



NATIONAL ARCHIVES OF AUSTRALIA



Check-up 2022 Whole of Government Summary Report

June 2023

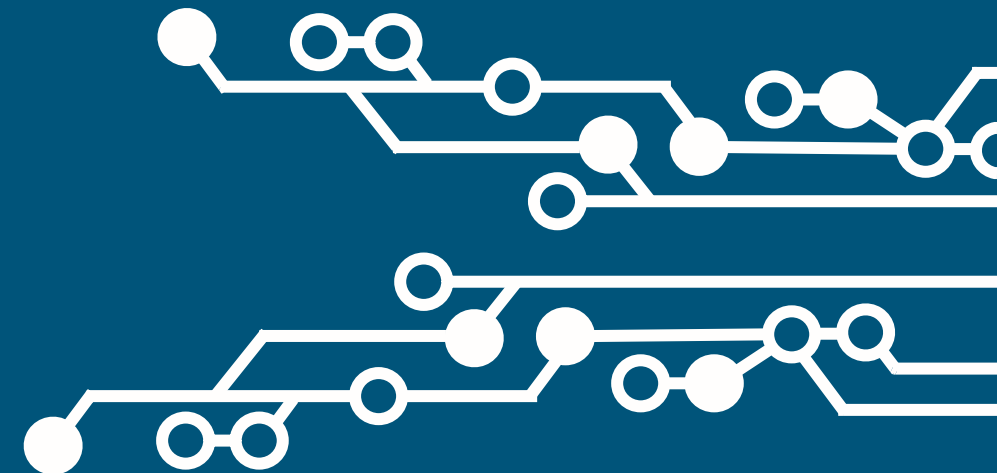


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A note on presentation of results: The report presents results from the 2022 NAA Check-up online survey that was conducted between July and November 2022. Percentages are based on the total number of valid responses made to questions in the survey. 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



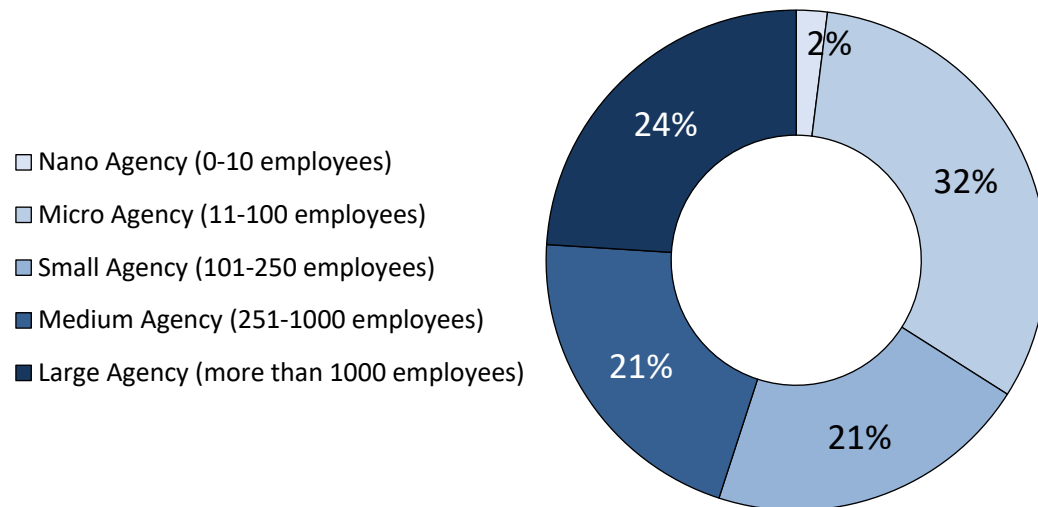
Check-up is the National Archives of Australia's annual information management survey. It is an online self-assessment tool designed to measure Australian Government agencies' maturity and performance in managing their information assets (records, information and data).

Check-up is structured to align with the National Archives' *Information management standard – Australian Government*, which supports Australian Government agencies to create and manage information assets effectively. The *Information management standard* is based on eight principles that provide the foundation for well-managed information assets. The findings of the survey provide Australian Government agencies with an understanding of their information management maturity, including implementation of the actions of the National Archives' current policy [Building Trust in the public record: managing information and data for government and community](#). Agencies can use this information to identify pathways for improvement.

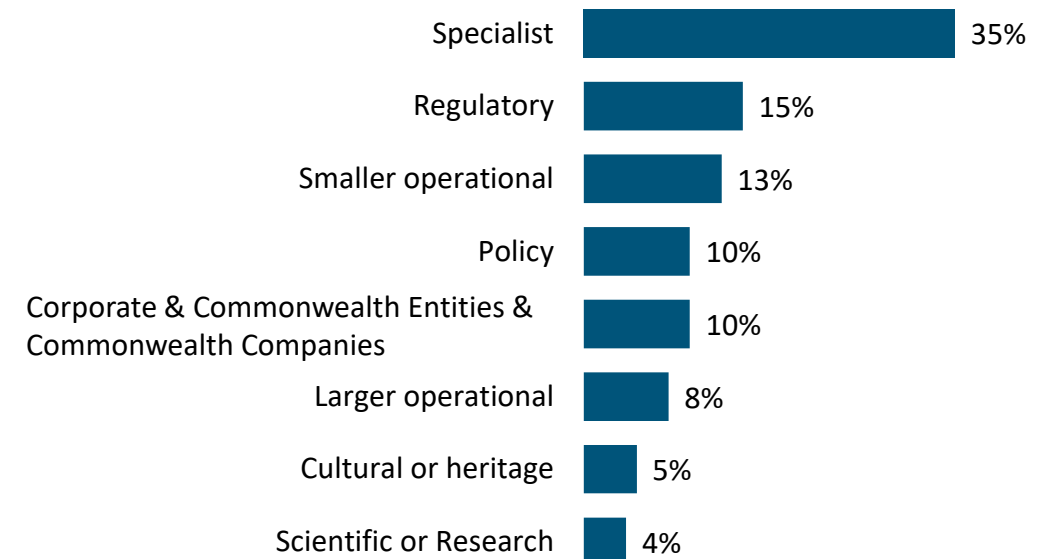
The National Archives of Australia uses the data collected through the Check-up survey to: plan future service delivery, including transfer and preservation of the national archives of the Australian Government; as an evidence base for practical information management advice to agencies; and to prepare reports to the Australian Government on the state of its information management.

This report presents a summary of the results from the 2022 survey across all in-scope agencies. The size and functional profile of these agencies is presented below:

Agency size



Agency function



Base: all agencies, n= 164

How the maturity index is calculated

The Check-up maturity index is a single score summary of agencies' maturity and performance in information management. The overall maturity index is calculated as the average of six component maturity indexes.

Individual component index scores are calculated by combining the maturity ratings of each maturity questions. Questions which do not contribute to a maturity rating have been identified within this report.

Most of these questions are asked on a standard five-point maturity rating scale, where the agency indicates the extent to which it has implemented a range of better practice information management approaches—from 'rarely/never' to 'almost always/always'. Based on its response, the agency is assigned a score of 1 (lowest maturity) to 5 (highest maturity) for each question. The agency's responses to questions that do not use this standard scale are also assigned a score of 1 to 5, based on the relative maturity level implied by each response.

The maturity scores for each maturity question within the relevant section of the questionnaire are then averaged to provide an overall component index score, which also ranges from 1 (lowest maturity) to 5 (highest maturity).

Most questions are assigned an equal weight with other questions in calculating the component index score. The exceptions to this are:

- Four sub-questions under question 12, which measure whether agencies have established enterprise-wide frameworks, strategies and policies covering the management of all information assets across their agency (question 12e Information security strategic and policy documents; question 12f Privacy policy; question 12g Data strategy; and question 12h Open access to information policy). These sub-questions are assigned half the weight of most other maturity questions.
- Five combined question maturity calculations: questions 13-15, questions 16-17; questions 18, 19 and 21; questions 24-25; and questions 59-61. In these cases, multiple questions are used to calculate a maturity score. These combined scores are either given the same weight as a single maturity question (in the case of questions 24-25 and questions 59-61) or two questions (in the other cases), based on their relative importance in information management maturity as determined by the National Archives.

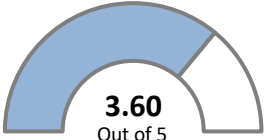
Standard key

Scale point	Quantitative measure	Qualitative description
5 Almost always / always <i>Embedded</i>	More than 80% of the time	Please see the survey questionnaire for Check-up 2022 on the National Archives of Australia's website for the full key description.
4 Usually / most of the time <i>Operational</i>	61-80% of the time	
3 Sometimes <i>Formalising</i>	41-60% of the time	
2 Occasionally <i>Initial</i>	21- 40% of the time	
1 Never/rarely <i>Ad hoc</i>	Less than 21% of the time	

Executive Summary



Overall information management maturity index score:



The 2022 Check-up survey recorded a score of **3.60 (out of 5) on the overall maturity index**. 97% of in-scope agencies completed the 2022 Check-up survey.

The 2022 survey was changed from previous versions, results from previous surveys have not been used for comparison in this report. Across the six individual maturity areas **creating information assets** recorded the highest maturity level (4.28), followed by **storing, preserving and managing** information assets (4.02), and **governance and culture** (3.51); lower maturity levels were recorded for **describing information assets (metadata)** (3.29), **appraising and disposing** (3.29) and **use, reuse and interoperability** (3.22).

Lower maturity levels	Higher maturity levels
Describing information assets (metadata)	Creating information assets
Appraising and Disposing	Storing, preserving and managing information assets
Use, reuse and interoperability	Governance and culture
Cultural or heritage agencies	Specialist, regulatory and policy agencies

In 2022 half of agencies had an information governance framework in place with a further 38% in the process of developing one. Around three quarters of agencies had an active information governance committee, or similar mechanism, in place while a similar number had a Chief Information Governance Officer, or similar role, in place.

A high proportion of agencies usually or always (76%) had active senior management support for information management and senior management representation on the information governance committee. Agencies were less likely to usually or always report to senior management on progress towards achieving the policy actions of the National Archives of Australia’s current policy *Building trust in the public record* (41%) or to report to senior management how well information management practices and process support business objectives (50%). Agencies were more likely to usually or always identify high-value and high-risk information assets to ensure appropriate management (74%) than they were to identify and register information assets where there is business value to do so (59%).

Almost all agencies (96%) usually or always worked digitally by default and managed all digital assets created from 1 January 2016 onwards digitally (95%). A high proportion of agencies usually or always created and captured information assets routinely as evidence of government business (87%), identified requirements to create information assets (80%) as well as created and captured complete and accurate information assets (77%).

Executive Summary



In 2022 over half of agencies usually or always ensured business systems met minimum metadata requirements (60%) and identified necessary metadata to ensure information assets can be found and understood. (63%). They were less likely to usually or always undertake quality assurance checks on consistency of entry of metadata (34%), review the usefulness of metadata to support business needs (45%) or provide advice to staff on consistent entry of metadata where system functionality cannot be built in (48%). Only 16% of agencies had a completed metadata strategy or framework to support continuous improvement of metadata management. However, a further 49% of agencies had a metadata strategy under development.

The majority of agencies usually or always stored information assets securely ensuring sensitive information is managed according to Australian Government requirements (94%), as well as created digital information assets in sustainable digital formats (90%). While still a majority, less agencies (78%) usually or always implemented storage and preservation strategies, procedures and activities to ensure information assets can be accessed, used and understood. Of the 16% of agencies that had information that was unable to be used before its authorised disposal date, the two highest reasons were: because information was stored in obsolete file formats (73%) or was stored in an obsolete medium that had deteriorated (62%). Around three quarters of agencies usually or always addressed information management requirements when upgrading, migrating or decommissioning systems and saved information into endorsed systems with appropriate information management functionality. This dropped to around half (52%) of agencies that usually or always reviewed the capacity of existing business systems to meet functional requirements for information management and addressed gaps. Around half of agencies (56%) reported finding it a little difficult to very difficult to integrate functional requirements for information management into new or existing business systems. Agencies reported that difficulties included: the number of systems (50%), the age of the business system/s (49%), and information management requirements not being prioritised (42%). In 2022, 81% of agencies used cloud-based storage and 65% of agencies used cloud-based services.

Approximately half to two thirds of agencies usually or always implemented a range of practices regarding appraising and disposing of information assets including: analysing stakeholder and other requirements to keep information assets (65%), establishing governance across systems so that information assets were not prematurely destroyed (53%), and ensuring they had identified 'retain as national archives' information assets to inform appropriate management (51%). Agencies were less likely to usually or always sentence information assets (43%), promptly destroy information assets after sentencing (34%), or transfer 'retain as national archives' information assets as soon as practicable or within 15 years of creation to the care of the National Archives (22%). 35% of agencies reported they were planning to transfer 'retain as national archives' information assets to the National Archives in the next 12 to 24 months.

Executive Summary



38% of agencies indicated that they needed to develop or update their records authority, while 19% were unsure if they needed to do so. 39% of agencies had not sentenced physical information assets in the period from 1 January 2021 to 30 June 2022, of these 47% were unsure when they would start sentencing physical assets. In the same period 57% of agencies had not sentenced digital information assets and of these 35% were unsure when they would start sentencing. The three highest challenges agencies identified in **sentencing** information assets were: lack of resources (56%), lack skilled staff (48%) and the volume of information assets that needed to be sentenced (47%). The three highest challenges agencies faced in **destroying** information assets were lack of resources (49%), destruction not a priority above other information management activities (47%) and agencies being risk averse to destroying information assets (29%). The three highest challenges agencies faced in **transferring** 'retain as national archives' information assets to the National Archives were: not attempting to transfer (43%), lack of resources (26%) and still having a business need to retain them over 15 years (18%). When agencies were asked to nominate their most **commonly occurring information management challenges** the top three were: lack of resources, cultural issues related to information management being seen as a compliance issue rather than enabling business, and implementation of Microsoft Office 365, Sharepoint and Teams.

Just over half (58%) of agencies usually to always adopt an open by default position for the release of non-sensitive information assets and assess how easy it is for users to find and use information assets (54%). Agencies were less likely (35%) usually or always to remove restrictions on access to information assets as soon as they no longer apply. Less than half of agencies usually or always undertake a range of governance mechanisms to drive interoperability. For example, 49% of agencies usually or always ensure that data governance is defined while only 40% of agencies usually or always assess interoperability maturity based on business and stakeholder needs with plans to address maturity gaps.

64% of agencies reported using products and advice created by the National Archives to support agencies to implement the *Building trust in the public record* policy. The *Building trust in the public record* policy implementation index section at the end of this report shows Australian Government progress in implementing the actions of the policy. The overall policy implementation index score for 2022 was 3.56 (out of 5). Overall implementation indexes for each key requirement of the policy in 2022 were:

Key requirement 1: Manage information assets strategically with appropriate governance and reporting to meet current and future needs of government and community - 3.56 (out of 5)

Key requirement 2: Implement fit for purpose information management processes, practices and systems that meet identified needs for information asset creation, use and re-use - 3.80 (out of 5)

Key requirement 3: Reduce areas of information management inefficiency and risk to ensure public resources are managed effectively - 3.31 (out of 5)

Information management maturity indices

The 2022 Check-up survey measured agency performance against six information management indices (out of 5)



Governance and culture

Proactively plan and implement information governance to manage business information as an asset to support immediate and future business outcomes, needs and obligations.

3.51



Creating information assets

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

4.28



Describing information assets (metadata)

Describe business information so that it can be found, understood and accessed appropriately when needed.

3.29



Storing, preserving and managing information assets

Store business information securely and preserve it in a useable condition for as long as required for business needs and community access, and manage them in systems that protect its integrity and support trusted and reliable use.

4.02



Appraising and disposing (destruction and transfer)

Analyse and document how long to keep business information to meet identified business and community needs. Keep business information for as long as required after which time it should be accountably destroyed or transferred.

3.29



Use, reuse and interoperability

Create and manage business information so that it can be effectively accessed over time by staff and other users with right of access.

3.22

Overall

The overall maturity index is calculated as an average of the above six information maturity indices.

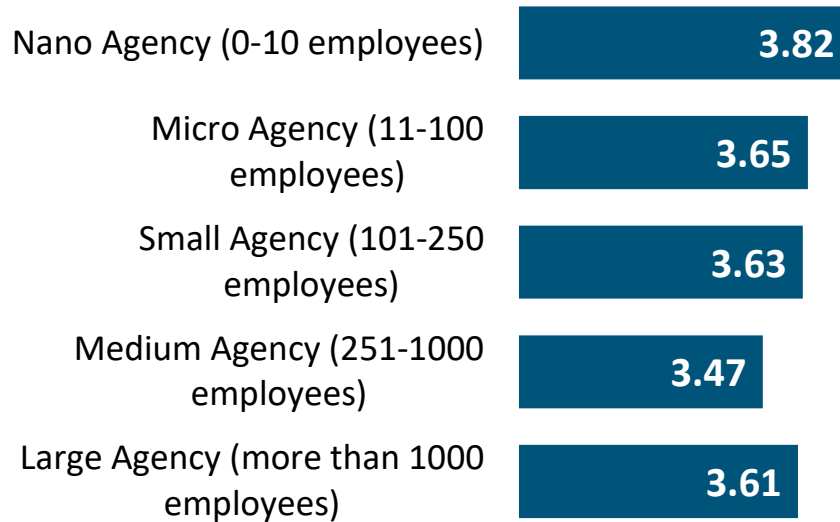
3.60

Overall information management maturity index by...



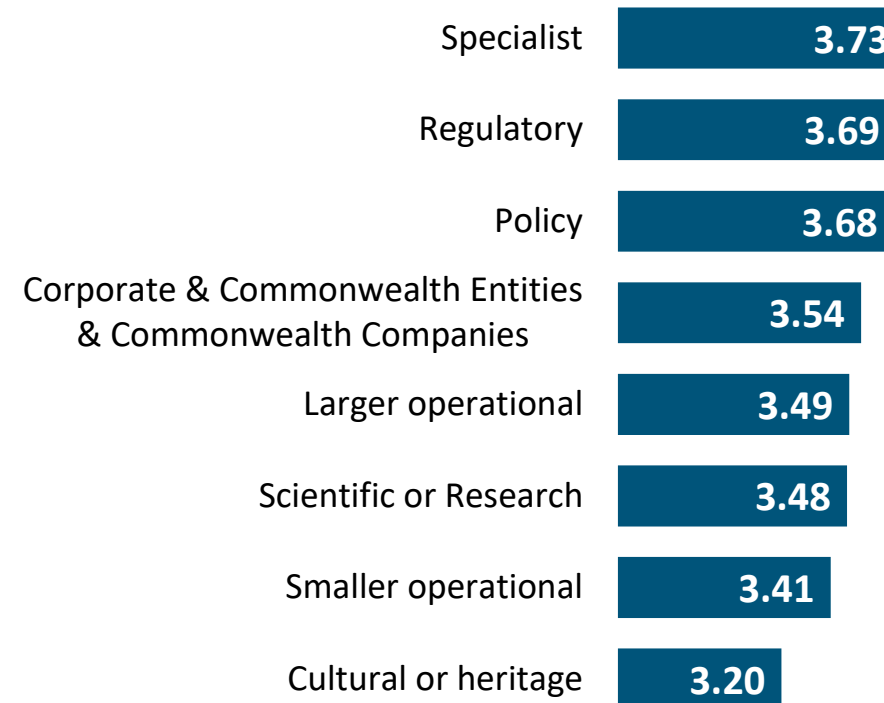
Agency size

Nano agencies recorded the highest maturity rating (3.82), with medium agencies recording the lowest maturity rating (3.47).



