

Check-up PLUS 2018 Whole of Government Summary Report

February 2019

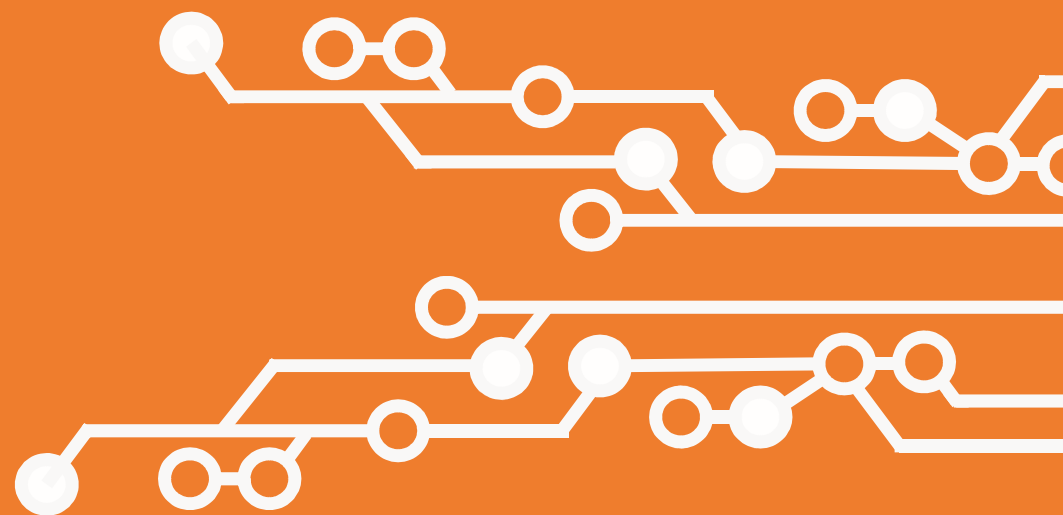


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A note on presentation of results: The report presents results from the first cycle of the NAA Check-up PLUS online survey that was conducted between July and October 2018. Percentages are based on the total number of valid responses made to questions in the survey. Percentage results throughout the report may not add up to 100% due to rounding. Results reflect responses from agencies where the particular questions were applicable and where they were answered.

About Check-up PLUS

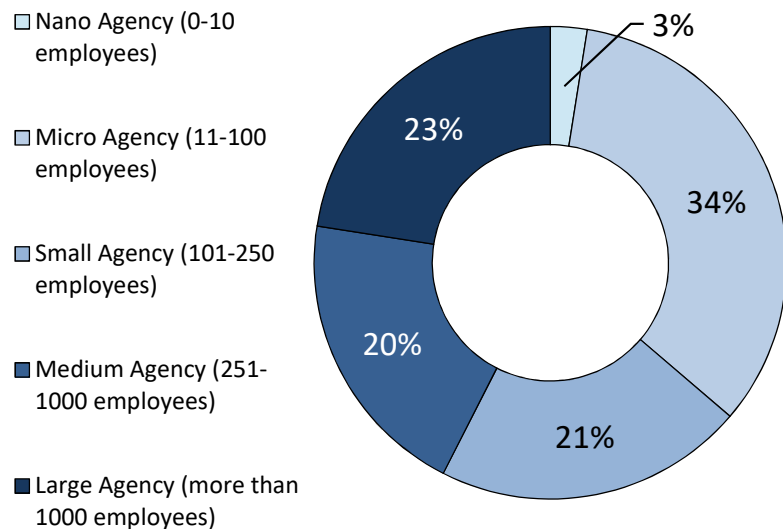


In 2018 the National Archives of Australia (the National Archives) commissioned ORIMA Research to conduct an annual information management survey, Check-up PLUS. Check-up PLUS is an online self-assessment tool designed to gauge Australian Government agencies' maturity and performance in information and data management.

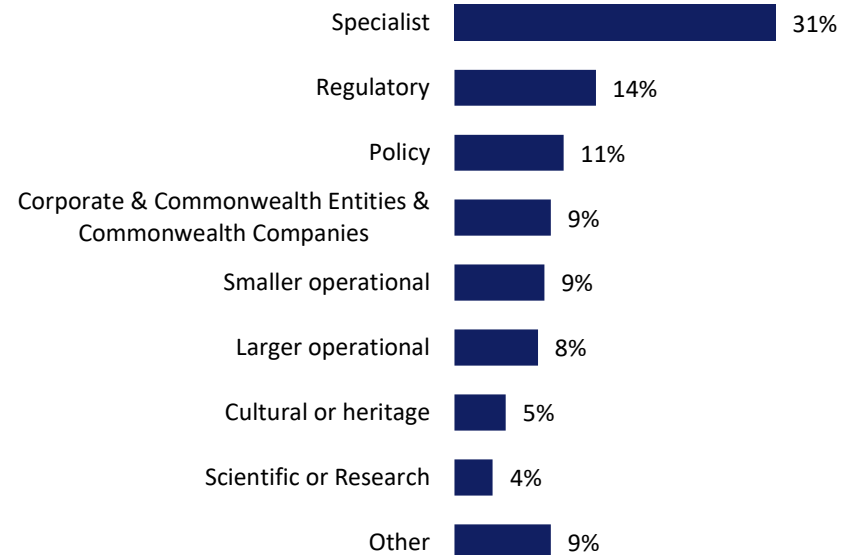
Check-up PLUS is structured to align with the National Archives' Information Management Standard, which was developed to assist Australian Government agencies to create and manage business information effectively. The Information Management Standard comprises eight principles, consistent with the key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

A total of **160 agencies** completed the 2018 Check-up PLUS survey, representing 100% of in-scope agencies that were asked to make a Check-up submission. This report presents a summary of the findings of Check-up PLUS across all in-scope agencies. The size and functional profile of these agencies is presented below:

Agency size
(n= 160)



Agency function
(n= 160)



Executive Summary

Check-up PLUS

The 2018 Check-up PLUS survey found that the overall **information management maturity index recorded a score of 3.1 out of 5**. This rating is **just above the mid-point level** and suggests that considerable progress is required before these practices are consistently followed across agencies.

The survey also showed that the **highest** maturity levels were recorded in **creating** and **storage** of information, while the **lowest** maturity levels were recorded for **interoperability, disposal** and **governance** of information.

While information maturity levels showed no clear trend by size of agency, there was some variation by agency type:

- agencies with **scientific or research** and **specialist functions** recorded relatively **high maturity levels** on average
- **smaller operational agencies** and those with **cultural or heritage** functions generally recorded **lower maturity levels**.

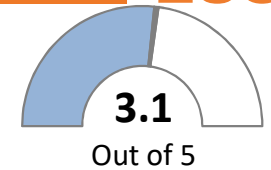
Almost two-thirds of agencies indicated that their information and records were **covered by agency-specific records authorities**. However, **awareness of the volume of Retain as National Archive (RNA) records was mixed** – agencies were much more likely to know the volume of physical RNA records than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








- 50% of physical records have been sentenced compared to only 12% of digital records.
- Over 439,000 shelf metres of physical material and 95,000 TB of digital material holdings are un-sentenced with unknown disposal classifications.
- Of the 1.7 million shelf metres of physical records held by agencies, only 6% is estimated as RNA records. Digital material holdings by comparison extend beyond 128,000 TB with only 3% estimated to be RNA material.

Outsourcing of the delivery of information management functions occurred in around two-thirds of agencies, most commonly for **cost or efficiency reasons**.

Average costs for storing physical information assets for the 12 month reporting period (2017-18) are estimated at around \$170,000 per agency. Only one-third of agencies calculate the cost of digital storage for reporting purposes.

Overall information management maturity index score:



Lower maturity levels ↓	Higher maturity levels ↑
Disposal Governance Interoperability    	Creation Storage   
Smaller operational agencies Cultural or heritage	Scientific or research Specialist functions

Information management maturity indexes

The 2018 survey measured agency performance against five information management indexes:

2018 Check-up PLUS Survey results:



Information Governance

Managing information assets across an entire organisation to support its business outcomes. It involves having frameworks, policies, processes, standards, roles and controls in place to meet regulatory, legal, risk and operational requirements.

Information Creation

Creating business information that is fit for purpose to effectively support business needs.

Interoperability

Supporting the use and reuse of government information and data as key assets. Providing accessible, consistent, coordinated and more timely services, and reducing obsolescence and costs.

Storage

Storing business information securely and preserving it in a useable condition for as long as required for business needs and community access.

Disposal

Keeping business information for as long as required after which time it should be accountably destroyed or transferred.

