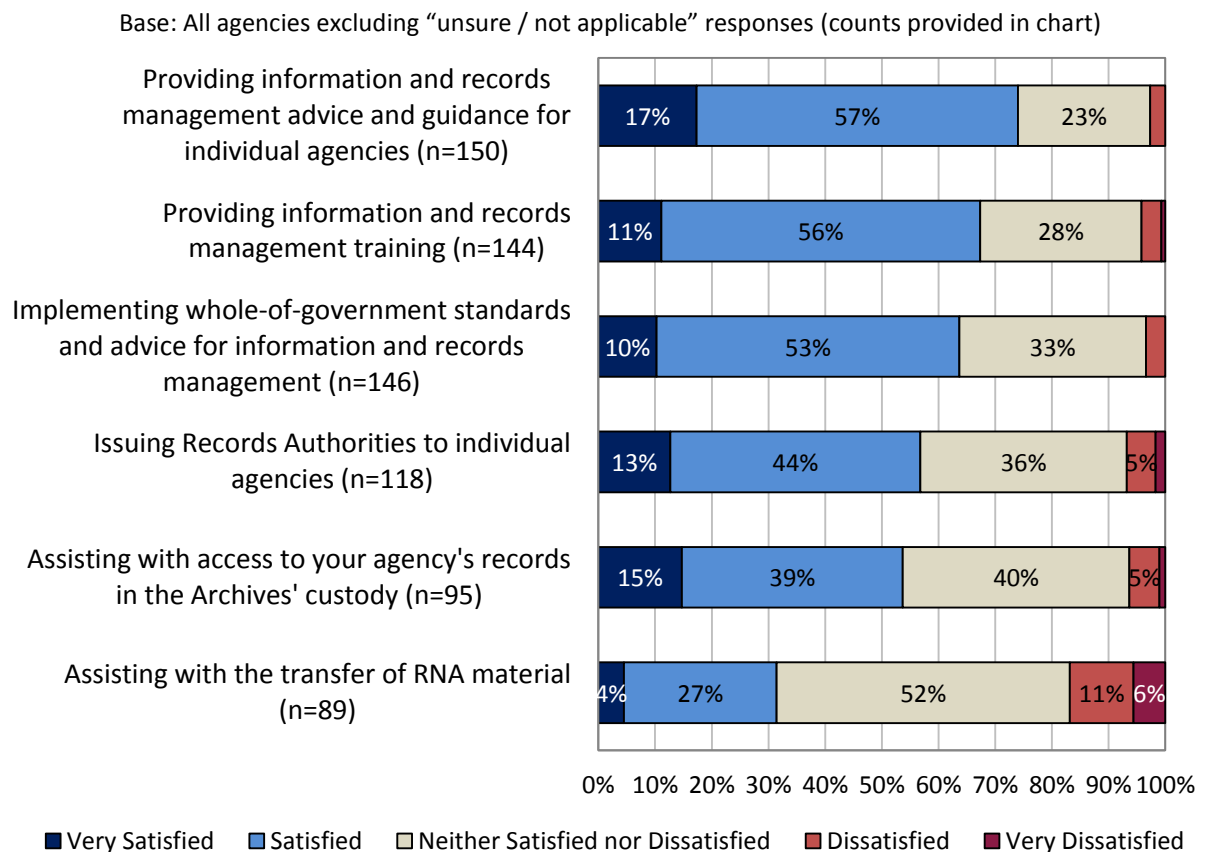
Preferred method of communication

Agencies were asked about their preferred method for receiving advice and training from the Archives relating to information and records management. Their responses showed strong levels of support for both online and face-to-face methods; however, of online methods, the *least* interactive, i.e. information available on the website, was most preferred.

As summarised in Figure 21:

♦ advice and guidance on the Archives website was the preferred option—ranked first by 56 agencies (36%), and the second most preferred option for the majority of remaining agencies.

♦ face-to-face forums and workshops was the most preferred option for 56 agencies (35%);

♦ self-paced online learning was the most preferred option for 42 agencies (27%); and

♦ social media was the most preferred option for 3 agencies (2%).

Figure 21: What are your preferred methods for learning and receiving advice from the Archives on information and records management? (q64)

Base: All agencies (n=158)

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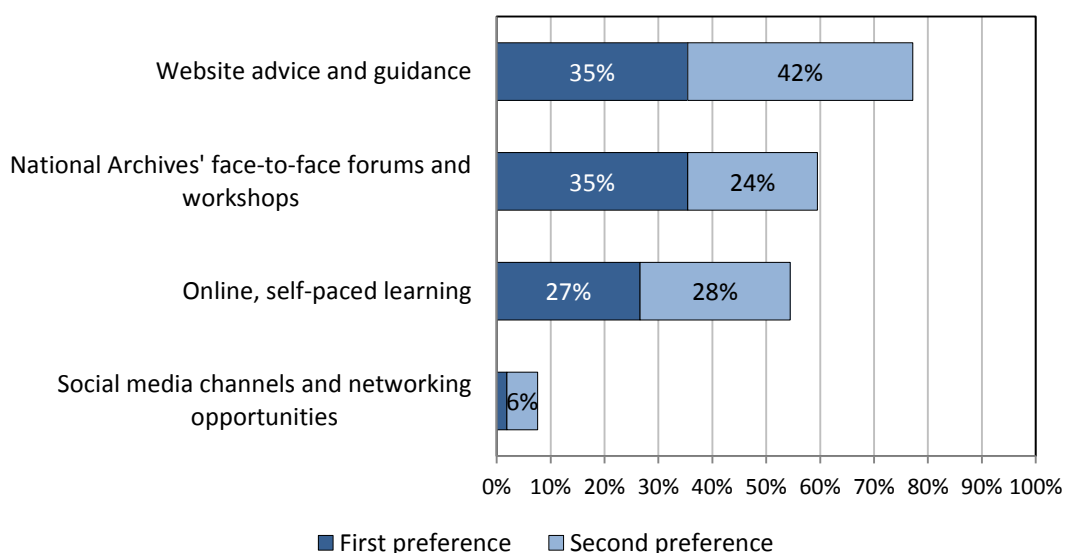
Appendix A: Questionnaire

National Archives of Australia
2016 Survey of Information and Records Management Practices in Australian Government Agencies

Note: Throughout this survey, we refer to 'information and records' to describe information in any format created, received and maintained as evidence. We use the term 'records' when referring to individual items for reporting purposes.

If you are the person in your agency primarily responsible for responding to this survey, please provide the following details:

• **Name**

• **Position**

• **Area**

• **Email**

Please note that Senior Officer (SES) authorisation is required to submit this survey.

