

Appendix B: Results by sector

This is a report on sector specific results from the 2013 survey of digital recordkeeping. These are separate results for each type of public office covered by the State Records Act (Agency / Authority / Department, State Owned Corporations, Councils, Local Health Districts, and Universities).

In using the sector specific results, please note the following:

- **Survey average** column lists the results of each question from the sum total of survey respondents
- **Results by sector** columns lists the results of each sector (or type of public office). Each column is coloured to assist the reader
- Due to the topic/style of survey questions, respondents may have responded to multiple options or have skipped a question if the topic was not applicable to their organisation. These variations are noted in the survey results.

These statistics can be used, in conjunction with your organisation's survey response, to benchmark the organisation's digital recordkeeping performance.

If you have any difficulties in using these statistics, please contact Catherine Robinson, Senior Project Officer, Government Recordkeeping on (02) 8257 2991 or catherine.robinson@records.nsw.gov.au

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
iv Size of public office	Small (20-80 FTE)	20%	30%	19%	18%	0%	0%
	Medium (80-250 FTE)	33%	26%	10%	45%	0%	0%
	Large (250 – 1000 FTE)	26%	22%	38%	31%	6%	10%
	Very Large (1000 – 10,000 FTE)	19%	18%	33%	6%	81%	90%
	Mega (10,000 +)	2%	4%	0%	0%	13%	0%
v Is your organisation using a shared services arrangement for the delivery of records management services and operations?	Yes	17%	37%	5%	4%	37%	0%
	No, but planning is in place to transition to shared services in 2013 which will likely include records services	4%	7%	10%	0%	13%	0%
	No	79%	56%	85%	96%	50%	100%
vi Does your organisation have access to strategic whole-of-organisation records and information management advice and knowledge?	Yes, we have access to an in-house fulltime records management resource	64%	59%	81%	62%	75%	90%
	Yes, we have access to an in-house part time records management resource (i.e. the resource manages recordkeeping in addition to other duties)	16%	18%	5%	18%	6%	0%
	Yes, we have access to strategic records and	10%	16%	14%	8%	0%	0%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	information management advice and knowledge but don't have a resource on staff						
	No, we don't have access to strategic records and information management advice and knowledge	10%	7%	0%	12%	19%	10%
1. Does your organisation assign responsibility for digital information and digital records to a senior or executive level officer?	Yes	84%	84%	90%	81%	87%	100%
	No	16%	16%	10%	19%	13%	0%
2(a). Has the organisation set its policy and recordkeeping rules for the use of Facebook?	Yes	23%	19%	14%	31%	6%	10%
	No	25%	22%	14%	28%	19%	40%
	In part	21%	18%	14%	21%	31%	50%
	Not used	30%	41%	57%	20%	44%	0%
2(b). Has the organisation set its policy and recordkeeping rules for the use of Twitter?	Yes	18%	15%	14%	23%	0%	10%
	No	25%	26%	14%	25%	19%	40%
	In part	18%	19%	24%	13%	25%	50%
	Not used	39%	40%	48%	39%	56%	0%
2(c). Has the organisation set its policy and recordkeeping rules for the use of Wikis?	Yes	6%	4%	14%	6%	0%	20%
	No	18%	21%	14%	16%	13%	40%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	In part	8%	9%	5%	4%	25%	40%
	Not used	67%	65%	67%	73%	62%	0%
	No response	1%	1%	0%	1%	0%	0%
2(d). Has the organisation set its policy and recordkeeping rules for the use of Yammer?	Yes	5%	2%	10%	6%	0%	10%
	No	17%	19%	5%	16%	13%	40%
	In part	6%	7%	10%	4%	13%	30%
	Not used	71%	72%	70%	73%	75%	20%
	No response	1%	0%	5%	1%	0%	0%
2(e). Has the organisation set its policy and recordkeeping rules for the use of Blogs?	Yes	11%	11%	10%	13%	0%	10%
	No	16%	19%	5%	16%	13%	30%
	In part	11%	13%	10%	5%	25%	60%
	Not used	61%	57%	70%	65%	62%	0%
	No response	1%	0%	5%	1%	0%	0%
2(f). Has the organisation set its policy and recordkeeping rules for the use of other social media applications?	Yes	8%	5%	14%	10%	0%	0%
	No	13%	13%	5%	16%	13%	10%
	In part	8%	11%	5%	5%	6%	20%
	Not used	52%	55%	57%	52%	44%	10%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	No response	20%	16%	19%	17%	37%	60%
3(a). Has the organisation set its policy and recordkeeping rules for the use of email?	Yes	85%	82%	90%	87%	81%	70%