Overall



3.0 out of 5



3.6 out of 5



3.1 out of 5



3.3 out of 5



2.8 out of 5



3.1 out of 5



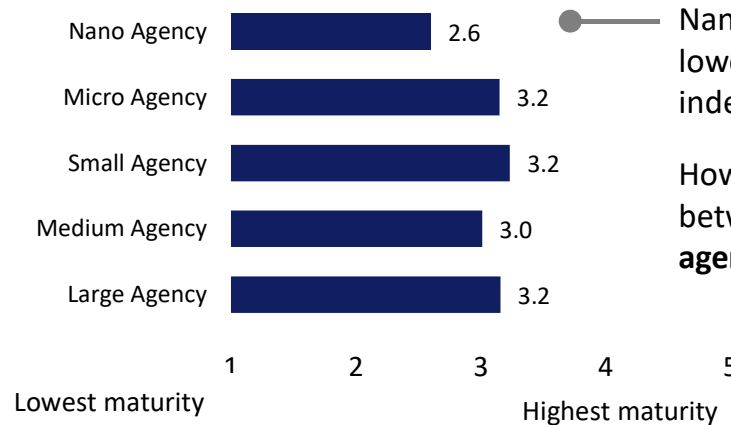
Overall information management maturity index by...

agency size:



Agency size key:

- Nano Agency: 0-10 employees
- Micro Agency: 11-100 employees
- Small Agency: 101-250 employees
- Medium Agency: 251-1000 employees
- Large Agency: more than 1000 employees



Nano sized agencies recorded lower average overall maturity index scores.

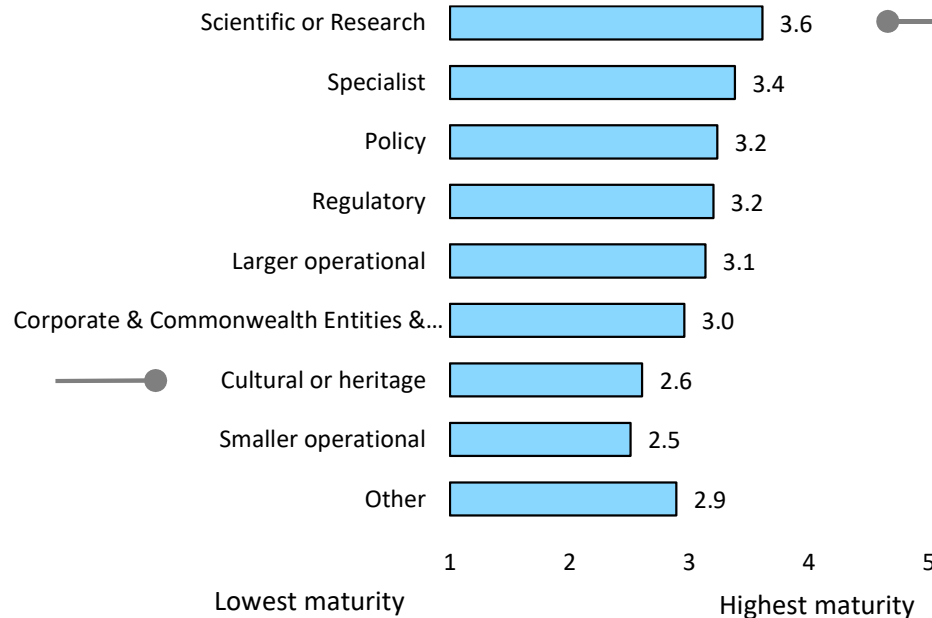


However, there was no general correlation between maturity ratings and the **size of agency**.

agency function:



The **lowest** maturity scores recorded were for agencies with smaller operational (2.5) and cultural or heritage (2.6) functions.



Agencies with **scientific or research (3.6)** and **specialist (3.4)** functions recorded the **highest maturity** scores on average.



Governance – Strategies, policies and procedures



Over 80% of agencies had strategies, policies and procedures in place in relation to **information security, agency specific records authorities, confidentiality, privacy or data protection and information management**.
In contrast, only 35% of agencies had **enterprise-wide information architecture** in place.

The proportion of agencies that had implemented the following strategies, policies and procedures (either needing to be updated or in place and up to date):

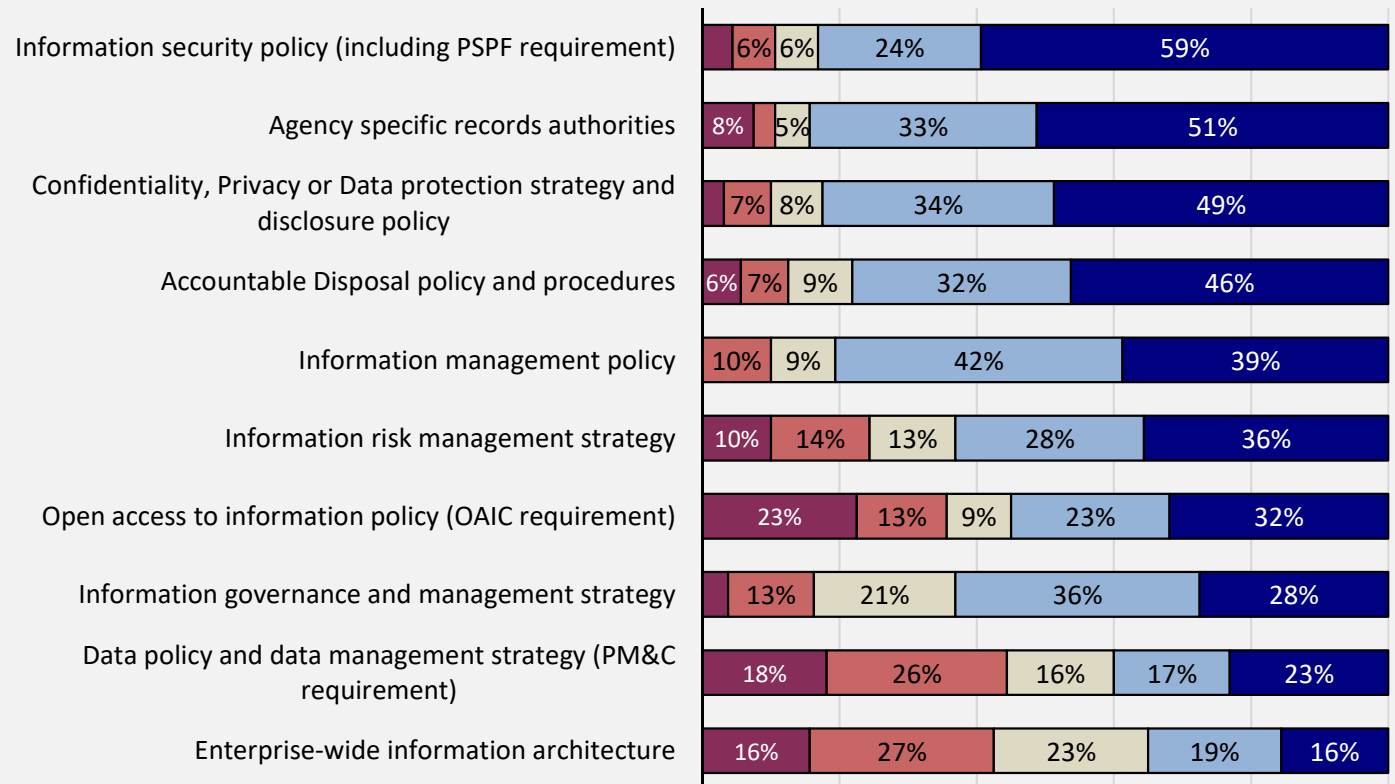
83% of agencies had in place:

- an **information security policy**
- a **Confidentiality, Privacy or Data Protection Strategy and Disclosure policy**

84% had **agency specific records authorities** in place

81% had an **information management policy** in place

35% had **enterprise-wide information architecture** in place



Colour coding key:


- Is not developed/ planned (yet)
- Planning/ consultation has commenced to develop
- A draft version is under development
- Is in place but needs to be updated/ revised
- Is in place and up-to-date/ current