Agency function

Agencies with **specialist, regulatory, or policy functions** recorded the **highest maturity** scores on average in 2022 (all around 3.7).



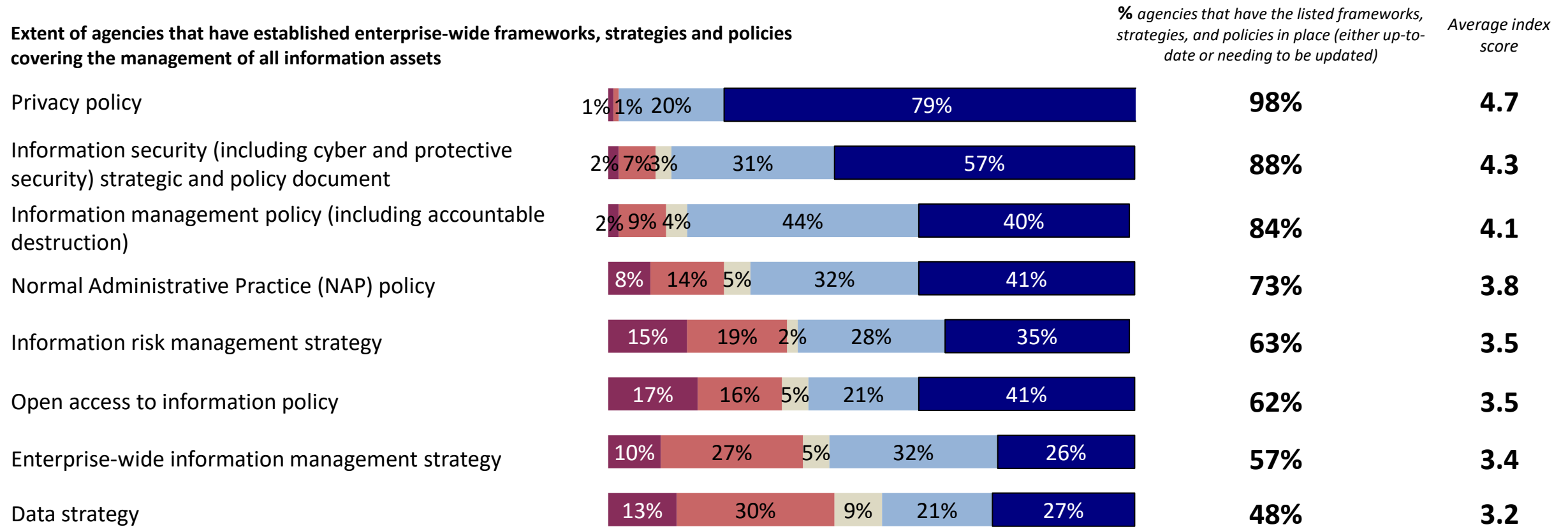
Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5



Across frameworks, strategies and policies that were measured, agencies in 2022 were most likely to have a privacy policy (98%) and an information security (including cyber and protective security) strategic and policy document (88%) in place (either up-to-date or needing to be updated).

Extent of agencies that have established enterprise-wide frameworks, strategies and policies covering the management of all information assets



■ Not developed
 ■ Planning consultation underway to develop
 ■ Draft completed
 ■ Completed and needs to be reviewed / updated
 ■ Completed and up to date

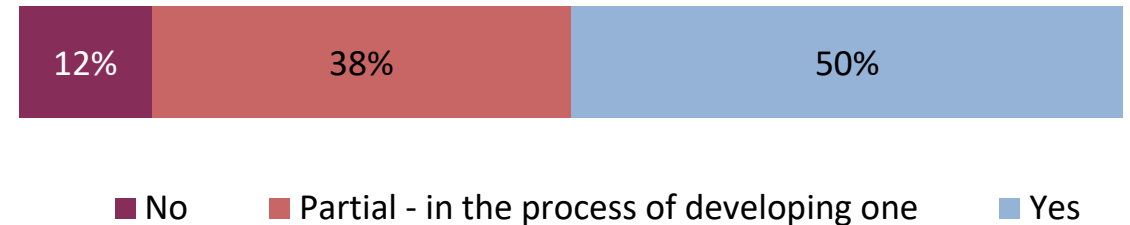
Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5



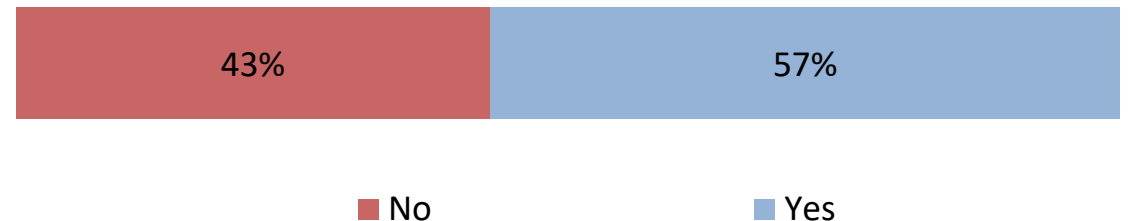
In 2022, half of agencies indicated they have an information governance framework in place, with just over half of these frameworks (57%) having been developed, or reviewed and updated, since 1 January 2021. Around three-quarters (76%) of agency governance frameworks covered all information assets – records, information and data, with the remainder covering records and information only.

Whether agencies have an information governance framework?



Agencies with an information governance framework:

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



Do agencies' information governance framework cover:



Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5



Around three-quarters of agencies (76%) had an active information governance committee in place, with most of these committees covering all types of information assets. Over two-thirds of agencies (69%) indicated that the responsibilities of their committee had been created, or reviewed and updated since 1 January 2021, a marked increase from previous years.

Proportion of agencies that have an active information governance committee (or similar mechanism) with responsibility for oversight of enterprise-wide information management[^]

Yes - the committee, or similar mechanism, makes decisions on enterprise-wide information management issues (includes all types of information assets)



Partial - a data governance committee or similar mechanism makes decisions on enterprise-wide data management (covers data only)



Partial - a records and information governance committee or similar mechanism makes decisions on enterprise-wide information management for records and information (excludes data)

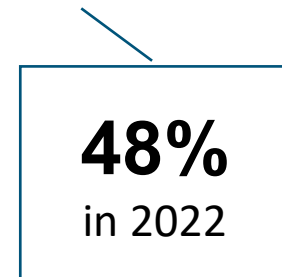
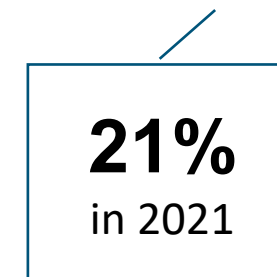


No - my agency does not have an information governance committee or similar mechanism



The responsibilities of the information governance committee have been created, or reviewed and updated since 1 January 2021

69%



Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5



In 2022, around three-quarter (76%) of agencies reported having a Chief Information Governance Officer (CIGO). Most CIGOs (64%) had responsibility for all information assets; less than half (43%) had their responsibilities developed, or reviewed and updated since 1 January 2021.

Whether agencies have a Chief Information Governance Officer (CIGO), or similar role?



Proportion of agencies' CIGO, or similar role, that cover oversight of all information assets - records, information and data^

Yes - the CIGO, or similar role, has oversight of all types of information assets **64%**

Partial - the CIGO, or similar role, has oversight of records and information (excludes data) **29%**

Partial - a Chief Data Officer, or similar role, has oversight of data (covers data only) **18%**

***74%** of CIGOs, or similar role, are at a senior executive service level

The responsibilities of the CIGO, or similar role, have been developed, or reviewed and updated since 1 January 2021

43%

22%
in 2021

21%
in 2022

Governance and culture



Overall Governance and culture maturity index: **3.51** out of 5



Only 37% of agencies indicated that information governance frameworks, committees and roles covered all information assets, with 45% reporting that their records and information are governed separately from data. There were also 19% of agencies that reported their agency had overarching governance mechanism/s that ensures their management of information and data is integrated and aligned for business benefit.

How information assets (records, information and data) are aligned within agencies

Records and information are governed separately from data



Information governance frameworks, committees and roles cover all information assets - records, information and data



While separate governance mechanisms exist for records, information and data, there is overarching governance mechanism/s that ensures their management is integrated and aligned for business benefit



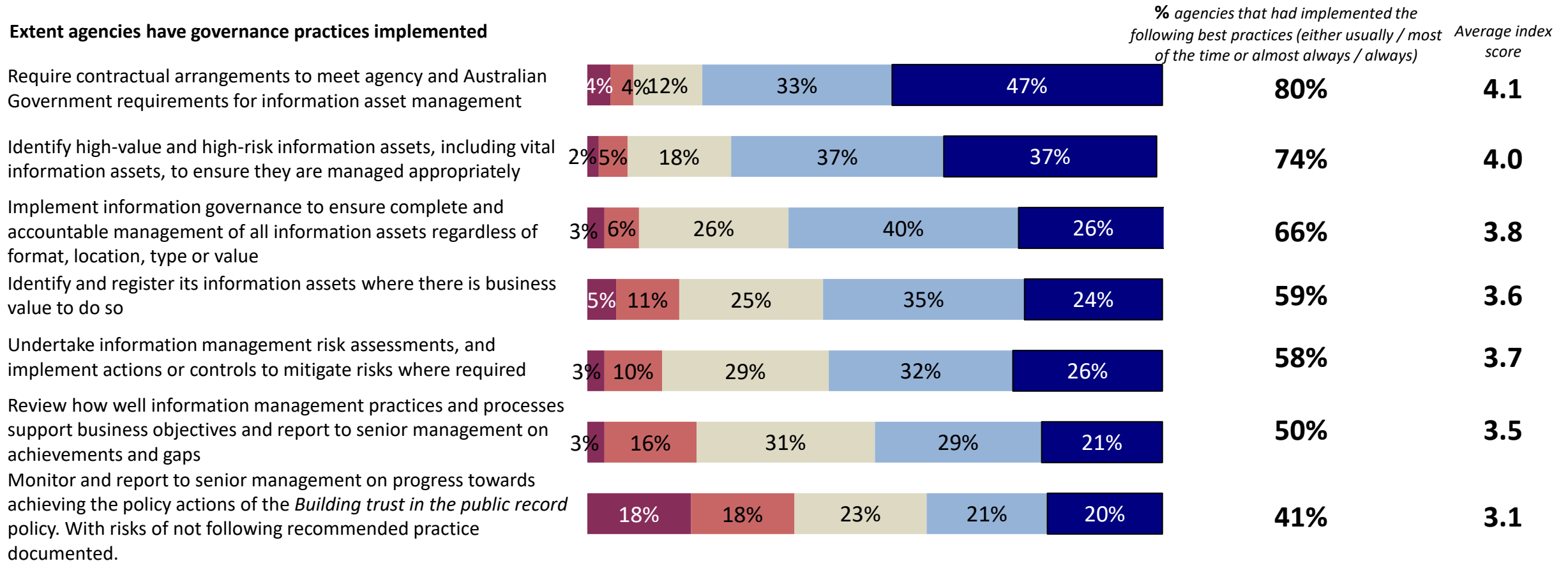
Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5



A high proportion of agencies usually or always have contractual arrangements to meet agency and Australian Government requirements for information asset management (80%) and identify high-value and high-risk information assets to ensure they are managed appropriately (74%). Agencies were much less likely to review and report on how well information management practices and processes support business objectives (50%) or monitor and report to senior management on implementation of the *Building trust in the public record* policy (41%).

Extent agencies have governance practices implemented



■ Never / rarely

■ Occasionally

■ Sometimes

■ Usually / most of the time

■ Almost always / always

Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5

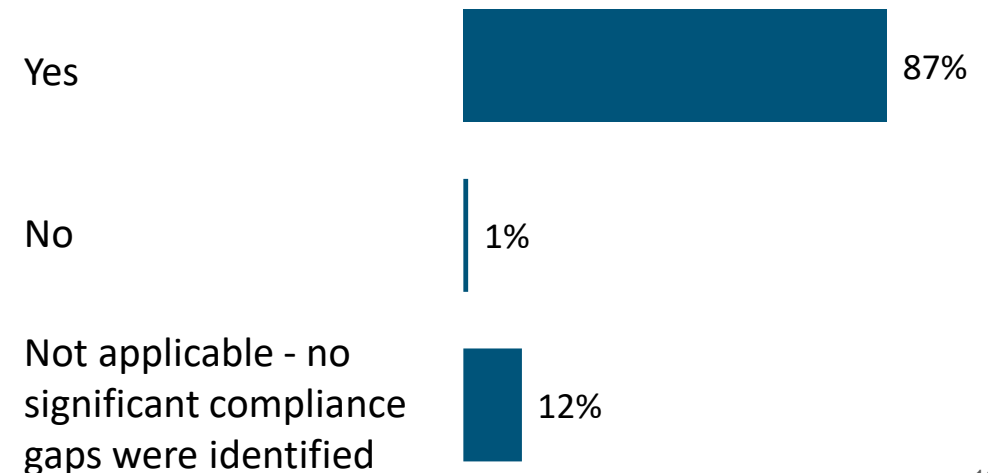


In 2022, just over half (55%) of agencies had their information management audited. Amongst these agencies, 87% have started to address any compliance gaps that were identified as a result of these audits and 12% indicated they had no significant compliance gaps were identified.

Whether agencies had their information management audited to assess how well the agency and agency staff are complying with regulatory, business and community requirements for creating and managing information assets in the last 5 years



Whether agencies have started to address any compliance gaps that were identified as a result of that audit



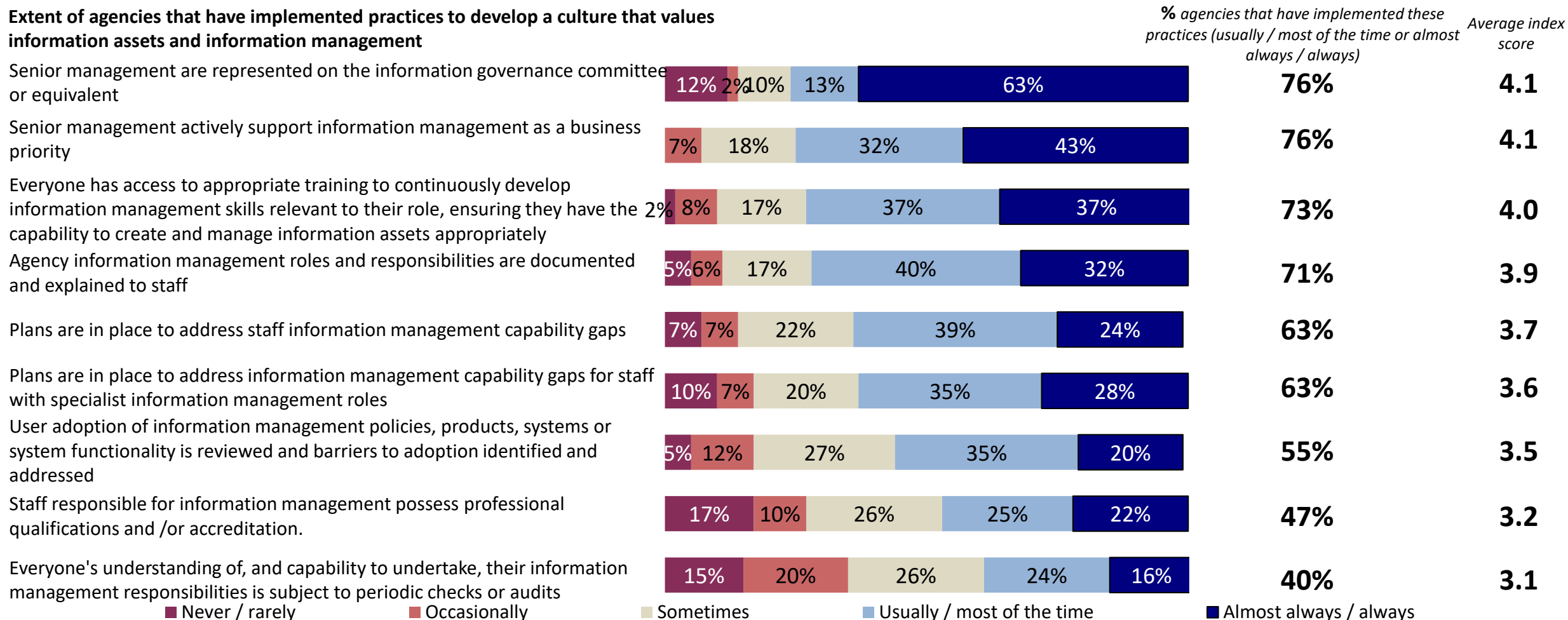
Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5



Agencies were most likely to usually or always involve senior management in developing a culture that values information assets and information management, including: senior management being represented on information governance committees and actively supporting information management as a business priority (both 76%). Agencies were least likely to conduct periodic checks or audits of staff understanding of, and capability to, undertake information management responsibilities (40%).