INTRODUCTION

Under the *Archives Act 1983*, the National Archives of Australia (the Archives) has a legislative responsibility to promote the creation, management and preservation of authentic, reliable and usable Commonwealth records. Under the Act, the Archives also has the authority to undertake surveys of Commonwealth records.

The Archives conducts surveys of Australian Government agencies at regular intervals. Previous surveys were undertaken in 2008, 2010 and 2013. These surveys informed development of the Digital Transition Policy, the Digital Continuity 2020 Policy and the National Archives Preservation Facility (NAPF).

This survey complements the annual Check-up Digital self-assessment and consists of a number of questions about agencies' demographics, information and records management practices (e.g. capture, creation, storage, sentencing, disposal, transfer) and use of services and products offered by the Archives. Responses to both this survey and the annual Check-up Digital assessments contribute to the annual report to the Minister responsible for the Archives which is required under the Digital Transition Policy and the Digital Continuity 2020 Policy.

Due date for the survey responses

Survey responses must be completed online and signed off by **18 March 2016**. If you will be unable to submit your survey by this date, please contact the National Archives before Friday 18 March 2016.

How do I complete the online survey?

Your response to the survey must be completed **online**. A link to the online survey was provided in the original survey invitation that was emailed to you.

You have the option of printing a reference copy of the questionnaire or distributing it electronically to seek input from other business areas in your organisation.

Please provide as much information as you can. Many questions ask you to provide a number (such as a number of files or terabytes). For these questions:
- Please **enter the numeral zero** ("0") if this is the correct answer to this question—do not leave the field blank.
- If you are unable to provide a precise figure, please provide your **best estimate**, to the extent you are able to. If you need to provide additional context to explain your estimate, there are text boxes throughout the survey to allow you to do so.
- If you are unable to provide an estimate in response to a question, you will be able to leave the field blank—but please briefly **tell us why your agency is unable to answer** this question. In some cases there will be a text box immediately after a question for this purposes; in all other cases there will be a text box at the end of that section of the survey.

Survey definitions

Definitions of terms have been provided throughout the survey at the start of various questions [as tooltips that will display when you hover your mouse over relevant text]. A full list of survey definitions is also included in Appendix A.

Note that the majority of questions ask about records stored in *controlled environments* (unless otherwise stated). A controlled environment is a system which enables the information and records to be retrieved, accessed and managed over time. Examples may include:
- electronic records management systems (e.g. EDRMS)
- business systems (e.g. content management, parliamentary workflow solution, client management, finance and personnel management, other systems supporting agency-specific activities)
- email archiving solutions

provided they enable the information and records to be retrieved, accessed and managed over time.

Navigation

The questions can be answered in any order and you have the ability to navigate back and forward and return to the summary page.

Sensitive and Commercial-in-Confidence information

We understand that some information may be sensitive. Both the Archives and ORIMA have put in place measures to ensure its ongoing security.

ORIMA (a specialised market research agency running this survey on Archives' behalf) is bound by the Australian Market and Social Research Society (AMSRS) Code of Ethics and the National Privacy Principles, meaning that any information you provide will be protected.

We will respect the confidentiality of information you supply. No information from the survey will be released publicly that would allow any individual agency to be identified. A comparative, de-identified report of results from the survey will be distributed to all agencies following analysis of the survey, and may also be published on the Archives website.

Senior manager sign-off on agency responses

The survey must be submitted by the Senior Officer (SES level) who oversees the information and records management area. The Senior Officer should review the responses and provide sign-off authorisation.

The sign off section will become visible once all other sections have been completed. Once the survey has been submitted, your agency's response cannot be amended. Both the person completing the survey and the nominated SES officer will receive email notification when your agency's responses are submitted.

How can I get a copy of my agency's response?

After all your responses have been entered and the survey has been submitted, a full copy of your agency's response will be provided via email to the address nominated at the beginning of the online survey.

FAQs

Why is the Archives conducting this survey?

Should my agency take part?

Who is running this research?

Who do I contact for more information?

Why is the Archives conducting this survey

Data collected by conducting this survey will be used for an analytical study into information and records management behaviours across the Australian Government. The survey helps the Archives to:
- understand the state of information and records management practices in government
- better direct its services and products to meet agencies needs
- identify key, longer term, strategic and whole-of-government initiatives.

Should my agency take part?

All Australian Government agencies are subject to the *Archives Act 1983*. This includes both corporate and non-corporate entities as defined under the *Public Governance Performance and Accountability Act 2014*. The Director-General of the Archives has written to the heads of Australian Government agencies to advise them of this survey and request their assistance with this research.

Completion of the survey will assist your agency to evaluate its information and records management practices against the principles outlined in the Digital Continuity 2020 Policy. Results from the survey will also contribute to the annual report to the Minister responsible for the Archives as required under the Digital Continuity 2020 Policy.

Who is running this research?

The research is being conducted on behalf of the Archives by ORIMA Research Pty Ltd, a specialised market research agency. ORIMA has extensive experience in conducting, analysing and reporting on surveys of Australian Government agencies, as respondents.

Who do I contact for more information?

We appreciate your assistance with this survey. General contact with agencies will be via the Archives, however, in some instances ORIMA may contact agencies direct. If you would like more information about this project or require assistance completing the survey, please contact:
- for general questions about the survey, Calin Cobzaru on 02 6212 3707 or at agencysurvey@naa.gov.au
- for technical assistance with the online survey, Miriam Scerri on 02 6109 6300 or at surveys@orima.com

SECTION A: AGENCY DEMOGRAPHICS

> This section is a statistical view of your agency staff, especially those working in the information and records management area and their qualifications.
>
> This section relates to Digital Continuity 2020 Policy: Principle 1 – Information is valued 'By 31 December 2020, agencies meet targets for professionally qualified or accredited information managers'.

