

Open Government Partnership New Zealand

National Action Plan 2018-2021

End of Term Report

Commitment 10: Monitoring the effectiveness of public body information management practices

Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.



OGP values: Transparency, Accountability and Technology and Innovation


What we achieved:

Summary:

The monitoring framework is a vital tool in ensuring that the regulated sector is achieving effective information and records management. Archives New Zealand seeks to optimise the use of the monitoring data to maximise compliance and best practice.

Through the period of 2018-2021 we met our milestones as set out in Commitment 10 with the following activities. The first **annual Survey of Public Sector Information Management** was rolled out in June 2019 with a third survey delivered June 2021. A refreshed **audit programme** completed audit of the first-year cohort of public offices at the end of June 2021 with scheduled audits for the next three years followed by a rolling audit programme. Of equal significance was the creation of an **Information Management Maturity Assessment** (IM Maturity Assessment) that supports public offices to monitor their information management maturity.

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	

3	Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public)	
April 2019 – July 2020		

Progress key:



some delays



underway



completed

What we achieved

Milestone 1

The framework provides shared objectives for our monitoring activities and outputs. These objectives help us to consider the wider priorities whenever we design, execute or modify individual activities or outputs. They also encourage us to provide consistent messaging when we communicate about why we monitor. We undertook a review of the monitoring framework in January 2021 and progress made with implementing the framework indicates that these objectives remain relevant but would benefit from some revisions. Continuous improvement and benefits of having a monitoring framework are in discussion.

Milestone 2

Archives engaged with local government to test appetite for voluntary audit and similarly engaged with external stakeholder to test survey tool and component questions, presented within the context of the framework. We continued to participate in cross-agency Maturity Framework Working Group to reduce compliance burden on stakeholders and to make navigating the different frameworks easier.

Monitoring activities were delivered through collaboration with regulated parties to maximise change and acceptance by the parties involved. Where it is prudent to do so, and where it will reduce the compliance burden on regulated parties, we will continue to collaborate with other regulators to collect data.

Milestone 3

Audit and survey as mechanisms for monitoring have been the foundational steps for continuous improvement of information management and recordkeeping practise for central and local government organisations. The first annual Survey of Public Sector Information Management was rolled out in June 2019 and the third consecutive survey delivered June 2021. The survey findings reports are published on line and the survey results are published as an open dataset and available on data.govt.nz as a companion to this report. The release of the dataset has proven to be a success as the dataset has already been used by media for analysis and reporting to inform the public. Additionally, survey findings have a dedicated section in the Annual Chief Archivist State of Government Recordkeeping Report are tabled in parliament.

The refreshed [Audit Programme](#) audit of the first-year cohort of public offices was completed at the end of June 2021. There is an expectation that audited parties complete an Action Plan based upon the recommendations produced from audit. Over a two-year period, audited parties are expected to progress through their Action Plan. Archives will be monitoring progress with set check in dates across this period. All audited parties will have their individual [Audit reports](#) published on line and available for the public to access.

Further gain was made with the development of an Information Maturity Assessment in March 2021. The IM Maturity Assessment supports public offices to monitor their information management maturity and help them to establish targets for expected maturity improvements. The [New Information Management Maturity Assessment](#) is online and used to help public offices and local authorities to self-assess the maturity of their current IM practices and to support the Public Records Act 2005 (PRA) requirements.

How we included diverse voices and engaged diverse communities:

While public sector agencies serve and represent diverse communities, this programme is not directly engaging with those communities. We engage with concerned members of the public if there are issues of potential breach of compliance with Public Records Act 2005. This engagement helps us to identify issues across the system and can be reported on in The Annual Report on the State of Government Recordkeeping.

We have worked with regulators across the sector to better understand other Maturity frameworks e.g. the Privacy Maturity Assessment Framework through the Government Chief Privacy Officer (GCPO) and these are included for consideration along with others used in New Zealand and internationally. Additionally, we provide current updates on our Archives New Zealand website and have delivered presentations to audiences from IPANZ (Institute of Public Administration New Zealand) and ALGIM (Association of Local Government Information Management).