Extent of agencies that have implemented practices to develop a culture that values information assets and information management



■ Never / rarely

■ Occasionally

■ Sometimes

■ Usually / most of the time

■ Almost always / always

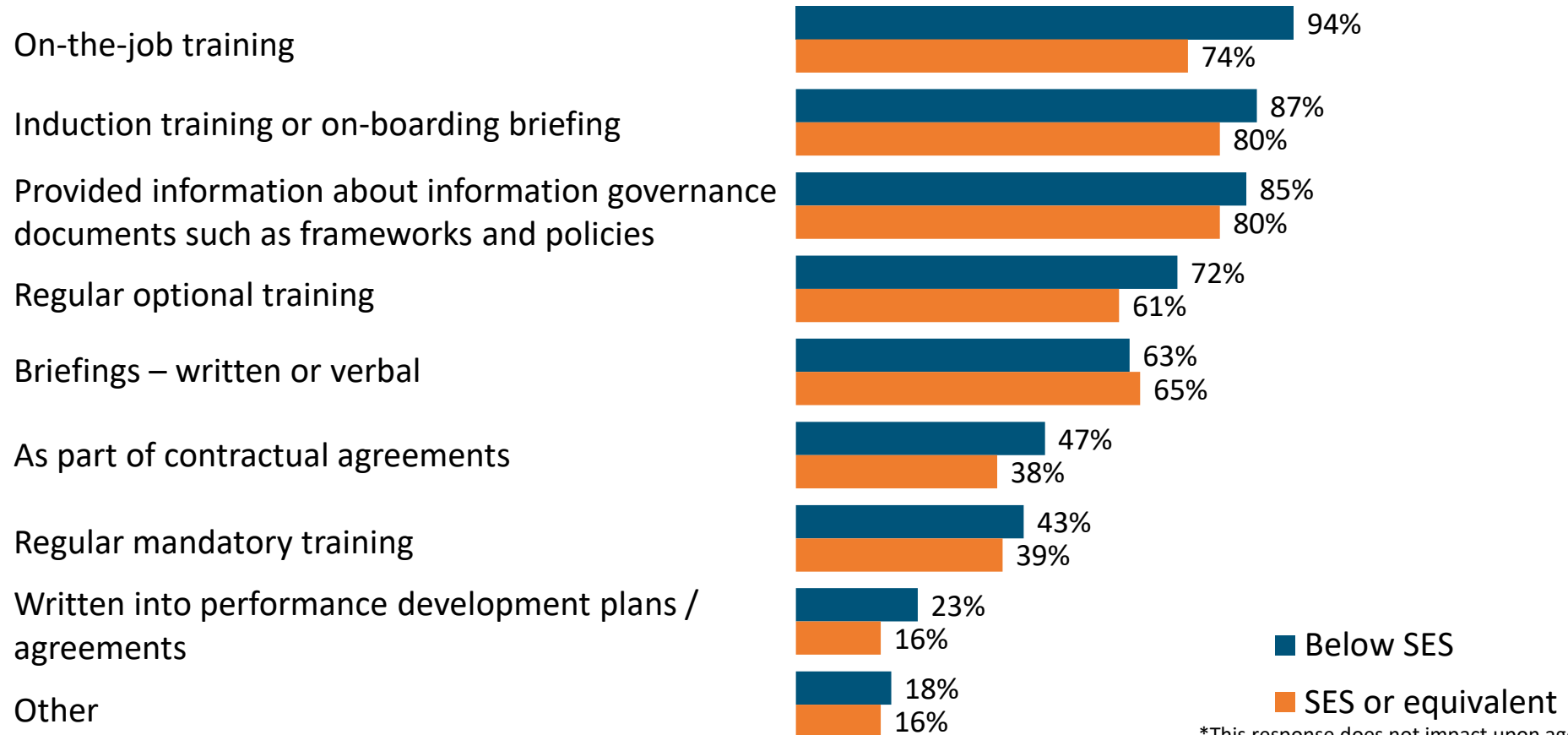
Governance and culture

Overall Governance and culture maturity index: **3.51** out of 5



The vast majority of agency staff below SES level received on-the-job training (94%) followed by induction training or on-boarding briefing (87%). In comparison, agency staff at SES or equivalent level were most likely to receive induction training or on-boarding briefing (80%) and provision of information about information governance documents such as frameworks and policies (80%).

***How agency staff and others are informed about their information management responsibilities and the value of well managed information to the business^**



^Multiple responses allowed
Base: all agencies, n= 164

*This response does not impact upon agency maturity scores 18

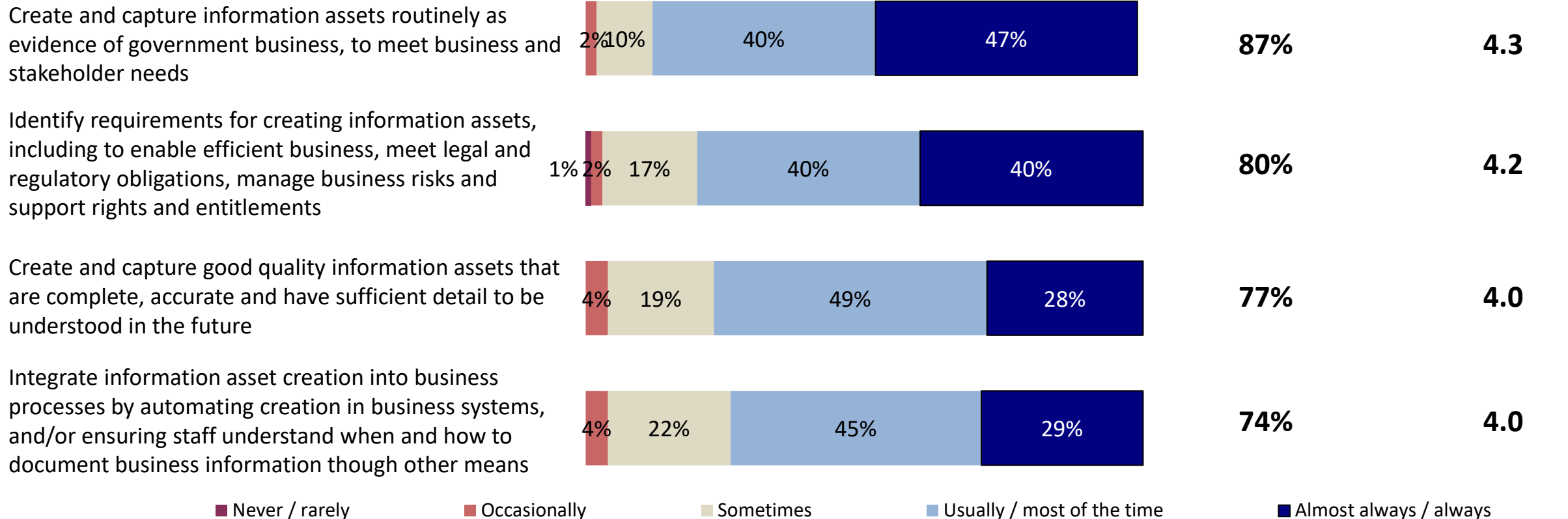
Creating information assets

Overall creating information assets maturity index: **4.28** out of 5



In 2022, 87% of agencies usually or always created and captured information assets routinely as evidence of government business, to meet business and stakeholder needs. Similarly, strong results were recorded by agencies regarding identifying requirements for creating information assets, including to enable efficient business, meet legal and regulatory obligations, manage business risks and support rights and entitlements (80%).

Extent of agencies that have implemented practices to create necessary, fit-for-purpose, information assets, implemented in their agencies



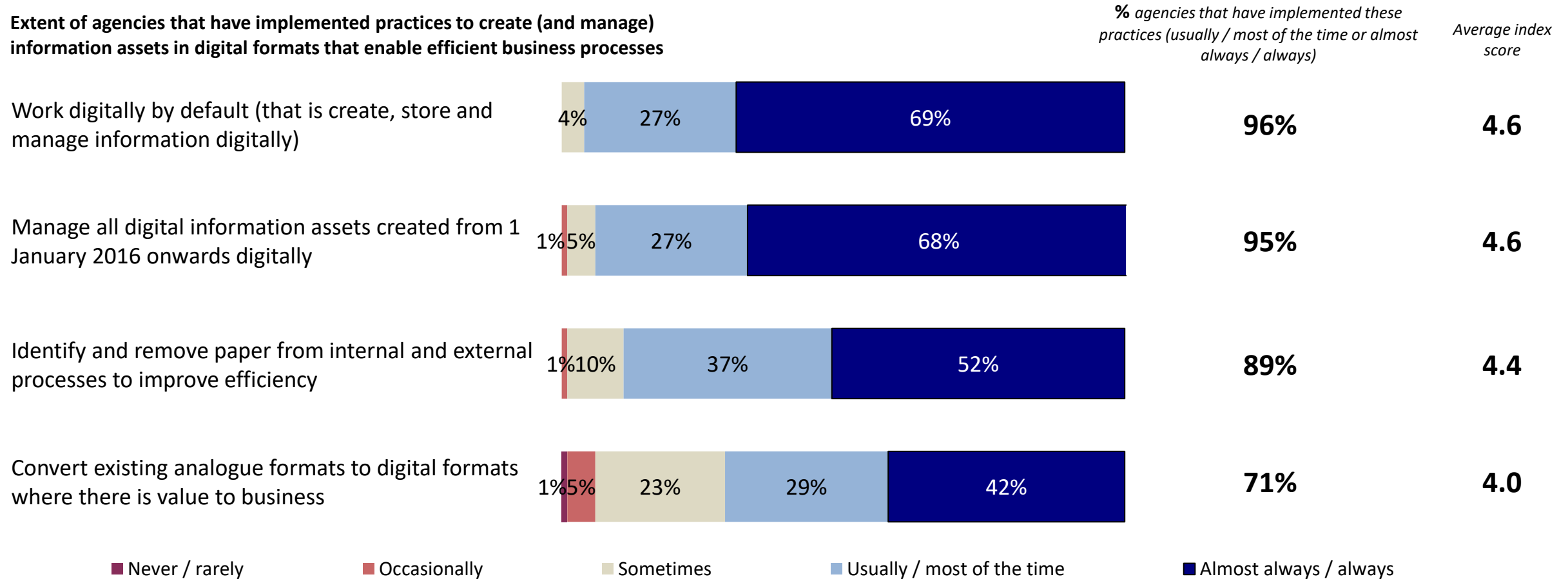
Creating information assets

Overall creating information assets maturity index: **4.28** out of 5



Almost all agencies (96%) usually or always work digitally by default and manage all digital information assets created from 1 January 2016 onwards digitally (95%). Over two-thirds of agencies (71%) also indicated they usually or always convert existing analogue formats to digital formats where there is value to business.

Extent of agencies that have implemented practices to create (and manage) information assets in digital formats that enable efficient business processes



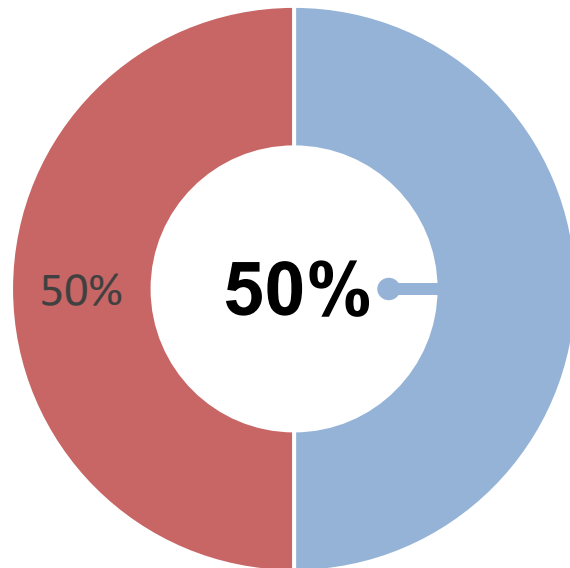
Creating information assets

Overall creating information assets maturity index: **4.28** out of 5

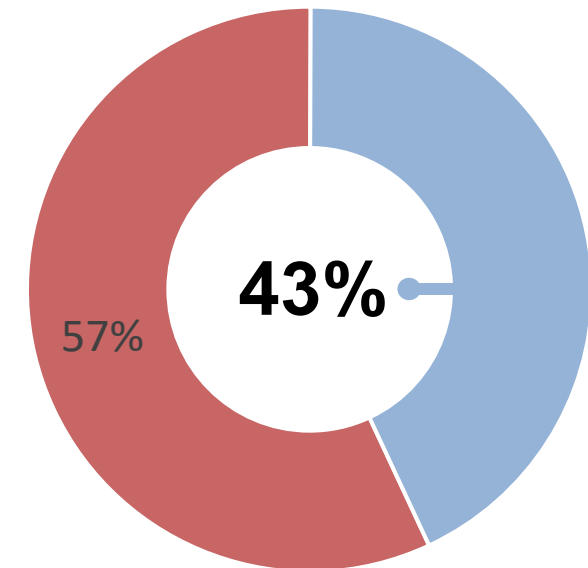


Half of agencies indicated that they are currently creating and managing information assets in physical formats, while 43% indicated they receive information assets in physical formats and manage them in that format.

*Proportion of agencies that are currently creating and managing information assets in physical formats



*Proportion of agencies that are receiving information assets in physical formats and managing them in that format



■ No ■ Yes

*This response does not impact upon agency maturity scores
Base: all agencies, n= 164

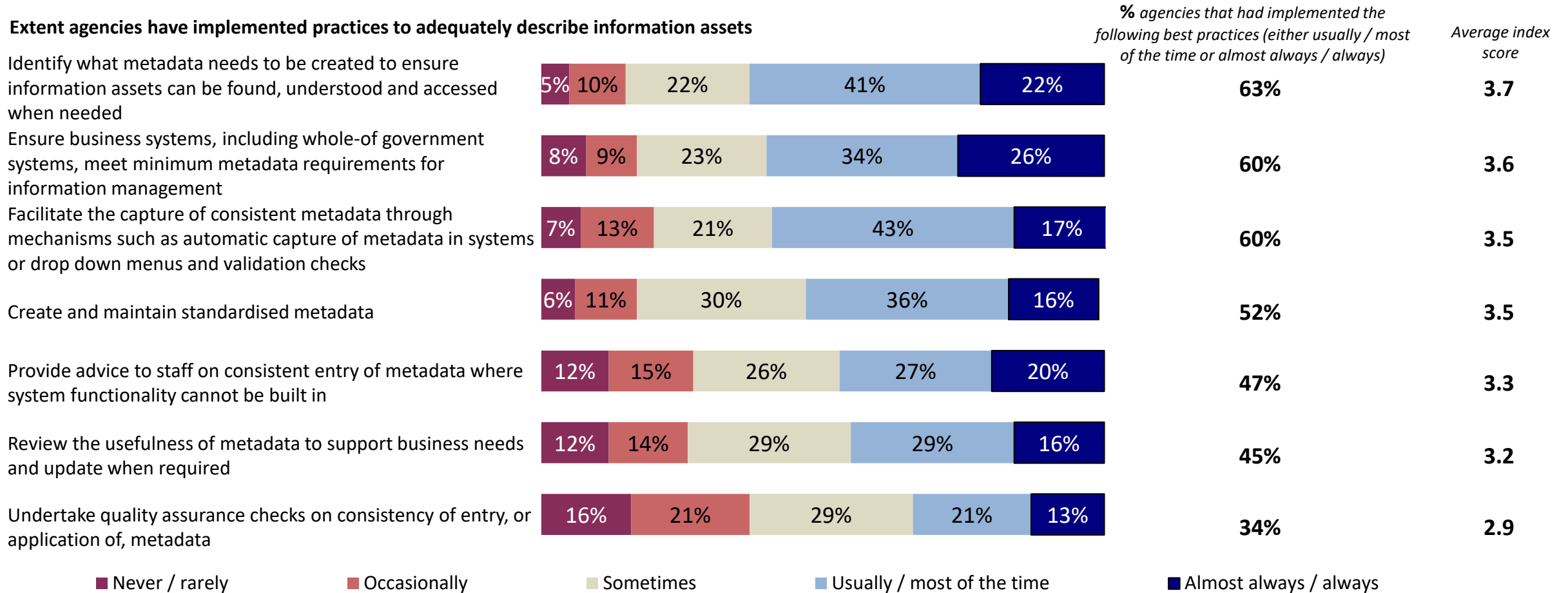
Describing information assets

Overall describing information assets maturity index: **3.29** out of 5



In 2022, between one-third and two-thirds of agencies indicated they usually or always implemented a range of practices to adequately describe information assets, ranging from 34% of agencies that undertake quality assurance checks on the consistency of entry, or application of, metadata to 63% that identify what metadata needs to be created to ensure information assets can be found, understood and accessed when needed.

Extent agencies have implemented practices to adequately describe information assets



Describing information assets



Overall describing information assets maturity index: **3.29** out of 5



More than one-third of agencies do not have in place a metadata strategy or framework to support continuous improvement of holistic enterprise-wide metadata management, with a further 49% indicating their strategies or frameworks are under development. Only 16% of agencies currently have such metadata strategies or frameworks in place.

Whether agencies have a metadata strategy or framework to support continuous improvement of holistic enterprise-wide metadata management



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

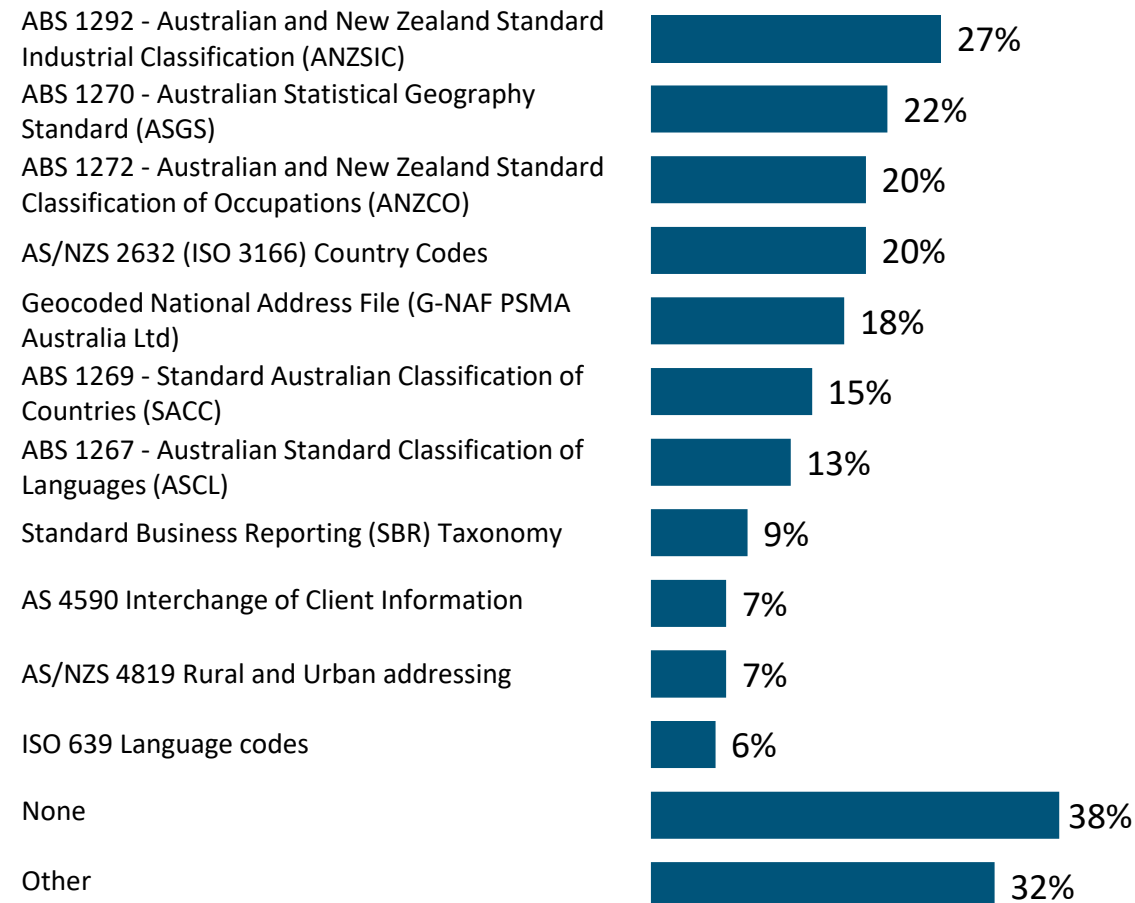
Describing information assets

Overall describing information assets maturity index: **3.29** out of 5



A broad range of different data standards were used by different agencies in 2022, with no single standard being used by more than around one-quarter of agencies. The most common standards included ABS 1292 - Australian and New Zealand Standard Industrial Classification (ANZSIC) (27%) followed by the ABS 1270 - Australian Statistical Geography Standard (ASGS) (22%). Over one-third of agencies (38%) do not use data standards.

