National Archives of Australia

Check-up Questionnaire

2024

August 2024

Part 1: Information and instructions

Background and purpose of this survey

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. It is consistent with the key concepts and principles of the *International and Australian Standard AS ISO 15489.1 (2017) – Information and documentation - Records management, part 1: concepts and principles*.

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

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

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

You can use the results of assessments to:

- improve awareness of your agency's current information management performance
- set priorities and identify pathways to improve information management maturity
- embed good practices and processes
- build business cases for resources to improve whole-of-agency information management.

The National Archives will use the findings from the survey to:

- plan future service delivery, including transfer, storage and preservation of the national archives of the Australian Government
- gather information on challenges agencies are facing
- provide an evidence base for practical information management advice to agencies to ensure the Australian Government creates and keeps records of its decisions and actions as evidence of the integrity of its operations and to demonstrate accountability to the community
- assess agency progress on implementing the *Building trust in the public record* policy
- prepare reports to the Australian Government on the state of information management across agencies.

Who is conducting the survey?

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

How do agencies access the survey?

All agencies have been asked to nominate Check-up Coordinators and at least one Administrator who can manage survey access for other agency staff. Coordinators will be emailed a link to the online survey portal at the time of the survey open period. If you are unsure who is your agency Check-up Coordinator, please contact your information management area or ORIMA Research at Checkup@orima.com.

Which agencies should complete the survey?

The National Archives reviews and determines scoping criteria and principles for participation for each Check-up survey period. A copy of the scoping principles is provided at Appendix A.

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

- is a Commonwealth institution that has primary responsibility for its information management regime. A Commonwealth institution is defined under Section 3(1) of the *Archives Act 1983*, and includes non-corporate or corporate Australian Government entities, wholly owned companies or government business enterprises as defined under the *Public Governance, Performance and Accountability Act 2013 (PGPA Act).*

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

Which staff should complete the survey?

The survey can be accessed by anyone within your agency who your Coordinator has created as a user. The survey can be accessed by multiple staff during the submission period, and they are able to edit and update responses prior to submission.

The survey should be completed and coordinated by the person (or people) with responsibility for information management within your agency, with assistance from other areas.

All relevant questions need a response prior to submission of your survey in each assessment period. Agencies attempting to submit an incomplete survey will be asked to complete missing questions prior to submission.

What is the date of effect for survey responses?

The 2024 Check-up survey aims to capture each agency's achievements against *the Building trust in the public record* policy's outcomes and implementation actions. A list of the Check-up questions most relevant to the implementation actions can be found in [Appendix B](#) .

Survey responses should be made with a date of effect as at 30 June 2024. Unless otherwise stated, questions should be read with the following preface: 'As at 30 June 2024'.

For example:

As at 30 June 2024, does your agency have a Chief Information Governance Officer or similar role?

1   Yes – the role covers oversight of all information assets – records, information and data

2   Yes – the role covers oversight of some information assets – records and information only

Who should submit (approve) your agency's survey responses?

The survey can only be signed off (approved) by a person within your agency who has the user type 'approver'. Your 'approver' is the agency head, unless otherwise agreed with the National Archives. The 'approver' does not necessarily need to access the survey to complete the submission.

How long will the survey take to complete?

The time to enter the data into the survey online should be around 60–90 minutes on average. However, additional time will be required to gather information to complete the survey. The survey does not need to be completed in one session.

Is the survey confidential?

Information gathered in the survey will be treated as confidential. Responses can only be viewed by staff who have been granted access in your agency, staff at the National Archives and staff at ORIMA Research, who are bound by strict confidentiality provisions.

In 2023 the Australian National Audit Office published a report on the *Management of Information Assets* (report no. 44 of 2022-23) which included recommendations related to the Check-up survey. Recommendation 2 recommended that the National Archives of Australia publish results of the annual Check-up survey, 'including position relative to other entities on an ongoing basis to improve transparency'. While survey responses provided by agencies will remain confidential the National Archives, as recommended by the Australian National Audit Office, will publish the scores of each agency's overall maturity index and each of the six component maturity indexes. This commenced from the 2023 Check-up survey.

De-identified data (consolidated APS-wide responses) from this survey may be provided by the National Archives to relevant APS agencies or APS Networks (for example, Data Champions Network)

for the purpose of describing current APS information management practices. No individual agency's results will be shared. ORIMA will not be part of such sharing arrangements.

Accuracy and assurance of survey responses

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

The National Archives of Australia regards survey sign off by the recognised agency head as assurance that the survey has been completed accurately and accountably by the agency in accordance with governance responsibilities including the *Public Governance Performance and Accountability Act 2013*.

The Australian National Audit Office may consult and seek verification of an agency's Check-up survey responses as part of a performance audit of an agency's activities, including information management practices.

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

ORIMA Privacy Statement

Privacy and Access Statement by ORIMA

ORIMA Research will not disclose any identifiable research information for a purpose other than conducting our research unless we have your express prior consent or are required to do so by an Australian law.

Our Privacy Policy is available at www.orima.com and contains details regarding how your agency can access or correct information we hold about it, how you can make a privacy related complaint and how that complaint will be dealt with. Any questions should be directed to our Chief Operating Officer, Kim Sullivan on (03) 9526 9000.

Until we destroy our research records, your agency has the right to access the information that we hold about it as a result of this survey. Your agency may request at any time to have this information de-identified or destroyed.

If you have any queries about this survey, or would like any further information, you can call us on 1800 806 950.

Definitions

Term	Definition
[Accountable and compliant destruction](#)	Destruction of an information asset which has occurred if: • approved by the National Archives through a records authority • required by legislation • covered under a Normal Administrative Practice. Following appropriate procedures including: checking if the information is covered by a disposal freeze; documenting the disposal action obtained through a records authority issued by the National Archives; ensuring the destruction method is appropriate.
Core business	The unique business functions of an agency, as distinct from administrative functions which all agencies perform such as managing people or finances.
High risk or high value information assets	Indicators of high value information assets or those needed to mitigate high business risk include that they: • are critical to business continuity and/or accountability • affect rights and entitlements • significantly affect workplace health and safety • are subject to a high level of scrutiny or have a high likelihood for legal action • involve large sums of public money • have a high potential for reuse by other agencies or the general public • are of long-term value to the community and future generations.
Information assets	Records, information and data (in any format) created, sent and received as part of your agency's business.
Information assets – digital	Information which originated in (born digital), or was converted into (digitised), digital format.
Information assets – digital – audio-visual	Information assets created or managed as recorded sound or moving image in any digital format including digital files that may be stored on CD/DVD, USB or hard disk drives.
Information assets – physical	Information assets created or managed in physical format - includes paper, microfiche, photographs and film.
Information assets – physical – audio-visual	Information assets created or managed as recorded sound or moving image in any physical format, including gramophone records, video and audio magnetic tape recordings (open reel, cartridge or cassette tapes), motion picture film and sound recordings.
Information management	The management of information assets – records, information and data.

Term	Definition
Metadata strategy	A metadata strategy outlines prioritised steps for metadata improvement. It focuses on improving metadata management to support business. It outlines how metadata is currently managed within an agency, includes an assessment of gaps in metadata management, and identifies strategies or planned actions to address them. It can assist in, or be part of, the development of a [metadata framework]().
Retain as national archives (RNA)	Australian Government information assets appraised as having permanent value – information assets of national significance or public interest that have enduring value to the Australian Government and the community. Also referred to as 'RNA'.
Sentencing	Sentencing is the process of matching your agency's information asset/s to a relevant records authority disposal action, to establish and record the minimum period for which it must be kept.
Vital information assets	Information assets that are essential to the operation of an agency during or after an emergency, critical network failure or disaster to: • enable or re-establish business activities • establish and protect the rights and entitlements of clients and the agency.

Instructions

How should the assessment be completed?