AGENCY STAFF

Q1. How many full-time equivalent (FTE) staff (including contractors) work in your agency in all offices across Australia, and overseas if applicable?
- *Please provide an approximate figure (e.g. 650) if no more precise figure is available.*

_____ FTE staff

INFORMATION AND RECORDS MANAGEMENT STAFF AND THEIR SPECIALIST QUALIFICATIONS

Q2. Of the total full-time equivalent (FTE) staff in your agency, how many work in a dedicated information and records management role across all offices in your agency?
- *If information and records management forms only a part of a staff member's responsibilities, please record only the fraction that represents how much time staff spend on information and records management duties—for instance, 5 staff spending a quarter of their time would be recorded as 1.25.*
- *Staff working solely in IT positions who do not have any information or records management responsibilities should not be included. Mailroom staff should also not be included.*
- *Please provide your best estimate if you are unsure.*
- *If applicable, please include yourself in this figure.*

_____ FTE staff

Q3. Of the staff who work in information and records management in all offices in your agency, please indicate how many **individual staff members** (not FTE) are at the following classification levels (or equivalent).
- *Please include all staff included in Q2 above, including yourself if applicable (even if information and records management forms only a part of that staff member's responsibilities).*
- *Staff working solely in IT positions who do not have any information or records management responsibilities should not be included. Mailroom staff should also not be included.*
- *If you are unsure, provide your best estimate.*
- *If applicable, please include yourself in this figure.*

	Number of individual staff
APS 1–4 (or equivalent), excluding contractors	
APS 5–6 (or equivalent), excluding contractors	
EL1–2 (or equivalent), excluding contractors	
SES (or equivalent), excluding contractors	
Contractors, regardless of classification level	
Total	[Auto calculated]

Q4. For each staff member in the information and records management area of your agency (as identified in Q3), please indicate which of the following relevant qualifications they hold.

- *While we acknowledge that some information and records management staff will have on-the-job experience that may be at least equivalent to particular qualifications, this question only seeks details of staff qualifications.*
- *Please select all qualifications that apply to **each** staff member identified in Q3.*

Staff	No relevant qualifications (or equivalent)	Certificate III in Record-keeping (or equivalent)	Certificate IV in Record-keeping (or equivalent)	Diploma/ Advanced Diploma of Record-keeping (or equivalent)	Bachelor of Information Studies (or equivalent)	Graduate Certificate in Information Studies/ Graduate Diploma In Records/Information Management and Archives (or equivalent)	Master of Information Management/ Master of Information Studies (or equivalent)	PhD Archives, Records Management and Information Science (or equivalent)	Other	Please specify (if Other)
APS 1–4 (or equivalent), excluding contractors										
1.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
2.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
3.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
4.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
5.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
APS 5–6 (or equivalent), excluding contractors										
1.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
2.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
3.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
4.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
5.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
EL1–2 (or equivalent), excluding contractors										
1.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
2.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
3.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
4.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
5.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
SES (or equivalent), excluding contractors										
1.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
2.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
3.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
4.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
5.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
Contractors, regardless of classification level										
1.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
2.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
3.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
4.	☐	☐	☐	☐	☐	☐	☐	☐	☐	
5.	☐	☐	☐	☐	☐	☐	☐	☐	☐	

* Show rows for each classification level based on the number of staff in Q3.

AREA RESPONSIBLE FOR INFORMATION AND RECORDS MANAGEMENT

Q5.   Which area in your agency is primarily responsible for the provision of information and records management services? *[Please select all that apply]*

Information Management/ Information Services	☐
Compliance/ Governance	☐
Information and Communications Technology (ICT)	☐
Corporate Services	☐
Legal Services	☐
Human Resources	☐
Other [Please specify] _____	☐

Q6.   Please provide any comments you may have in relation to the questions asked in this section, including reasons for not being able to provide answers for any particular question and any context you wish to provide in relation to your specific answers. *[Leave field blank if no comments]*

SECTION B: CAPTURE AND MANAGEMENT

This section is about information created, captured and managed **digitally** in controlled environments.

This section does not cover information and records created digitally which are printed to paper and subsequently captured and managed on paper registry files. For example, if you print from a system for filing purposes, that system is not being used to manage the information and records and so they are not managed digitally.

This section relates to **Digital Continuity 2020 Policy:** Principle 2 - Information is managed digitally.

ELECTRONIC RECORDS MANAGEMENT SYSTEMS

Q7. Does your agency capture and manage current records in an electronic records management system (e.g. ERMS, EDMS, EDRMS)?

Yes

No [Please go to Q9]

Q8. Please provide the following details of the electronic records management system(s) in use by your agency:

System	Software used	Version	Front end or interface used (e.g. SharePoint), if applicable
1.			
2.			

BUSINESS SYSTEMS

Q9. Does your agency manage Retain as National Archives (**RNA**) records digitally in business systems?
Yes
No [Please go to Q11]

Q10. If RNA records are managed digitally in business systems, please provide the business function of the main systems which hold RNA records.

Business system	Business function (e.g. aircraft registration, export declarations, migration management, electoral roll management)
1.	
2.	

TRANSITION TO DIGITAL INFORMATION AND RECORDS MANAGEMENT

Digital Continuity 2020 Policy – is a whole-of-government approach to digital information governance. The policy aims to support efficiency, innovation, interoperability, information re-use and accountability by integrating robust digital information management into all government business processes.

Digital Transition Policy aims to move Australian Government agencies to digital information and records management for efficiency purposes.

Q11. The Digital Continuity 2020 and Digital Transition policies require all agencies to move to digital information and records management for efficiency purposes. Are the majority (i.e. over 70%) of your agency's current (active) records created, captured and managed digitally?
Yes [Please go to Q13]
No

Q12. If your agency hasn't completed its transition to a digital information and records management environment, please indicate the main reasons. *[Please select all that apply]*

Not a high priority for the agency	☐
Funding/resource constraints	☐
Technical/Infrastructure barriers	☐
Staff capability constraints	☐
Organisational culture	☐
Waiting for a Whole-of-Government or shared-service solution	☐
Legislative/ Regulatory requirements	☐
Security classification constraints	☐
Other [Please specify] _____	☐

Q13. Please provide any comments you may have in relation to the questions asked in this section, including reasons for not being able to provide answers for any particular question and any context you wish to provide in relation to your specific answers. *[Leave field blank if no comments]*

SECTION C: STORAGE AND OUTSOURCING

> This section covers primarily:
> - storage of digital and physical records
> - contracts or arrangements for the provision of offsite storage of records and associated services
> - digitisation of physical records.

STORAGE OF DIGITAL RECORDS

Q14. Where does your agency currently store its existing **digital records** and what are the relevant quantities?
- *Indicate **all** options that apply across **all** offices of your agency across Australia.*
- *Do not include records stored within computer system back-up tapes or shared drives.*
- *Indicate quantity in number of records **OR** storage volume. Measure storage volume in terabytes (TB). Consider 1 PB = 1000 TB, 1 TB = 1000 GB, 1 GB = 1000 MB.*
- *If your agency has no digital records in a given location, please enter "0".*
- *If you are unsure, please provide your best estimate.*

	Quantity (number of records)	Storage volume (TB)
Onsite (in the EDRMS, in business systems, other storage media)		
Offsite (under agency control, including cloud)		
Offsite (under control of a storage provider, including cloud)		

STORAGE OF PHYSICAL RECORDS

Q15. Where does your agency currently store its existing **physical records** and what are the relevant quantities?
- *Indicate **all** options that apply across **all** offices of your agency across Australia.*
- *Measure quantity in shelf-metres **OR** number of files. Consider the following conversion: 1 shelf-metre = 70 files.*
- *Please do not **include current** records stored in filing cabinets in staff offices and non-traditional records (e.g. physical samples held in specialist collections).*
- *If your agency has no physical records in a given location, please enter "0".*
- *If you are unsure, please provide your best estimate.*

	Number of files	Shelf metres
Dedicated onsite storage		
Offsite (under agency control)		
Offsite (under control of a storage provider)		

If onsite storage is used, go to Q16

If offsite storage is used, go to Q17

ONSITE STORAGE OF PHYSICAL RECORDS

Q16. Please provide the following information for the offices or locations which have dedicated onsite storage of existing **physical** records.