Governance – Practices




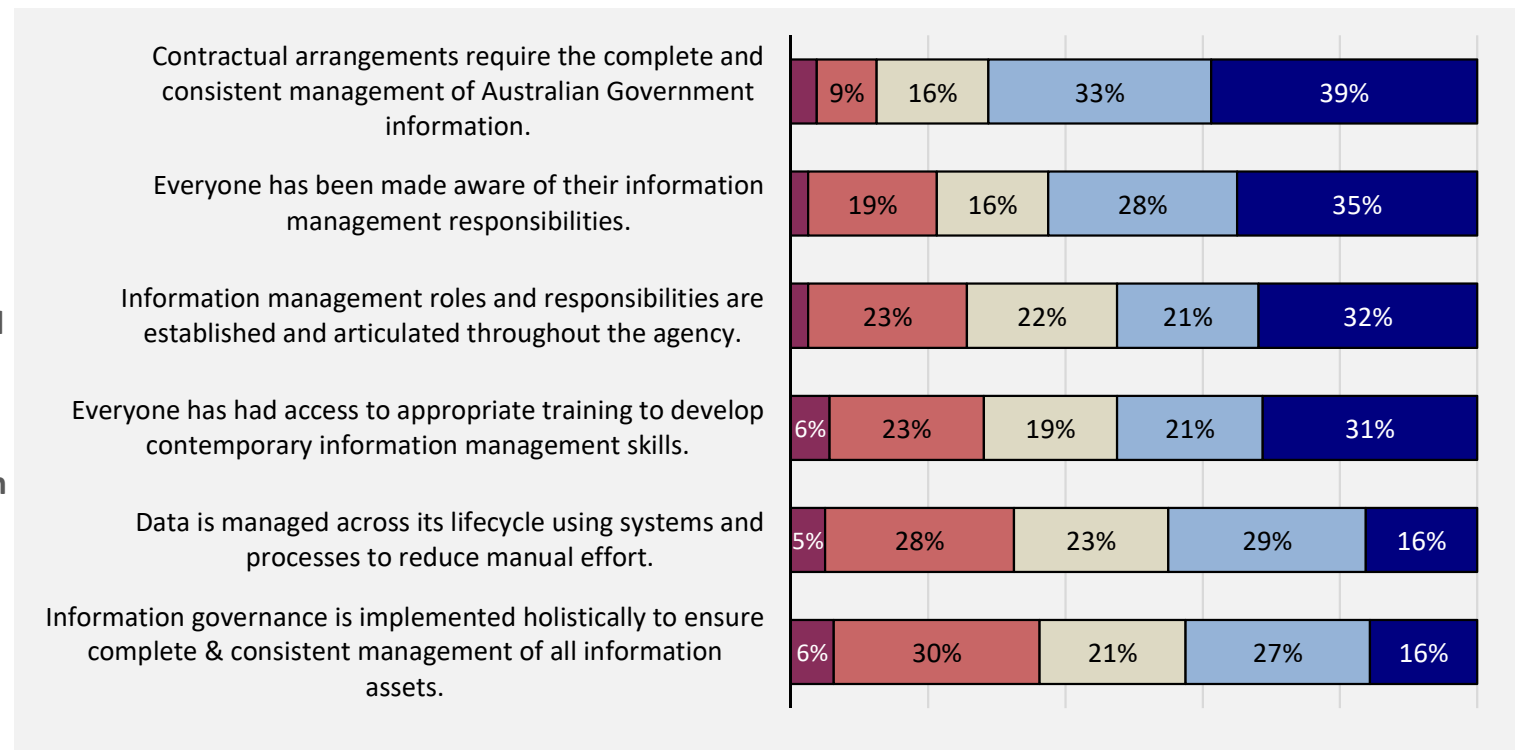
72% of agencies were usually or always implementing best practice in relation to **requiring the complete and consistent management of Australian Government information in contractual arrangements**.
 Less than half were doing so in relation to **managing data across the lifespan using systems and process to reduce manual effort** and **implementing information governance holistically**.

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

 **72%** required the complete and consistent management of Australian Government information in contractual arrangements

 **45%** managed data across its lifespan using systems and process to reduce manual effort

 **43%** implemented information governance holistically



Colour coding key:



Rarely/never



Sometimes



Often



Usually / most of the time



Almost always / always ⁸

Governance – Information governance committee



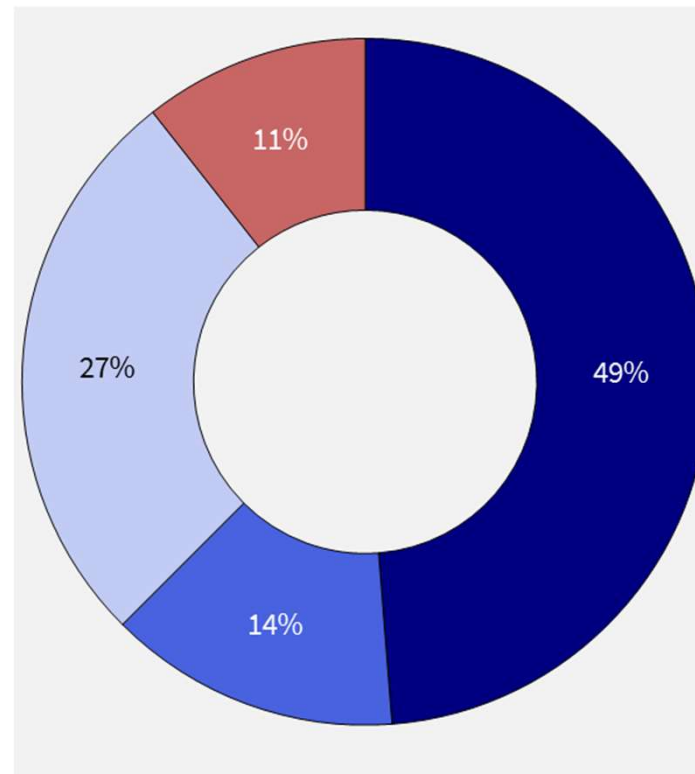
Nearly half of all agencies reported that they have a formal governance mechanism with broad representation for ensuring information management requirements are considered in decision making

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



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

- **14%** had a mechanism for ICT only
- **27%** had planned but not fully implemented a formal governance mechanism for information management
- **11%** did not have a mechanism in place.



- Yes – for all agency information management decisions
- Yes – for ICT-related matters only
- Partial – the mechanism is planned but not fully implemented
- No

Governance – Risk Management



Agencies recorded **mixed to low ratings** on average about their maturity in implementing a range of better practice approaches to managing their information management risk.

The areas with the most scope for improvement were in relation to **using analytics to identify how information is being used and how long it needs to be kept** and **reporting results of information management risks assessments**.

Proportion of agencies where the following best practices were implemented rarely / never or sometimes:

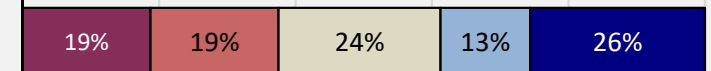


63% rarely / never or sometimes reported results of information management risks assessments

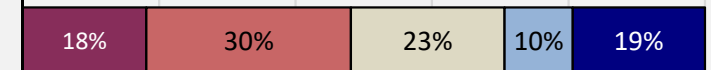


75% rarely / never or sometimes used analytics to identify how information is being used and how long it needs to be kept

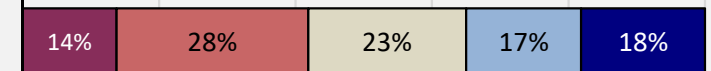
Create and maintain an information asset register, catalogue or systems register.



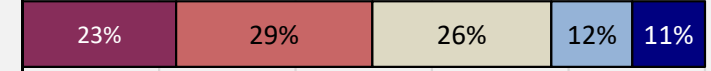
Undertake regular, systemic risk management activities such as training, process reviews and application of security protocols specifically focused on information management.



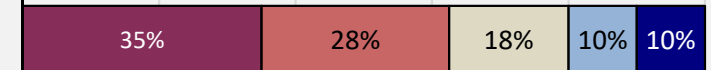
Undertake audits or reviews to identify the agency's information assets and the business owners.



Describe information assets through taxonomies, ontologies, categorisation tools, creating architecture that enables seamless sharing & reuse of information.



Report results of information management risk assessments, including metrics and the level of success achieved.



Use analytics to identify how information is being used and how long it needs to be kept.



Colour coding key:



Rarely/ never



Sometimes, for our highest value assets



Often, for our high value information

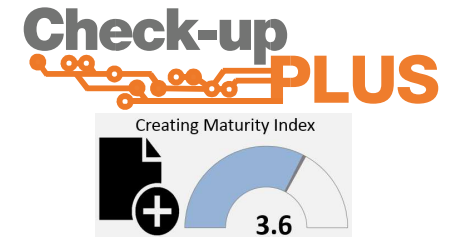


Usually, with only low value or legacy still to be managed



Almost always / always ¹⁰

Creating – Information governance requirements



At least half of agencies indicated that recent internal audits and other evidence showed that they **usually or always complied** with a range of **information governance requirements associated with creating records**.

Agencies recorded **highest** compliance with practices relating to **appropriately creating and capturing records**, while compliance was **lower** regarding practices related to **management and storage of information**.