1. Read each question carefully.

2. Where options have been provided, select the response that represents the answer you want to give. For example, if your agency was impacted by machinery of government changes in the last 18 months, mark option 1 as shown below:

    Was your agency affected by machinery of government change between 1 July 2023 and 30 June 2024? [Please select all that apply]

    ① Yes, gained a function(s)

    2 Yes, lost a function(s)

    3 No [Please go to the next section]

3. Where multiple answers apply, please select each applicable answer.

    What were the main information management issues or challenges for your agency from machinery of government changes between 1 July 2023 and 30 June 2024? [Please select all that apply]

    ① Large volumes of physical information assets to move

    2 Large volumes of digital information assets to move

    ③ Physical records moving to a digital environment

    4 Complex digital information assets to move (for example, migration of a significant database or datasets)

    5 Need to develop specific supporting technologies to accommodate transfer of business information (for example, Application Programming Interface or API)

    6 Difficulties surrounding security and or privacy concerns

Who do I contact for further information?

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

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

Part 2: Background

A. Agency profile

The purpose of this section is to collect profiling information about your agency and its environment. This information will be used to facilitate analysis of other data collected in the survey.

1. What is the name of your agency? _____

2. What is the name of your agency's portfolio? _____

3. Please specify the name and contact details of the head of your agency.

    First name: _____ Last name: _____

    Position: _____ Email address: _____

    Telephone number: _____

    Postal address: _____

4. Please specify the name and contact details of your agency's Check-up coordinator.

    First name: _____ Last name: _____

    Position: _____ Email address: _____

    Telephone number: _____

5. How many employees (full-time equivalent) are currently working in your agency? _____

6. Does your agency provide information management services for another Australian Government agency within your portfolio and/or entities listed on the Australian Government Organisation Register (AGOR)?

    1   No *[Please go to question 8]*

    2   Unsure *[Please go to question 8]*

    3   Yes

7. Will the survey submission include the details of the other agency/entities?

    1   Yes [If selected, display the following text and the name-of-agency text box items below:] [Please list all relevant agencies]

        Name of agency: _____

        Name of agency: _____

        Name of agency: _____

        Name of agency: _____

    2   No

Operating environment

8. Please choose the statement that best describes your agency's physical location(s).

    1   Single office in a capital city in Australia *[Please go to the next section]*

    2   Single office in a regional centre in Australia *[Please go to the next section]*

    3   Multiple offices in capital cities in Australia *[Please go to the next section]*

    4   Multiple offices in various locations around Australia with a main office in a capital city *[Please go to the next section]*

    5   Multiple offices in Australia and outside of Australia

    6   Other *[Please specify]* _____
        [Please go to the next section]

9. [If question 8, option 5 display this question] Please indicate whether your agency would like to include information assets located outside of Australia in your Check-up assessment.

    1   Include information assets located outside of Australia in our assessment (assessment will be based on information assets located in and outside of Australia) *[Please go to next section]*

    2   Exclude information assets located outside of Australia in our assessment (assessment will be based on information assets located in Australia only)

    3   Not applicable – our agency does not have information assets located outside of Australia *[Please go to next section]*

[The following section containing Q10 and Q11 is only displayed if the respondent's agency has overseas offices and plans to exclude information assets located outside Australia from its Check-up assessment: Q8=5 and Q9=2.]

Statement for agencies that plan to exclude information assets located outside of Australia from their Check-up assessment

Please indicate whether your agency agrees with the following statements.

10. We acknowledge that information management requirements also apply to our information assets located outside of Australia and we have established appropriate governance and procedures to ensure all information assets are appropriately managed according to their value. Where possible, we manage born digital information digitally to reduce information risks and for efficiency.

    1   Agree *[Please elaborate if necessary]*

    _____

    _____

    2   Disagree *[Please elaborate if necessary]*

    _____

    _____

11. We confirm that we have identified 'retain as national archives' (RNA) information assets located outside of Australia and have policies and processes in place to ensure this information is stored, protected and is able to be transferred to the National Archives in line with the requirements under the *Archives Act 1983*.

   1   Agree *[Please elaborate if necessary]*

_____

_____

   2   Disagree *[Please elaborate if necessary]*

_____

_____

Part 3: Information management maturity assessment

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

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

Scale point		Quantitative measure	Qualitative description
5	Almost always / always *Embedded*	More than 80% of the time	• **User** behaviours demonstrate a sound understanding of information management (IM) responsibilities and a high-level of adoption of good IM practises occurs across the agency. Training and education on good practices is provided and refreshed regularly. IM training and education is embedded into work processes and procedures. • **Monitoring and review** is continuous, occurs across the agency and includes regular planned reviews. Reviews are followed by corrective action to address identified risks and areas needing improvement. • **Systematic transformation and change** is managed, supported and appropriately resourced. • **IM requirements** are embedded in organisational business activities and assessed in system acquisition, maintenance and decommissioning. • **IM policies, practices and processes** are aligned with corporate and business objectives. They are implemented across the agency in all, or almost all, applications and platforms used by the agency. • **The systematic creation of accurate and reliable information assets**, managed to maintain integrity and trust, is occurring at least almost always across the agency. High value information assets have been identified across the agency.
4	Usually / most of the time *Operational*	61–80% of the time	• **User behaviours** demonstrate that IM practises are understood and adopted across most of the agency. Training and education in good practice approaches is both regular and systematic. • **Monitoring and review** occurs across the agency on a regular basis including planned reviews. Reviews are followed by corrective action to address identified risks and areas needing improvement. • **Transformation and change** is usually managed, supported and appropriately resourced.

Scale point		Quantitative measure	Qualitative description
			• **IM requirements** are usually incorporated into business activities and assessed in system acquisition, maintenance and decommissioning.
			• **IM policies, practices and processes** are largely implemented across the agency and most applications and platforms used by the agency.
			• **The systematic creation of accurate and reliable information assets**, managed to maintain integrity and trust is occurring at least most of the time across the agency.
3	Sometimes *Formalising*	41–60% of the time	• **User behaviours** sometimes or more often demonstrate an understanding of IM responsibilities and adoption of good IM practices. Training and education in good practice approaches is available although it may not be provided on a regular or systematic basis.
			• **Transformation and change** is sometimes or more often planned and supported, although it may not be implemented across the agency or sufficiently resourced.
			• **IM requirements** are sometimes or more often incorporated into business activities and assessed in system acquisition, maintenance and decommissioning. However, there may be some activities or systems where IM requirements have not been fully considered.
			• **IM policies, practices and processes** are implemented across parts of the agency and many applications and platforms used by the agency.
			• **The systematic creation of accurate and reliable information assets**, managed to maintain integrity and trust is occurring sometimes to more often across the agency. High value information assets have been identified for many business activities.
2	Occasionally *Initial*	21–40% of the time	• **User behaviours** demonstrate occasional understanding of IM responsibilities and there is some adoption of good IM practices, however this is inconsistent. There is occasional training and education in good practice approaches.
			• **Monitoring and review** occurs occasionally for IM activities and processes but is not systematic or regular. There may be unknown weaknesses and risks.
			• There may be some plans for positive **transformation and change** for specific areas or systems.
			• **IM requirements, policies, practices and processes** are developed or implemented occasionally. They may be at

Scale point	Quantitative measure	Qualitative description
		initial stages, require review, or be limited to specific areas or systems.
		• **The systematic creation of accurate and reliable information assets,** managed to maintain integrity and trust is occurring in some areas and platforms of the agency. High value information assets have been identified for at least some business activities.
1 Never / rarely *Ad hoc*	Less than 21% of the time	• **User behaviours** generally demonstrate unfamiliarity with IM responsibilities and adoption of good IM practices is rare. Training needs have not been identified. • **Monitoring and review** is ad hoc and risks are largely unknown. Corrective action is reactive after an adverse event or consequence. • There is no supported and resourced systematic plan for agency-wide positive **transformation or change**. • **IM requirements policies, practices and processes** are developed / applied sporadically, or they are limited to specific business areas or systems. • **The systematic creation of accurate and reliable information assets,** managed to maintain integrity and trust, is inconsistent across the agency. Some high value information assets may have been identified.

Maturity and non-maturity questions

Part 3 is the only part of Check-up that contains questions that will contribute to the score for an agency's information management maturity and performance. Some questions in Part 3 have been included to enable the National Archives to gain a richer understanding of agency challenges and practices. The results of these questions will not affect an agency's maturity score. These have been marked with an asterisk '*'. They will be included in consolidated Check-up reporting.