*Data standards agencies use^



*This response does not impact upon agency maturity scores

^Multiple responses allowed

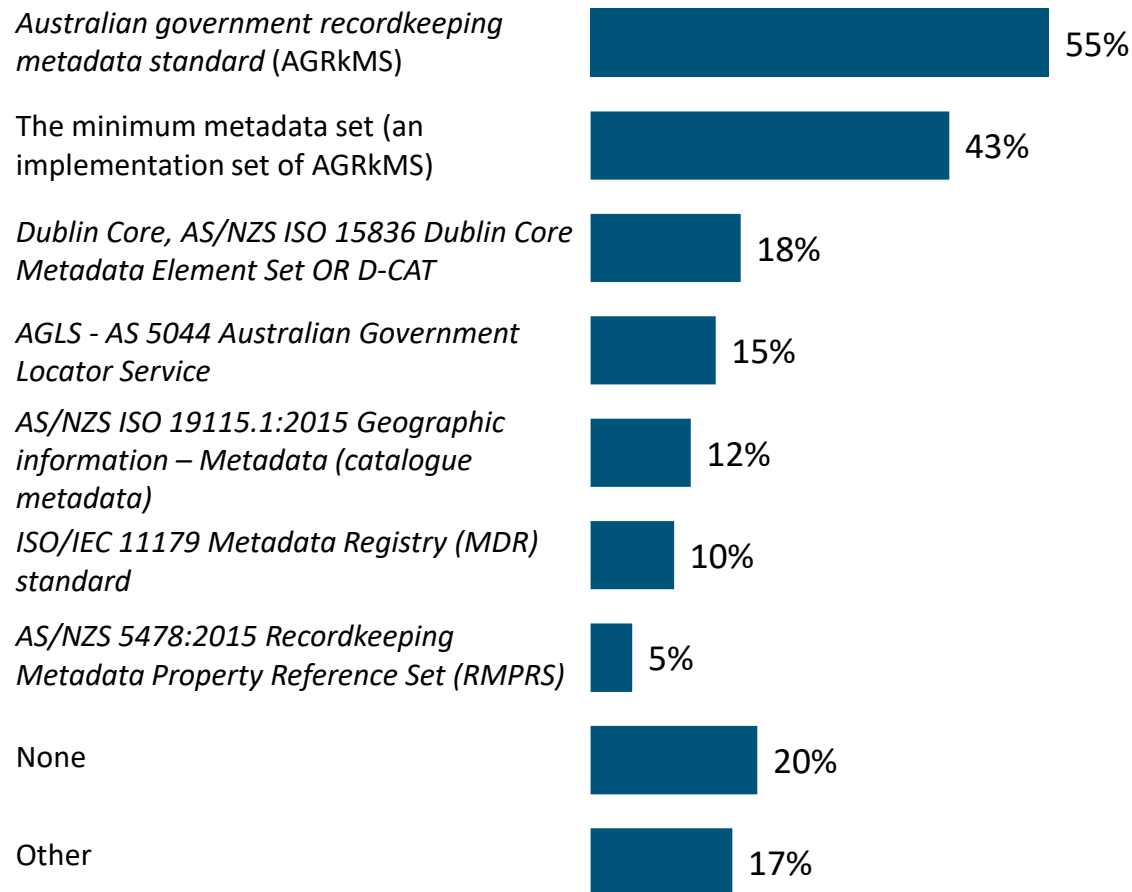
Describing information assets

Overall describing information assets maturity index: **3.29** out of 5

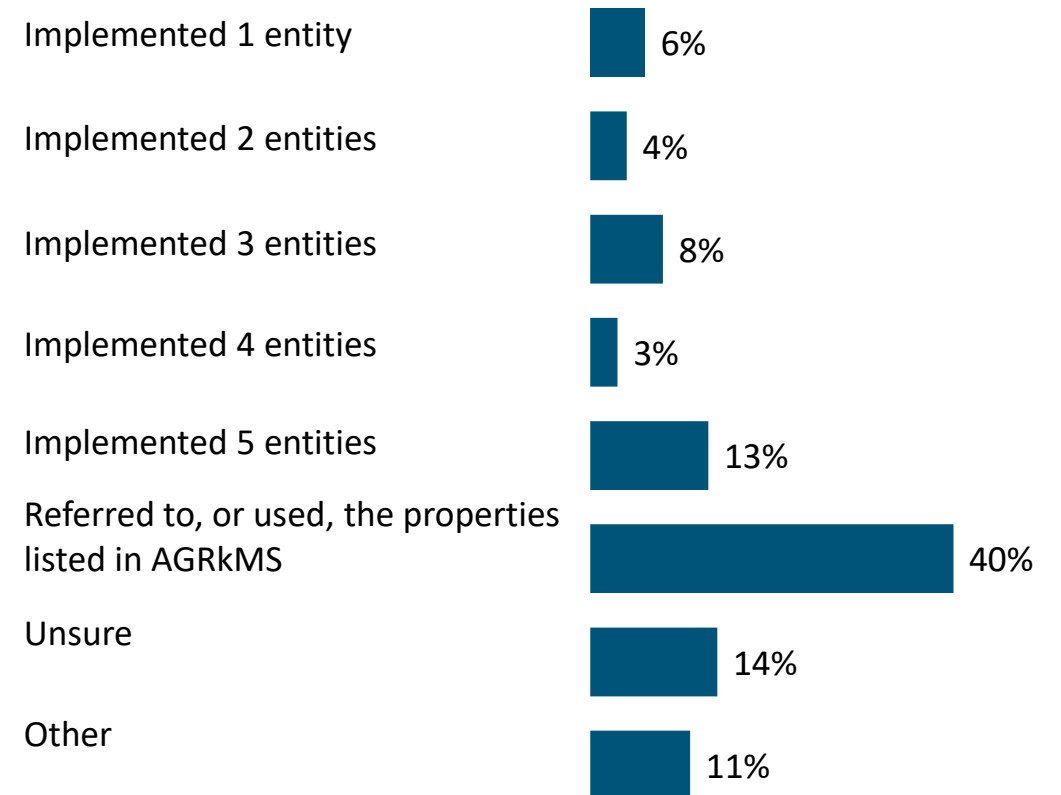


Agencies were more likely to use the Australian government recordkeeping metadata standard (AGRkMS) (55%) followed by the minimum metadata set (an implementation set of AGRkMS) (43%). Agencies were most likely (40%) to use the AGRkMS by referring to or using the properties listed in this standard, while 13% of agencies had implemented a full five-entity system.

*Metadata standards agencies use[^]



*How have agencies implemented/used the Australian Government Recordkeeping Metadata Standard (AGRkMS)



*This response does not impact upon agency maturity scores

[^]Multiple responses allowed

Describing information assets

Overall describing information assets maturity index: **3.29** out of 5

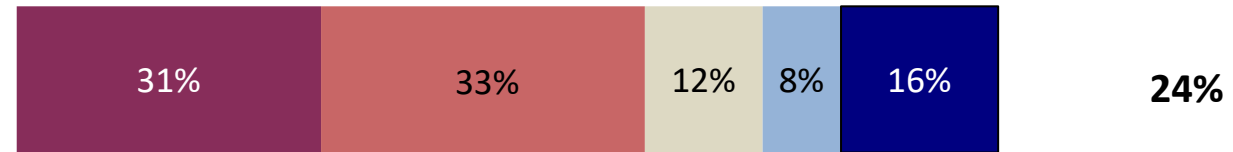


Just under one-quarter of agencies ensure data exchanges with other agencies are accompanied with metadata or data dictionaries (24%) and make metadata available or accessible to external agencies or organisations (24%). Around one-third of agencies rarely or never do these actions.

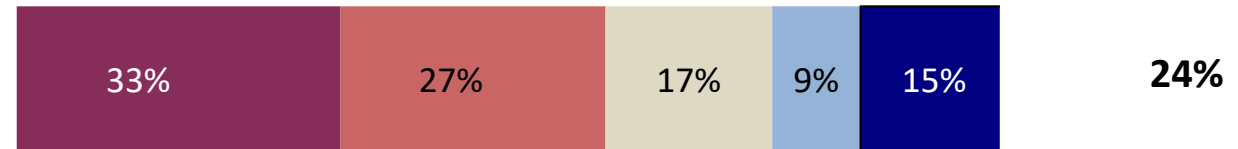
*Extent of agencies that do the following

% agencies that have implemented these practices (Usually, with only low value or legacy still to be managed or almost always / always)

Ensure data exchanges with other agencies are accompanied by metadata / data dictionaries



Make metadata available / accessible externally to the agency / organisation



■ Rarely / never

■ Often, for our high value information

■ Always / almost always

■ Sometimes, for our highest value assets

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

*This response does not impact upon agency maturity scores
Base: all agencies, n= 164

Storing, preserving, and managing information assets



Overall Storing, preserving, and managing information assets maturity index: **4.02** out of 5



The vast majority of agencies (94%) usually or always store information assets securely ensuring information is identified and managed according to: protective security; cyber security; and privacy requirements. A similarly high proportion of agencies (90%) create digital information assets in sustainable digital formats with a lower risk of becoming obsolete.

Extent of agencies that have implemented the following storage and preservation practices

Store information assets securely ensuring sensitive information (such as security classified or personally sensitive information) is identified and managed according to: protective security; cyber security; and privacy requirements.



% agencies that have implemented these practices (usually / most of the time or almost always / always)

94%

Average index score

4.6

Create digital information assets in sustainable digital formats with a lower risk of becoming obsolete.



90%

4.4

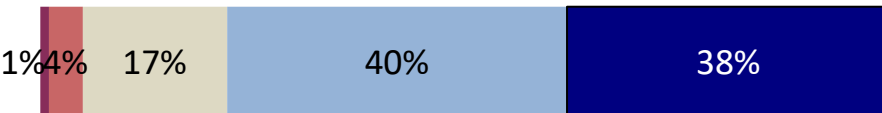
Ensure contractual arrangements for third-party storage (including cloud) cover information management requirements including security, access, migration, disposal and end of contract considerations to ensure access to needed information assets is not compromised.



85%

4.3

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



78%

4.1

■ Never / rarely

■ Occasionally

■ Sometimes

■ Usually / most of the time

■ Almost always / always

Storing, preserving, and managing information assets

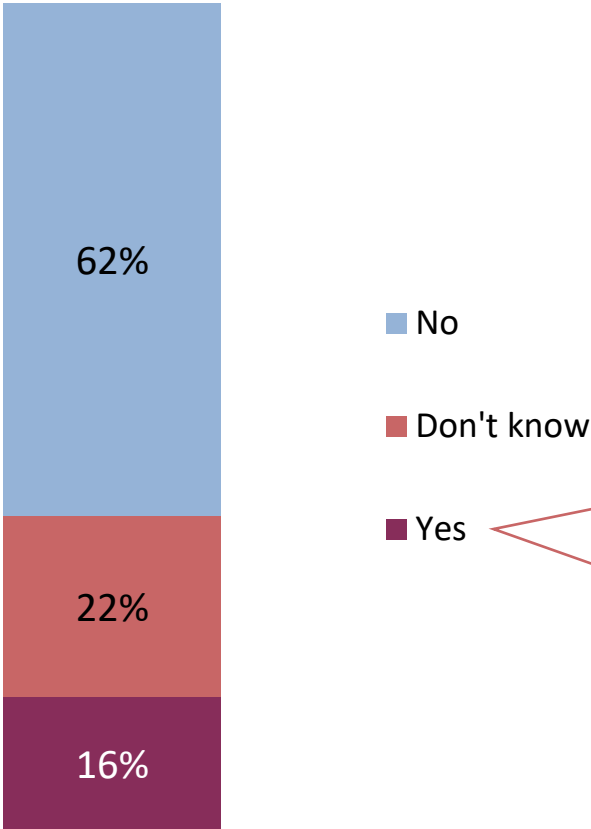


Overall Storing, preserving, and managing information assets maturity index: **4.02** out of 5

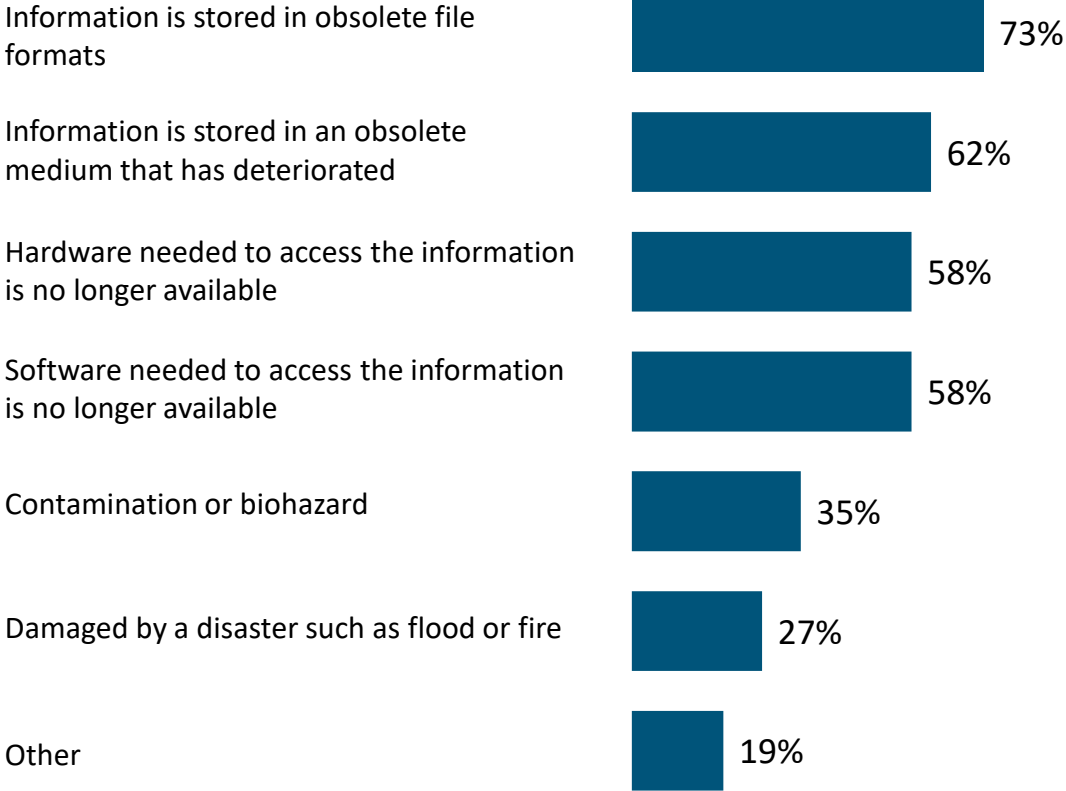


In 2022, 16% of agencies have information which is unable to be accessed or used before its authorised disposal date. Agencies were most likely to be unable to access or use information due to information stored in obsolete file formats (73%), or an obsolete medium that has deteriorated (62%).

*Whether agencies have information which is unable to be accessed or used before its authorised disposal date



*Reasons agencies are unable to access or use that information^



Base: all agencies, n= 164; agencies that have information that cannot be accessed or used before its authorised disposal date, n=26 *This response does not impact upon agency maturity scores ^Multiple responses allowed 28

Storing, preserving, and managing information assets

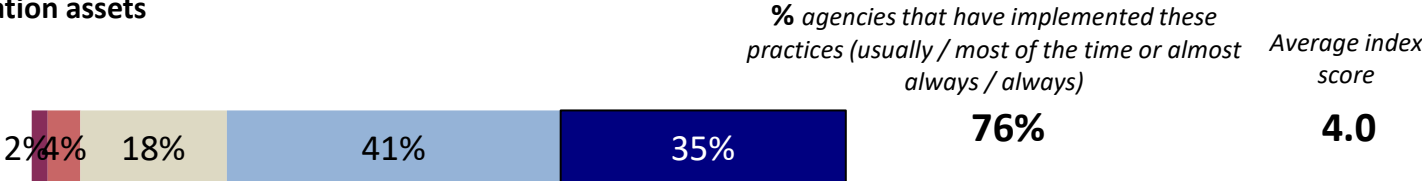
Overall Storing, preserving, and managing information assets maturity index: **4.02** out of 5



Around three-quarters of agencies usually or always address information management requirements when upgrading, migrating or decommissioning systems to meet business needs (76%) and save information into endorsed systems with appropriate information management functionality of governance (74%). Around half (52%) of agencies usually or always review the capacity of existing business systems, including whole of government systems, to meet functional requirements for information management and address gaps.

Extent of agencies that have implemented practices to save information assets into systems where they can be appropriately managed

Address information management requirements when upgrading, migrating or decommissioning systems, including legacy and poorly performing systems, to meet business needs



Save information assets into endorsed systems with appropriate information management functionality or governance

Ensure new business systems specifications, including whole of government business systems, meet functional requirements for information management

Provide guidance to staff on information governance controls and rules when using systems and platforms with limited information management functionality

[Do not] Keep information assets in systems or platforms where they cannot be managed appropriately, such as uncontrolled network drives or collaboration platforms without appropriate information management functionality*

Review the capacity of existing business systems, including whole of government systems, to meet functional requirements for information management and address gaps

■ Never / rarely ■ Occasionally ■ Sometimes ■ Usually / most of the time ■ Almost always / always

*Note: The question was framed as a negative statement in the survey. Its results have been presented in reverse order (reverse options range from 1='Almost always / always' to 5='Never / rarely') to allow comparison with the other positive statements in this section.