	No	3%	5%	0%	2%	0%	10%
	In part	12%	13%	10%	11%	19%	20%
	Not used	0%	0%	0%	0%	0%	0%
3(b). Has the organisation set its policy and recordkeeping rules for the use of instant messaging?	Yes	13%	14%	14%	13%	19%	0%
	No	30%	23%	38%	30%	37%	70%
	In part	5%	1%	10%	6%	13%	10%
	Not used	51%	62%	38%	50%	31%	20%
	No response	0%	0%	0%	1%	0%	0%
3(c). Has the organisation set its policy and recordkeeping rules for the use of mobile devices?	Yes	36%	42%	48%	32%	44%	10%
	No	34%	24%	28%	39%	25%	70%
	In part	24%	26%	14%	23%	31%	20%
	Not used	6%	8%	10%	5%	0%	0%
	No response	0%	0%	0%	1%	0%	0%
3(d). Has the organisation set its policy and recordkeeping rules for the use of portable storage?	Yes	32%	39%	48%	26%	25%	20%
	No	37%	26%	28%	45%	31%	60%
	In part	20%	22%	19%	16%	44%	20%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	Not used	11%	13%	5%	12%	0%	0%
	No response	1%	0%	0%	1%	0%	0%
3(e). Has the organisation set its policy and recordkeeping rules for the use of shared network drives?	Yes	55%	59%	62%	52%	62%	30%
	No	20%	14%	24%	23%	19%	20%
	In part	21%	24%	14%	19%	13%	50%
	Not used	3%	2%	0%	4%	0%	0%
	No response	2%	1%	0%	2%	6%	0%
3(f). Has the organisation set its policy and recordkeeping rules for the use of Sharepoint?	Yes	13%	11%	28%	9%	31%	20%
	No	11%	12%	28%	7%	6%	40%
	In part	9%	9%	19%	6%	25%	10%
	Not used	66%	68%	24%	78%	38%	30%
3(g). Has the organisation set its policy and recordkeeping rules for the use of Website/s?	Yes	49%	51%	53%	47%	62%	40%
	No	27%	22%	28%	32%	0%	20%
	In part	23%	27%	19%	17%	38%	40%
	Not used	2%	0%	0%	4%	0%	0%
3(h). Has the organisation set its policy and recordkeeping rules for the use of Intranet?	Yes	45%	46%	57%	40%	62%	40%
	No	22%	19%	24%	27%	0%	10%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	In part	21%	25%	14%	16%	38%	40%
	Not used	11%	9%	5%	16%	0%	10%
	No response	1%	1%	0%	1%	0%	0%
4. Are recordkeeping requirements included in shared service or in-sourcing arrangements?	Yes	26%	38%	43%	18%	12%	20%
	No	24%	21%	24%	23%	44%	30%
	Not applicable as we don't use any service providers	49%	41%	33%	58%	38%	50%
	No response to question	1%	0%	0%	1%	6%	0%
5. Are recordkeeping requirements included in outsourced arrangements?	Yes	35%	43%	67%	27%	0%	50%
	No	21%	20%	14%	20%	44%	30%
	Not applicable as we don't use any outsourced business	43%	37%	19%	52%	50%	20%
	No response to question	1%	0%	0%	1%	6%	0%
6. Has the organisation identified its high risk business processes and the digital records that it needs to create and retain in support of these processes?	Yes	47%	44%	62%	45%	56%	50%
	No	20%	22%	10%	21%	19%	10%
	In part	33%	34%	28%	34%	25%	40%
7. Does your organisation	Yes	62%	58%	62%	41%	56%	50%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
undertake internal auditing or monitoring of high risk business processes to ensure that digital records are made and captured?	No	28%	16%	24%	25%	25%	40%
	Not applicable, as we have not yet identified our high risk business processes	10 %	3%	5%	12%	0%	0%
	No. of respondents who skipped this question : 56 respondents						
8. Does your organisation have policies or procedures which require that digital recordkeeping functionality is incorporated into any new business systems design?	Yes	39%	41%	38%	38%	31%	40%
	No	40%	38%	43%	40%	50%	30%
	Some but not all systems supporting high risk business processes	22%	21%	19%	22%	19%	30%
9. Does your organisation have policy or procedures for migrating digital records?	Yes	25%	27%	29%	23%	25%	20%
	No	75%	73%	71%	77%	75%	80%
10. Does the policy or procedures include the migration of metadata from one system to another and identify the disposal process for digital records not migrated forward?	Yes	79%	22%	29%	17%	19%	20%
	No	14%	3%	0%	5%	0%	0%
	Not applicable, as we don't have procedures for migrating digital records	7%	2%	0%	1%	6%	0%
	No. of respondents who skipped this question: 209 respondents						
11. Does your organisation provide training to all staff and contractors on meeting their responsibilities to create and	Yes	72%	69%	76%	76%	50%	60%
	No	28%	31%	24%	24%	50%	40%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
capture full and accurate digital records?							
12. How does your organisation inform staff of their responsibility to capture business-related email into the organisation's recordkeeping system? <i>Respondents could tick as many options as apply</i>	Policy and procedures	87%	89%	90%	87%	81%	90%