Other parts of the survey contain questions on a variety of subjects including agency profiles, volumes of information assets held in agencies, and proposed transfer of 'retain as national archives' information assets. These will not affect an agency's maturity score but will be included in consolidated Check-up reporting. The table below summaries this information.

Part/Section	Mix of maturity and non-maturity questions	All non- maturity questions
Part 2 Background/Section A Agency profile		√
Part 3 Information management maturity assessment – Sections B to G	√ Questions that do not contribute to an agency's maturity score, in this Part only, have been identified with an asterisk *	
Part 4 Feedback and environmental impacts – Sections H to K		√
Part 5 Information asset volumes and transfer of 'retain as national archives' (RNA) information assets – sections L to M		√
Part 6 Comments and Part 7 Survey submission		√

B. Governance and culture

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

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

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

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

	Not developed	Planning consultation underway to develop	Draft completed	Completed and needs to be reviewed / updated	Completed and up to date
h Open access to information policy Includes aligning with: Principle 1 – Principles on open public sector information (Office of the Information Commissioners (OAIC)) Public Data – Department of Finance Freedom of information – (OAIC)	1	2	3	4	5

13. Does your agency have an information governance framework?

    1   Yes

    2   Partial – in the process of developing one *[Please go to question 16]*

    3   No *[Please go to question 16]*

[Only display Q14 and Q15 if respondent's agency has an information governance framework: Q13=1]

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

    1   Yes *[What year was this framework developed, or most recently reviewed and updated]* i. 2021 ii 2022 iii 2023 iv 2024

    2   No

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

    1   All information assets – records, information and data

    2   Records and information only

16. Does your agency have an active information governance committee (or similar mechanism) with responsibility for oversight of enterprise-wide information management? The committee should include broad representation from stakeholders across the agency (legal, regulatory, risk, and business) and cover the governance of all information assets. [Please select all that apply]

   1   Yes – the committee, or similar mechanism, makes decisions on enterprise-wide information management issues (includes all types of information assets) [This option is exclusive – cannot be selected with other options]

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

   3   Partial – a data governance committee or similar mechanism makes decisions on enterprise-wide data management (covers data only) [If this is the only option selected, please go to question 18]

   4   No – my agency does not have an active information governance committee or similar mechanism [This option is exclusive – cannot be selected with other options] [Please go to question 18]

17. Have the responsibilities of your information governance committee (or similar mechanism) been created, or reviewed and updated since 1 January 2021?

   1   Yes [What year were these responsibilities created, or most recently reviewed and updated] i. 2021 ii 2022 iii 2023 iv 2024

   2   No

18. Does your agency have a Chief Information Governance Officer (CIGO), or similar role, which establishes and maintains an enterprise-wide culture for an accountable and business-focused information management environment?

   1   Yes

   2   No [Please go to question 22]

19. Does your agency's CIGO, or similar role, cover oversight of all information assets – records, information and data? [Please select all that apply]

   1   Yes – the CIGO, or similar role, has oversight of all types of information assets [This option is exclusive – cannot be selected with other options] Please provide the title of your agency's CIGO or similar role _____

   2   Partial – the CIGO, or similar role, has oversight of records and information (excludes data) Please provide the title of your agency's CIGO or similar role _____

   3   Partial – a Chief Data Officer, or similar role, has oversight of data (covers data only) [If this is the only option selected, please go to question 22] Please provide the title of your agency's CDO or similar role _____

Responses to question below, marked with an *, will not impact upon individual agency maturity scores.

20. * Is your agency's CIGO, or similar role, at a senior executive service level?

   1   Yes

   2   No

21. Have the responsibilities of your agency's CIGO, or similar role, been developed, or reviewed and updated since 1 January 2021?

    1   Yes *[What year was this role created, or most recently reviewed and updated]*

        i. 2021 ii 2022 iii. 2023 iv 2024

    2   No

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

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

    2   While separate governance mechanisms exist for records, information and data, there is overarching governance mechanism/s that ensures their management is integrated and aligned for business benefit. *Please describe briefly the name of this/these mechanism/s and how it/they integrate governance for all information assets.* _____

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

    3   Records and information are governed separately from data

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

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

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
c Require contractual arrangements to meet agency and Australian Government requirements for information asset management. (This includes when information management is outsourced or provided under shared service arrangements; or information assets are held with third party providers or in the cloud.)	1	2	3	4	5
d Identify and register its information assets where there is business value to do so. (Information asset registers record information about your information assets enabling them to be known and effectively governed.)	1	2	3	4	5
e Identify high-value and high-risk information assets, including vital information assets, to ensure they are managed appropriately.	1	2	3	4	5
f Review how well information management practices and processes support business objectives and report to senior management on achievements and gaps.	1	2	3	4	5
g 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.	1	2	3	4	5

24. In the last 5 years, has your agency's information management been audited to assess how well your agency, and agency staff, are complying with regulatory, business and community requirements for creating and managing information assets? These requirements are outlined in your information governance and other corporate documents.

    [Hover text on 'audited': internal audit, review or systematic independent assessment of the effectiveness of information management, conducted by an internal auditor, subcontractor, or evaluator not directly responsible for managing information assets]

    1   Yes – in the last 2 years

    2   Yes – between 2 and 5 years ago

    3   No *[Please go to question 26]*

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

    1   Yes

    2   No

    3   Not applicable – no significant compliance gaps were identified

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

To what extent is each of the following statements true for your agency?	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Senior management actively support information management as a business priority. For example, they: • authorise information governance documents • advocate for implementation of information management policies and initiatives • recognise and champion the importance of information management to achieve business objectives • support the value of experienced or professional information management staff • are accessible to information managers for reporting and oversight of agency information management • adequately resource information management.	1	2	3	4	5

To what extent is each of the following statements true for your agency?		Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
b	Senior management are represented on the information governance committee or equivalent.	1	2	3	4	5
c	Agency information management roles and responsibilities are documented and explained to staff.	1	2	3	4	5
d	Everyone's understanding of, and capability to undertake, their information management responsibilities is subject to periodic checks or audits.	1	2	3	4	5
e	Plans are in place to address staff information management capability gaps.	1	2	3	4	5
f	User adoption of information management policies, products, systems or system functionality is reviewed and barriers to adoption identified and addressed.	1	2	3	4	5
g	Everyone has access to appropriate training to continuously develop information management skills relevant to their role, ensuring they have the capability to create and manage information assets appropriately. Note: Everyone includes ongoing and non-ongoing staff at all levels, contractors, consultants, and volunteers.	1	2	3	4	5
h	Plans are in place to address information management capability gaps for staff with specialist information management roles.	1	2	3	4	5

To what extent is each of the following statements true for your agency?	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
i Staff responsible for information management possess professional qualifications and /or accreditation. Note: This includes staff in the process of obtaining qualifications and/or certification.	1	2	3	4	5

Responses to question 27, marked with an *, will not impact upon individual agency maturity scores.

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

Method	i. Below SES	ii. SES or equivalent
a Induction training or on-boarding briefing	1	1
b On-the-job training	2	2
c Briefings – written or verbal	3	3
d Provided information about information governance documents such as frameworks and policies	4	4
e Written into performance development plans / agreements	5	5
f As part of contractual agreements	6	6
g Regular mandatory training	7	7
h Regular optional training	8	8
i Other	9 [Please specify]	9 [Please specify]

Optional additional comments

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

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

For the National Archives:

C. Creating information assets

The questions in this section relate to *Information management standard Principle 2: Necessary business information is created* and its implementation guidance.

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

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

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
d Integrate information asset creation into business processes by: • automating creation in business systems, and/or • ensuring staff understand when and how to document business information though other means, such as templates, procedures or training.	1	2	3	4	5

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

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Work digitally by default (that is create, store and manage information digitally).	1	2	3	4	5
b Manage all digital information assets created from 1 January 2016 onwards digitally.	1	2	3	4	5
c Identify and remove paper from internal and external processes to improve efficiency. Examples of behaviours of agencies with high maturity in this practice include routinely: • digitising paper received as early as possible • re-designing processes for digital efficiencies • moving to digital authorisations and workflows.	1	2	3	4	5
d Convert existing analogue formats to digital formats where there is value to business. For example: digitising needed paper information assets for easy discovery and use.	1	2	3	4	5

Responses to questions 30 to 31, which are marked with an *, will not impact upon individual agency maturity scores.