The proportion of agencies that had complied with the following information governance requirements usually / most of the time or almost always / always:



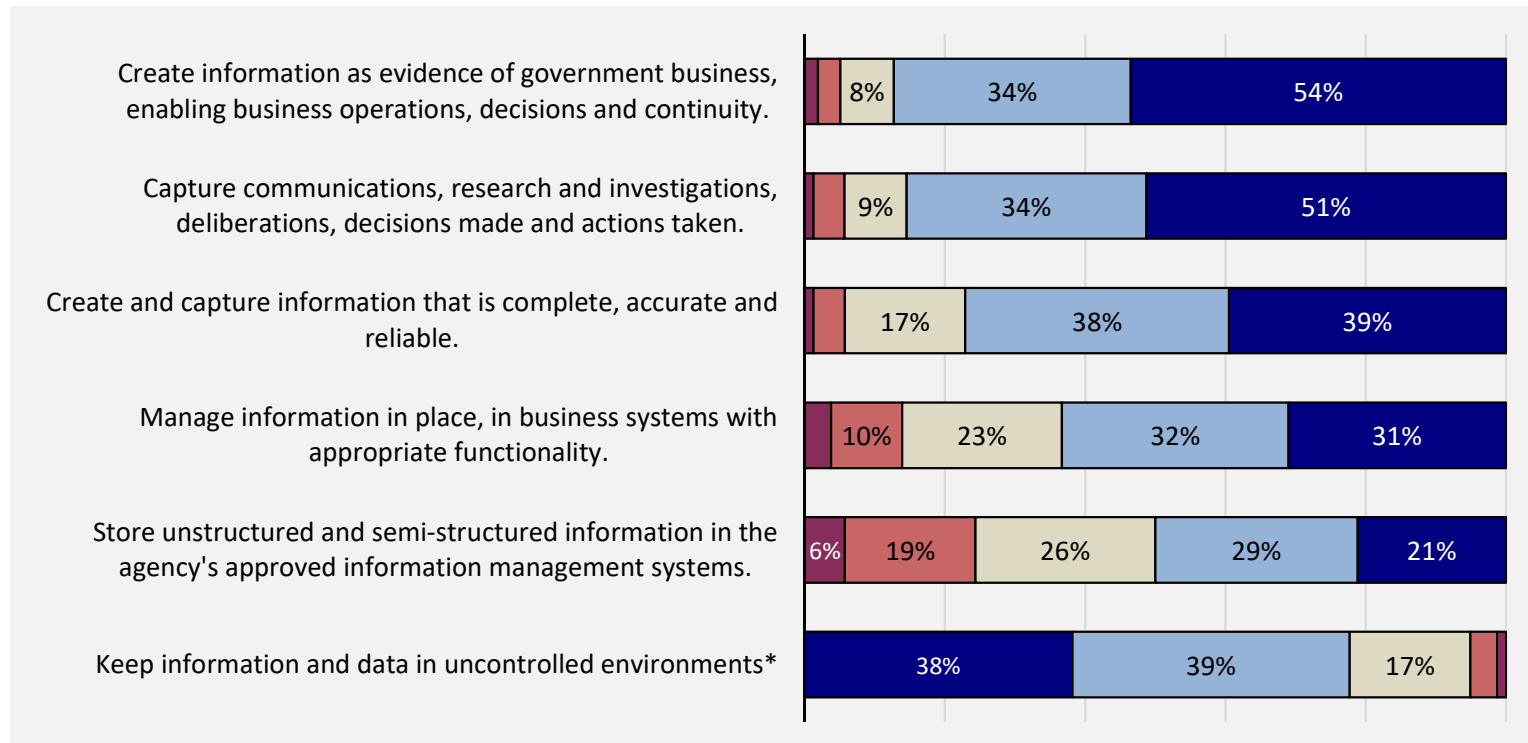
88% create information as evidence of government business enabling business operations, decisions and continuity



85% capture communications, research and investigations, deliberations, decision made and actions taken



50% store unstructured and semi-structured information in the agency's approved information management systems



* Note: Unlike other questions in this figure, higher frequency is associated with lower maturity for this question. The colour coding has therefore been reversed for this question (blue results reflect higher maturity and red lower maturity).

Colour coding key:



Rarely/never



Sometimes



Often



Usually / most of the time




Almost always / always


Creating – Practices





Agencies reported **mixed ratings** about implementing a range of better practices for creating information. Over half reported they usually or always **continually identify and remove paper from internal and external processes, convert analogue to digital formats and automate the process of information creation.** Almost three quarters reported they only rarely or sometimes **automate the discovery and removal of duplicate, redundant, obsolete and trivial information.**

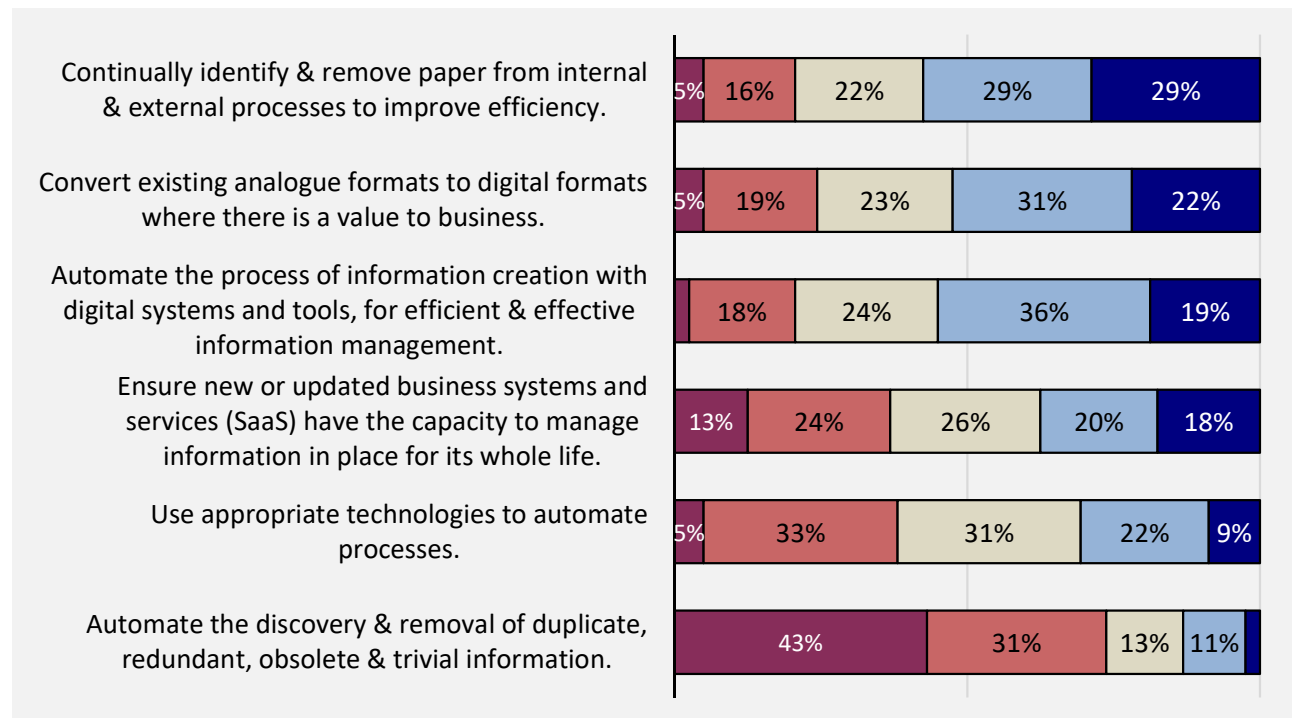
The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:

 **58%** continually identify and remove paper from internal and external processes to improve efficiency

 **53%** convert existing analogue formats to digital formats where there is a value to business

 **55%** automate the process of information creation with digital systems and tools, for efficient and effective information management

 **13%** automate the discovery and removal of duplicate, redundant, obsolete and trivial information



Colour coding key:  Rarely / never  Sometimes  Often  Usually / most of the time  Almost always / always

Creating – Barriers to best practice



Just under three-quarters of agencies indicated that **access to appropriately secured systems** for security classified digital information issues **was rarely or never a barrier** to progressing digital information management. A range of other barriers to digital information management were ‘sometimes’ experienced by 37%-54% of agencies.