	Training	80%	76%	67%	84%	75%	80%
	Briefing sessions	32%	34%	28%	34%	13%	30%
	Email reminders	50%	41%	19%	64%	25%	50%
	Newsletter	16%	14%	10%	18%	19%	20%
	Use of automated workflows	21%	13%	24%	27%	0%	30%
	Other	22%	24%	14%	21%	19%	40%
13. Does your organisation monitor compliance with requirements to capture business-related emails into the organisation's recordkeeping system (e.g. into EDRMS or designated recordkeeping system)?	Yes	27%	26%	28%	30%	13%	10%
	No	49%	55%	44%	45%	56%	50%
	We only monitor some key or high level staff or high risk business processes	24%	19%	28%	25%	31%	40%
14. Are you or other staff able to identify and retrieve emails when required?	Yes	78%	82%	67%	80%	56%	60%
	Sometimes	22%	18%	33%	19%	44%	40%
	No	0%	0%	0%	1%	0%	0%
15. Does your organisation use	Yes	79%	78%	82%	77%	100%	80%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
shared drives for storing digital records?	No	5%	7%	10%	5%	0%	0%
	Sometimes	15%	15%	10%	18%	0%	20%
16. Has your organisation disposed of digital records held in the organisation's designated recordkeeping system and/or EDRMS?	In the last 6 months	11%	16%	19%	7%	0%	40%
	In the last year	4%	5%	0%	4%	0%	0%
	In the last 2 years	8%	5%	14%	6%	19%	10%
	No we haven't disposed of digital records held in our EDRMS or designated recordkeeping system	77%	74%	67%	83%	75%	50%
	No response	0%	0%	0%	0%	6%	0%
17. When developing requirements for new business systems, does the organisation consider and address retention periods for digital records?	Yes	46%	49%	38%	45%	50%	30%
	No	25%	19%	43%	26%	31%	20%
	Sometimes	22%	29%	19%	19%	0%	40%
	Don't know	8%	3%	0%	10%	19%	10%
18. Does your organisation know which digital records in its business systems will need to be kept for 5 or more years?	Yes, all systems	28%	34%	29%	27%	19%	10%
	Yes, some systems	49%	44%	52%	47%	75%	80%
	No	18%	19%	14%	20%	6%	10%
	Don't know	3%	2%	0%	4%	0%	0%
	Not applicable	2%	1%	5%	2%	0%	0%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
19. How do you dispose of digital records in business systems? <i>Respondents could tick as many options as apply</i>	As part of system migrations	19%	16%	28%	19%	6%	30%
	As part of system decommissioning	17%	20%	24%	13%	6%	60%
	We will address disposal of these digital records in the future	38%	36%	28%	38%	50%	60%
	We are likely to keep all digital records in our business systems	21%	24%	24%	20%	6%	20%
	We don't dispose of any digital records	30%	26%	38%	32%	31%	0%
	Don't know	5%	10%	0%	3%	13%	0%
20. Does your organisation confirm the quality and success of a migration before destroying the source records?	Yes	100%	19%	33%	21%	6%	40%
	No	0%	0%	0%	0%	0%	0%
	<i>No. of respondents who skipped this question: 220 respondents</i>						
21. Does your organisation scan/digitise some incoming paper correspondence?	Yes	88%	78%	85%	92%	100%	100%
	No	7%	11%	10%	6%	0%	0%
	Preparing to implement digitisation of incoming correspondence in 2013	5%	10%	5%	2%	0%	0%
	No response	0%	1%	0%	0%	0%	0%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
22. Does your organisation scan/digitise some existing paper files to improve accessibility?	Yes	80%	73%	80%	84%	88%	90%
	No	13%	17%	10%	12%	6%	10%
	Preparing to implement digitisation of paper records in 2013	6%	10%	10%	4%	6%	0%
23. Has your organisation identified all the owners of business systems which hold records of high risk business?	Yes	36%	37%	48%	32%	37%	50%
	Partial listing	21%	22%	19%	20%	25%	20%
	No	25%	21%	24%	31%	13%	10%
	Planning to do this in 2013/2014 as part of information asset inventory	15%	17%	9%	14%	19%	20%
	Don't know	3%	3%	0%	3%	6%	0%
24. Does your listing identify if the systems are creating and capturing records and have appropriate recordkeeping functionality?	Yes	48%	37%	76%	30%	63%	30%
	No	42%	33%	33%	28%	13%	40%
	Don't know	10%	5%	5%	9%	6%	20%
	<i>No. of respondents who skipped this question: 80 respondents</i>						
25. What number of business systems are integrated with or linked to the organisation's EDRMS or designated recordkeeping system?	1-4 business systems are integrated	55%	61%	48%	58%	25%	20%
	5 – 10 business systems are integrated	8%	3%	9%	10%	6%	10%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	10+ business systems are integrated	2%	0%	0%	3%	6%	10%