30. * Between 1 July 2023 and 30th June 2024 has your agency created and subsequently managed information assets in physical formats?

   1   No

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

   _____

31. * Between 1 July 2023 and 30th June 2024 has your agency received information assets in physical formats and subsequently managed them in that format?

   1   No

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

   _____

Optional additional comments

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

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

_____

_____

_____

For the National Archives:

_____

_____

_____

D. Describing information assets (metadata)

The questions in this section relate to *Information management standard* Principle 3: Business *information is adequately described* and its implementation guidance.

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

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Identify what metadata needs to be created to ensure information assets can be found, understood and accessed when needed. Note: This includes sufficient metadata to identify information assets, understand their context and use, and preserve their ability to be accessed appropriately.	1	2	3	4	5
b Ensure business systems, including whole-of-government systems, meet minimum metadata requirements for information management. For example, assessing them against the National Archives' *Australian Government recordkeeping metadata standard* or minimum metadata set	1	2	3	4	5
c Create and maintain standardised metadata. For example, based on: • national, international and industry standards • controlled vocabularies (for example, taxonomies, ontologies, data dictionaries, glossaries, thesauri) • business rules.	1	2	3	4	5
d Review the usefulness of metadata to support business needs and update when required.	1	2	3	4	5
e Facilitate the capture of consistent metadata through mechanisms such as automatic capture of metadata in systems or drop down menus and validation checks.	1	2	3	4	5

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

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

    1   Yes

    2   Partial – a metadata strategy is under development but has not been implemented yet

    3   No

Metadata Management

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

Responses to questions 34 to 37, which are marked with an *, will not impact upon individual agency maturity scores.

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

    1   ABS 1292 - Australian and New Zealand Standard Industrial Classification (ANZSIC)

    2   ABS 1272 - Australian and New Zealand Standard Classification of Occupations (ANZCO)

    3   ABS 1267 - Australian Standard Classification of Languages (ASCL)

    4   ABS 1270 - Australian Statistical Geography Standard (ASGS)

    5   ABS 1269 - Standard Australian Classification of Countries (SACC)

    6   AS 4590 Interchange of Client Information

    7   AS/NZS 2632 (ISO 3166) Country Codes

    8   AS/NZS 4819 Rural and Urban addressing

    9   Geocoded National Address File (G-NAF® PSMA Australia Ltd)

    10   ISO 639 Language codes

    11   Standard Business Reporting (SBR) Taxonomy

    12   None [This option is exclusive– cannot be selected with any other options in list]

    13   Other: *[Please specify]*

    _____

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

    1   *Australian government recordkeeping metadata standard* (AGRkMS)

    2   The minimum metadata set (an implementation set of AGRkMS)

    3   *AGLS - AS 5044 Australian Government Locator Service*

    4   *AS/NZS 5478:2015 Recordkeeping Metadata Property Reference Set (RMPRS)*

    5   *AS/NZS ISO 19115.1:2015 Geographic information – Metadata (catalogue metadata)*

    6   *Dublin Core, AS/NZS ISO 15836 Dublin Core Metadata Element Set OR D-CAT (W3C profile of Dublin Core)*

    7   *ISO/IEC 11179 Metadata Registry (MDR) standard*

    8   None [This option is exclusive – cannot be selected with any other options in list]

    9   Other: *[Please specify]*

    _____

[Display Q36 only if respondent's agency uses the AGRkMS: Q35=1 is selected]

36. * How has your agency implemented/used the *Australian Government recordkeeping metadata standard* (AGRkMS)?
    Note: AGRkMS consists of five entities: Record, Agency, Business, Mandate and Relationship. It has 26 properties which apply to some or all of these entities.

    1   Implemented 1 entity

    2   Implemented 2 entities

    3   Implemented 3 entities

    4   Implemented 4 entities

    5   Implemented 5 entities

    6   Referred to, or used, the properties listed in AGRkMS

    7   Unsure

    8   Other: *[Please describe briefly]*

    _____

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

To what extent does your agency…	Rarely / never	Sometimes, for our highest value assets	Often, for our high value information	Usually, with only low value or legacy still to be managed	Always / almost always	Not applicable
a Make metadata available / accessible externally to the agency / organisation.	1	2	3	4	5	6

To what extent does your agency…	Rarely / never	Sometimes, for our highest value assets	Often, for our high value information	Usually, with only low value or legacy still to be managed	Always / almost always	Not applicable
b Ensure data exchanges with other agencies are accompanied by metadata / data dictionaries.	1	2	3	4	5	6

Optional additional comments

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

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

_____

_____

_____

For the National Archives:

_____

_____

_____

E. Storing, preserving, and managing information assets

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

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

	To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a	Store information assets securely ensuring sensitive information (such as security classified or personally sensitive information) is identified and managed according to: • protective security • cyber security and, • privacy requirements.	1	2	3	4	5
b	Create digital information assets in sustainable digital formats with a lower risk of becoming obsolete.	1	2	3	4	5
c	Implement storage and preservation strategies, procedures and activities to ensure information can be accessed, used and understood for as long as it is required. For example: • implement business continuity and disaster recovery plans • assess preservation risks and implement corrective actions, such as converting information assets to current or lower risk formats to ensure information remains usable over time. • make regular integrity checks in systems.	1	2	3	4	5
d	Ensure contractual arrangements for third-party storage (including cloud) cover information management requirements including security, access, migration, disposal and end of contract considerations to ensure access to needed information assets is not compromised.	1	2	3	4	5

Responses to questions 39 to 40, which are marked with an *, will not impact upon individual agency maturity scores.

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

  1   No *[Please go to question 41]*

  2   Don't know *[Please go to question 41]*

  3   Yes

[Display Q40 only if respondent's agency has information unable to be accessed or used before its disposal date: Q39=3]

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

  1   Damaged by a disaster such as flood or fire

  2   Hardware needed to access the information is no longer available

  3   Information is stored in obsolete file formats

  4   Information is stored in an obsolete medium that has deteriorated (for example, floppy disk)

  5   Software needed to access the information is no longer available

  6   Contamination or biohazard (for example, mould, asbestos, dust, blood etc)

  7   Other: *[Please describe briefly]*

  _____

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

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

To what extent does your agency…		Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
c	Address information management requirements when upgrading, migrating or decommissioning systems, including legacy and poorly performing systems, to meet business needs.	1	2	3	4	5
d	Save information assets into endorsed systems with appropriate information management functionality or governance. Note: This includes information assets in all forms (for example, physical, digital, audio-visual).	1	2	3	4	5
e	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. **Note: For this question 1 indicates good practice and 5 indicates poor practice.**	1	2	3	4	5
f	If applicable, please provide examples where you are storing information assets without appropriate information management. For example, for your agency, uncontrolled network drives, removable media, email applications and social media sites may be inappropriate places to manage information assets, particularly on a long-term basis.	_____				
g	Provide guidance to staff on information governance controls and rules when using systems and platforms with limited information management functionality. For example, there may be a rule to capture needed information assets into a system where they can be managed appropriately.	1	2	3	4	5

Responses to questions 42 to 45, which are marked with an *, will not impact upon individual agency maturity scores.

