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

<u>Milestone 1</u>

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.

<u>Milestone 2</u>

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.

<u>Milestone 3</u>

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.