Commitment links:

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- [Monitoring Framework page on our Archives NZ website](#)
- 28 January 2020 edition of the *Dominion Post* (and now online on Stuff) contextualising Archives NZ's role in administering the Public Records Act and regulating government information management: <https://www.stuff.co.nz/national/118797967/survey-finds-worrying-holes-in-management-and-accessibility-of-public-records>

Impacts:

For the general public the monitoring framework activities have provided an insight into public sector progress in information management. Having access to an Information Management Maturity Assessment allows public offices and local authorities to measure their level of information maturity and to assess their information management effectiveness.

The impact is that there is greater transparency, better reporting and available data for the public to access. It is still too early to know what trends are occurring and the impact beyond what we have put in place. However, this is an initial step towards gaining an oversight of the IM practice of the public sector.

What we learned:

There is a value in having an over-arching framework that sits over our monitoring work. The framework allows consistency and more meaningful insights into information management

practice across the sector. However, there is still scope to take our monitoring activities further and as we move into business as usual we know there is room for continuous monitoring improvement.

Open Government Partnership New Zealand

National Action Plan 2018-2020

Progress report: (Commitment Completed)



Commitment 10: Monitoring the effectiveness of public body information management practices


Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.

OGP values: *Transparency and accountability*

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of-system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	

Milestones		Progress
3	<p>Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public)</p> <p>April 2019 – July 2020</p>	

Progress key:



some delays



underway



completed

WHAT WE HAVE BEEN DOING

NA

HOW WE ARE INCLUDING DIVERSE VOICES

NA

HOW WE ARE KEEPING DIVERSE COMMUNITIES INFORMED

NA

WHAT'S NEXT?

This Commitment is complete

LINKS – EVIDENCE OF PROGRESS AND MILESTONES ACHIEVED

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- [Monitoring Framework page](#) on our Archives NZ website
- 28 January 2020 edition of the *Dominion Post* (and now online on Stuff) contextualising Archives NZ's role in administering the Public Records Act and regulating government information management: <https://www.stuff.co.nz/national/118797967/survey-finds-worrying-holes-in-management-and-accessibility-of-public-records>

Open Government Partnership New Zealand

National Action Plan 2018-2020

Progress report to: February 2020



Commitment 10: Monitoring the effectiveness of public body information management practices


Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.

OGP values: *Transparency and accountability*

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of-system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	

Milestones		Progress
3	<p>Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public)</p> <p>April 2019 – July 2020</p>	

Progress key:



some delays



underway



completed

WHAT WE HAVE BEEN DOING

Survey

- The survey aligns with the objective of Commitment 10 by providing us with better insight into public offices' IM practices. This will enable us to make the management of government information more visible and transparent to the New Zealand public, supporting the Open Government Partnership values of transparency and accountability.
- 254 organisations were surveyed:
 - 176 public offices (POs)
 - 78 local authorities (LAs)
- The 2019 survey did not include all of the entities covered by the PRA; notably school boards of trustees, Ministers, council-controlled organisations, council-controlled trading organisations and local government organisations. Options for expanding the survey coverage will be considered in the coming years.

Response rates

- We recorded 228 responses, making the overall response rate of nearly 90%. Of public offices, 168 responded (95% response rate), as did 60 local authorities (77% response rate). The Government Communications Security Bureau and New Zealand Security Intelligence Service responses are not included in the analysis and results publication.
- The [survey findings report](#) (PDF 2.10 MB) was published on 29 November 2019

Dataset

- The survey results are published as an open dataset and available on data.govt.nz as a companion to this report. The dataset has already been used by media for analysis and reporting to inform the public

Report on the State of Government Recordkeeping

- As part of the survey design, we selected five key indicators to measure the overall state of government IM and provide a high-level perspective on whether IM within the public sector was improving, deteriorating or remaining stable. This high-level summary is included in the [Report on the State of Government Recordkeeping 2018/19](#). The five key indicators cover: governance; resourcing; high value and/or high-risk information; building IM requirements into business systems; and active, authorised destruction of information.