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

    1   Very easy *[Please go to question 44]*

    2   Fairly easy *[Please go to question 44]*

    3   A little difficult

    4   Very difficult

[Display Q43 only if respondent's agency finds integrating functional requirements for information management into new or existing business systems 'a little difficult' / 'very difficult': Q42=3 or 4]

43. * Why does your agency find it [Answer to Q42: 'a little difficult' / 'very difficult'] to integrate functional requirements for information management into new or existing business systems? [Please select all that apply]

    1   Age of business system/s

    2   Number of systems

    3   Information management requirements are not specified in the procurement process

    4   Information management requirements are not prioritised

    5   Information management staff are not consulted at design or procurement stages

    6   Other: *[Please describe briefly]*

    _____

Storage, systems and services

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

    1   Yes, we use cloud-based storage

    2   Yes, we use cloud-based services

    3   No, we do not use cloud-based storage or services

45. * Please indicate which systems/services your agency uses and/or maintains. [Please select all that apply]

Cloud-based systems/services

1   Human resources: *[Please specify product name/s]* _____

2   EDRMS: *[Please specify product name/s]* _____

3   Financial Systems: *[Please specify product name/s]* _____

4   Case management: *[Please specify product name/s]* _____

5   Office subscription services (such as M365): *[Please specify product name/s]* _____

6   Software as a service (other than any listed above): *[Please specify product name or general description of the types of services]* _____

7   Other: *[Please specify product name/s]* _____

Non-cloud based systems/services

1   Human resources: *[Please specify product name/s]* _____

2   EDRMS: *[Please specify product name/s]* _____

3   Financial Systems: *[Please specify product name/s]* _____

4   Case management: *[Please specify product name/s]* _____

5   Other: *[Please specify product name/s]* _____

Please describe briefly any whole of government systems/services which your agency maintains as the lead agency *[Do not respond if your agency is a user, for example if you use the Parliamentary Document Management System]*

_____

_____

Optional additional comments

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

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

_____

_____

_____

For the National Archives:

F. Appraising and disposing (destruction and transfer)

The questions in this section relate to *Information management standard* *Principle 5: how long business information should be kept is known* and implementation guidance and *Principle 6: business information is accountably destroyed or transferred* and implementation guidance.

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

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Analyse and document how long information assets need to be kept to meet: • operational needs • stakeholder needs including rights and entitlements • legislative and regulatory obligations • community needs, including the need to have access to valuable Australian Government information for research and reuse. Examples of behaviours of agencies with high maturity include: • regularly reviewing business activities to ensure records authority coverage is adequate and up to date • participating in developing needed records authority coverage with the National Archives of Australia • ensuring where information assets are not yet covered by a records authority, that the value and needs for retention of the assets are known, so that they can be appropriately managed.	1	2	3	4	5

To what extent does your agency...	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
b Ensure retain as national archives (RNA) information assets across systems and locations have been identified to inform appropriate management Examples of behaviours of agencies with high maturity in this practice include routinely: • knowing which systems hold RNA • knowing the percentage of RNA stored • identifying RNA information assets in asset registers • identifying RNA information assets through metadata in systems.	1	2	3	4	5
c Establish governance across all business systems, applications, and platforms used (includes social media) so that information assets are not destroyed before their authorised retention date. [Hover text on 'Governance': Governance includes: • building in functionality which enables identification of retention periods for information assets and prevents their unauthorised deletion or destruction and/or • providing policy and guidance for all staff.]	1	2	3	4	5
d If applicable, please provide examples where it is difficult to establish governance to ensure information assets are not destroyed before their authorised retention date. For example, platforms such as instant messaging apps may prove difficult to govern either through integrating functionality or through policy and guidance to staff.	_____			

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
e Facilitate automated identification of information assets due for destruction or transfer. Examples of behaviours of agencies with high maturity in this practice include: • sentencing to enable information to be flagged for destruction after its authorised retention period has been reached • configuring an agency's EDRMS and business systems to flag information due for destruction based on disposal policies and rules.	1	2	3	4	5
f Transfer 'retain as national archives' information assets, as soon as practicable, or within 15 years of creation to the care of the National Archives. [Hover text on 'care': In accordance with approved arrangements with the National Archives. 'care' includes transferring custody of information assets to the National Archives or entering into agreed distributed custody arrangements.]	1	2	3	4	5
g Ensure existing information has been sentenced and the disposal action is known (even if it has not been carried out). Examples of behaviours of agencies with high maturity in this practice include routinely: • sentencing information assets at the appropriate level (aggregation) • sentencing information assets in legacy systems to enable accountable disposal.	1	2	3	4	5

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
h After sentencing, promptly destroy information assets of temporary value when no longer needed, at or after they have reached their authorised retention period.	1	2	3	4	5

Records authorities, sentencing and destruction

The purpose of the following questions is to collect information about records authority coverage, sentencing, transfer, and destruction challenges and practices. Responses to questions 47 to 58, which are marked with an *, will not impact upon individual agency maturity scores.

47. * Do you need to improve disposal coverage for your core business information assets (excluding information assets covered by general records authorities such as *AFDA express version 2)?*

    1   No, all core business information assets are covered by current records authority/ies

    2   Yes, we need to develop/update a records authority/ies

    3   Unsure, we need to undertake a review of our existing records authority/ies to establish if they are current and/or cover all our core business information assets

    4   Unsure, we do not understand how to determine if we need to improve disposal coverage for our core business information assets

48. * Has your agency sentenced any physical information assets in the period from 1 July 2023 to 30 June 2024?

    1   We have no physical information assets *[Please go to question 50]*

    2   We have sentenced all our physical information assets *[Please go to question 50]*

    3   Yes *[Please go to question 50]*

    4   No

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

    1   In the next 6-12 months

    2   In the next 1-2 years

    3   In the next 2-3 years

    4   In 3 years or more

    5   Unsure

50. * Has your agency sentenced any digital information assets in the period from 1 July 2023 to 30 June 2024?

    1   Yes *[Please go to question 52]*

    2   No

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

    1   In the next 6-12 months

    2   In the next 1-2 years

    3   In the next 2-3 years

    4   In 3 years or more

    5   Unsure

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

    1   No challenges

    2   No current records authority for core business

    3   Lack of resources

    4   Lack of available staff with necessary skills

    5   Sentencing is not prioritised above other information management activities

    6   Lack of support from business areas

    7   Volume of physical information assets that need sentencing

    8   Volume of digital information assets that need sentencing

    9   Difficulty sentencing physical information assets *[Please explain briefly:]*

    _____

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

    _____

    11   Other *[Please describe briefly:]*

    _____

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

1 Have not attempted to transfer 'retain as national archives' information assets

2 No challenges

3 Don't know how to get on to the National Archives' transfer plan

4 Difficulty understanding or implementing the National Archives' transfer requirements *[Please describe briefly the difficulty/ies:]*

_____

5 Our current system is unable to export information assets and metadata for digital transfer

6 Lack of capability and access to IT support, to undertake digital transfers

7 Have no 'retain as national archives' information assets over 15 years

8 We still have a business need for 'retain as national archives' information assets over 15 years

9 Have no 'retain as national archives' information assets under 15 years where business use has ceased

10 Lack of resources

11 Difficulty transferring physical information assets *[Please explain briefly:]*

_____

12 Difficulty transferring digital information assets *[Please explain briefly:]*

13 Other *[Please describe briefly:]*

_____

54. * What volume of physical information assets did your agency destroy between 1 July 2023 to 30 June 2024 under authorised agency-specific or general records authorities? Note: Please advise of any difficulties in working out this volume in question 55. *[Enter zero (i.e. '0') if none was destroyed]*

_____ Shelf metres – A shelf metre is a linear metre (100cm). You calculate how many metres of space the records would have occupied if they were packed together loosely and lined up along a shelf [Numerical response only]

[Display Q55 only if a volume of destroyed physical information assets was indicated: 54>0]

55. * Please describe briefly the sources you have used to answer Question 54. Did you experience any difficulties in working out volume destroyed? *[Please describe briefly]*

_____

_____

_____

56. * What volume of digital information assets did your agency destroy between 1 July 2023 to 30 June 2024 under authorised agency-specific or general records authorities? Note: Please advise of any difficulties in working out this volume in question 57. *[Enter zero (i.e. '0') if none was destroyed]*

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

[Display 57 only if a volume of destroyed digital information assets was indicated: 56>0]

57. * Please describe briefly the sources you have used to answer Question 56. Did you experience any difficulties in working out volume destroyed? *[Please describe briefly]*

_____

_____

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

   1   No challenges

   2   Lack of resources

   3   Destruction is not prioritised above other information management activities

   4   It is difficult to obtain consent from business areas for destruction

   5   Agency is risk averse to destroying information assets

   6   Difficulty destroying physical information assets *[Please describe briefly:]*

   _____

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

   _____

   8   Other *[Please describe briefly:]*

   _____

Statement of assurance for information asset destruction

Your agency can now provide a Statement of Assurance regarding accountable and compliant destruction for information assets destroyed between 1 July 2023 and 30 June 2024 (replacing previous accountability mechanisms such as the NAS45 form). *[Please choose the most appropriate answer below]*

This excludes any unauthorised destruction that you may identify in Q59, Q60 and Q61.