The proportion of agencies that indicated the following barriers rarely / never existed to best practice in digital information management was:



73% for lack of access to appropriately secured systems for security classified digital information



42% for risk averse culture



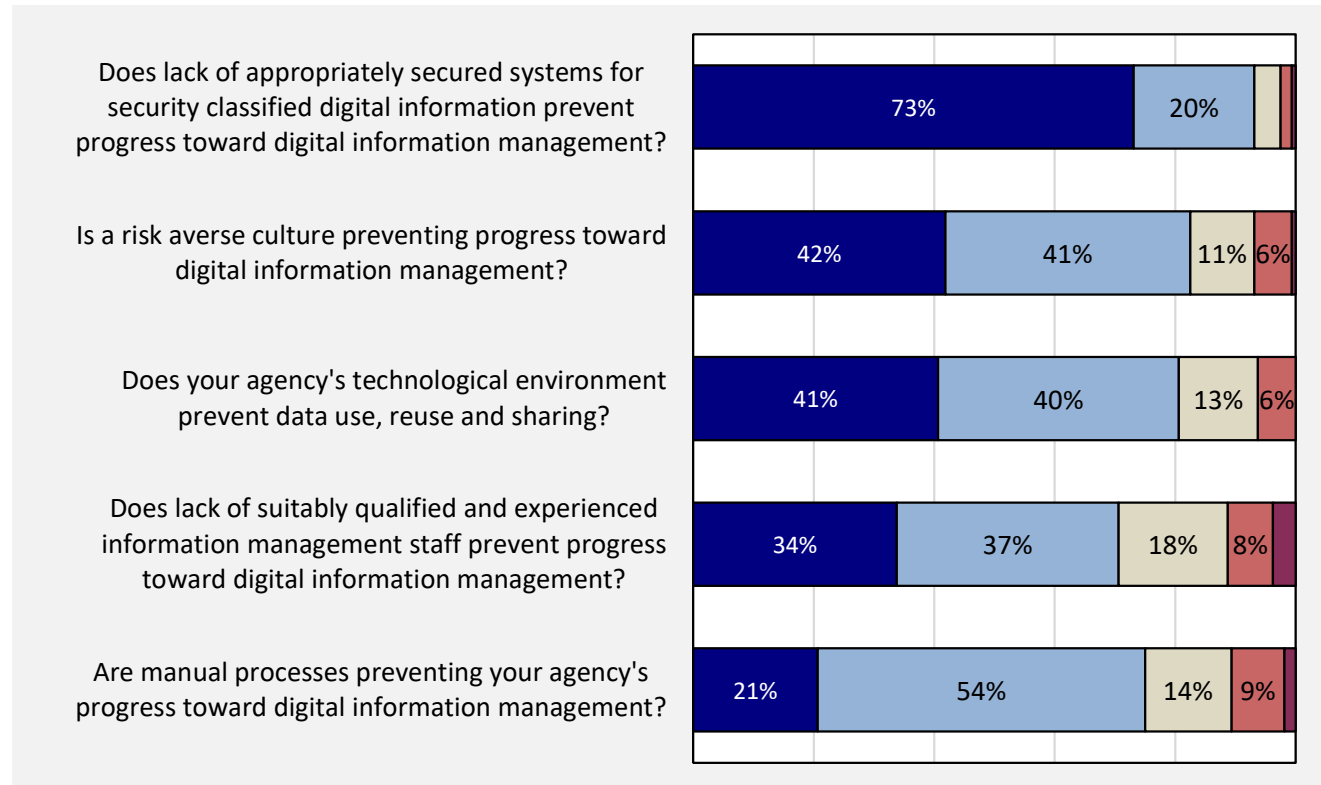
41% for the agency’s technological environment (with relation to use, reuse and sharing)



34% for lack of suitably qualified and experienced information management staff



21% for manual processes (54% of agencies indicated this was ‘sometimes’ a barrier)



Colour coding key:



Rarely/ never



Sometimes



Often



Usually / most of the time







Almost always / always

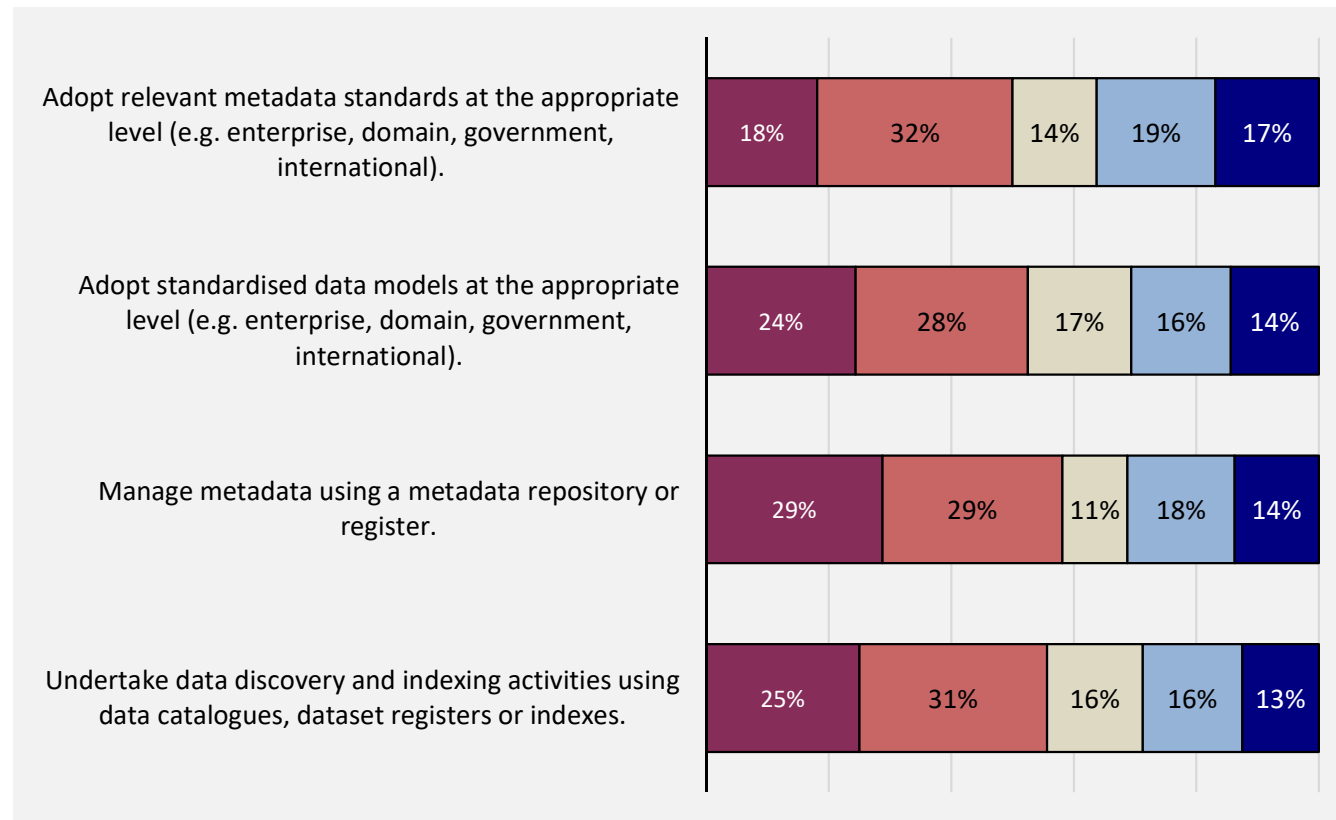
Interoperability – Describing data assets



Less than 40% of agencies had implemented a range of interoperability measures about describing data assets.

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

-  **36%** have adopted relevant metadata standards at the appropriate level
-  **31%** have adopted standardised data models at the appropriate level
-  **31%** manage metadata using a metadata repository or register
-  **29%** have undertaken data discovery and indexing activities using data catalogues, dataset registers or indexes.



Colour coding key: Is not developed/ planned (yet) Planning/ consultation has commenced to develop A draft version is under development Is in place but needs to be updated/ revised Is in place and up-to-date/ current

Interoperability – Accessing and maintaining quality of data assets



56% of agencies usually or always **adopt standardised file formats to enable use and reuse** of information. In contrast, less than one-third of agencies usually or always **identify data flow issues** and **ensure robust data governance guides their data functions**.

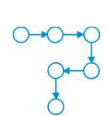
The proportion of agencies that had implemented the following best practices usually / most of the time or almost always / always:



56% adopt standardised file formats to enable use and reuse



48% assign roles and responsibilities for data management, curation and stewardship



26% identify data flow issues, using for example, data profiling or search and query tools



29% ensure data governance is strong and embedded, guiding all other data functions

Adopt standardised file formats to enable use and reuse.