- *If your agency has multiple offices or locations, list a maximum of ten (10) dedicated locations storing the highest quantities of records.*
- *Base rental cost **per square metre per year** is for all space rented for all business activities carried out by your agency at this particular office or location*
- *Property Operating Expense (POE) cost **per square metre per year** is the overall cost and may include electricity, furniture rental, insurance etc.*
- *For all costs, please provide **yearly** figures.*
- *If your base rental cost varies within a single property, please include each individual rental cost as a separate location.*
- *Please enter amounts to the whole dollar, and omit entering any symbols (e.g. "$" "," ".")*

	City or Town	Sq. m used for onsite records storage (sq.m)	Base rental cost $ **Per year per sq. m (based on the 2014-15 Financial Year)**	Total POE costs $ **Per year per sq. m (based on the 2014-15 Financial Year)**
Office or Location 1		____ sq.m	$_____	$_____
Office or Location 2		____ sq.m	$_____	$_____
Office or Location 3		____ sq.m	$_____	$_____
Office or Location 4		____ sq.m	$_____	$_____
Office or Location 5		____ sq.m	$_____	$_____

OUTSOURCING: OFFSITE STORAGE AND ASSOCIATED SERVICES

Q17. Did you have a contract or an arrangement with **your portfolio department or another Australian Government agency** under a shared-service solution for offsite storage of **digital records** and associated services? *[Please select all that apply]*
- This question does not refer to contractual arrangements for the storage of digital records on back-up media

Yes - Offsite storage
Yes - Associated services
No – we manage the offsite storage and associated services through our agency

Q18. Did you have a contract or an arrangement with **your portfolio department or another Australian Government agency** under a shared-service solution for offsite storage of **physical records** and associated services? *[Please select all that apply]*
Yes - Offsite storage
Yes - Associated services
No – we manage the offsite storage and associated services through our agency

Q19. Do you have contracts or arrangements with **commercial service providers** for offsite storage of **digital records** and associated services? *[Please select all that apply]*
- This question does not refer to contractual arrangements for the storage of digital records on back-up media

Yes - Offsite storage of records
Yes - Associated services
No

Q20. Do you have contracts or arrangements with **commercial service providers** for offsite storage of **physical records** and associated services? *[Please select all that apply]*

Yes - Offsite storage of records
Yes - Associated services
No

If there are no contracts ("No" to Q18, Q19 **and** Q20), go to Retrieval of Physical Records (read the instructions before Q25).

Q21. What was the total value of these contracts or arrangements for offsite storage of records and associated services in the 2014-15 financial year?
- *Include contracts with both shared service and commercial providers.*
- *Contracts for storage and associated services for digital and physical records may be combined or separate contracts.*
- *Please enter amounts, where applicable, to the whole dollar, and omit entering any symbols (e.g. $).*
- *Please enter either the total contract value **OR** separate figures for each component.*

	Storage	Associated services	**Total** (If unable to provide separate figures for storage and associated services)
Digital records	$_____	$_____	$_____
Physical records	$_____	$_____	$_____
Digital and physical records (Combined contract) (If unable to provide separate figures for digital and physical)	$_____	$_____	$_____

Q22. If you are unable to provide an actual or estimated figure in the question above, please briefly explain why in the space below.

Q23. Other than offsite storage, what were the associated services your agency paid for in the 2014-15 financial year? *[Please select all that apply]*

Our agency did not pay for any associated services in the 2014-15 financial year	☐
Retrieval and delivery	☐
Sentencing	☐
Disposal (destruction and transfer)	☐
Digitisation of physical records	☐
Management of paper file registry	☐
Other [Please specify] _____	☐

Q24. When is your contract for offsite storage and associated services due for renewal/extension or coming to an end?
- *If your agency has multiple contracts for offsite storage of records and/or associated services, please select a financial year when the majority of your contracts are due for renewal/extension or coming to an end.*

2015/16	☐
2016/17	☐
2017/18	☐
2018/19	☐
2019/2020	☐
After 2019/2020	☐

RETRIEVAL OF PHYSICAL RECORDS

Questions Q25-Q29 are only applicable for agencies who store their physical records offsite. Please move on to the next question.

[If Q15 offsite total=0, please go to Q30]

Q25. Did your agency retrieve any **physical records** from offsite storage over the last 12 months?
- *This question does not refer to the retrieval of physical records stored at the Archives.*

Yes	☐
No [Please go to Q30]	☐
Don't know/ Not sure [Please go to Q30]	☐

Q26. What quantity of **physical records** did your agency retrieve from offsite over the last 12 months?

- *Measure quantity in shelf-metres **OR** number of files. Consider the following conversion: 1 shelf-metre = 70 files*
- *Please enter a response for each row, **if applicable**. If you are unsure, provide your best estimate.*

	Number of files	Shelf metres
[Do not answer if No to both Q17 **and** Q18] Offsite (under agency control)		
[Do not answer if No to both Q19 **and** Q20] Offsite (under control of a storage provider)		

If the total number of files or shelf metres is zero, go to Q30.

Q27. If your agency retrieved **physical** records from offsite storage over the last 12 months, please indicate the cost range per **physical** record (file) for a standard retrieval service within Australia.

- *Please select one response.*
- *This question refers to retrieval of physical records from offsite storage under a shared-service agreement or a contract with a commercial service provider where retrieval costs apply.*
- *Please exclude delivery costs.*
- *Amounts are GST-inclusive.*

Up to $5	☐
$6 - $10	☐
$11 - $15	☐
$16 - $20	☐
Over $20 [Please specify how much] _____	☐

Q28. If your agency requested retrieval of any physical records from the offsite storage over the last 12 months, did you request that any of these **retrieved** physical records be digitised?

Yes	☐
No [Please go to Q30]	☐

Q29. How many of these **retrieved** physical records did you request be digitised?