	None	35%	36%	43%	29%	63%	60%
28. What types of cloud based services does your organisation use? <i>Respondents identified many types of services they use</i>	Applications	32%	29%	67%	28%	13%	70%
	Services	20%	24%	28%	16%	0%	60%
	Data storage	15%	13%	14%	16%	0%	50%
	Business operations	13%	11%	14%	15%	0%	30%
	Not applicable, as we don't use cloud based services	53%	55%	28%	55%	81%	10%
29. Has your organisation undertaken a risk assessment of business and recordkeeping risks before using cloud-based services?	Yes	53%	24%	28%	22%	13%	60%
	No	36%	16%	24%	17%	0%	20%
	In progress	11%	4%	10%	5%	0%	10%
	<i>No. of respondents who skipped this question: 151 respondents</i>						
30. Do cloud-based services used by your organisation have export functionality?	Yes	72%	29%	67%	30%	13%	70%
	No	8%	3%	0%	5%	0%	0%
	Don't know	17%	10%	5%	6%	0%	20%
	Not applicable, as we don't use cloud based services	3%	2%	0%	1%	0%	0%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	Not applicable to service(s) used	3%	1%	0%	2%	0%	0%
	<i>No. of respondents who skipped this question: 153 respondents</i>						
31. If your organisation has used a cloud-based service, did your organisation have any issues with bringing digital records back into corporate systems or other problems during the contract or at the end of a contract?	Yes	9%	3%	5%	5%	0%	0%
	No	24%	13%	0%	11%	13%	10%
	Don't know	9%	5%	0%	4%	0%	10%
	Have not tried to bring digital records back into corporate systems	45%	14%	62%	18%	0%	60%
	Not applicable to service(s) used	13%	8%	5%	6%	0%	10%
	<i>No. of respondents who skipped this question: 151 respondents</i>						
32. Have you determined strategies for making and keeping digital records that support your organisation's key social media activities?	Yes	11%	2%	5%	17%	12%	20%
	No	16%	12%	5%	19%	19%	20%
	Currently working on strategies	31%	34%	19%	29%	50%	40%
	We have assessed our social media activities and we don't have any high risk activities conducted using social media	18%	20%	24%	18%	0%	20%
	Not applicable as we	24%	32%	48%	17%	19%	0%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	don't use social media						
33. How do you capture tweets of high risk business activities?	Maintained in Twitter	14%	15%	0%	9%	13%	30%
	Copies of tweets are captured by 3rd party software and then captured into the EDRMS	7%	1%	5%	9%	0%	0%
	Other	4%	4%	14%	2%	0%	0%
	Not applicable as we don't use Twitter	36%	29%	18%	29%	69%	0%
	Not applicable, as we don't tweet in relation to high risk business activities	39%	29%	33%	32%	19%	50%
	No response to question	1%	2%	5%	0%	0%	0%
	<i>No. of respondents who skipped this question: 54 respondents</i>						
34. Does your organisation have legacy systems or older business systems which it is managing?	Yes	58%	53%	62%	58%	94%	50%
	No	42%	47%	38%	42%	6%	50%
35. How are legacy systems or older business systems that contain digital records currently managed? <i>Respondents could tick as many options as apply</i>	Digital records in legacy systems or older systems are migrated to new systems	65%	37%	33%	38%	38%	50%
	Legacy systems and older systems are retired, systems are retained and digital	62%	32%	38%	34%	81%	20%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	records remain in systems						
	Legacy systems and older systems are retired, systems are not retained and digital records are not migrated or accessible	7%	3%	5%	2%	6%	30%
	Legacy systems and older systems have been assessed as low risk and have been turned off	10%	3%	14%	4%	13%	30%
	<i>No. of respondents who skipped this question: 117 respondents</i>						
36. Is there any data held in these legacy or older systems required for business purposes but which is not currently accessible? <i>Respondents could tick as many options as apply</i>	Data is accessible	88%	30%	43%	34%	88%	30%
	Data is not accessible	5%	2%	0%	3%	0%	0%
	Data is not required for business purposes	20%	10%	14%	7%	0%	10%
	<i>No. of respondents who skipped this question: 164 respondents</i>						
38. Has your organisation identified digital State archives in its EDRMS or key business systems?	Yes	53%	53%	62%	50%	69%	90%
	No	47%	47%	38%	50%	31%	10%
39. Does your organisation plan to transfer digital State archives to State Records NSW in the next 12 months?	Yes	7%	9%	5%	6%	6%	20%
	No	91%	88%	95%	93%	88%	80%
	Don't know	1%	3%	0%	0%	0%	0%

