

# 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	<p>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</p> <p><b>Commenced July 2018 – December 2018</b></p>	
2	<p>Communication and engagement: the proposed framework and its potential options will be consulted on with regulated parties and other potential users</p> <p><b>Commenced July 2018 – July 2019</b></p>	

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)  <b>April 2019 – July 2020</b>	

**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>