- *Please provide a quantity for number of files **or** shelf metres.*

Number of files	Shelf metres

DIGITISATION PROJECTS

Q30. Did your agency undertake any large-scale digitisation of physical records over the last 12 months?
- *This question does not refer to the routine scanning of incoming physical documents.*

Yes	☐
No [Please go to Q35]	☐
Don't know/ Not sure [Please go to Q36]	☐

Q31. What quantity of physical records did your agency digitise over the last 12 months?
- *For paper records, measure quantity in shelf-metres **OR** number of files. Consider the following conversion: 1 shelf-metre = 70 files.*
- *Please enter at least one response. If you are unsure, provide your best estimate.*
- *If your agency did not digitise any physical records, please enter "0" in each field.*

	Number of files	Shelf metres
Paper records		

	Number of photographs	Other measurement: (Please specify:_____)
Photographs		

	Number of maps and plans	Other measurement: (Please specify:_____)
Maps and plans		

	Number of units	Other measurement: (Please specify:_____)
Other (Please specify:_____)		

Q32. Did your agency outsource any digitisation projects in 2014-15?
Yes
No [Please go to Q35]

Q33. If your agency outsourced any digitisation projects, what was the total cost in the 2014-15 financial year?
- *Please enter amounts, where applicable, to the whole dollar, and omit entering any symbols (e.g. $).*

Cost of outsourced digitisation projects in 2014-15 financial year	$_____

Q34. What were the main reasons for digitising physical records over the last 12 months? *[Please select all that apply]*

Reduce costs (storage, staff etc.)	☐
Improve access and facilitate better information sharing	☐
Integrate with digital systems (EDRMS or other business systems)	☐
Improve business efficiency	☐
Improve response time and client service	☐
Other [Please specify] _____	☐

Q35. Please indicate the reasons for not digitising any physical records over the last 12 months. *[Please select all that apply]*

Insufficient budget/ resources to undertake digitisation	☐
Not enough records accumulated to undertake digitisation	☐
No long-term physical records	☐
Not a business need	☐
Not a high business priority	☐
All older records already digitised	☐
Other [Please specify] _____	☐

Q36. Please provide any comments you may have in relation to the questions asked in this section, including reasons for not being able to provide answers for any particular question and any context you wish to provide in relation to your specific answers. *[Leave field blank if no comments]*

SECTION D: SENTENCING

This section is about sentencing practices in your agency and quantities of records, in all formats, identified as 'RNA (Retain as national archives)'.

This section relates to Digital Continuity 2020 Policy: Principle 2 - Information is managed digitally. 'By 31 December 2016, agencies are required to identify high-value and long-term information assets'

SENTENCING PRACTICES

Q37. In your agency, do you sentence **digital records** on creation and/or as part of a sentencing program (planned, targeted, in response to trigger events or ad hoc)? *[Please select all that apply]*
On creation
As part of a sentencing program
Our agency does not sentence digital records

Q38. In your agency, do you sentence **physical records** on creation and/or as part of a sentencing program (planned, targeted, in response to trigger events or ad hoc)? *[Please select all that apply]*
On creation
As part of a sentencing program
Our agency does not sentence physical records

If your agency does not sentence either digital *or* physical records, please go to Q42.

Q39. In your agency, are records sentenced automatically by the electronic records management system, or manually by authorised staff (including contractors)? *[Please select all that apply]*

Automated sentencing	☐
Manual sentencing	☐

Q40. [Answer only if you indicated sentencing digital records in Q37] In your agency, does sentencing of **digital records** most commonly occur at the container/file/folder level or at document/individual record level? *[Please select one option only]*

Container/ file/ folder (i.e. all records belonging to a container/file/folder are assessed collectively and they take on the container's retention period)	☐
Document/individual record (i.e. each item/record is assessed individually)	☐

SENTENCING ACTIVITIES IN THE LAST 12 MONTHS

Q41. [Answer only if you indicated sentencing digital records in Q38] Did your agency (or contractor on behalf of your agency) sentence any records over the last 12 months? *[Please select all that apply]*

No – our agency did not sentence records, in any format, over the last 12 months.	☐
Yes – digital records (including hybrid files)	☐
Yes – physical records	☐

Q42. If your agency (or contractor on behalf of your agency) did not sentence any **digital records** over the last 12 months, please indicate the main reasons. *[Please select all that apply]*

Lack of Records Authority coverage for core business	☐
Insufficient staff / budget / resources	☐
Not a business priority to undertake a sentencing project	☐
Records are all current and sentencing is not needed	☐
Current storage arrangements for digital records are adequate - no impetus to sentence records	☐
No experience in sentencing digital records	☐
No procedures in sentencing digital records	☐
Other [Please indicate any other reasons for not sentencing digital records]	☐

Q43. If your agency (or contractor on behalf of your agency) did not sentence any **physical records** over the last 12 months, please indicate the main reasons. *[Please select all that apply]*

Lack of Records Authority coverage for core business	☐
Insufficient staff / budget / resources	☐
Not a business priority to undertake a sentencing project	☐
Records are all current and sentencing is not needed	☐
Current storage arrangements for physical records are adequate - no impetus to sentence records	☐
No experience in sentencing physical records	☐
No procedures in sentencing physical records	☐
Other [Please indicate any other reasons for not sentencing physical records]	☐
No physical records in agency	☐

RNA RECORDS

Q44. What is the quantity of existing records held by your agency that are identified as, or estimated to be, RNA?
- *For digital records (including hybrid files), indicate quantity in number of records **AND** storage volume. Measure storage volume in terabytes (TB). Consider 1 PB = 1000 TB, 1 TB = 1000 GB, 1 GB = 1000 MB*
- *For physical records, measure quantity in shelf-metres **OR** number of files. Consider the following conversion: 1 shelf-metre = 70 files.*
- *Please exclude any RNA records held by the Archives.*
- *Report audio-visual digital and physical records separately.*

	Number of RNA records	TB
Digital records (including hybrid files)		
Audio-visual records managed and stored in digital format		
	Number of RNA files	**Shelf metres**
Physical records		
Audio-visual records managed and stored in physical format		

If Q44 total=0, please go to Q50.

Q45. What percentage of your existing records is identified as, or estimated to be, RNA?