☐ No information assets were destroyed between 1 July 2023 and 30th June 2024

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

☐ I cannot confirm that all information assets have been destroyed accountably and according to the National Archives of Australia's requirements. *[Please briefly explain why you cannot confirm that all information assets have been destroyed accountably.]*

_____

59. Were there any instance/s of unauthorised destruction of information assets in your agency over the period 1 July 2023 to 30 June 2024?

[Hover text on 'unauthorised destruction': Destruction is unauthorised if it is not approved by the National Archives through a records authority, is not required by legislation, or is not a normal administrative practice (NAP).]

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

   _____

   2   No *[Please go to end-of-section optional additional comments box]*

60. Were these instance/s reported internally as part of information governance? [Please select all that apply]

   1   Yes, to the agency head

   2   Yes, to the Chief Information Governance Officer (or similar role)

   3   Yes, to the information governance committee (or equivalent mechanism)

   4   Yes, to another officer/internal accountability or reporting mechanism *[Please specify:]* _____

   5   No, this was not reported internally *[Please explain briefly why not:]* _____ [This option is exclusive – cannot be selected with other options]

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

   1   Yes

   2   No *[Please explain briefly why not:]* _____

Optional additional comments

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

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

_____

_____

_____

For the National Archives:

_____

_____

_____

G. Use, reuse and interoperability

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

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

To what extent does your agency…	Never / rarely	Occasionally	Sometimes	Usually / most of the time	Almost always / always
a Assess how easy it is for users to find and use information assets, and plan to improve discovery and retrieval.	1	2	3	4	5
b Find it is unable to locate needed information assets for business purposes, or to meet public and official requests for that information. **Note: for this question 1 indicates good practice and 5 indicates poor practice.**	1	2	3	4	5
c Remove restrictions on access to information assets as soon as they no longer apply. Note: This includes declassifying information assets when the security classification is no longer required. The Attorney-General's Department recommends agencies establish procedures so that information is automatically declassified and to regularly review if classified information retains its original sensitivity. Protective Security Policy Framework, Policy 8 C.2. 6	1	2	3	4	5
d Adopt an open by default position for the release of non-sensitive information assets to staff and public, documenting exceptions and the conditions upon which access can be granted.	1	2	3	4	5

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

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

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

Optional additional comments

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

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

_____

_____

_____

For the National Archives:

_____

_____

_____

Part 4: Feedback and environmental impacts

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

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

64. The National Archives has identified and developed resources such as products, guidance and templates to help agencies implement the *Building trust in the public record* policy. They can be found on the Resources – public release schedule web page.

a. Have you used any of these products between 1 July 2023 and 30 June 2024?

1   No *[Please go to question 64c]*

2   Yes *[Please list the products that you used below]*

_____

_____

b. Do you have feedback on how useful you found these products?

1   No

2   Yes *[Please provide your feedback below]*

_____

_____

c. Do you have any suggestions for new products or advice to support implementation of the policy? *[Please provide your suggestions below]*

_____

_____

I. Check-up survey

The purpose of this section is to seek feedback on the Check-up survey itself for future planning purposes, and to identify how agencies use the Check-up data to inform their information management governance and activities.

65. How long have you been completing the Check-up survey (including Check-up PLUS and other previous versions of Check-up):

(a) for your current agency?

    1   This is my first year

    2   Two years

    3   Three years

    4   Four years

    5   Five years

    6   Over five years *[Please specify:]* _____

(b) for any previous agency?

    1   Not applicable

    2   One year

    3   Two years

    4   Three years

    5   Four years

    6   Five years

    7   Over five years *[Please specify:]* _____

66. How have you used the Check-up survey to assess and improve information management in your agency? Please select all that apply

    1   To identify gaps in information management maturity and performance

    2   As a resource when planning to improve information management maturity and performance

    3   To assess yearly improvement in information management maturity and performance

    4   To assess progress in implementing the *Building Trust in the Public Record* policy

    5   To raise awareness of information management within the agency through the collection of answers

    6   To raise awareness of information management within the agency through presentations to senior management or agency head

    7   By using the results to understand the state of information management maturity within your agency (e.g. if new to the agency or to an information management role)

    8   Other *[Please specify:]* _____

    9   I have not (yet) used the Check-up survey to assess and improve information management in my agency

67. How often should the Check-up survey be run and why?

    1   Every year *[Please indicate why you chose this frequency:]* _____

    2   Every two years *[Please indicate why you chose this frequency:]* _____

    3   Every three years *[Please indicate why you chose this frequency:]* _____

    4   Other frequency *[Please specify:]* _____ *[Please indicate why you chose this frequency:]* _____

68. The National Archives uses agency head sign off as assurance the survey has been completed accurately and accountably. Can you suggest any alternative, or additional, methods of assurance for the Check-up survey?

    1   No

    2   Yes *[Please specify your suggestion:]* _____

69. Is there anything you particularly dislike about the Check-up survey?

    1   No

    2   Yes *[Please specify:]* _____ (Please be as specific as possible in your answer. Refer to particular sections and/or questions if that is applicable to your response)

70. Is there anything you particularly like about the Check-up survey?

    1   No

    2   Yes *[Please specify:]* _____

J. Impact of machinery of government change

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

71. Was your agency affected by machinery of government change between 1 July 2023 to 30 June 2024? [Please select all that apply]

1   Yes, gained a function(s)

2   Yes, lost a function(s)

3   Yes, became part of a new agency

4   No [Please go to Question 73]

72. i. What were the main information management issues or challenges for your agency from machinery of government changes between 1 July 2023 to 30 June 2024? [Please select all that apply]

1   Large volumes of physical information assets to move

2   Large volumes of digital information assets to move

3   Physical information assets moving to a digital environment

4   Complex digital information assets to move (for example, migration of a significant database or datasets)

5   Need to develop specific supporting technologies to accommodate transfer of business information (for example, Application Programming Interface or API)

6   Difficulties surrounding security and or privacy concerns

7   Difficulties negotiating with the transferring or receiving agency

8   Insufficient internal human resources with appropriate skills

9   Significant system development or modifications required

10   Lack of understanding and/or visibility of what information was affected by the change

11   Negative impact of existing resourcing or funding

12   Negative impact on implementing actions of the *Building Trust in the Public Record* policy

13   No significant impact

14   Other [Please specify] _____

ii. Please briefly elaborate on any of your responses above if you have further information to provide.

_____

_____

K. Challenges and opportunities

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

73. In the past year what was the greatest information management challenge in your agency? Please describe briefly.

_____

_____

_____

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

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

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

_____

_____

_____

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

This next section of Check-up covers total volumes of information assets, volumes of RNA information assets, and planned transfers of RNA information assets to the National Archives.

L.   Information assets and RNA volumes

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

Digital information assets (including audio-visual)

Note:
- Include all structured and unstructured information assets (include data holdings)
- Include information assets held in all cloud based and locally hosted systems eg. EDRMS, network drives, business systems
- Include digitised information assets
- Only include the primary copy of your information assets, and exclude any secondary copies, such as backups and redundant copies
- Exclude storage volumes occupied by IT infrastructure.

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

    1   Total volume digital information assets:

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

76. Please describe briefly the sources you have used to answer Question 75. Did you experience any difficulties in working out total volume?