Audit

- Established reference and user testing groups
- Progressing projected recruitment to support audit for the future years
- Developing high level capabilities required of a monitoring tool for audit
- Researching audit service providers
- Continuing work on maturity frameworks

HOW WE ARE INCLUDING DIVERSE VOICES

- The survey has provided a view of information management performance across the sector and informed our audit programme. While public sector agencies serve and represent diverse communities, this programme is not directly engaging with those communities. Findings from survey and audit were published in the Chief Archivist's Annual Report on the State of Government Recordkeeping (tabled at Parliament). The findings indicated areas of recordkeeping focus that need to be improved upon to support government accountability.
- We engage with concerned members of the public if there are issues of potential breach of compliance with Public Records Act 2005. This engagement helps us to identify issues across the system.

HOW WE ARE KEEPING DIVERSE COMMUNITIES INFORMED

- Current updates on the Archives New Zealand website
- Presentations delivered to audiences from IPANZ (Institute of Public Administration New Zealand) and ALGIM (Association of Local Government Information Management)
- Presentations delivered to Executive Sponsors and Information Managers on the survey findings report in Christchurch, Wellington and Auckland
- The [survey findings report](#) is publicly available through our website
- The raw data from the survey was released as a dataset on the Open Data NZ platform data.govt.nz
- Through the [Report on the State of Government Recordkeeping 2018/19](#)

WHAT'S NEXT?

- Engage with local government to test appetite for voluntary audit
- Complete investigation of monitoring tool options, and identify a solution
- Progress maturity framework

LINKS – EVIDENCE OF PROGRESS AND MILESTONES ACHIEVED

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- [Monitoring Framework page](#) on our website
- 28 January 2020 edition of the *Dominion Post* (and now online on Stuff) contextualising Archives NZ's role in administering the Public Records Act and regulating government information management:
<https://www.stuff.co.nz/national/118797967/survey-finds-worrying-holes-in-management-and-accessibility-of-public-records>

Open Government Partnership New Zealand

National Action Plan 2018-2020

Progress report: July – September 2020



Commitment 10: Monitoring the effectiveness of public body information management practices


Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.

OGP values: *Transparency and accountability*

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of-system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	

Milestones		Progress
3	Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public) April 2019 – July 2020	

Progress key:



some delays



underway



completed

WHAT WE HAVE BEEN DOING

Monitoring Framework

- Over the past few months, including during the Covid-19 lockdown, Archives New Zealand has developed an Information Management Maturity Assessment (IMMA) comprised of defined maturity levels and criteria based on the PRA and the Information and records management standard. The maturity assessment will enable public offices to monitor their information management maturity and can assist them to establish targets for expected maturity improvements. It is intended that in time the assessment will also be available to local authorities and other organisations that wish to improve their IM and recordkeeping practices.
- The Maturity Assessment can be used to:
 - Compare public sector organisations' current information management practices with best practice in respect to the PRA and the associated Information and records management standard;
 - assess individual organisations current information management maturity levels;
 - help organisations identify and guide some of the steps they need to do to improve; and
 - inform upcoming Archives audits of public offices
- Archives sought external parties (Public Offices and Local Authorities) to assist in the development and review of the Maturity Assessment.

Audit:

- The audit programme is part of Archives New Zealand's leadership role for information management across the government sector under the Public Records Act 2005 (PRA). Audit will support open, transparent and accountable government and help shape the processes, systems and technology that form the government information system.

- The PRA specifies the legislative requirement for Archives New Zealand (Archives NZ) to undertake independent audits of Public Offices. The audit is undertaken in accordance with section 33 of the Act where the Chief Archivist must commission an independent audit of every public office.
- Audit will be a continuous activity i.e. there will be no break in delivery after five years. This will allow more flexibility to tailor when organisations are audited. Archives NZ will begin the roll out of its audit programme to the 1st year cohort of 31 public offices that will begin in October 2020 and go through to June 2021.
- The results of the audit programme will be reported to Parliament under section 35 of the Act, and the audit reports will be publicly available on Archives New Zealand's website.