Percentage of existing **digital records** that is RNA	_____%
Percentage of existing **physical records** that is RNA	_____%

Q46. [Do not answer if Q44a/b total=0] Of the **digital records** that are identified as, or estimated to be, RNA, what percentage of records is held in:
- This question is about digital RNA records held in controlled environments. Please do not include digital RNA records held on shared-drives.
- *If you are unsure, provide your best estimate.*
- *Your answer for this question should sum to 100%.*

Electronic records management system (e.g. EDRMS)	_____%
Business systems	_____%
Other (e.g. email archiving solution)	_____%

Q47. [Do not answer if Q44c/d total=0] What is the date range for the RNA **physical records** held by your agency?
- *Please indicate this as a percentage of the total quantity of RNA physical records.*

Records created from 1980 – 2015	_____%
Records created from 1950 – 1979	_____%
Records created pre 1950	_____%

This question should sum to **no more than** 100%.

Q48. If your agency stores inactive **digital RNA records**, including information in business systems and databases, what approach(es) do you use to ensure they are preserved and remain accessible? *[Please select all that apply]*

Migration from older hardware and software to current configurations	☐
Conversion from original data format to a long-term preservation format	☐
Other [Please specify] _____	☐
No approach taken	☐

Q49. If your agency stores inactive **physical RNA records**, what approach(es) do you use to ensure they are preserved and remain accessible? *[Please select all that apply]*

Paper preservation	☐
Appropriate storage environment	
Digitisation of RNA records created after 1 January 1980 (General Records Authority 31)	☐
Other [Please specify]	☐
No approach taken	☐

Q50. If applicable, please provide any comments you may have in relation to the questions asked in this section, including reasons for not being able to provide answers for any particular question and any context you wish to provide in relation to your specific answers. *[Leave field blank if no comments]*

SECTION E: DESTRUCTION AND TRANSFER

This section is about destruction of records in your agency and plans to transfer RNA records to the Archives.

DESTRUCTION

Q51. Did your agency (or contractor on behalf of your agency) destroy any records over the last 12 months? *[Please select all that apply]*
- *This refers to all records, in all formats, both in Australia and overseas, excluding records destroyed under Normal Administrative Practice (NAP) and General Records Authority (GRA) 31.*

Yes – digital records	☐
Yes – physical records	☐
No (Go to Q57)	☐

Q52. Please specify the quantity of **digital records** your agency (or contractor on behalf of your agency) destroyed over the last 12 months.
- *Please enter a response in each applicable field. Indicate quantity in number of records **OR** storage volume. Measure storage volume in terabytes (TB). Consider 1 PB = 1000 TB, 1 TB = 1000 GB, 1 GB = 1000 MB.*

	Number of records	**TB**
In an electronic records management system (e.g. EDRMS)		
In a business system (e.g. human resources, finance, client management, bespoke systems, databases)		
Other digital records [Please specify] _____		

Q53. If you are unable to provide an actual or estimated figure in the question above, please briefly explain why in the space below.

Q54. Please specify the quantity of **physical records** your agency (or contractor on behalf of your agency) destroyed over the last 12 months.
- *This refers to all physical records, both in Australia and overseas, excluding records destroyed under a Normal Administrative Practice (NAP) and General Records Authority 31 (GRA31).*
- *Please enter a response in each applicable field. Measure quantity in shelf-metres **OR** number of files. Consider the following conversion: 1 shelf-metre = 70 files.*

	Number of files	**Shelf metres**
Paper records		
Other physical records (e.g. photographs, maps and plans)		

Q55. If you are unable to provide an actual or estimated figure in the question above, please briefly explain why in the space below.

<div style="border:1px solid black; height:60px;"></div>

If your agency destroyed **BOTH** digital and physical records in the last 12 months (i.e. Q52 + Q54 >0), please go to Q57.

Q56. If your agency did not destroy records over the last 12 months, please indicate the reasons. *[Please select all that apply]*

Digital records (including hybrid files)	
No digital records have been sentenced	☐
Insufficient staff / budget / resources	☐
No procedures for destroying digital records	☐
No experience in destroying digital records	☐
Current storage arrangements for digital records are adequate and cost effective - no impetus to destroy records in the last 12 months	☐
Subject to a disposal freeze	☐
No digital records were due for destruction in the last 12 months	☐
Other [Please indicate any other reasons for not destroying digital records over the last 12 months] _____	☐
Physical records	
No physical records have been sentenced	☐
Insufficient staff / budget / resources	☐
No procedures for destroying physical records	☐
No experience in destroying physical records	☐
Current storage arrangements for physical records are adequate and cost effective - no impetus to destroy records in the last 12 months	☐
Subject to a disposal freeze	☐
No physical records were due for destruction in the last 12 months	☐
Other [Please indicate any other reasons for not destroying physical records over the last 12 months] _____	☐
No digital records were due for destruction in the last 12 months	☐

TRANSFER OF RNA RECORDS TO THE ARCHIVES

Transfers must be discussed with the Archives and scheduled in the National Transfer Plan.

Q57. Does your agency propose to transfer to the Archives any RNA records, in any format, in the 2016-17 financial year? *[Please select all that apply]*

Yes – digital records	☐
Yes – physical records	☐
No [Please go to Q61]	☐
Don't know/ Not sure [Please go to Q63]	☐

Q58. Which of the following categories of **RNA digital records** does your agency propose to transfer to the Archives in the 2016-17 financial year?
- *Select all that apply and include a quantity for each applicable record type. Indicate quantity in number of records **AND** storage volume. Measure storage volume in terabytes (TB). Consider 1 PB = 1000 TB, 1 TB = 1000 GB, 1 GB = 1000 MB.*
- *If you are unsure, provide your best estimate.*

RNA Category	None	Number of records	TB	Don't know/ Not sure
Digital records (excluding audio-visual records in digital format)				
Unclassified	☐			☐
Classified excluding Secret and Top Secret	☐			☐
Secret and Top Secret Only	☐			☐
Audio-visual records managed and stored in digital format				
Unclassified	☐			☐
Classified excluding Secret and Top Secret	☐			☐
Secret and Top Secret Only	☐			☐

Q59. Which of the following categories of **RNA physical records** does your agency propose to transfer to the Archives in the 2016-17 financial year?
- *Select all that apply and include a quantity for each applicable record type. Measure quantity in shelf-metres **OR** number of files. Consider the following conversion: 1 shelf-metre = 70 files.*
- *If you are unsure, provide your best estimate.*
- *In accordance with the Digital Transition Policy, RNA records created digitally from **1 January 2016** will be accepted for transfer to the Archives in digital formats only.*

RNA Category	None	Number of files	Shelf metres	Don't know/ Not sure
Paper records				
Unclassified	☐			☐
Classified excluding Secret and Top Secret	☐			☐
Secret and Top Secret Only	☐			☐
Audio-visual records managed and stored in physical format				
Unclassified	☐			☐
Classified excluding Secret and Top Secret	☐			☐
Secret and Top Secret Only	☐			☐
Photographs (includes printed photographs and negatives)				
Unclassified	☐			☐
Classified excluding Secret and Top Secret	☐			☐
Secret and Top Secret Only	☐			☐
Other physical records (include maps, plans, microfiche, microfilm)				
Unclassified	☐			☐
Classified excluding Secret and Top Secret	☐			☐
Secret and Top Secret Only	☐			☐

Q60. Does your agency propose to transfer to the Archives any **fragile or deteriorating physical records**, in the 2016-17 financial year?