Storing, preserving, and managing information assets

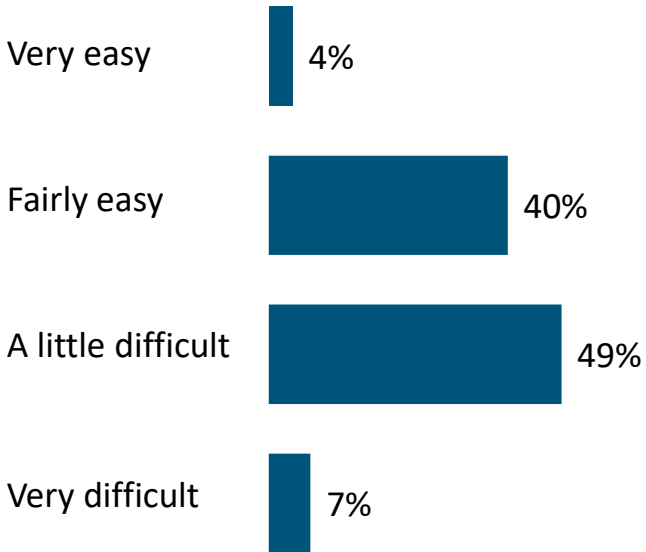


Overall Storing, preserving, and managing information assets maturity index: **4.02** out of 5

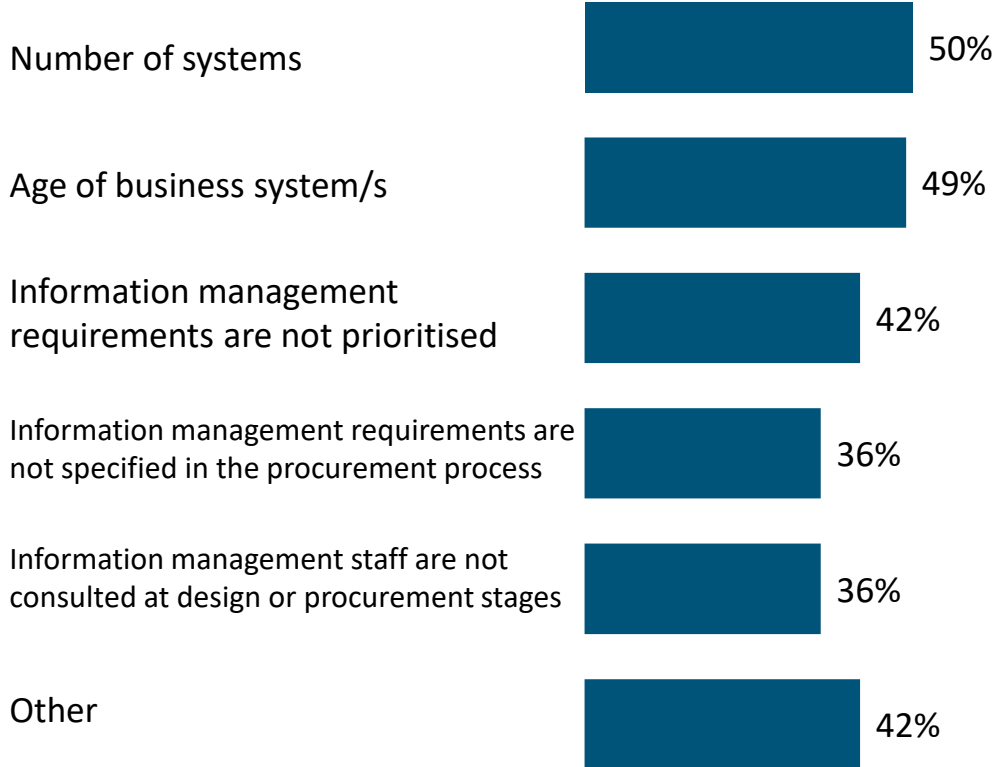


Around half of agencies (56%) found it a little difficult or very difficult to integrate functional requirements for information management into new or existing business systems. Agencies were most likely to attribute this difficulty to having a number of systems (50%), the age of business system/s (49%) and information management requirements not being prioritised (42%).*

***How easy or difficult do agencies find it to integrate functional requirements for information management into new or existing business systems**



***Reasons agencies find it difficult to integrate functional requirements for information management into new or existing business systems^**



*This response does not impact upon agency maturity scores

Base: all agencies, n= 164; agencies that have find it a little difficult or very difficult to integrate functional requirements for information management into new or existing business systems, n=92 ^Multiple responses allowed

Storing, preserving, and managing information assets



Overall Storing, preserving, and managing information assets maturity index: **4.02** out of 5



‘Other’ reasons agencies find it difficult to integrate functional requirements for information management into new or existing business systems

‘As we are a **small agency**, we do not have the allocated adequately trained resources to solely focus on integrated functional requirements for information management’

‘Business areas with expertise in aspects of information management (for example, master data or metadata) **aren't always consulted early enough** (or at all) in the application build process’

‘It can be **difficult** to get the vendor to **make the appropriate changes to the system**. If a functional requirement needs to be added, we may need to go through a procurement process/change request for this’

‘Commercial imperatives in digital marketplace mean that specific government requirements, such as retention capability, can **require bespoke development**. The need to ensure value for money procurement and continuity of IT service delivery creates an imperative for off-the-shelf rather than bespoke products.’

‘**Staffing limitations** (not enough staff and inadequate technical expertise) make it difficult to ensure that all privacy, security and IM considerations are fully addressed in new or existing systems’

‘Information management requirements are **challenging** to apply to information that needs to be **dynamically updated** in order to be functionally useful’

‘**Vendor capabilities** aren't always up to government requirements’

‘A complex IT project in and of itself; BSA implemented and business engagement but remains **complex to undertake**: range of processes and dependencies to understand; application to IM standards is complex; custom designed systems’

‘Cost to retrofit into existing systems is **not within budget** - agreed solution is export/migrate upon decommission’

Storing, preserving, and managing information assets

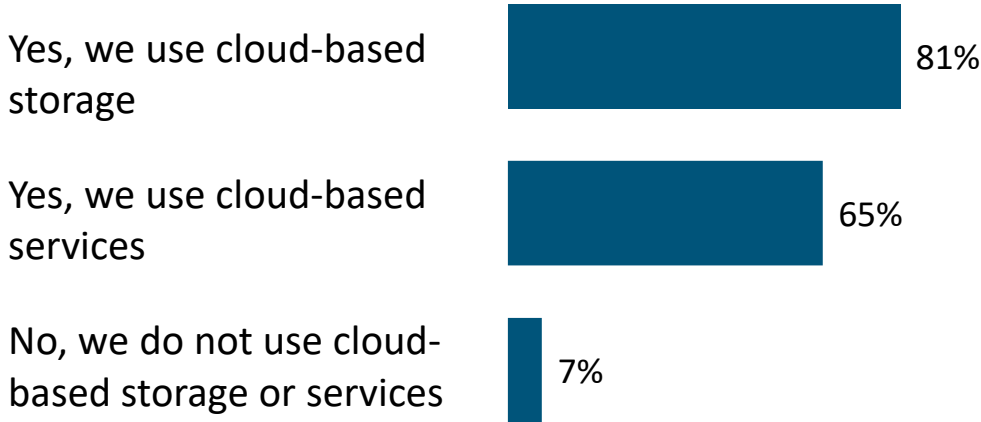


Overall Storing, preserving, and managing information assets maturity index: **4.02** out of 5

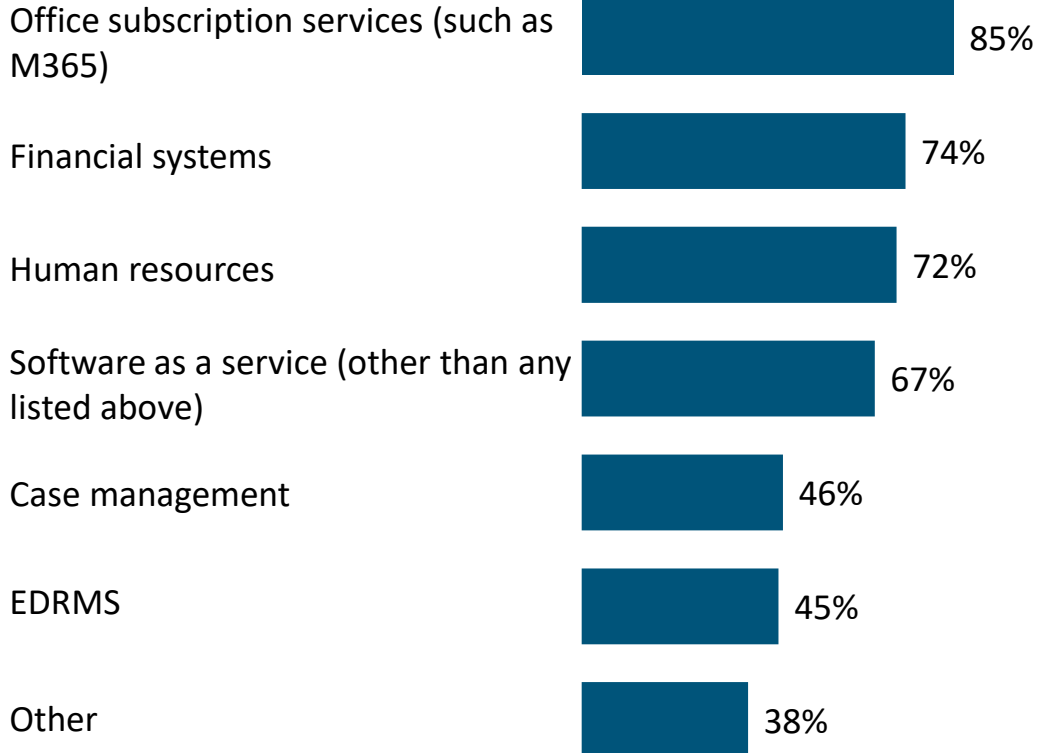


In 2022, a majority of agencies used cloud-based storage (81%) and/or services (65%). Systems or services that agencies were most likely to use included Office subscription services (such as M365) (85%), financial systems (74%) and human resources systems (72%). Agencies were less likely to use EDRMS (45%) or case management (46%) systems in the cloud.

*Extent of agencies that use cloud-based storage and/or services for management of information assets



*Systems/services agencies used to store information in the cloud^



*This response does not impact upon agency maturity scores

Base: all agencies, n= 164; agencies that use close-based storage or services, n=152 ^ Multiple responses allowed

Appraising and disposing (destruction and transfer)



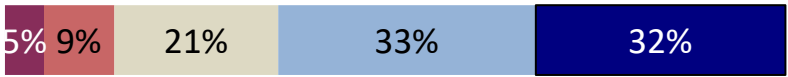
Overall appraising and disposing maturity index: **3.29** out of 5



Between around one-quarter and two-thirds of agencies had usually or always implemented a range of practices regarding appraising and disposing of information assets, suggesting room for improvement. For example, only 22% of agencies usually or always transfer 'retain as national archives' information assets as soon as practical or within 15 years to the care of the National Archives.

Extent agencies have implemented appraising and disposing of information assets practices

Analyse and document how long information assets need to be kept to meet: operational and stakeholder needs; legislative and regulatory obligations; community needs



% agencies that had implemented the following best practices (either usually / most of the time or almost always / always)

65%

Average index score

3.8

Establish governance across all business systems, applications, and platforms used (includes social media) so that information assets are not destroyed before their authorised retention date



53%

3.4

Ensure retain as national archives (RNA) information assets across systems and locations have been identified to inform appropriate management



51%

3.5

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



43%

3.1

Facilitate automated identification of information assets due for destruction or transfer



37%

2.8

After sentencing, promptly destroy information assets of temporary value when no longer needed, at or after they have reached their authorised retention period



34%

2.7

Transfer 'retain as national archives' information assets, as soon as practicable, or within 15 years of creation to the care of the National Archives



22%

2.2

■ Never / rarely

■ Occasionally

■ Sometimes

■ Usually / most of the time

■ Almost always / always

Appraising and disposing (destruction and transfer)

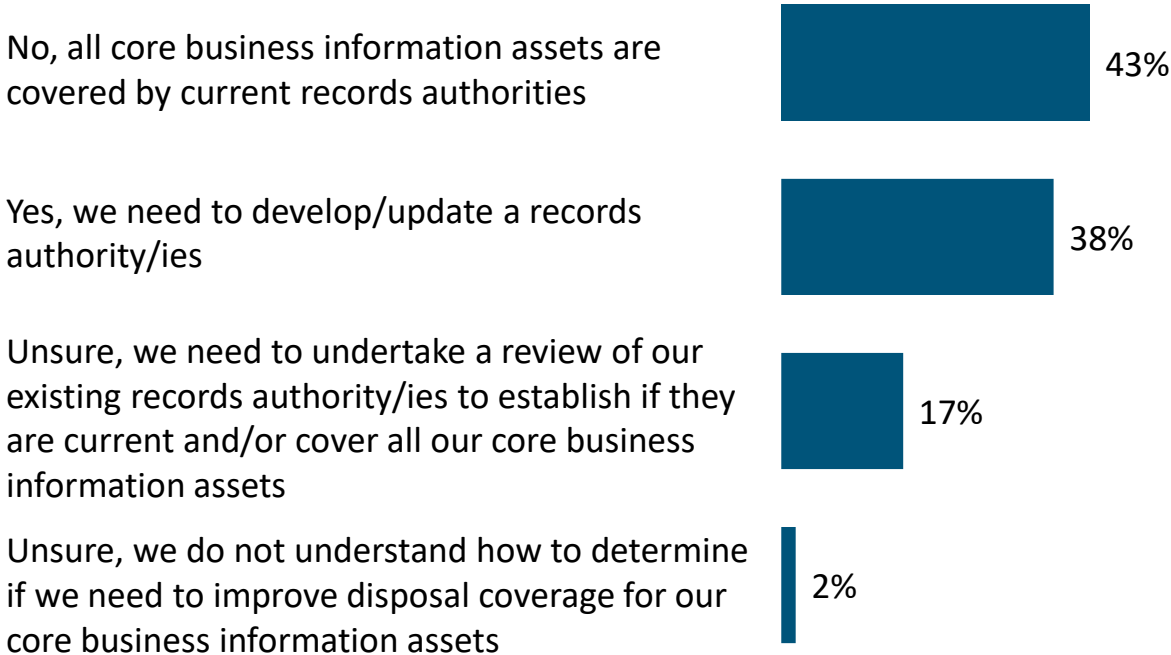


Overall appraising and disposing maturity index: **3.29** out of 5



Under half of agencies (43%) have all core business information assets covered by current records authorities, while 38% indicated that they need to develop / update records authorities and the remainder of agencies are unsure.

*Whether agencies need to improve disposal coverage for their core business information assets



*This response does not impact upon agency maturity scores
Base: all agencies, n= 164

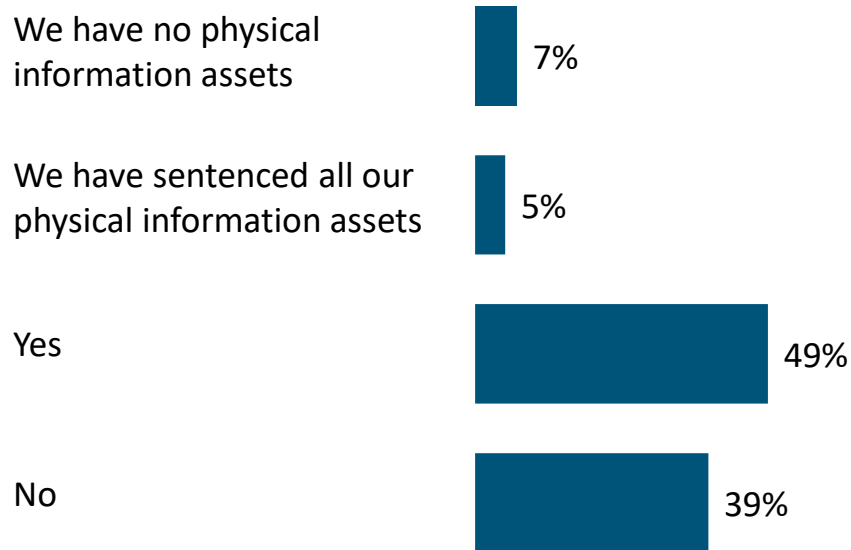
Appraising and disposing (destruction and transfer)

Overall appraising and disposing maturity index: **3.29** out of 5

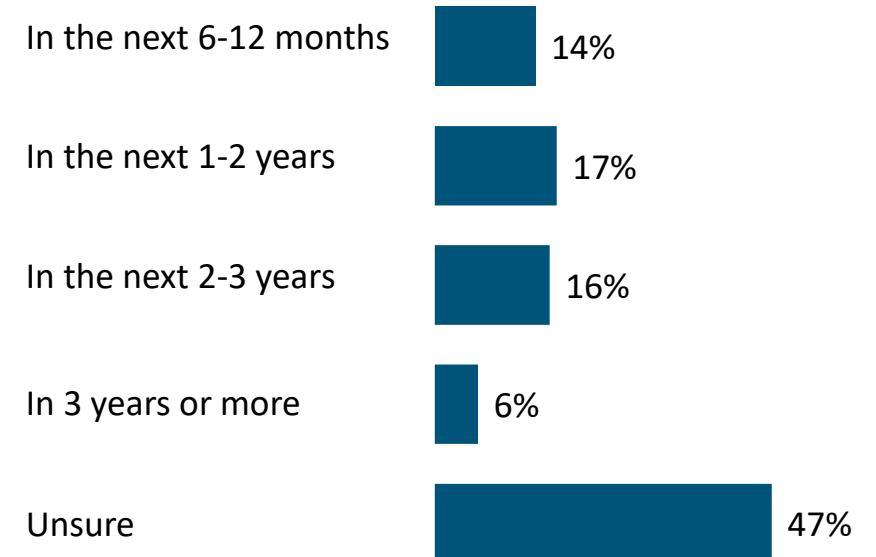


Around half (49%) of agencies sentenced physical information assets in the period from 1 January 2021 to 30 June 2022. Of the 39% of agencies that had not sentenced any physical information, around half (47%) were unsure when they would start sentencing these assets.