    _____

    _____

77. [Only show validation if the response for question 75 is 75% or higher or 50% or lower than last year's result.] Your response to question 75 shows that the total digital information asset volumes has ["increased by 75% or more"/"decreased by 50% or more"] since 2023 (**"increased"/"decreased" by XX%** from xxxx gigabytes in 2023) based on your agency's response to the 2023 Check-up survey. Please review your response to question 75 and either amend or explain the ["increase"/"decrease"] below:

    I have reviewed and confirm our response to question 75. The reason for the ["increase"/"decrease"] is:

    _____

78.   Volume of sentenced digital RNA:

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

2   No sentenced digital RNA

79. Volume of unsentenced, estimated digital RNA

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

2   Not known. *[Please describe briefly why volume of RNA cannot be estimated then go to Question 81]* _____

80. What information have you used to determine the volume of unsentenced estimated digital RNA in Question 79? [Please select all that apply]

1   Our agency has identified potential RNA information assets in its information asset register

2   Our agency has identified potential RNA information assets as part of its business system assessment/s

3   Our agency has identified potential RNA information assets from RNA class descriptions in our specific records authorities and general records authorities (such as AFDA Express)

4   Other *[Please specify:]* _____

Validation check pop-up [block submission if this is unresolved and displaying a message to resolve this issue before submitting]: Your response to question 75 shows that the total volume of digital information assets is *lower* than total of sentenced plus unsentenced RNA volumes (questions 78 and 79). Please review your answers to these questions and ensure the total volume of digital information assets is higher than the volume of sentenced plus unsentenced RNA. The total volume of digital information assets (question 75) should also include your sentenced and unsentenced temporary information assets. *Show actual numbers for total digital information asset volume, not bigger than actual numbers for volume of sentenced digital RNA + volume of unsentenced, estimated digital RNA*

Physical Information assets (including audio-visual)

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

1   Total volume physical information assets:

_____ Shelf metres – A shelf metre is a linear metre (100cm). You calculate how many metres of space the records would occupy if they were packed together loosely and lined up along a shelf

[If question 48=option 1 (no physical information assets) and question 81 displays a positive volume then display the following message] Your response to question 48 indicated that your agency has no physical information assets, while your response to question 81 indicates that your agency has XXX shelf metres of physical information assets. Please review your responses to these questions so that they are consistent.

82. Please describe briefly the sources you have used to answer Question 81. Did you experience any difficulties in working out total volume?

_____

_____

83. [Only show validation if the response for question 81 is 75% or higher or 50% or lower than last year's result.] Your response to question 81 shows that the total physical information asset volumes have ["increased by 75% or more"/"decreased by 50% or more"] since 2023 (**"increased"/"decreased" by XX%** from xxxx shelf metres in 2023) based on your agency's response to the 2023 Check-up survey. Please review your response to question 81 and either amend or explain the increase/decrease below.

> I have reviewed and confirm our response to question 81. The reason for the ["increase"/"decrease"] is:

_____

84. Volume of sentenced physical RNA:

1   _____ Shelf metres – a shelf metre is a linear metre (100cm). You calculate how many metres of space the records would occupy if they were packed together loosely and lined up along a shelf

2   No sentenced physical RNA

85. Volume of unsentenced, estimated physical RNA

1   _____ Shelf metres – a shelf metre is a linear metre (100cm). You calculate how many metres of space the records would occupy if they were packed together loosely and lined up along a shelf

2   Not known. *[Please describe briefly why volume of RNA cannot be estimated then go to Question 87]* _____

86. What information have you used to determine the volume of unsentenced estimated physical RNA in Question 85? [Please select all that apply]

1   Our agency has identified potential RNA information assets in its information asset register

2   Our agency has identified potential RNA information assets from RNA class descriptions in its specific records authorities and general records authorities, such as AFDA Express

3   Other *[Please specify:]* _____

Validation check pop-up [block submission if this is unresolved and displaying a message to resolve this issue before submitting]: Your response to question 81 shows that the total volume of physical information assets is *lower* than total of sentenced plus unsentenced RNA volumes (questions 84 and 85). Please review your answers to these questions and ensure the total volume of physical information assets is higher than the volume of sentenced plus unsentenced RNA. The total volume of physical information assets (question 81) should also include your sentenced and unsentenced temporary information assets. *Show actual numbers for total physical information asset volume, not bigger than actual numbers for volume of sentenced physical RNA + volume of unsentenced, estimated physical RNA*

M. Transferring to the National Archives

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

    1   Yes

    2   No *[Please go to Part 6]*

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

    1   Yes

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

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

    - in poor condition

    - stored on obsolete formats

    - where the medium is considered to be a fragile format, including chemically unstable formats such as nitrate and acetate film, magnetic tape, or thermal paper.

    1   No

    2   Yes *[Please describe briefly which information assets may be at risk and why]*

    _____

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

    1   No

    2   Yes *[Please describe briefly these sensitivities and specialised storage and/or handling requirements:]*

    _____

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

    1   Yes

    2   Not completed, sentencing project in progress *[Please go to Part 6]*

    3   No *[Please go to Part 6]*

92. Please provide a profile of the planned transfer of sentenced information assets, including details of the amount and size of the transfer for the upcoming 12 months (2024-25).

RNA categories for transfer [Table only appears when the answer to Questions 88 and 91 is 'Yes'. Restrict all responses to positive whole numbers. Mandate responses to both i. and ii. if a response is provided in either one of the columns.]

	i. Number of RNA items to be transferred	ii. Volume of RNA items to be transferred
Physical items		
Paper items		
a Unclassified	_____	_____ shelf metres
b Classified excluding Secret and Top Secret	_____	_____ shelf metres
c Secret and Top Secret only	_____	_____ shelf metres
Audio-visual items		
d Unclassified	_____	_____ shelf metres
e Classified excluding Secret and Top Secret	_____	_____ shelf metres
f Secret and Top Secret only	_____	_____ shelf metres
Photographs including printed photographs and negatives		
g Unclassified	_____	_____ shelf metres
h Classified excluding Secret and Top Secret	_____	_____ shelf metres
i Secret and Top Secret only	_____	_____ shelf metres
Other physical types including maps, plans, microfiche, microfilm		
j Unclassified	_____	_____ shelf metres
k Classified excluding Secret and Top Secret	_____	_____ shelf metres
l Secret and Top Secret only	_____	_____ shelf metres

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

93. [Only show this question if the sum of question 92ii physical items a to l is larger than the response in question 84] You indicated that the RNA material has been sentenced (question 91). If the volume of planned transfer for physical RNA items for 2024-25 (in question 92) is more than the total of sentenced physical RNA (question 84), please explain the reason for this.

_____

94. [Only show this question if the sum of question 92ii digital items a to f is larger than the response in question 78] You indicated that the RNA material has been sentenced (question 91). If the volume of planned transfer for digital RNA items for 2024-25 (in question 92) is more than the total of sentenced digital RNA (question 78), please explain the reason for this.

_____

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

   1   Yes

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

   _____

96. Are you able to provide a profile of planned transfers for the following 12 months (2025/26)?

   1   Yes

   2   No *[Please go to Part 6]*

97. Please provide a profile of the planned transfer of sentenced information assets, including details of the amount and size of the transfer for the following 12 months (2025/26).

RNA categories for transfer [Table only appears when the answer to Question 96 is 'Yes'. Mandate responses to both i. and ii. if a response is provided in either one of the columns.]

	i. Number of RNA items to be transferred	ii. Volume of RNA items to be transferred
Physical items		
Paper items		
a Unclassified	_____	_____ shelf metres
b Classified excluding Secret and Top Secret	_____	_____ shelf metres
c Secret and Top Secret only	_____	_____ shelf metres
Audio-visual in physical formats		
d Unclassified	_____	_____ shelf metres
e Classified excluding Secret and Top Secret	_____	_____ shelf metres
f Secret and Top Secret only	_____	_____ shelf metres
Photographs including printed photographs and negatives		
g Unclassified	_____	_____ shelf metres
h Classified excluding Secret and Top Secret	_____	_____ shelf metres
i Secret and Top Secret only	_____	_____ shelf metres

	i. Number of RNA items to be transferred	ii. Volume of RNA items to be transferred
Physical items		
Paper items		
Other physical types including maps, plans, microfiche, microfilm		
j Unclassified	_____	_____ shelf metres
k Classified excluding Secret and Top Secret	_____	_____ shelf metres
l Secret and Top Secret only	_____	_____ shelf metres

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

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

    1   Yes

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

    _____

Part 6: Comments

The purpose of this section is to collect agency comments about the survey, *Building trust in the public record* policy implementation, or any other relevant comments for consideration by the National Archives. This information will be used to facilitate analysis of other data collected in the survey.