- *If your agency is planning to transfer fragile or deteriorating records to the Archives, visit www.naa.gov.au or seek advice on storage and/or treatment of the records to ensure their preservation at http://www.naa.gov.au/records-management/help/*

Not applicable – our agency does not hold fragile or deteriorating RNA physical records	☐
Yes	☐
No	☐
Don't know/ Not sure	☐

Q61. If your agency is **not** planning to propose any transfers of RNA records to the Archives in the 2016-17 financial year, please indicate the reasons. *[Please select all that apply]*

Agency does not create RNA records (i.e. records of archival value)	☐
Lack of current records authority coverage for core business records, so cannot sentence core records for transfer	☐
No records have been sentenced, so not able to transfer records	☐
RNA records still in use	☐
Not a business priority to undertake a transfer project	☐
Insufficient budget / resources to undertake transfer project	☐
Not enough records accumulated to undertake transfer project; transfer of records is planned over a longer period than this year	☐
Current storage arrangements are adequate, so no impetus to transfer RNA records	☐
Unsure of transfer procedures for digital records	☐
Unsure of transfer procedures for physical records	☐
Security concerns over the transfer of classified records	☐
Other [Please indicate any other reasons for not proposing transfer(s) of RNA records to the Archives in 2016-17 financial year] _____	☐

Q62. Please provide any comments you may have in relation to the questions asked in this section, including reasons for not being able to provide answers for any particular question and any context you wish to provide in relation to your specific answers. *[Leave field blank if no comments]*

SECTION F: AWARENESS AND COMMUNICATION

This section is about your familiarity with training courses, publications and tools developed by the Archives, and suggestions for ways of improving communication between your agency and the Archives on information and records management matters.

AWARENESS OF INFORMATION AND RECORDS MANAGEMENT SOURCES

Q63. Are information and records management staff in your agency
a) familiar with, and b) have they attended/implemented or made use of, any of the following?

	Attended/ implemented or made use of	Aware of, but have not used	Not aware
Training			
Archives' information and records management face-to-face training courses	☐	☐	☐
Archives' online information and records management training courses, including the eLearning modules	☐	☐	☐
GAIN forums	☐	☐	☐
Forms, publication and tools			
Notification of Records Destroyed (NAS 45)	☐	☐	☐
Transfer Proposal Pack for RNA records	☐	☐	☐
Information and records management advice and publications via the Archives' website	☐	☐	☐
General Records Authorities (e.g. GRA 31, AFDA) issued by the Archives	☐	☐	☐
Records Disposal Freezes (or Retention Notices) issued by the Archives	☐	☐	☐
Digital Transition and Digital Continuity 2020 policies	☐	☐	☐
Check-up Digital self-assessment tool	☐	☐	☐
Digital information and records management capability matrix	☐	☐	☐
Archives' technical specifications for digitising physical records	☐	☐	☐
Standards			
Australian and international recordkeeping standard AS ISO 15489 Records Management	☐	☐	☐
Australian Government Recordkeeping Metadata Standard AGRkMS	☐	☐	☐
Australian and international recordkeeping standard AS/NZ ISO 16175 Principles and Functional Requirements for Records in Electronic Office Environments	☐	☐	☐
AGLS Metadata Standard 2010 (AS5044)	☐	☐	☐

COMMUNICATION

Q64. What are your preferred methods for learning and receiving advice from the Archives on information and records management?
- *Please rank by writing a number in the box next to each item by using a 1-4 scale, where 1 is most preferred and 4 least preferred.*

Online, self-paced learning	
Website advice and guidance	
National Archives' face-to-face forums and workshops	
Social media channels and networking opportunities	

Q65. Please provide any other preferred methods for learning and receiving advice from the Archives on information and records management in the space below.

Q66. Please indicate how satisfied or dissatisfied you are with the Archives' performance in the following areas:

	Very satisfied	Satisfied	Neither satisfied nor dissatisfied	Dissatisfied	Very Dissatisfied	Unsure / not applicable
a. Providing information and records management **advice and guidance** for individual agencies (e.g. through website, help lines and visits)	☐	☐	☐	☐	☐	☐
b. Providing information and records management **training** (e.g. through face-to-face sessions and workshops)	☐	☐	☐	☐	☐	☐
c. Implementing whole-of-government standards and advice for information and records management	☐	☐	☐	☐	☐	☐
d. Assisting with the transfer of RNA material	☐	☐	☐	☐	☐	☐
e. Issuing Records Authorities to individual agencies	☐	☐	☐	☐	☐	☐
f. Assisting with access to your agency's records in the Archives' custody	☐	☐	☐	☐	☐	☐

Q67. If you were dissatisfied with any of the above, please provide your reasons for dissatisfaction below.

Show boxes only when an option from 4-5 is selected in Q66.

a.	Providing information and records management **advice and guidance** for individual agencies (e.g. through website, help lines and visits)	
b.	Providing information and records management **training** (e.g. through face-to-face sessions and workshops)	
c.	Setting whole-of-government standards and advice for information and records management	
d.	Assisting with the transfer of RNA material	
e.	Issuing Records Authorities to individual agencies	
f.	Assisting with access to your agency's records in the Archives' custody	

Q68. Please provide any comments you may have in relation to the questions asked in this section, including reasons for not being able to provide answers for any particular question and any context you wish to provide in relation to your specific answers. *[Leave field blank if no comments]*

ADDITIONAL COMMENTS

Q69. Please provide any additional comments you may have for the Archives in relation to information and records management in the space below. *[Leave field blank if no comments]*

CONCLUSION

Thank you for completing this survey. If you have any general comments about the survey, you can email us at agencysurvey@naa.gov.au

ANSWERS TO THE SURVEY QUESTIONS WILL BE SHOWN ON THE NEXT PAGE IN PRINTABLE FORMAT

System-generated report or summary page follows.

Survey responses should be approved by the Senior Officer (SES) responsible for information and records management in your agency. Please forward the completed survey to your Senior Officer for approval.

Senior Officer approval

Please enter your name, position, Department and contact details as authorisation that responses to this survey are accurate and true. Your responses will be dated and time-stamped from when you press the 'Submit' button.