*Whether agencies sentenced any physical information assets in the period from 1 January 2021 to 30 June 2022



*When agencies plan to start sentencing their physical information assets



*This response does not impact upon agency maturity scores

Base: all agencies, n= 164; agencies that have not sentenced any physical information assets from 1 January 2021 to 30 June 2022, n=64

Appraising and disposing (destruction and transfer)



Overall appraising and disposing maturity index: **3.29** out of 5

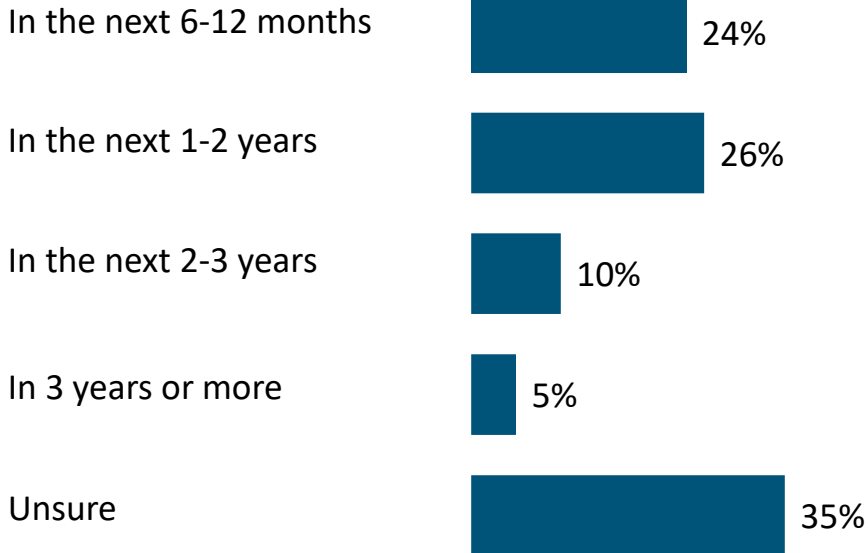


In the period from 1 January 2021 to 30 June 2022, agencies were less likely to have sentenced digital information assets (43%) than physical information assets (49%). Half of the agencies that had not sentenced digital information assets over this period, intended to do so within 12 months (24%) or 1-2 years (26%).

***Whether agencies sentenced any digital information assets in the period from 1 January 2021 to 30 June 2022^**



***When agencies plan to start sentencing their digital information assets^**



*This response does not impact upon agency maturity scores

Base: all agencies, n= 164; agencies that have not sentenced any digital information assets from 1 January 2021 to 30 June 2022, n=93

^Multiple responses allowed 36

Appraising and disposing (destruction and transfer)

Overall appraising and disposing maturity index: **3.29** out of 5

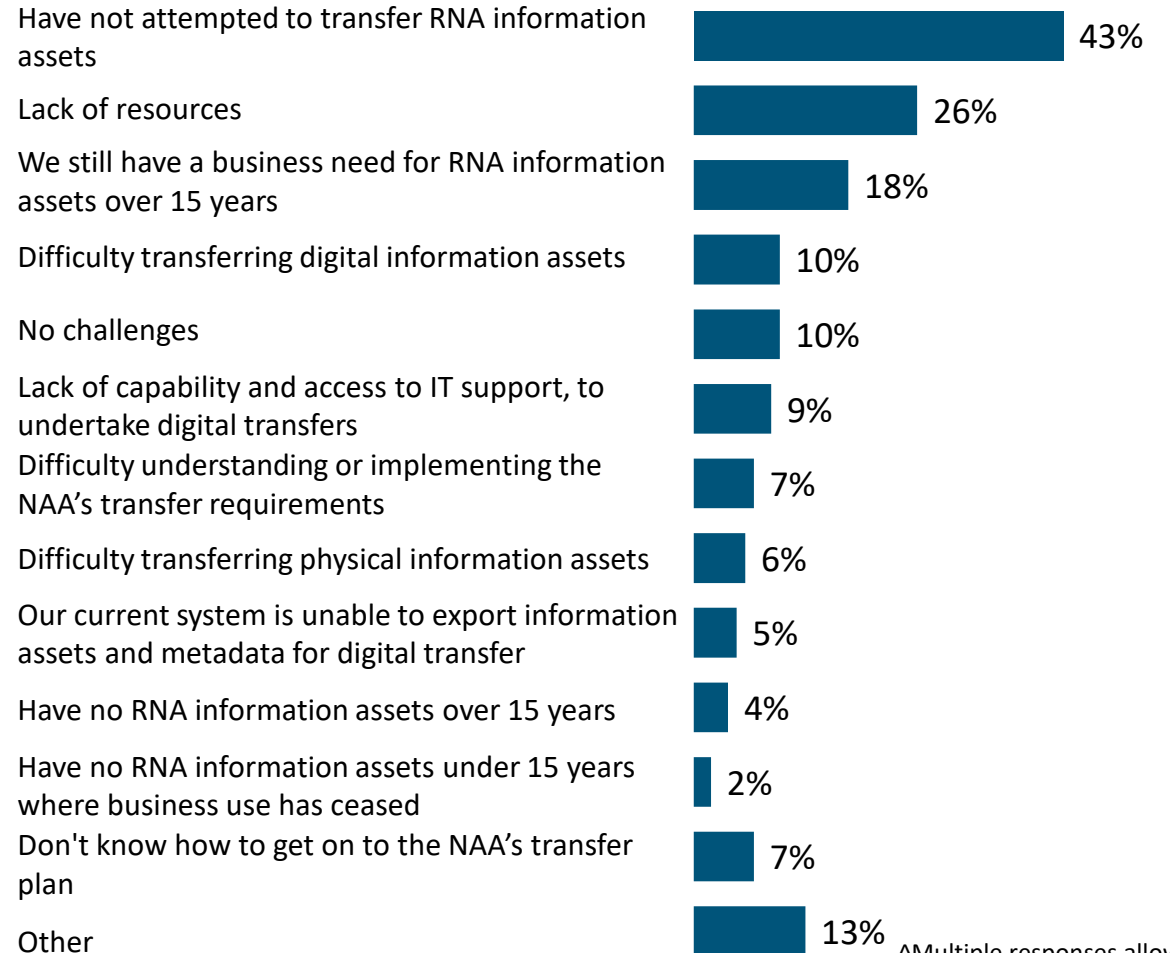


Lack of resources was the most common challenge faced by agencies when sentencing information assets (56%) and in transferring RNA information assets to the National Archives (26%). Lack of available staff with necessary skills (48%) and the volume of digital information assets that need sentencing (47%) were also common challenges in sentencing information assets.

*Challenges agencies had in sentencing information assets^



*Challenges agencies had in regard to transferring RNA information assets to NAA^



Appraising and disposing (destruction and transfer)

Overall appraising and disposing maturity index: **3.29** out of 5



Of those agencies who responded to the questions on difficulty in sentencing or destroying digital information assets, many expanded on challenges that were already listed in the survey; a few noted additional difficulties.

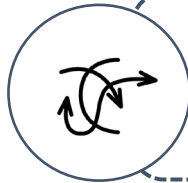
Digital sentencing and destruction challenges

'Business systems (e.g. M365) are not designed with sentencing & disposal capability, significant effort is required to implement functionality or integrate with our EDRMS'



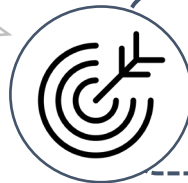
Lack of functionality in business systems: agencies noted that business systems, including Microsoft Office 365, lacked inbuilt sentencing and destruction capabilities which required integration with an EDRMS or additional configuration

'Volume and scope of information across systems without adequate metadata makes automated sentencing difficult, and there is currently no robust and trustworthy technology to assist with digital sentencing'



Volume and resources: agencies noted that lack of resources together with competing priorities was an issue; compounding this was the volume of information assets, including backlogs of legacy information assets

'Availability of digital storage means that disposal is not a priority'



Other (destruction): no EDRMS, not sentenced, difficult to gain approval, information assets subject to disposal freeze/s, no records authority, digital storage is cheap, previous sentencing inaccurate, young agency

Other (sentencing): lack of skilled staff, difficult to automate sentencing, lack of EDRMS, restrictions on access to certain systems, unknown what is held across the agency, reliant on business expertise and time, no records authority

'The volume of digital information that needs to be assessed for sentencing is beyond the capacity of the current resources. The department has investigated auto classification and autosentencing but the tools provided are not yet able to be fully automated and require human intervention'

'Risk aversion - engrained culture of retaining all digital customer related data'

Appraising and disposing (destruction and transfer)



Overall appraising and disposing maturity index: **3.29** out of 5



Between 1 January 2021 to 30 June 2022, agencies destroyed 109,389,515 gigabytes of digital information assets and 37,525 shelf metres of physical information assets. The most common challenges encountered by agencies in destroying information assets included lack of resources (49%) and destruction of these assets not being prioritised above other information management activities (47%).

Information assets agencies destroyed between 1 January 2021 to 30 June 2022 under authorised agency-specific or general records authorities

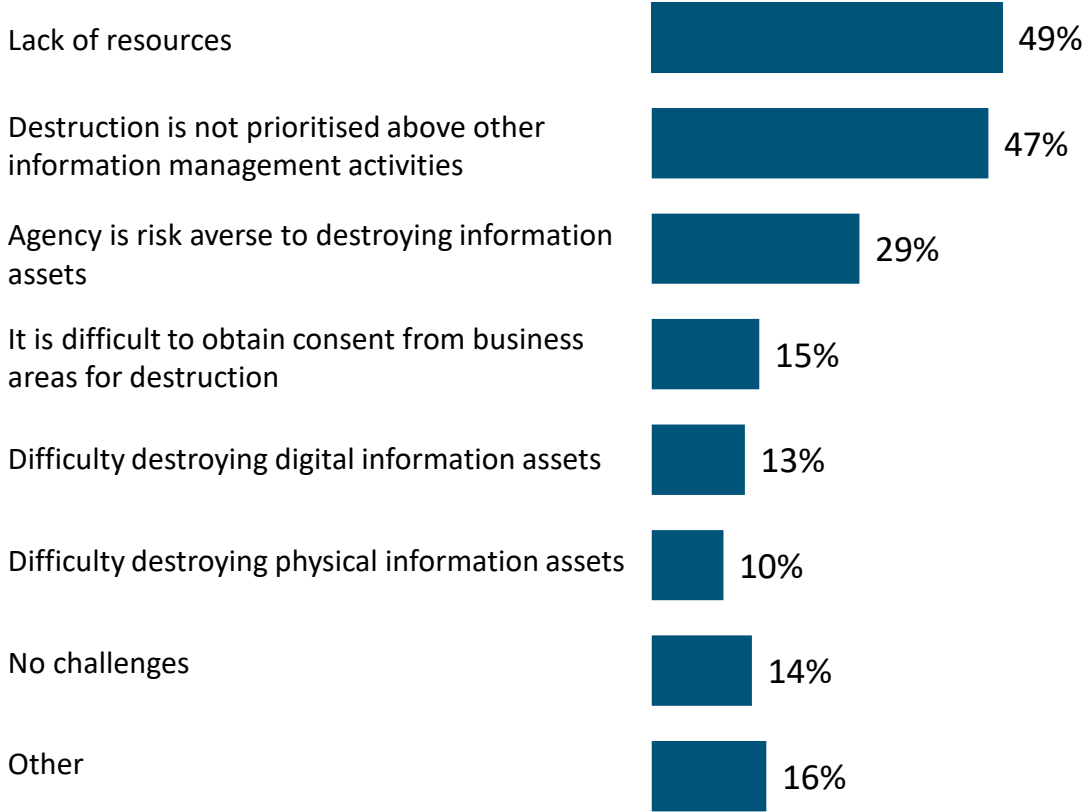
*Sum of digital information assets agencies destroyed (gigabytes)

109,389,515

*Sum of physical information assets agencies destroyed (shelf metres)

37,525

*Challenges agencies had in regard to destroying information assets^



Base: all agencies, n= 164

*This response does not impact upon agency maturity scores

^Multiple responses allowed 39

Appraising and disposing (destruction and transfer)



Overall appraising and disposing maturity index: **3.29** out of 5



Only 5% of agencies reported instances of unauthorized destruction of information, with one-third of these agencies reporting these instances to the National Archives. Over three-quarters (78%) of these instances were reported internally through a range of mechanisms including to another officer/internal accountability or reporting mechanism (44%) or to the agency head, CIGO or information governance committee (33% each).

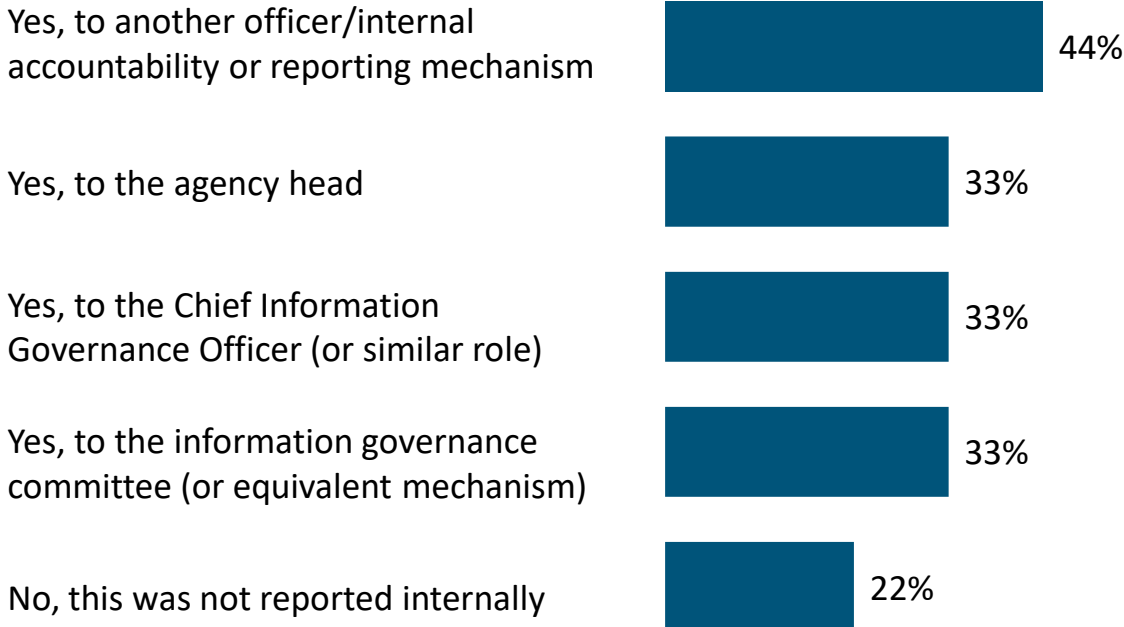
Extent of agencies that had instances of unauthorised destruction of information assets between 1 January 2021 to 30 June 2022

5%

Extent of these agencies that had reported these instances to the NAA

33%

Whether agencies reported these instances internally as part of their information governance[^]



Use, reuse and interoperability

Overall use, reuse and interoperability maturity index: **3.22** out of 5



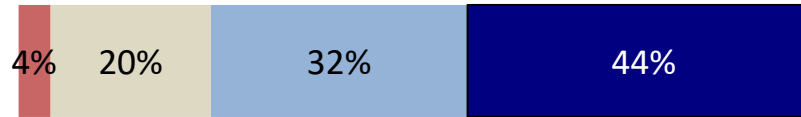
Just over half of agencies either usually or always adopt an open by default position for the release of non-sensitive information assets to staff and the public (58%) and assess how easy it is for users to find and use information assets, and plan to improve discovery and retrieval (54%). Agencies were less likely never/ occasionally (50%) to remove restrictions on access to information assets as soon as they no longer apply.

Extent agencies have enabled effective use and reuse of information for staff and other users with a right of access

% agencies that had enabled effective use and reuse of information (either usually / most of the time or almost always / always)

Average index score

Agencies [do not] find they are unable to locate needed information assets for business purposes, or to meet public and official requests for that information*



76%

4.2

Adopt an open by default position for the release of non-sensitive information assets to staff and public, documenting exceptions and the conditions upon which access can be granted



58%

3.5

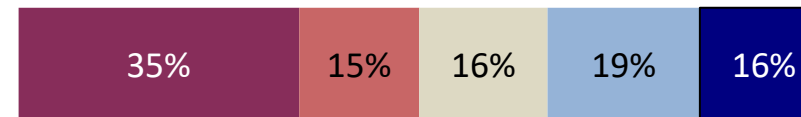
Assess how easy it is for users to find and use information assets, and plan to improve discovery and retrieval



54%

3.6

Remove restrictions on access to information assets as soon as they no longer apply. This includes declassifying information assets when the security classification is no longer needed



35%

2.7

■ Never / rarely
 ■ Occasionally
 ■ Sometimes
 ■ Usually / most of the time
 ■ Almost always / always

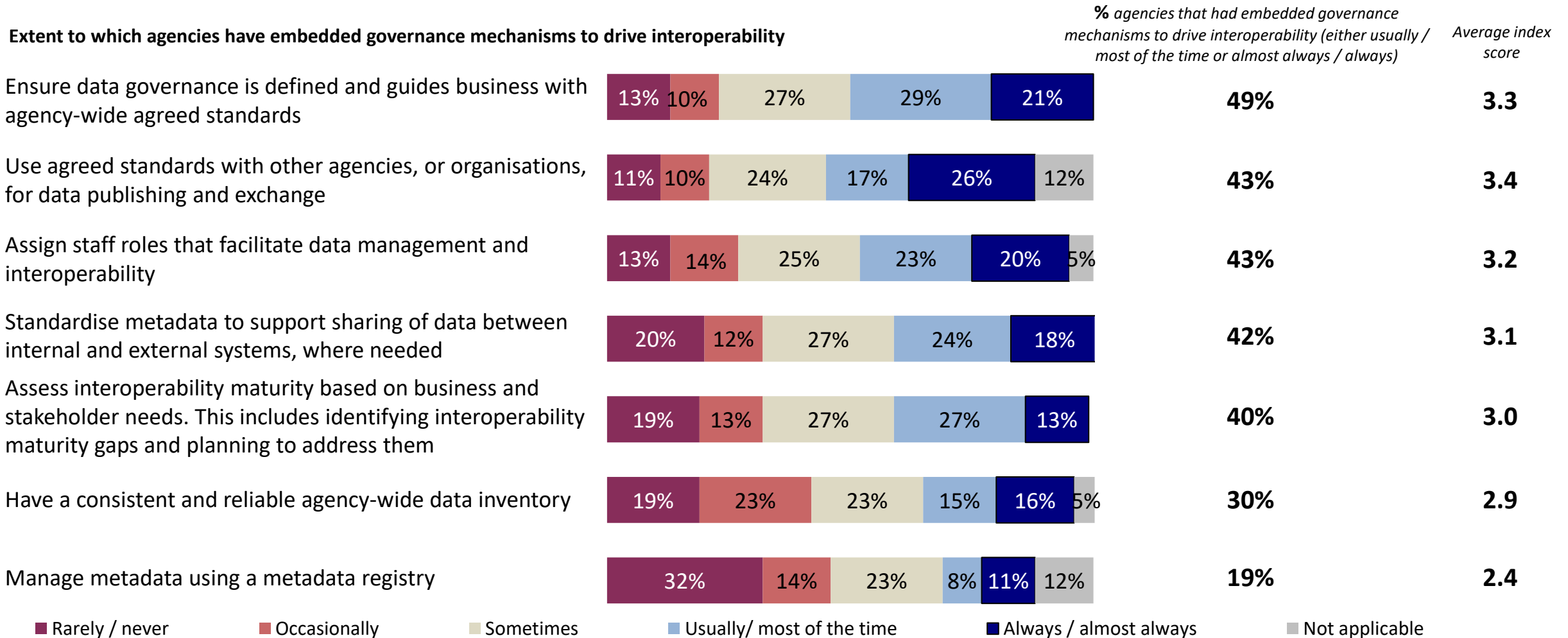
* Note: The question was framed as a negative statement in the survey. Its results have been presented in reverse order (reverse options range from 1='Almost always / always' to 5='Never / rarely') to allow comparison with the other positive statements in this section.

