**­Customer focus –** *How well do we understand the information needs of New Zealanders and provide accessible and responsive services?*

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| Element | Key question | Questions to consider in your review | What are we doing well? | What can we improve? | Maturity Rating | When do we need to act? |
| **Understanding customer needs** | **How well does the agency understand its customers and their information needs?** | How well does the agency understand who its customers are and their short and longer term information needs?  To what extent is the agency website regularly monitored to assess what information is being sought/accessed?  To what extent does the agency proactively release non-sensitive information the public is looking for on its website?  To what extent do insights about customers’ information needs, including the format in which information is requested, influence agency policies, systems and practices? |  |  |  |  |
| **Engaging with customers** | **How well does the agency engage with customers to meet their information needs?** | To what degree is information about making a request easy to find on the agency’s website, user friendly and up to date?  To what extent does the agency publish information to help requesters make an effective request?  How well does the agency engage with requesters to better understand their information needs?  How well does the agency explore ways to deliver value to customers in terms of meeting their information needs?  How well does the agency continuously seek to understand customers' satisfaction and take action accordingly? |  |  |  |  |
| **Proactive release** | **How well does the agency proactively release information?** | How well do leaders work with their teams to visibly deliver consistent and positive messages on the agency’s commitment to openness and transparency about its work?  To what degree are there clear and consistent internal policies and procedures for proactive release of information, including publication of OIA responses?  To what extent do leaders demonstrate a commitment to openness about their team’s work through the proactive release of information (consistent with the agency’s internal policy)? |  |  |  |  |

**Leadership and direction** -*How well do we respond to and advance government’s commitment to the principles of openness and transparency?*

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| **Senior leadership commitment** | **How well does the senior team demonstrate its commitment to openness and meeting official information obligations?** | How well has the senior team created an explicit statement of commitment to openness and meeting official information obligations that is well understood by staff and available to the public?  How well does the senior team engage with staff on expectations about the agency’s commitment?  How well do staff understand the senior team’s expectations to act consistently with the principles, purpose and requirements of the OIA?  To what degree have senior leaders been assigned specific responsibilities for administration of the OIA and investment in official information capability? |  |  |  |  |
| **Senior leadership oversight** | **How well does the senior team provide collective leadership and direction to ensure official information performance?** | To what degree is there regular reporting to the senior team regarding official information demand and performance?  To what degree is this information used to inform planning, resource allocation, capability building and changes to policies and practices to ensure optimal official information performance?  How well does the senior team actively think about and communicate future opportunities and risks, and challenge the status quo to improve the way things are done? |  |  |  |  |
| **Working with Ministers** | **How well does the agency engage with Ministers in relation to OIA requests, responses and information releases?** | To what extent do the agency’s policies specify how the ‘no surprises’ principle is interpreted and applied to requests for information held by the agency?  How well does the agency ensure there are ‘no surprises’ for Ministers, particularly in relation to release of sensitive or potentially controversial information?  To what extent are there appropriate and effective policies, procedures and channels for requests to be transferred to, or consulted on, with Ministers? |  |  |  |  |

**People and Development –** *How well do we ensure we have the right people with the right skills in the right place at the right time?*

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| **Investing in capability** | **How well do leaders build official information capability within the agency and across the system?** | To what degree is there a clear plan for investing in people to ensure future official information capability?  How well are key knowledge or skills gaps identified and plans put in place to address them?  How well is institutional knowledge about the OIA built and maintained to minimise key person risk? |  |  |  |  |
| **Culture** | **How well does the agency develop and sustain a culture that embodies openness and transparency?** | How well do leaders demonstrate their commitment to making openness, transparency and compliance with the letter and spirit of the OIA core to the culture through their visible actions, planning, and decision making?  How well does the workforce, including delegation holders, understand the principles, purpose and requirements of the OIA?  How well is the agency’s commitment integrated into business processes (recognising that some information will need to be protected as provided for by the Act)? |  |  |  |  |
| **Training and development** | **How well does the workforce understand the OIA and their role in the agency’s approach to official information?** | How well do managers know what information management skills people need and how they are going to develop and maintain them?  How well are the principles of open government and the agency’s OIA and information management policies and practices covered in induction for staff and contractors?  To what degree are courses on the OIA and the agency’s official information policies, procedures, systems and tools regularly offered to staff?  How well do agency staff keep up to date with the latest thinking on official information and interpretation of the OIA and contribute to discussions on issues?  To what extent does the agency use communities of practice within and across agencies to share good practice and support improvement? |  |  |  |  |

**Structure, policies and systems** –*How well do our structure, policies and systems support effective and consistent official information practices?*

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| Element | Key question | Questions to consider in your review | What are we doing well? | What can we improve? | Maturity Rating | When do we need to act? |
| **Organisation design** | **How well does the agency’s organisational structure support official information performance?** | How well does the overall structure support efficient and effective official information performance?  How well are management accountabilities and responsibilities regarding official information defined, promulgated and understood?  To what degree do the delegations for decision making on OIA requests sit at an appropriate level for the agency?  To what extent is the OIA function appropriately resourced with clearly defined roles and responsibilities? |  |  |  |  |
| **Policies, processes and practices** | **How well do the OIA and information management policies, processes and practices promote efficient, effective and consistent practice?** | To what extent are there appropriate and effective OIA and IM policies, procedures and systems in place and are they kept current?  How well do staff know how to access information and/or guidance on the policies and procedures? Do they have ‘go to’ people for assistance?  To what degree are current practices aligned with policies and procedures?  To what degree do the processes ensure appropriate, consistent (including consistent across agencies in the case of multiple agencies receiving similar requests) and timely decision making on OIA requests?  How flexible is the agency in effectively backfilling key OIA roles and managing surges in workload both internally and across the system?  When an issue needs escalating in the agency, how well does the process work? |  |  |  |  |
| **Tools** | **How well does the agency deploy systems and tools to support its official information practices?** | To what extent has the agency invested in technology and tools to more effectively process requests and track performance?  To what degree do staff have access to fit for purpose templates, checklists, guidance, redaction technologies, etc.?  How well do IM policies, procedures and systems support responding to requests for official information? |  |  |  |  |

**Performance –** *How well do we monitor and continually improve our official information performance?*

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| **Monitoring and reporting** | **How well does the agency monitor and evaluate its OIA performance?** | How well does the agency understand the nature and volume of requests for official information (including requests not logged as OIA requests)?  To what degree are service performance standards set and actively monitored?  How effective is the system for recording, tracking and monitoring information requests, including identifying and reporting on key themes and trends?  To what degree do the data demonstrate compliance as well as good and/or improving performance?  To what extent does the agency publish on its website statistics and contextual information about its own OIA performance? |  |  |  |  |
| **Continuous improvement** | **How well does the agency encourage and demonstrate continuous improvement of its official information practices and performance?** | How well do leaders work collectively and visibly to seek innovative ways to continuously improve official information practices and performance?  How well is the workforce engaged in the continuous improvement of the agency’s official information practices?  To what degree are OIA complaints and internal QA results analysed to inform any subsequent changes to policies and procedures?  How well are staff kept informed of changes to policies and procedures? |  |  |  |  |