99. Please contribute any other comments here.

_____

_____

_____

Part 7: Survey Submission

Please submit your survey to the National Archives to complete the assessment.

Submission process

Coordinator levels users will be able to view a submission page. The submission page can be accessed via a link on the final page of the survey and from the menu. After all survey questions have been completed, Coordinators will be able to mark the survey as 'ready for approval'. This will:

- lock the survey, preventing any changes from Assessor or Coordinator level users
- send an automatically generated email to the Approver
  - This email will include a unique URL that will allow the Approver to access the system (without generating a password or logging in), view the survey answers, approve or not approve the survey (and include comments about why the survey was not approved) and submit the agency's response to the National Archives.
  - If Approvers wish to edit the survey directly, they will be provided with instructions on how to log in (including how to create a password).
- display text on the survey and submission pages indicating that the survey has been marked as 'ready for approval', an email has been sent to the agency head to approve the survey and that the survey cannot be edited
- allow the Coordinator to indicate the survey is 'not ready for approval'. This will generate an email to the Approver indicating that the Coordinator has withdrawn the request to approve the survey and will need to request approval again after making changes to the survey.

After the survey has been submitted to the National Archives, the submission and survey pages will indicate that the survey has been submitted to the National Archives for the current reporting period and has been locked. An automatically generated email will be sent to the Coordinator(s) and Approver as a record of the submission.

After submission, the submission page will allow Coordinator or Approver level users to 'recall' their submission. This will create an automatically generated email to be sent to the Coordinator(s) and Approver to indicate that the survey has been recalled and that it must be submitted again before the end of the fieldwork period. The survey will be unlocked after the survey has been recalled.

Statement for out-of-scope agencies

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

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

Please request your agency head to read and acknowledge the confirmation that your agency is out-of-scope. Note: your agency head is required to finalise this process.

[Coordinator levels users can request that the out-of-scope statement be sent to the Approver. This will create an auto-generated email with a unique URL that will allow the Approver to access the system without generating a password or logging in and allow them to agree with the following out-of-scope statement and submit their response.]

1   We agree that [name of agency] is out-of-scope for Check-up. We understand that our agency is not required to complete Check-up but can choose to use Check-up as an optional self-assessment tool.

2   We elect NOT to participate in the Check-up survey for the following reasons: *[Please explain your reason(s) below]*

_____

_____

_____

[Following agreement to both options above, the system will display the following message on screen and send an automatically generated acknowledgement email to the Coordinator level user(s) and the Approver.]

Your agency has been recorded as out-of-scope for Check-up.

Appendix A: Scoping principles

Overview

These scoping principles lay the framework for determining which Australian Government agencies are required to complete the 2024 Check-up survey. 'In-scope' agencies will be counted for the purpose of determining participation rate as required by the National Archives of Australia's targets for reporting in the Portfolio Budget Statements.

These scoping principles and scoping documents will be revised annually.

General

An agency is 'In-scope' for the Check-up survey if it is a Commonwealth institution that has primary responsibility for its' information management regime. A Commonwealth institution is defined under Section 3(1) of the *Archives Act 1983*.

Principles

An agency is '<u>In-scope</u>' for the 2024 Check-up survey if:
1. It is a Commonwealth institution which includes non-corporate or corporate Australian Government entities, wholly-owned companies or government business enterprises as defined under the *[Public Governance, Performance and Accountability Act 2013 (PGPA Act)](#)*; and
2. It is listed on the Flipchart of *PGPA Act* Commonwealth entities and companies (PGPA Act '[flipchart](#)'); or
3. It participated in the 2023 Check-up reporting period; or
4. It is a separate entity which receives information management services from another agency/parent agency under a shared services agreement - agencies that are a part of a shared service structure are still accountable for their information management and business processes and must submit their own submission (see principle 9 below for clarification); or
5. Its participation is otherwise required by the National Archives (for example, if the agency is high risk).

An agency is considered 'Out-of-Scope' for the 2024 Check-up survey if:
6. It is not listed on the PGPA Act '[flipchart](#)' ; or
7. The agency will cease to exist during the 2024 survey open period and its functions will be transferred to another 'In-scope' agency. The requirement is the inheriting agency or agencies will complete the survey for the functions of the abolished agency - if this is not possible, the agency should complete a Check-up submission prior the cessation of the agency; or
8. It has been created in the 12 months preceding the survey open period (but can choose to opt in); or
9. Operationally, it is wholly a section of a department or agency (for example, Infrastructure Australia is solely a board, with the operational aspects of it carried out by the Department of Infrastructure and Regional Development) or is a division

or sub-section of another agency (for example, Questacon, AGIMO, and Australian Antarctic Division). This is distinguished from separate entities where a shared services arrangement is in place (see principle 4 above). These agencies may choose to complete but not submit their own assessment to highlight specific areas for improvement. (Submissions in this category will be removed before analysis of results/generation of reports for agencies.); or

10. It is a Court or Parliamentary Department. Records of the Courts and the Departments of Parliament are exempt from some provisions of the *Archives Act 1983*, despite being defined as Commonwealth institutions. This exemption has been extended to Check-up, noting that participation is nonetheless recommended as best practice. The Courts and the Departments of Parliament, as with other out-of-scope agencies, will be directed to complete the first part of the survey declaring their participation intention.

Security reasons may prevent some agency submissions from being lodged online or included in the Check-up analysis, but this does not affect the agency's scoping status.

Operational Considerations

The PGPA Act 'flipchart' is to be used as the primary source of authority for agency scope.

An agency's status as being subject to the *PGPA Act* reflects the Government's position that the agency carries sufficient risk to warrant tighter controls and requirements under the legislation.

There will be only one submission per agency.

Appendix B: *Building trust in the public record* policy implementation actions

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

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

No.	Implementation Action	Check-up question/s
Manage information assets strategically with appropriate governance and reporting to meet current and future needs of government and community		
1	Assess your information management capability annually using the National Archives' survey tool – Check-up.	Submission of approved survey
2	Review and update your information governance framework, to incorporate enterprise-wide information management. This should include governance for records, information and data. Develop an information governance framework if one does not exist.	13 14 15
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.	16 17 18 19 21
4	Create an enterprise-wide information management strategy.	12a
5	Register your information assets where there is business value in doing so.	23d
6	Identify staff capability gaps in information management, in particular for staff with specialist information management roles, and plan to address them.	26d 26e 26h
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 26b
8	Monitor progress made towards achieving policy actions, and regularly report on progress to senior management. Document risks of not following recommended practice.	23g

No.	Implementation Action	Check-up question/s
Implement fit for purpose information management processes, practices and systems that meet identified needs for information asset creation, use and re-use		
9	Manage all digital information assets, created from 1 January 2016, digitally. Information assets created digitally from this date, that are eligible for transfer to the National Archives, will be accepted in digital format only.	29b
10	Ensure business systems, including whole-of-government systems, meet functional and minimum metadata requirements for information management.	32b 41a 41b
11	Assess interoperability maturity based on business and stakeholder needs. Identify interoperability maturity gaps and plan to address them.	63a
12	Implement strategies, including storage and preservation strategies, for the management of all information assets.	33 38c
13	Create digital information assets in sustainable digital formats.	38b
Reduce areas of information management inefficiency and risk to ensure public resources are managed effectively		
14	Transfer 'retain as national archives' information assets as soon as practicable, or within 15 years of creation, to the care of the National Archives.	46f
15	Identify remaining analogue processes and plan for transformation to digital, based on business need.	29c
16	Identify poorly performing legacy systems; address information management requirements when upgrading, migrating and/or decommissioning systems to meet business needs.	41a 41c
17	Sentence information assets regularly and promptly destroy information assets of temporary value when no longer needed.	46g 46h