Use, reuse and interoperability

Overall use, reuse and interoperability maturity index: **3.22** out of 5



Less than half of agencies usually or always undertake a range of governance mechanisms to drive interoperability. This ranged from 19% of agencies that always or usually manage metadata using a metadata registry to 49% that always or usually ensure data governance is defined and guide business with agency-wide agreed standards.



Base: all agencies, n= 164

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

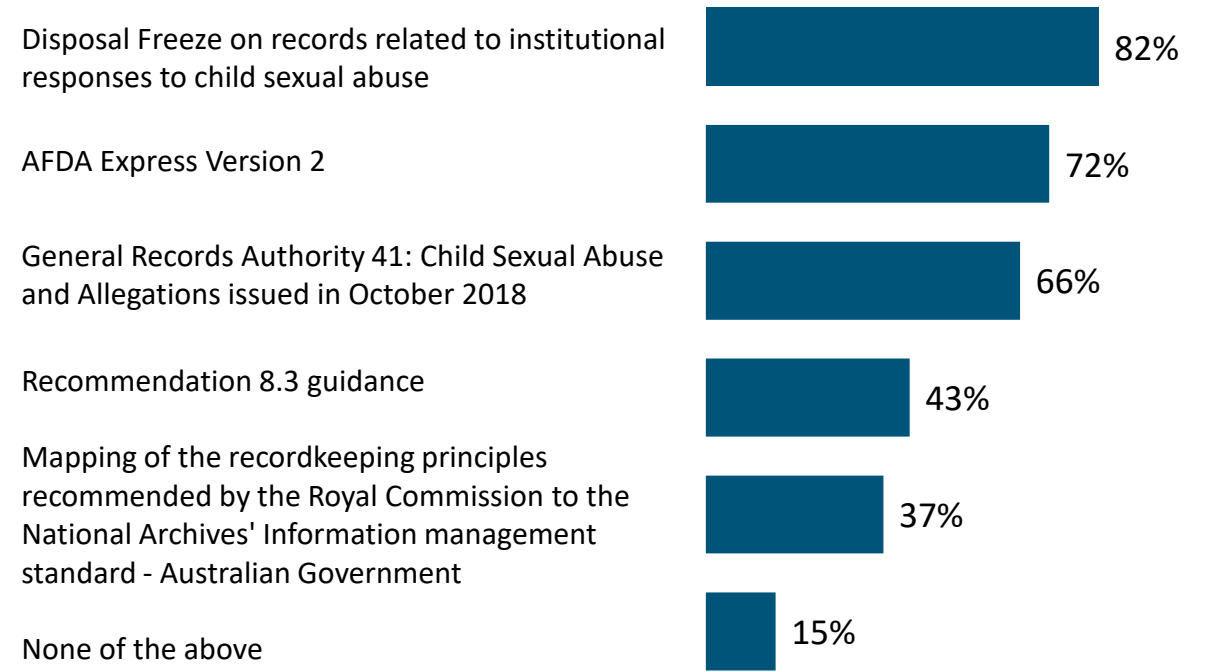


In relation to the Royal Commission Into Institutional Responses to Child Sexual Abuse (RCIIRCSA), 41% of agencies indicated that they had undertaken a survey, or other analysis, to determine business activities which include interactions with children in order to identify where records need to be created and retained to protect the interests of the child. Awareness of various products and advice relating to the RCIIRCSA was widespread, including the disposal freeze on records related to institutional responses to child sexual abuse (82%) and AFDA Express Version 2 (72%).

*Extent of agencies that had undertaken a survey, or other analysis, to determine business activities which include interactions with children in order to identify where records need to be created and retained to protect the interests of the child

41%

*Whether agencies were aware of products and advice relating to the RCIIRCSA

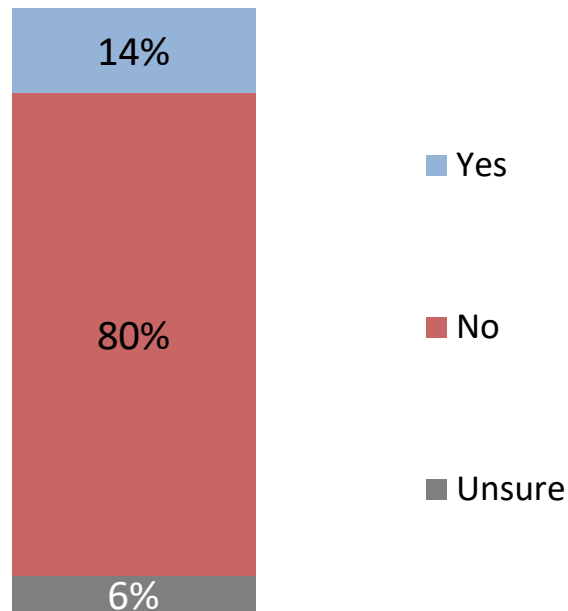


Royal Commission into Institutional Responses to Child Sexual Abuse (RCIIRCSA)

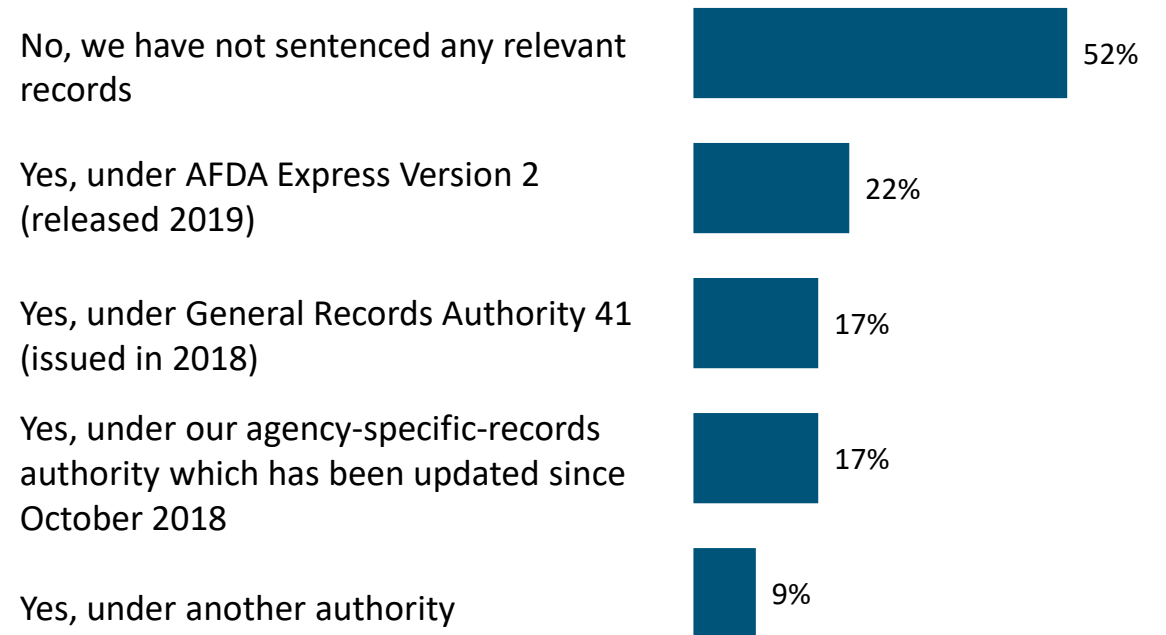


In 2022, 14% of agencies indicated they had relevant records relating to child sexual abuse incidents and allegations that may be needed in the future to support delayed disclosures of abuse. Just under half of these agencies (48%) had sentenced relevant records relating to child sexual abuse incidents and allegations since October 2018 under a range of different authorities.

*Extent of agencies that have relevant records relating to child sexual abuse incidents and allegations that may be needed in the future to support delayed disclosures of abuse



*Whether agencies who have records relating to child sexual abuse incidents and allegations, have sentenced them since October 2018^



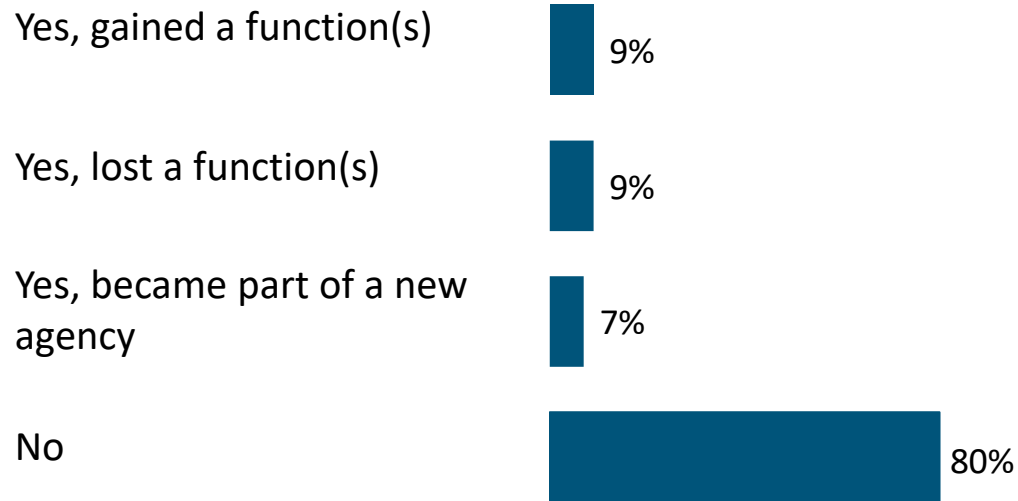
Base: all agencies, n= 164
 *This response does not impact upon agency maturity scores
 ^Multiple responses allowed

Impact of machinery of government change

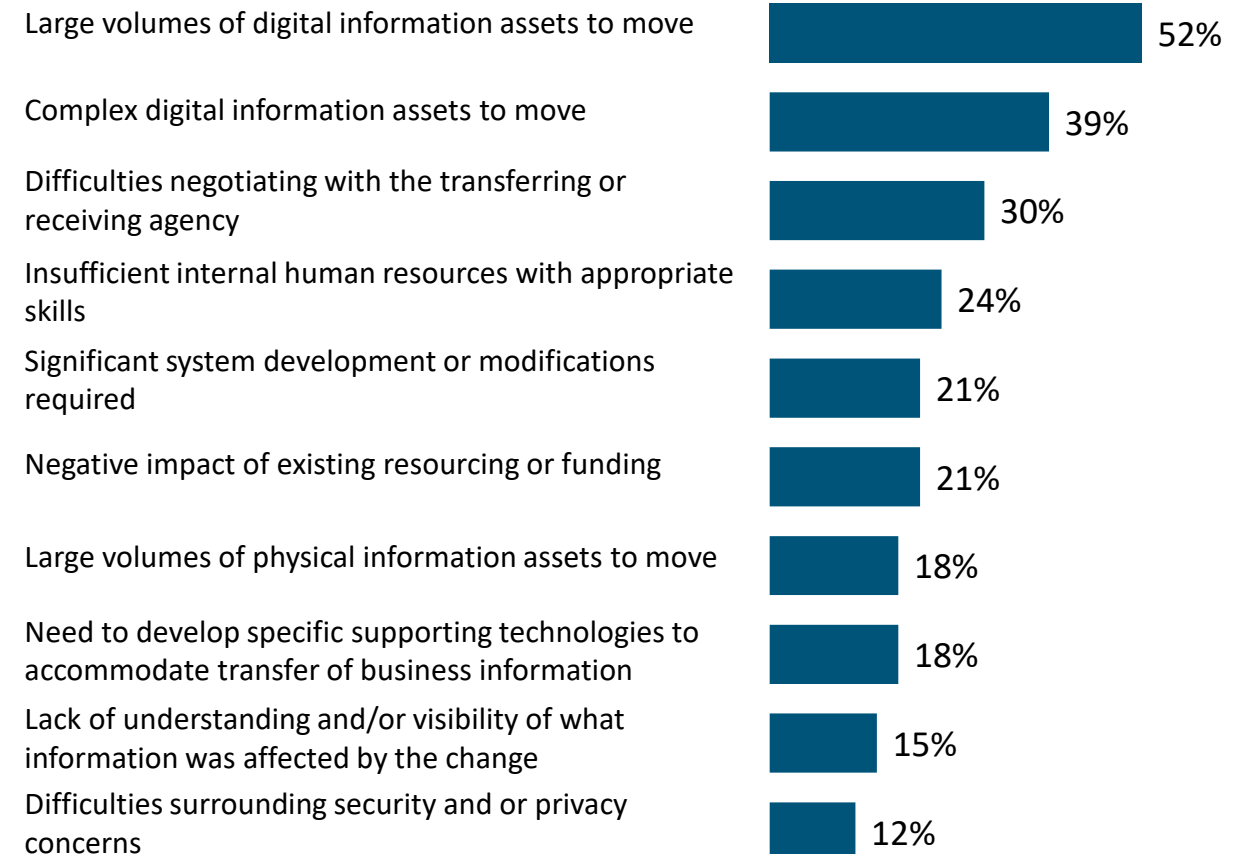


33 agencies were affected by machinery of government change between 1 January 2021 and 11 November 2022. The top two information management challenges encountered by these agencies included large volumes of digital information assets to move (52%) and complex digital information assets to move (39%).

*Extent of agencies that were affected by machinery of government change between 1 January 2021 and 11 November 2022^



*Top 10 information management issues or challenges for agencies from MOG changes between 1 January 2021 and up to 11 November 2022^

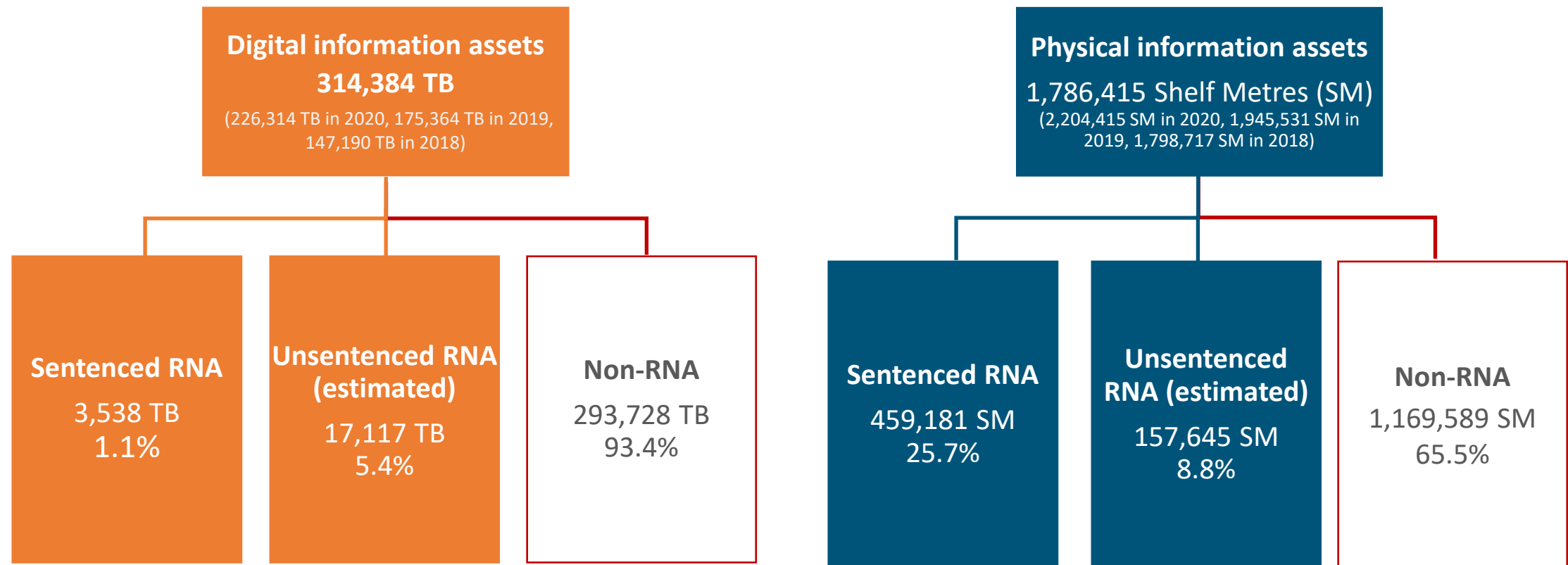


*This response does not impact upon agency maturity scores
 ^Multiple responses allowed
 Base: all agencies, n= 164; agencies affected by MOG, n=33

Information asset volumes and transfers of 'retain as national archives' (RNA)



Consistent with previous years, the volume of digital information assets continues to grow. Agencies confirmed higher proportions of 'retain as national archives' information assets, after sentencing, for physical information assets (25.7%) than they did for digital information assets (1.1%)

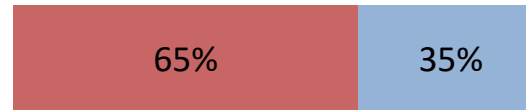


Information asset volumes and transfers of 'retain as national archives' (RNA)



More than one-third of agencies (35%) planned to transfer RNA information assets to the National Archives in the next 12 to 24 months. However, 45% of these agencies have not advised the National Archives of their intention to do so and only 36% have sentenced RNA material in preparation for transfer.