Survey:

- In 2018/2019 the annual survey was reinstated. Five key indicators to measure the overall state of public sector IM were part of the survey design. The indicators would provide a high-level perspective on whether IM within the public sector were improving, deteriorating or remaining stable. The 2019/2020 survey released at the end of June 2020 allows us to start looking at whether those indicators are being met. We acknowledge that the picture is still emerging, and we expect to see improvement occur over successive surveys.
- The key indicators are not the sole measure of the state of public sector IM but they are considered fundamental building blocks for effective IM. The results will be reported on and like the 2018/2019 survey results the raw data will be published on rawdata.govt.nz.

HOW WE ARE INCLUDING DIVERSE VOICES

- Maturity frameworks are widely used by other regulators working with the management of information e.g. the Privacy Maturity Assessment Framework through the Government Chief Privacy Officer (GCPO) and these are included for consideration along with others used in New Zealand and internationally
- The annual survey of Government Recordkeeping continues to provide a view of information management performance across the sector and inform our audit programme. While public sector agencies serve and represent diverse communities, this programme is not directly engaging with those communities. Findings from survey and audit were published in the Chief Archivist's Annual Report on the State of Government Recordkeeping (tabled at Parliament). The findings indicated areas of recordkeeping focus that need to be improved upon to support government accountability.
- We engage with concerned members of the public if there are issues of potential breach of compliance with Public Records Act 2005. This engagement helps us to identify issues across the system.

HOW WE ARE KEEPING DIVERSE COMMUNITIES INFORMED

- Current updates on the Archives New Zealand website

- Presentations delivered to audiences from IPANZ (Institute of Public Administration New Zealand) and ALGIM (Association of Local Government Information Management)
- Publishing of The Annual Report on the State of Government Recordkeeping

WHAT'S NEXT?

The Commitment Milestones have now been substantially completed and the project is transitioning to business as usual mode. We will now:

- consider the development of a self-assessment tool to support the delivery of the Self-Assessment continue to engage with advisory groups to review and test development of the assessment and if agreed upon a new tool to deliver the Self-Assessment
- develop and improve communication with the sector through the Archives online channel
- roll out the Maturity Assessment as part of the audit programme been delivered to 31 public offices in the 2020/2021-year audit
- publish the Information Management Maturity Assessment on line mid-late January 2021

LINKS – EVIDENCE OF PROGRESS AND MILESTONES ACHIEVED

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- [Monitoring Framework page](#) on our Archives NZ website
- 28 January 2020 edition of the *Dominion Post* (and now online on Stuff) contextualising Archives NZ's role in administering the Public Records Act and regulating government information management: <https://www.stuff.co.nz/national/118797967/survey-finds-worrying-holes-in-management-and-accessibility-of-public-records>

Open Government Partnership New Zealand

National Action Plan 2018-2020

Progress report to: June 2020



Commitment 10: Monitoring the effectiveness of public body information management practices


Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.

OGP values: *Transparency and accountability*

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of-system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	

Milestones		Progress
3	Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public) April 2019 – July 2020	

Progress key:



some delays



underway



completed

WHAT WE HAVE BEEN DOING

Monitoring Framework

- Over the past few months, including during the Covid-19 lockdown, Archives New Zealand has developed an Information Management Maturity Assessment (IMMA) comprised of defined maturity levels and criteria based on the PRA and the Information and records management standard. The maturity assessment will enable public offices to monitor their information management maturity and can assist them to establish targets for expected maturity improvements. It is intended that in time the assessment will also be available to local authorities and other organisations that wish to improve their IM and recordkeeping practices.
- The IMMA can be used to:
 - Compare public sector organisations' current information management practices with best practice in respect to the PRA and the associated Information and records management standard;
 - assess individual organisations current information management maturity levels;
 - help organisations identify and guide some of the steps they need to do to improve; and
 - inform upcoming Archives audits of public offices
- Archives received significant interest internally and externally to participate in advisory groups to assist in the development of the IMMA. Due to the high interest and numbers involved the members of the external group were split into two groups. One group for 'review' and one group for 'testing'. In June 2020 the IMMA was shared with both the internal and external advisory groups to review the assessment. The second (external advisory) group will be asked to test the tool and the associated content at a later date when the content is ready for testing.
- In addition to the IMMA, the audit project team have developed specifications for a self-assessment tool. Archives intends to have the self-assessment tool