			Results by sector				
Question		Survey average	Agency/ Authority/ Department	State Owned Corp.	Councils	Local Health Districts	University
	No response	1%	0%	0%	1%	6%	0%
41. Does your organisation document the system configuration of key business systems?	Yes	50%	65%	52%	39%	50%	60%
	No	10%	7%	5%	14%	12%	0%
	Some systems only	28%	24%	38%	31%	19%	30%
	Don't know	11%	4%	5%	16%	19%	10%
42. If your organisation uses SAP, has your organisation documented the configuration?	Yes	11%	30%	19%	0%	0%	0%
	No	6%	9%	14%	3%	6%	10%
	Don't know	9%	10%	5%	8%	31%	0%
	Not applicable as we don't use SAP	74%	51%	62%	89%	63%	90%
43. If your organisation uses SharePoint, has your organisation documented the configuration?	Yes	25%	25%	53%	15%	56%	50%
	No	8%	6%	24%	7%	13%	10%
	Don't know	3%	2%	5%	2%	6%	20%
	Not applicable as we don't use Sharepoint	64%	67%	18%	76%	25%	20%
44. Is your organisation creating and managing complex records such as 3D engineering records, CAD files etc.?	Yes	64%	32%	72%	82%	69%	90%
	No	36%	68%	28%	18%	31%	10%

Questions 26, 27, 37, and 40 were not quantitative questions and respondents provided text responses to these questions.