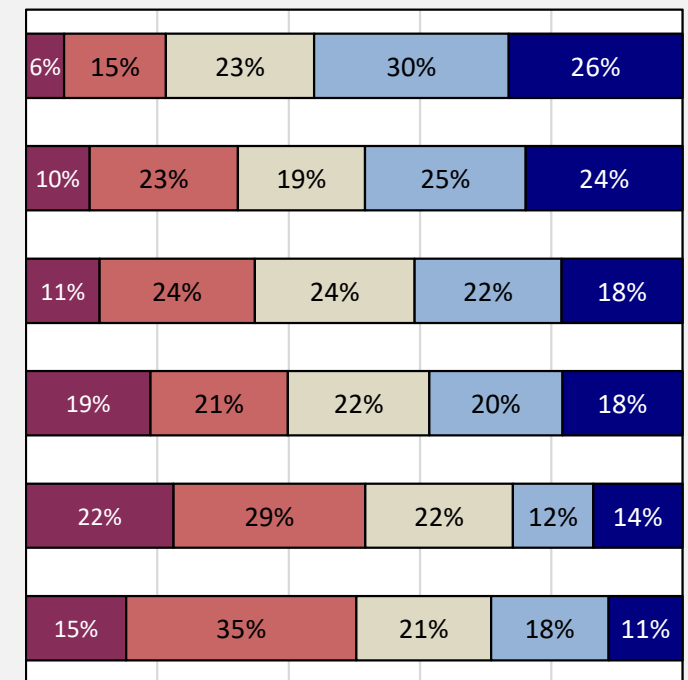
Assign roles and responsibilities for data management, curation or stewardship.

Monitor data for accuracy, providing and documenting remediation where needed.

Collect descriptive information (metadata) in line with the Information Management Standard.

Identify data flow issues, using for example, data profiling or search and query tools.

Ensure data governance is strong and embedded, guiding all other data functions.



Colour coding key:



Rarely/never



Sometimes



Often



Usually / most of the time




Almost always / always


Interoperability – Enabling access to information




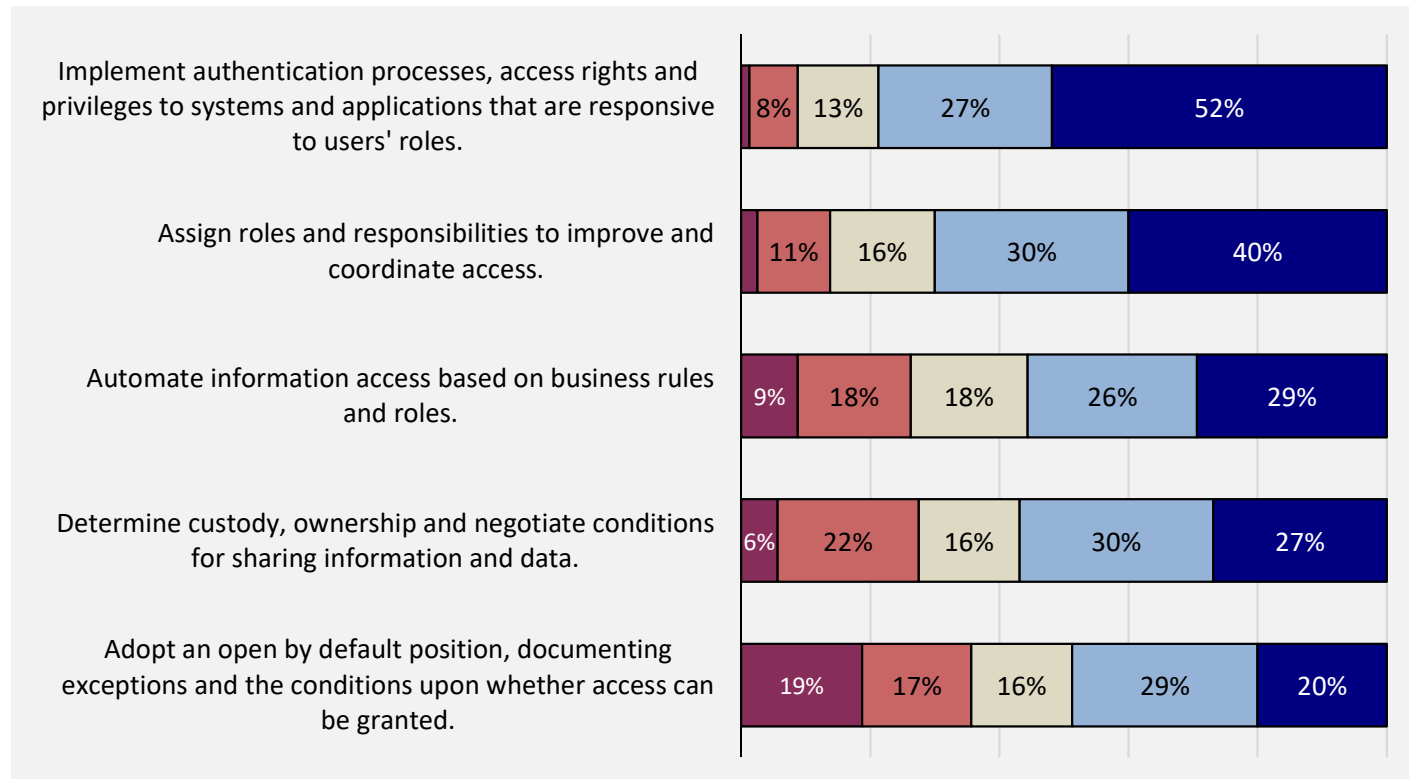
More than three-quarters of agencies usually or always **implement authentication processes, access rights and privileges to systems and applications that are responsive to users' roles.**

Results were mixed with regard to agencies adopting an **'open by default' position** in enabling access to information, with over one-third indicating that this only happens sometimes or rarely in their agency.

 **79%** implement authentication processes, access rights and privileges to systems and applications that are responsive to users' roles sometimes or usually /always

 **70%** assign roles and responsibilities to improve and coordinate access sometimes or usually /always

 **36%** rarely / never or sometimes **adopt an open by default position, documenting exceptions and the conditions upon whether access can be granted**



Colour coding key:  Rarely / never  Sometimes  Often  Usually / most of the time  Almost always / always¹⁶

Storing (and preserving) information digitally



Agencies recorded mixed results about storing and preserving information digitally. Over three-quarters usually or always ensure information that needs to be protected or secured is identified and managed appropriately. In contrast, only 38% usually or always ensure digital repositories have appropriate functionality to preserve information according to its value.



78% ensure information that needs to be protected or secured is identified and managed appropriately sometimes or usually /always



55% migrate information into current business systems where there is need or business value sometimes or usually /always



43% rarely / never or sometimes convert and migrate information and its metadata to ensure it remains usable



40% rarely / never or sometimes ensure digital repositories have appropriate functionality to preserve information according to its value

Ensure information that needs to be protected or secured is identified & managed appropriately.

Migrate information into current business systems where there is need or business value.

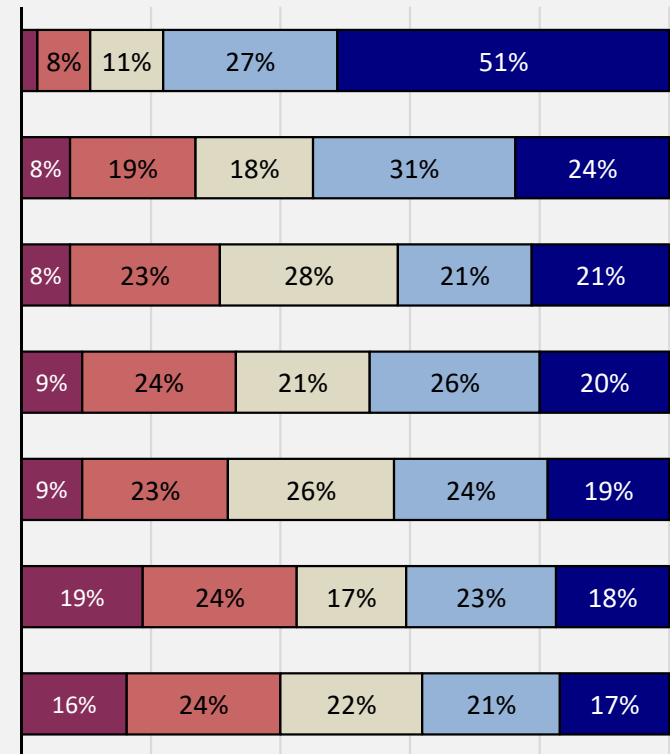
Use contemporary technologies to reduce the cost of providing and managing digital information storage.

Implement preservation strategies, procedures & activities to ensure information can be accessed, used & understood for as long as it is required.

Ensure information and data movements are traceable & transparent and metadata accompanies data throughout its life.

Convert and migrate information and its metadata to ensure it remains usable.

Ensure digital repositories have appropriate functionality to preserve information according to its value.