available from Q3 2020/2021 FY for public offices to use to undertake a maturity self-assessment as part of the audit process. The tool will be designed so that it can be made available in future to public offices not being audited and local authorities.

HOW WE ARE INCLUDING DIVERSE VOICES

- Maturity frameworks are widely used by other regulators working with the management of information e.g. the Privacy Maturity Assessment Framework through the Government Chief Privacy Officer (GCPO) and these are included for consideration along with others used in New Zealand and internationally
- The annual survey of Government Recordkeeping has provided a view of information management performance across the sector and informed our audit programme. While public sector agencies serve and represent diverse communities, this programme is not directly engaging with those communities. Findings from survey and audit were published in the Chief Archivist's Annual Report on the State of Government Recordkeeping (tabled at Parliament). The findings indicated areas of recordkeeping focus that need to be improved upon to support government accountability.
- We engage with concerned members of the public if there are issues of potential breach of compliance with Public Records Act 2005. This engagement helps us to identify issues across the system.

HOW WE ARE KEEPING DIVERSE COMMUNITIES INFORMED

- Current updates on the Archives New Zealand website
- Presentations delivered to audiences from IPANZ (Institute of Public Administration New Zealand) and ALGIM (Association of Local Government Information Management)
- Publishing of The Annual Report on the State of Government Recordkeeping

WHAT'S NEXT?

- Development of a self-assessment tool to support the IMMA
- Continue to engage with advisory groups to review and test development of the assessment and the tool
- Developing and improving communication with the sector through the Archives online channel
- Delivery of a self-assessment tool late 2020

LINKS – EVIDENCE OF PROGRESS AND MILESTONES ACHIEVED

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- [Monitoring Framework page](#) on our Archives NZ website
- 28 January 2020 edition of the *Dominion Post* (and now online on Stuff) contextualising Archives NZ's role in administering the Public Records Act and regulating government

information management: <https://www.stuff.co.nz/national/118797967/survey-finds-worrying-holes-in-management-and-accessibility-of-public-records>

Open Government Partnership New Zealand

National Action Plan 2018-2020

Progress report to: June 2020



Commitment 10: Monitoring the effectiveness of public body information management practices


Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.

OGP values: *Transparency and accountability*

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of-system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	

Milestones		Progress
3	Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public) April 2019 – July 2020	

Progress key:



some delays



underway



completed

WHAT WE HAVE BEEN DOING

Monitoring Framework

- Over the past few months, including during the Covid-19 lockdown, Archives New Zealand has developed an Information Management Maturity Assessment (IMMA) comprised of defined maturity levels and criteria based on the PRA and the Information and records management standard. The maturity assessment will enable public offices to monitor their information management maturity and can assist them to establish targets for expected maturity improvements. It is intended that in time the assessment will also be available to local authorities and other organisations that wish to improve their IM and recordkeeping practices.
- The IMMA can be used to:
 - Compare public sector organisations' current information management practices with best practice in respect to the PRA and the associated Information and records management standard;
 - assess individual organisations current information management maturity levels;
 - help organisations identify and guide some of the steps they need to do to improve; and
 - inform upcoming Archives audits of public offices
- Archives received significant interest internally and externally to participate in advisory groups to assist in the development of the IMMA. Due to the high interest and numbers involved the members of the external group were split into two groups. One group for 'review' and one group for 'testing'. In June 2020 the IMMA was shared with both the internal and external advisory groups to review the assessment. The second (external advisory) group will be asked to test the tool and the associated content at a later date when the content is ready for testing.
- In addition to the IMMA, the audit project team have developed specifications for a self-assessment tool. Archives intends to have the self-assessment tool

available from Q3 2020/2021 FY for public offices to use to undertake a maturity self-assessment as part of the audit process. The tool will be designed so that it can be made available in future to public offices not being audited and local authorities.