Name	
Position (SES Band)	
Department/ Agency	
Contact number	
Email address	

Appendix: Survey Definitions

Associated services for outsourced storage may include physical file retrieval and delivery, sentencing, digitisation and destruction.

Business System – is an automated system that creates or manages information about an organisation's activities. Includes applications whose primary purpose is to facilitate transactions between an organisational unit and its customers (e.g. an e-commerce system, client relationship management system, purpose-built or customised database, finance or human resources systems). Business systems that create and/or manage records should have the appropriate functionality for these tasks, or they should interface with other systems that manage the records (e.g. EDRMS).

Capture - the process of safeguarding business records into a system which will appropriately manage the records and support their use over time. Capturing records means applying metadata to establish a management control over them and ensuring that the system which manages the records enables them to be retrieved, accessed and managed over time.

Classified records - are identified by a protective marking showing the level and protection required. This includes:

- Top Secret, Secret, Confidential and Protected
- Legacy protective markings: Highly Protected, Restricted and X-In-Confidence

Contractors - are engaged through a third party such as a recruitment agency.

Controlled environment - is a system, or an approved location, which enables the information and records to be retrieved, accessed and managed over time. Such systems (or approved locations) may include:

- electronic records management systems (e.g. EDRMS)
- business systems (e.g. content management, parliamentary workflow system, client management, finance and personnel management, other systems supporting agency-specific activities)
- email archiving solutions

provided they enable the information and records tp be retrieved, access and managed over time.

Create (a record) - to make a record (evidence) of business transactions.

Current records - are those records which are in regular, ongoing/active use for business purposes. Also referred to as active records.

Dedicated onsite storage - a location (or repository), managed by the information and records management area, where files are sent to be "put away" by users. It is used for the storage of non-current and legacy records.

Destruction - 1. The process of eliminating or deleting records, beyond any possible reconstruction. 2. The National Archives of Australia authorises disposal of Commonwealth records (including destruction) for the purposes of the Archives Act 1983. Destruction should be carried out by an approved method such as shredding or, in the case of digital records, rendering them unreadable.

Digital Continuity 2020 Policy – is a whole-of-government approach to digital information governance. The policy aims to support efficiency, innovation, interoperability, information re-use and accountability by integrating robust digital information management into all government business processes.

Digital records - are records created, communicated and maintained by means of computer technology. They may be 'born digital' (created using computer technology) or they may have been converted into digital form from their original format (e.g. scans of paper documents). Common types of digital records include:

- word-processed documents,
- spreadsheets,
- multimedia presentations,
- email,
- websites,
- text messages,
- data in databases and
- online transactions.

Digital Transition Policy - aims to move Australian Government agencies to digital information and records management for efficiency purposes.

Digitisation - the process of converting information into digital format. It includes scanning (for paper records), conversion of audio-visual material, applying metadata and classifying the information.

EDRMS (Electronic Document & Records Management System) is a software application that manages digital information such as word-processed documents, spreadsheets, email, and scanned copies of paper documents. Its functionality includes access and version control, import and export and disposal. Examples of EDRMS software include HP Records Manager (formerly known as HP TRIM), Objective, RecordPoint, i5.

Existing records - means all records, including current, non-current and legacy records, under your agency control. It excludes records in the custody of the Archives.

File - (n.) an organised unit of documents accumulated during current use and kept together because they deal with the same subject, activity or transaction and which may refer to physical or digital files.

Full-time equivalent (FTE) is a unit based on the standard (full time) hours worked per fortnight i.e. 75 hours. Part-time employees should be expressed as a percentage of full-time e.g. 4 days a week is 0.8FTE.

General Records Authority (GRA) 31 – is a general records authority that permits the destruction of information and records in accordance with section 24(2)(b) of the *Archives Act 1983* after they have been successfully copied, converted from an analogue to a digital format, or migrated from one system to another.

Hybrid files refer to a set of related digital files and physical files. Both files are held in a tightly bound relationship within the electronic records management system (e.g. EDRMS) and managed as a single object. Records managed within a hybrid file deal with the same subject, activity or transaction.

Inactive records are records no longer required for the day-to-day conduct of active business. Also referred to as non-current records.

Information and records management is a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of information and records, including processes for capturing and maintaining evidence of, and information about, business activities and transactions.

Legacy records – means accumulations of older records created by an agency in the past, or sometimes inherited from another agency through a transfer of functions. These records may document a function that is no longer performed, or exist in a records format that is no longer used.

Metadata - in records management, recordkeeping metadata is data that describes the context, content and structure of records and their management through time.

Non-current records - records no longer required for the day-to-day conduct of active business.

Normal Administrative Practice (NAP) - allows agencies to destroy certain types of records in the normal course of business. Agencies do not need to contact the Archives for permission to dispose of records that fit within the scope of NAP. A NAP can be used as part of routine administration to destroy records that do not document agency business decisions and where the risk to the agency associated with their destruction is considered to be low.

Offsite storage refers to storage that is not the location of everyday business. Offsite storage can be under agency or parent agency control (including renting) or under the control of a service provider who may provide additional services such as retrieval. Your agency will generally have contracts or other arrangements for offsite storage that involve payment for rent, storage and other services.

Onsite storage – refers to storage in the location of everyday business, i.e. the offices where staff work.

Physical records - are records in hard copy form, such as printed documents, paper files, bound volumes and photographs, as well as audio and video tapes.

Record - information in any format, created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

Retain as National Archives (RNA) - are records of national significance which must be kept permanently. RNA records must be transferred to the Archives as soon as they are no longer required for business use, or at the latest within 15 years (in accordance with the *Archives Act 1983*). Also referred to as records of archival value.

Retrieval – the process of locating a particular box, file or record and delivering it for use.

Sentencing - is the process of identifying and classifying records according to a records authority and applying the disposal action specified in it. It involves assigning and reviewing retention periods and applying final disposal decision.

Shared-service solution - is a model merging different organisations' business support functions, such as human resources, financial services or information and communications technology (ICT), to achieve efficiencies of scale.

Shelf-metre – fits five type 1 archival boxes to a standard 900mm shelf. This survey uses a conversion factor of 70 files to a shelf metre.

Staff - includes employees (ongoing and non-ongoing) as well as individual contracting staff.

Storage – is the function of storing records for future retrieval and use. It involves a set of processes to ensure that records are protected, accessible and managed in a cost-effective manner for as long as they are needed.

Transfer - is the process of changing the physical custody of records, generally without changing the legal title of the material.

Unclassified records - are those records that do not require a security classification. Dissemination limiting markers (DLMs) and caveats do not constitute security classifications by themselves but may be used with both Classified and Unclassified records.