Colour coding key:



Rarely/never



Sometimes



Often



Usually / most of the time




Almost always / always¹⁷


Disposing – Destruction and transfer





Less than half of agencies indicated that they usually or always complied with better practices for disposing of information. The area with the most scope for improvement was **automating the identification and destruction of low value and low risk information**, which 64% of agencies indicate they do rarely / never or sometimes.

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

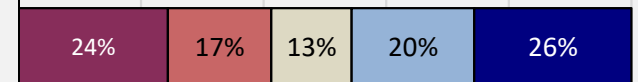
 **46%** base the transfer of information, to the National Archives or during MoG changes, on shared standards & agreed business requirements

 **42%** establish governance across all business systems for the identification, destruction or transfer of agency information assets

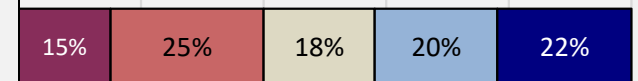
 **37%** ensure business systems with high risk information are configured to identify information for disposal based on records authorities

 **21%** automate identification and destruction of low value and low risk information

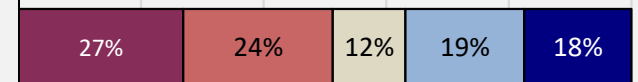
Base the transfer of information, both to the Archives or during MoG changes, on shared standards and agreed business requirements.



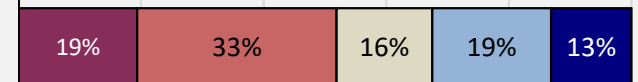
Establish governance across all business systems for the identification, destruction or transfer of agency information assets.



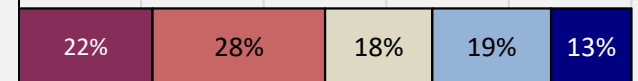
Ensure business systems with high risk information are configured to identify information for disposal based on records authorities (including identifying...



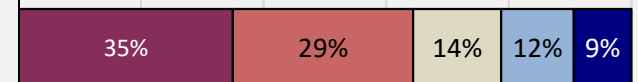
Ensure RNA information assets across systems and locations have been identified to ensure appropriate management & governance are in place.



Ensure existing information has been sentenced & the disposal action is known (even if it has not been carried out).



Automate identification and destruction of low value and low risk information.



Colour coding key:



Rarely/ never



Sometimes



Often



Usually/ most of the time



Almost always/ always

Records authorities and RNA arrangements



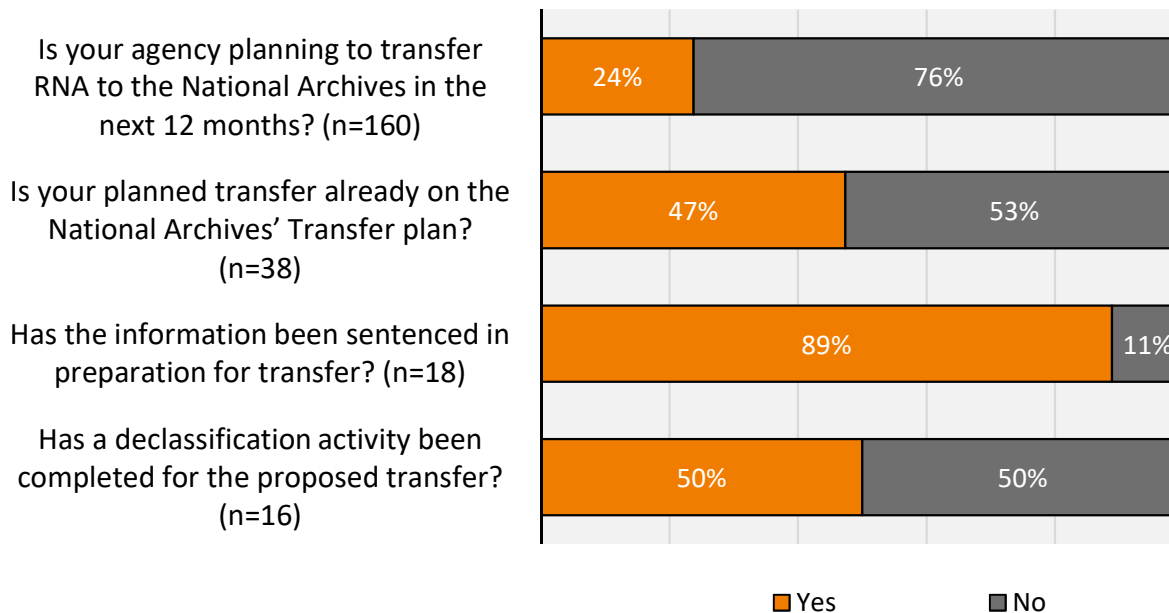
On average, almost two-thirds of agencies' information and records were **covered by agency-specific records authorities**. More than half of agencies had **destroyed information** in the last 12 months, and approximately one-quarter were planning to **transfer RNA to the National Archives** in the next 12 months.



On average, **63%** of the information and records of agencies' core business was covered by agency-specific records authorities



53% of agencies had destroyed information in the last 12 months



24% of agencies are planning to transfer RNA to the National Archives in the next 12 months.



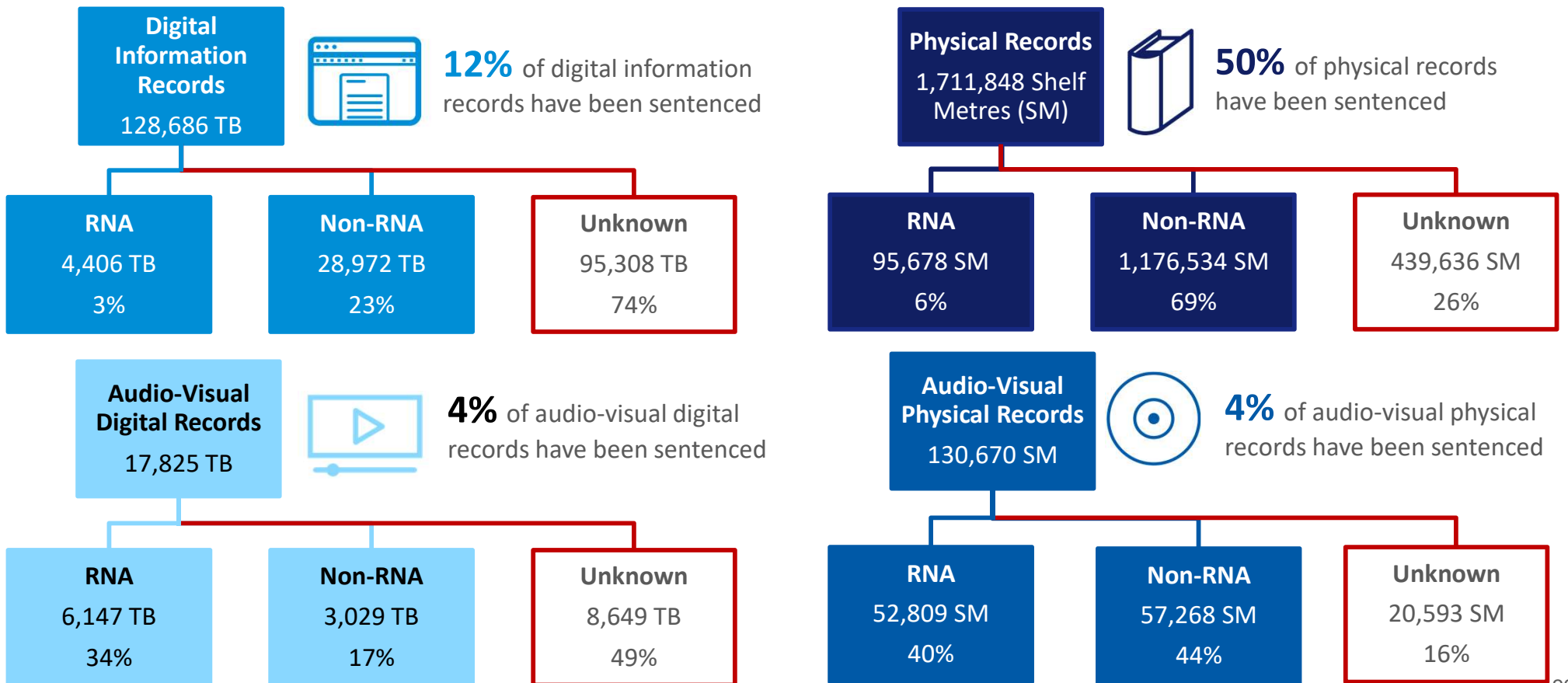
47% of planned transfers were already on the National Archives' National Transfer plan. Of these, **89%** had sentenced the information in preparation for transfer and **50%** had completed a declassification activity for the proposed transfer.