HOW WE ARE INCLUDING DIVERSE VOICES

- Maturity frameworks are widely used by other regulators working with the management of information e.g. the Privacy Maturity Assessment Framework through the Government Chief Privacy Officer (GCPO) and these are included for consideration along with others used in New Zealand and internationally
- The annual survey of Government Recordkeeping has provided a view of information management performance across the sector and informed our audit programme. While public sector agencies serve and represent diverse communities, this programme is not directly engaging with those communities. Findings from survey and audit were published in the Chief Archivist's Annual Report on the State of Government Recordkeeping (tabled at Parliament). The findings indicated areas of recordkeeping focus that need to be improved upon to support government accountability.
- We engage with concerned members of the public if there are issues of potential breach of compliance with Public Records Act 2005. This engagement helps us to identify issues across the system.

HOW WE ARE KEEPING DIVERSE COMMUNITIES INFORMED

- Current updates on the Archives New Zealand website
- Presentations delivered to audiences from IPANZ (Institute of Public Administration New Zealand) and ALGIM (Association of Local Government Information Management)
- Publishing of The Annual Report on the State of Government Recordkeeping

WHAT'S NEXT?

- Development of a self-assessment tool to support the IMMA
- Continue to engage with advisory groups to review and test development of the assessment and the tool
- Developing and improving communication with the sector through the Archives online channel
- Delivery of a self-assessment tool late 2020

LINKS – EVIDENCE OF PROGRESS AND MILESTONES ACHIEVED

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- [Monitoring Framework page](#) on our Archives NZ website
- 28 January 2020 edition of the *Dominion Post* (and now online on Stuff) contextualising Archives NZ's role in administering the Public Records Act and regulating government

information management: <https://www.stuff.co.nz/national/118797967/survey-finds-worrying-holes-in-management-and-accessibility-of-public-records>

Open Government Partnership New Zealand

National Action Plan 2018-2020

Progress report to: June 2019




Commitment 10: Monitoring the effectiveness of public body information management practices

Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.

OGP values: Transparency and accountability

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of-system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	
3	Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public) April 2019 – July 2020	

Progress key:



some delays



underway



completed

WHAT WE HAVE BEEN DOING

Survey

- Confirmed survey questions that align to the mandatory Information and records management standard and Public Records Act 2005
- Acquired SurveyMonkey to deliver the survey
- Sent out first round of user testing starting 01.04.19 completed 19.04.19
- Sent out second round of user testing starting 20.05.19 completed 28.05.19
- Assessed feedback and made amendments to survey questions
- Sent survey invitation to Public Offices and Local Authorities and various communication to all audiences
- Rolled out survey (17 June 2019) with close off date 8 July 2019 (Milestone 3)
- Seeking data analysis expertise for survey analysis and reporting phase (July-Sept)
- Started drafting content plan for the report on survey findings and developed concept proposal for report design and layout

Audit

- Begun Design Document/Concept Brief/Business Case/Communications Plan
- Researching and setting up testing of a monitoring tool for audit
- Researching audit providers
- Continuing discussion on Maturity Frameworks

HOW WE ARE INCLUDING DIVERSE VOICES

- The survey will provide a view of information management performance across the sector and inform our audit programme. While public sector agencies serve and represent diverse communities, this programme is not directly engaging with those communities. Findings from survey and audit will be published in the Chief Archivist's Annual Report on the State of Government Recordkeeping. The findings might indicate areas of concern where recordkeeping does not support government accountability if it does not reflect diversity in the community.
- We engage with concerned members of the public if there are issues of potential breach of compliance with Public Records Act 2005. This engagement will help us to identify issues across the system.