Whether agencies are planning to transfer RNA information assets to the National Archives in the next 12 to 24 months

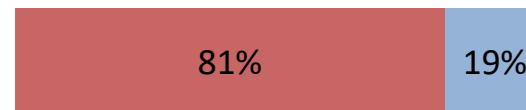


If yes: -----

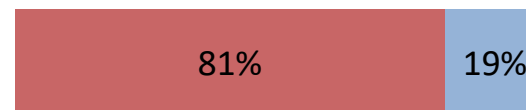
Whether agencies have advised the National Archives of their intention to transfer RNA information assets



Whether agencies' proposed transfers include information assets which could be at risk

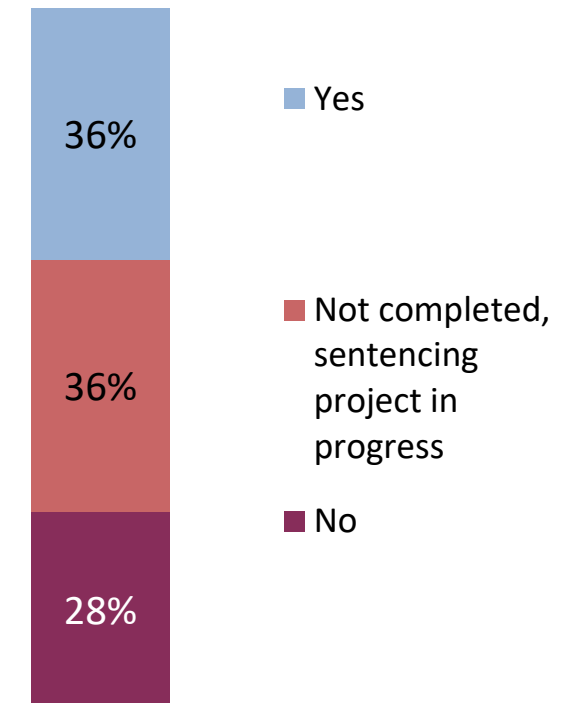


Whether agencies' proposed transfers include information assets which have sensitivities that may require specialised storage and/or handling



No Yes

Whether agencies' RNA material has been sentenced in preparation for transfer



Information Management (IM) challenges



Resourcing (including staffing) and cultural issues were reported as the most commonly occurring challenges for Australian Government agencies. The next most commonly reported challenge related to implementation and governance of Microsoft Office 365, Sharepoint and Teams.

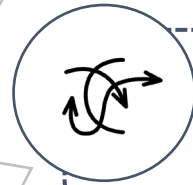
'Conflicting agency priorities. Resources have been dedicated to cyber security and other systems implementation, this has taken resources and the focus from other information management areas.'



Lack of resources: IM competing with other priorities (larger agencies), no dedicated IM staff (smaller agencies). Lack of suitably skilled IM staff.

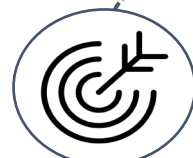
'low data/digital literacy culture causes a misunderstanding of what resourcing and mechanisms are required to enable an enterprise-wide approach to data and information governance. This causes pockets of the organisation to develop ad hoc governance practices that don't necessarily align to the enterprise-wide approach to governance...'

'Seen as low value in regard to return on investment – i.e., staff have the perception they need to spend a lot of time to record information that they already have access to, so there is no gain, which can cause a siloing culture in some teams'




Cultural issues: the most common challenge was IM continues to be seen as a compliance issue, or barrier, rather than enabling business.

'Challenges with systems such as Microsoft Office 365have undertaken a Business System Assessment (BSA) on O365 and have a significant amount of work to determine what the best Build Solution is to address Information Management gaps. These new technologies are adopted by business ...to fulfil a business need. These adoptions of new technology introduce challenges for business areas and the department as a whole to meet legislative requirements set out by the NAA.'



Microsoft Office 365, Sharepoint and Teams: change management, staff training, integration with other systems, siloing of information, maintaining governance compliant with policies, standards and legislation.

Information Management (IM) challenges

 Other major challenges reported included the need for continuous staff training, legacy systems, mobile and social media, data and emerging technology

*'Systems interoperability, especially in the case of legacy systems. ...Information is **dispersed across multiple systems** without a centralised way to view the complete record.'*



Legacy systems: lack of IM functionality and interoperability with newer systems

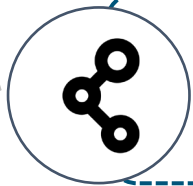


Mobile and social media: Proliferation of their use by staff, applying appropriate governance, lack of IM functionality to manage in place

*'Emerging technologies such as **artificial intelligence** leave gaps when identifying source data through to final products. AI creates results during the middle stages of information classification by the automated processes, and it can be hard to ascertain how end results were obtained. Inherently, this makes challenges such as recordkeeping harder as we can't really describe the full story of how we got to a result in some cases...'*



Data: Applying consistent and holistic governance across information management and data teams



Emerging technologies: Most agencies either commented 'emerging technologies' as general response or agreed with the examples in the question – Blockchain, Machine Learning or Artificial Intelligence.

*'Use of mobile devices or instant messaging and social media that are uncontrolled. ...For example, initial Posts on Team sites can be captured by a Power Automate workflow, but responses are not, and some staff are using Posts as an approval mechanism. This leads to **additional governance, that leads to more complex processes, that staff then don't want to use as it slows them down'***

*“New” requirements for managing data as an information asset. E.g. Confidence in managing the retention, disposal and classification of information assets (records, information and data) across Enterprise Data Platforms, Data Lakes and Data Warehouses. How do these principles translate to these systems in the most practical way? **How can I communicate/convince our Data-gurus that these requirements apply across these systems (and are not an unnecessary burden)?'***

Information Management (IM) opportunities



Almost half of agencies answered the optional question on opportunities taken to improve information management (IM) in their agency in the last year. Responses covered a wide variety of initiatives including governance, training and engagement, system implementation and migration of information.

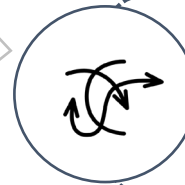
*'...former Records Management Policy has been **transitioned to the Information Asset Management policy...**'*



Governance: released or improved strategies, frameworks, policies; created asset registers; established information governance committees

*'[Agency] through its Information and Data Governance Committee has **developed its first data and information asset register (IDAR).**'*

*'**Information Management Centre of Excellence (IM COE)** was established to drive enterprise information and data standardisation, increase maturity, and encourage continuous improvement across the organisation'*



Training and Engagement: built staff capability; improved understanding of the value of information assets; engaged with senior level staff

*'**Very active engagement with senior executives** on the risk of retaining information too long when conducting a major physical file disposal process. SES were frequently engaged with excel spreadsheets sent to them, annoyed them in the elevator, raised with CEO in meetings, when people weren't making decisions **we actively escalated to senior staff for decisions.** Awareness around responsibilities and risks of over-retention were actively discussed, and well before the Optus breach made this a national topic of interest.'*

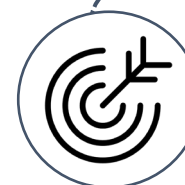
*'We are **building a new data warehouse** to support us moving forward in the realm of holistic information management and consolidating dozens of systems into a consistent look and feel ..'*



System implementation/migration: implemented or integrated an EDRMS or improved IM functionality or in the cloud; implemented or planned for Microsoft Office 365; migrated information from uncontrolled to more managed environments

*'We have **recently transitioned** from shared network drives **to the M365 environment.** We have taken a collaborative approach, bringing together the Information Management, IT and Cloud teams who work together via a M365 Governance Committee (GC). Information governance and change management are key focuses'*

*'Implementation of the **Business system assessment framework** which is now becoming a BAU requirement for any new systems under consideration'*



Other: including developing records authorities; digitisation projects; transforming to digital including approvals; business system assessments; metadata improvement; obtaining additional resources; sentencing and destruction related work

*'**Integration of Digital Signatures (end-to-end)** into our key IM System'*

Feedback on products issued



Almost two-thirds (64%) of agencies reported that they had used the National Archives of Australia's products and advice, released to assist agencies to implement the *Building trust in the public record: managing information and data for government and community policy*. Agencies also provided a range of suggestions for new products or advice to assist with future implementation of the policy.

Whether agencies used any of these products



The National Archives of Australia has released a number of products and advice to assist Australian Government agencies to successfully implement the *Building trust in the public record policy*. Further products and advice will be progressively released over the duration of the policy.

The National Archives has listed these products and advice on its website under the relevant policy requirements:

- [Manage information assets strategically with appropriate governance and reporting](#)
- [Implement fit-for-purpose information management processes practices and systems](#)
- [Reduce areas of information management inefficiency and risk](#)

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



The following section of the report shows the Australian Government progress in implementation of the actions listed in the *Building trust in the public record* policy. The overall policy implementation index score for 2022 was 3.56 (out of 5). A breakdown of this overall score by the three key requirements, 17 actions and 31 individual Check-up measures is shown in the tables below. For more information about how the indices are calculated, please refer to page 4 [“How the maturity index is calculated”](#) of this report.

Implementation action	Check up question	Agency responses	Implementation action index individual question	Implementation action index combined questions per action
Key Requirement: Manage information assets strategically with appropriate governance and reporting to meet current and future needs of government and community				3.56
#1	Assess your information management capability annually using the National Archives’ survey tool – Check-up.	Submission of approved survey	Submission – 97%	4.85
		13 Does your agency have an information governance framework?	Yes – 50% Partial – 38%	
#2	Review and update your information governance framework, to incorporate enterprise-wide information management. This should include governance for records, information and data.	14 Has your agency’s information governance framework been developed, or reviewed and updated since 1 January 2021?	Yes – 57%	3.05
	Develop an information governance framework if one does not exist.	15 Does your agency’s information governance framework cover (all information assets or records and information only)	All information assets – 76%	3.05

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action	
<p>#3 Review and update roles and responsibilities for your Information Governance Committee and Chief Information Governance Officer to include enterprise-wide information management. Establish an Information Governance Committee and Chief Information Governance Officer role if they do not exist.</p>	16 Does your agency have an active information governance committee (or similar mechanism) with responsibility for oversight of enterprise-wide information management? [Multiple response]	<p>Yes – 45%</p> <p>Partial - a data governance committee or similar mechanism makes decisions on enterprise-wide data management (covers data only) – 23%</p> <p>Partial - a records and information governance committee or similar mechanism makes decisions on enterprise-wide information management for records and information (excludes data) – 16%</p>	3.08	2.99	
	17 Have the responsibilities of your information governance committee (or similar mechanism) been created, or reviewed and updated since 1 January 2021?	Yes – 69%			
	18 Does your agency have a Chief Information Governance Officer (CIGO), or similar role, which establishes and maintains an enterprise-wide culture for an accountable and business-focused information management environment?	Yes – 76%			
	19 Does your agency’s CIGO, or similar role, cover oversight of all information assets – records, information and data? [Multiple response]	Yes – 64%	<p>Partial - the CIGO, or similar role, have oversight of records and information (excludes data) – 29%</p> <p>Partial - a Chief Data Officer, or similar role, has oversight of data (covers data only) – 18%</p>		2.91
	21 Have the responsibilities of your agency’s CIGO, or similar role, been developed, or reviewed and updated since 1 January 2021?	Yes – 43%			

Building trust in the public record policy implementation action index



Overall policy implementation action index: **3.56** out of 5

Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
#4 Create an enterprise-wide information management strategy.	12a <i>Please indicate whether your agency has established the following enterprise-wide frameworks, strategies and policies covering the management of all information assets across the agency.</i> Enterprise-wide information management strategy	Completed and up to date + Completed and needs to be reviewed / updated – 57%	3.36	3.36
#5 Register your information assets where there is business value in doing so.	23d <i>To what extent are the following governance practices implemented in your agency?</i> Identify and register its information assets where there is business value to do so.	Almost always / always + Usually / most of the time – 59%	3.60	3.60

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
#6 Identify staff capability gaps in information management, in particular for staff with specialist information management roles, and plan to address them.	<i>To what extent are the following practices, to develop a culture that values information assets and information management, implemented in your agency?</i>			
	26d Everyone’s understanding of, and capability to undertake, their information management responsibilities is subject to periodic checks or audits.	Almost always / always + Usually / most of the time – 40%	3.05	
	26e Plans are in place to address staff information management capability gaps.	Almost always / always + Usually / most of the time – 63%	3.66	3.45
	26h Plans are in place to address information management capability gaps for staff with specialist information management roles.	Almost always / always + Usually / most of the time – 63%	3.65	
#7 Actively support information management at a senior management level and have structures in place for senior managers to engage with skilled information management professionals.	26a Senior management actively support information management as a business priority.	Almost always / always + Usually / most of the time – 76%	4.12	4.13
	26b Senior management are represented on the information governance committee or equivalent.	Almost always / always + Usually / most of the time – 76%	4.14	

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
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#8

Monitor progress made towards achieving policy actions, and regularly report on progress to senior management. Document risks of not following recommended practice.

23g *To what extent are the following governance practices implemented in your agency?*
 Monitor and report to senior management on progress towards achieving the policy actions of the *Building trust in the public record: managing information and data for government and community* policy. With risks of not following recommended practice documented.

Almost always / always + Usually / most of the time – 41%

3.06

3.06

Key requirement: Implement fit for purpose information management processes, practices and systems that meet identified needs for information asset creation, use and re-use **3.77**

#9

Manage all digital information assets, created from 1 January 2016, digitally. Information assets created digitally from this date, that are eligible for transfer to the National Archives, will be accepted in digital format only.

29b *To what extent are the following best practices implemented in your agency to create (and manage) information assets in digital formats that enable efficient business processes?*
 Manage all digital information assets created from 1 January 2016 onwards digitally.

Almost always / always + Usually / most of the time – 95%

4.62

4.62

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
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To what extent are the following practices implemented in your agency to...

...adequately describe information assets?

32b Ensure business systems, including whole-of-government systems, meet minimum metadata requirements for information management.

Almost always / always + Usually / most of the time – 60%

3.62

... save information assets into systems where they can be appropriately managed?

#10 Ensure business systems, including whole-of-government systems, meet functional and minimum metadata requirements for information management.

41a Review the capacity of existing business systems, including whole of government systems, to meet functional requirements for information management and address gaps.

Almost always / always + Usually / most of the time – 52%

3.49

3.62

41b Ensure new business systems specifications, including whole of government business systems, meet functional requirements for information management.

Almost always / always + Usually / most of the time – 66%

3.74

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
#11 Assess interoperability maturity based on business and stakeholder needs. Identify interoperability maturity gaps and plan to address them.	63a <i>To what extent does your agency embed governance mechanisms to drive interoperability?</i>	Almost always / always + Usually / most of the time – 40%	3.02	3.02
	Assess interoperability maturity based on business and stakeholder needs. This includes identifying interoperability maturity gaps and planning to address them.			
#12 Implement strategies, including storage and preservation strategies, for the management of all information assets.	33 Does your agency have a metadata strategy or framework to support continuous improvement of holistic enterprise-wide metadata management?	Yes – 16% Partial – a metadata strategy is under development but has not been implemented yet – 49%	2.60	3.35
	38c <i>To what extent are the following storage and preservation practices implemented in your agency?</i>	Almost always / always + Usually / most of the time – 78%		
	Implement storage and preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required.		4.10	

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
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#13

Create digital information assets in sustainable digital formats.

38b *To what extent are the following storage and preservation practices implemented in your agency?*
 Create digital information assets in sustainable digital formats with a lower risk of becoming obsolete.

Almost always / always + Usually / most of the time – 90%

4.39

4.39

Key requirement: Reduce areas of information management inefficiency and risk to ensure public resources are managed effectively

3.31

#14

Transfer ‘retain as national archives’ information assets as soon as practicable, or within 15 years of creation, to the care of the National Archives.

46f *To what extent are the following practices on appraising and disposing of information assets implemented in your agency?*
 Transfer ‘retain as national archives’ information assets, as soon as practicable, or within 15 years of creation to the care of the National Archives.

Almost always / always + Usually / most of the time – 22%

2.18

2.18

Building trust in the public record policy implementation action index

Overall policy implementation action index: **3.56** out of 5



Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
#15 Identify remaining analogue processes and plan for transformation to digital, based on business need.	<p>29c <i>To what extent are the following best practices implemented in your agency to create (and manage) information assets in digital formats that enable efficient business processes?</i></p> <p>Identify and remove paper from internal and external processes to improve efficiency.</p>	Almost always / always + Usually / most of the time – 89%	4.40	4.40
<hr/>				
#16 Identify poorly performing legacy systems; address information management requirements when upgrading, migrating and/or decommissioning systems to meet business needs.	<p><i>To what extent are the following practices implemented in your agency to save information assets into systems where they can be appropriately managed?</i></p> <p>41a Review the capacity of existing business systems, including whole of government systems, to meet functional requirements for information management and address gaps.</p> <p>41c Address information management requirements when upgrading, migrating or decommissioning systems, including legacy and poorly performing systems, to meet business needs.</p>	<p>Almost always / always + Usually / most of the time – 52%</p> <p>Almost always / always + Usually / most of the time – 76%</p>	3.49	3.75

Building trust in the public record policy implementation action index



Overall policy implementation action index: **3.56** out of 5

Implementation action	Check up question	Check up measure	Implementation action index individual questions	Implementation action index combined questions per action
#17 Sentence information assets regularly and promptly destroy information assets of temporary value when no longer needed.	<i>To what extent are the following practices on appraising and disposing of information assets implemented in your agency?</i>			
	46g Ensure existing information has been sentenced and the disposal action is known (even if it has not been carried out).	Almost always / always + Usually / most of the time – 43%	3.09	2.91
46h After sentencing, promptly destroy information assets of temporary value when no longer needed, at or after they have reached their authorised retention period.	Almost always / always + Usually / most of the time – 34%	2.74		

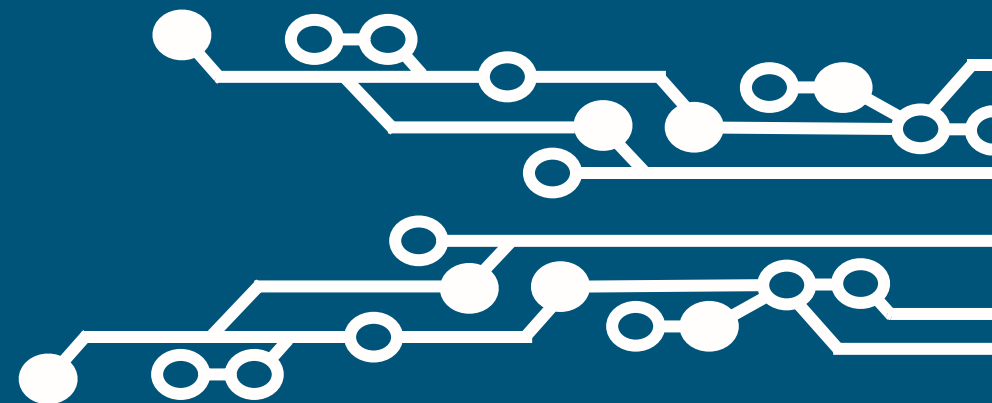
Further information and resources

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

Please contact ORIMA Research at Check-up@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:
<https://www.naa.gov.au/information-management/check-survey>

The project was conducted in accordance with the international quality standard ISO 20252, the international information security standard ISO 27001 and the Australian Privacy Principles contained in the Privacy Act 1988 (Cth). ORIMA Research also adheres to the Privacy (Market and Social Research) Code 2021.



Australian Government

National Archives of Australia