RNA volumes



Agencies were much more likely to **know the volume of physical RNA records** (74% for non-AV and 84% for AV) than digital RNA records (26% non-AV and 51% AV).

AV records were more likely to be RNA than non-AV records **but they were much less likely to have been sentenced**, particularly for physical records (4% for AV compared with 50% for non-AV)



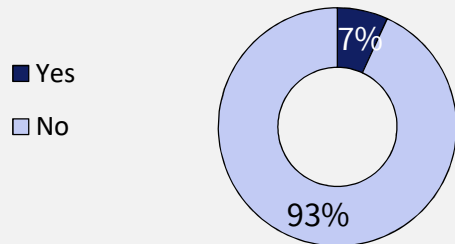
Outsourcing arrangements



7% of agencies are **providers** of shared services for information management.

Two-thirds of agencies **outsource** the delivery of information management services, most commonly through a **commercial provider**.

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



7% are **providers of shared services for information management**

Do you outsource the delivery of information management services, either through shared service arrangements or through a commercial service provider?



- Yes, through a shared service arrangement
- Yes, through a commercial provider
- Yes, through a shared service arrangement and commercial provider
- No

47% outsource the delivery of information management services through a **commercial service provider**

34% do not **outsource the delivery of information management services**

Average cost of outsourcing contracts:

- \$111 013.95** Shared service
- \$431 892.40** Commercial provider
- \$405 804.38** Overall average*

* Average cost across agencies that outsource via shared services and/or commercial providers.



70% of agencies that outsource the delivery of information management services **participate in a single shared service arrangement**

Outsourcing arrangements - services



Agencies were more likely to outsource services for **physical / analogue information only** than for digital information only or for both physical and digital information. **More than half** of agencies outsource **storage and retrieval and delivery** services, while **one-quarter or less** outsource services for **sentencing or the management of paper file registry**. Agencies cited a range of reasons for outsourcing, of which the most common was **cost savings**.



63% outsource **storage services** for physical / analogue and/or digital information



57% outsource **retrieval and delivery services** for physical / analogue and/or digital information

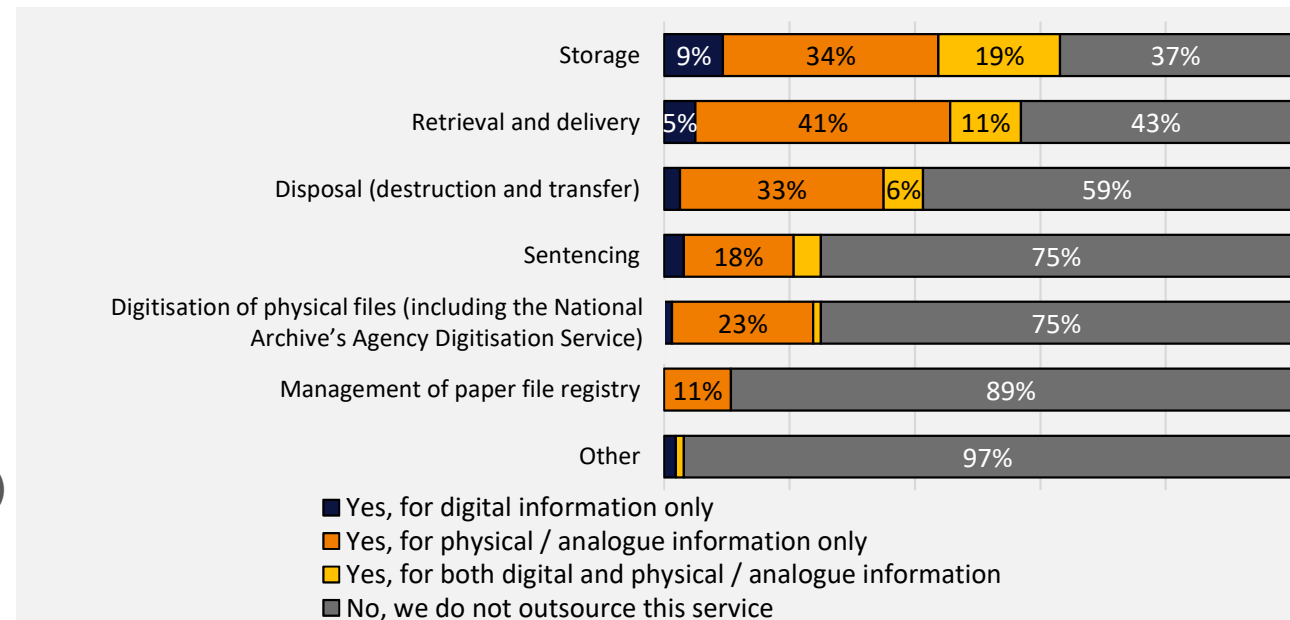


41% outsource **disposal (destruction and transfer)** for physical and/or digital information

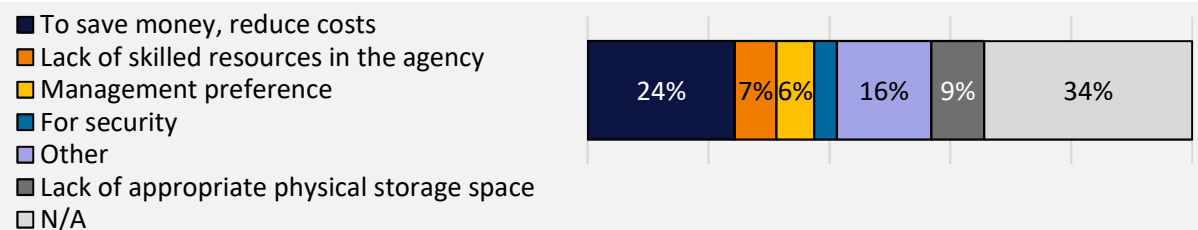


24% of agencies that outsource the delivery of information management services do so **to save money, reduce costs**

Do you outsource the following services?



What is the main reason for your agency outsourcing these services?



Costs and efficiencies



Offsite storage under third party control accounts for the largest share, in terms of both cost and shelf metres, of agencies' information assets storage. There was no clear trend about whether the volume of physical records being stored by agencies is increasing or decreasing. **More than half** of agencies also reported that they do not calculate the cost of digital storage for reporting purposes.

Cost to agencies of storing physical information assets

(Figures represent averages across reporting agencies)

	Average % of records held in:	Average shelf metres *	Average storage cost in previous 12 months*
Onsite dedicated storage	17.1	1 940m	\$33 099
Offsite (under agency control)	9.8	1 110m	\$20 101
Offsite (under third party control)	73.1	8 285m	\$113 839
Total	100.0	11 546m	\$170 675

* Total figures in this table are greater than the sum of the components because some agencies only provided total amounts.



On average, **54%** of an agency's information assets are stored offsite under third party control

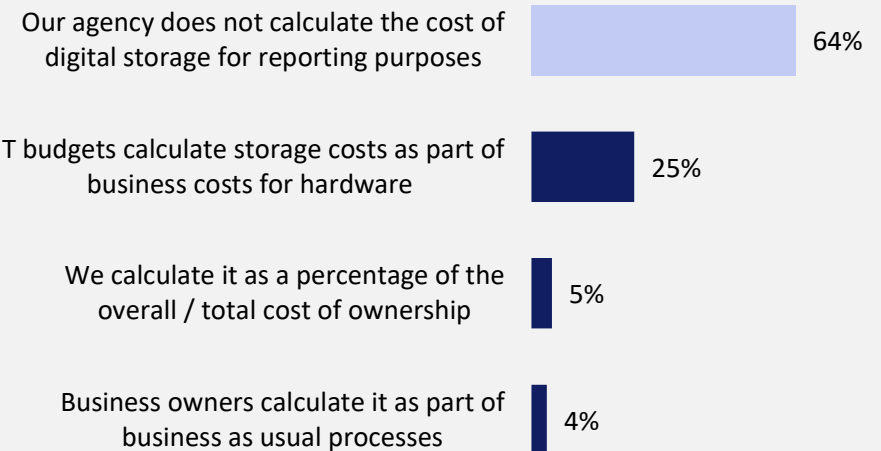


26% of agencies reported a decrease in their volume of physical records in the past 12 months



25% of agencies reported an increase in their volume of physical records in the past 12 months

How does your agency calculate the cost of digital storage for reporting purposes? (Multiple responses allowed)



64% of agencies do not calculate the cost of digital storage for reporting purposes

Further information and resources

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

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

Please visit the National Archives website for more information about Check-up PLUS: <http://www.naa.gov.au/information-management/check-up-digital/index.aspx>

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



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