HOW WE ARE KEEPING DIVERSE COMMUNITIES INFORMED

- Current updates on the Archives New Zealand website
- Presentations delivered to audiences from IPANZ (Institute of Public Administration New Zealand) and ALGIM (Association of Local Government Information Management).
- The report on findings will be publicly available through our website

- The raw data from the survey will be released as a dataset on the Open Data NZ platform (www.data.govt.nz)
- Through the next Chief Archivist's Annual Report on the State of Government Recordkeeping

WHAT'S NEXT?

- Analyse survey results and publish report on survey findings
- Engage with local government to test appetite for voluntary audit
- Complete investigation of monitoring tool options, and acquire a solution
- Progress audit programme design (ie confirm preferred approach)

LINKS – EVIDENCE OF PROGRESS AND MILESTONES ACHIEVED

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- Guide to Monitoring Framework
- [Monitoring Framework page](#) on our website

Open Government Partnership New Zealand

National Action Plan 2018-2020

Progress report to: October 2019




Commitment 10: Monitoring the effectiveness of public body information management practices

Lead agency: Archives New Zealand (Department of Internal Affairs)

Objective: To make the management of government information more visible and therefore transparent by developing and implementing a monitoring framework that supports public reporting on the effectiveness of information management by central and local government agencies.

Ambition: New Zealanders and public agencies will be able to see the standards for management of government information and the rates of progress central and local government agencies are making towards meeting those standards.

OGP values: Transparency and accountability

Milestones		Progress
1	Develop a proposed monitoring framework that reflects the Information and Records Management Standard and includes a suite of consistent and relevant measures to enable public visibility of the effectiveness of agency information management. This could include technology to enable a whole-of-system view of government information holdings and the effectiveness of its management Commenced July 2018 – December 2018	
2	Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users Commenced July 2018 – July 2019	
3	Rolling it out. Ensuring that the implemented monitoring activity is useful for, and easily used by, the regulated agencies to improve performance and that a common view of results is available to all stakeholders (including the public) April 2019 – July 2020	

Progress key:



some delays



underway



completed

WHAT WE HAVE BEEN DOING

Survey

- Rolled out survey (17 June 2019) with close off date 8 July 2019 (Milestone 3)
- Engaged data analyst. Project team and analyst are finalising the content of the survey findings report (July-Oct)
- Working with external provider to set up the design and layout for the report (Oct-early Nov)

Audit

- Audit Concept Brief and Design Document internally approved
- Project Manager and Business Analyst employed to support the development of the audit programme
- Developing high level capabilities required of a monitoring tool for audit
- Researching audit service providers
- Continuing work on maturity frameworks

HOW WE ARE INCLUDING DIVERSE VOICES

- The survey will provide a view of information management performance across the sector and inform our audit programme. While public sector agencies serve and represent diverse communities, this programme is not directly engaging with those communities. Findings from survey and audit will be published in the Chief Archivist's Annual Report on the State of Government Recordkeeping. The findings might indicate areas of concern where recordkeeping does not support government accountability if it does not reflect diversity in the community.
- We engage with concerned members of the public if there are issues of potential breach of compliance with Public Records Act 2005. This engagement helps us to identify issues across the system.

HOW WE ARE KEEPING DIVERSE COMMUNITIES INFORMED

- Current updates on the Archives New Zealand website
- Presentations delivered to audiences from IPANZ (Institute of Public Administration New Zealand) and ALGIM (Association of Local Government Information Management).
- The report survey on findings will be publicly available through our website
- The raw data from the survey will be released as a dataset on the Open Data NZ platform (www.data.govt.nz)
- Through the next Chief Archivist's Annual Report on the State of Government Recordkeeping

WHAT'S NEXT?

- Analyse survey results and publish report on survey findings
- Engage with local government to test appetite for voluntary audit
- Complete investigation of monitoring tool options, and acquire a solution
- Progress audit programme design (ie confirm preferred approach)

LINKS – EVIDENCE OF PROGRESS AND MILESTONES ACHIEVED

- [Findings from Regulatory Programme news item](#)
- [Open Government Partnership page on the Archives New Zealand website](#)
- [Monitoring Framework page](#) on our website