



Guide to the Monitoring Framework

**Criteria, questions and indicators for monitoring under the
Public Records Act 2005**

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Te Rua Mahara o te Kāwanatanga

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Contact for enquiries

Government Recordkeeping Directorate

Archives New Zealand

Phone: +64 4 499 5595

Email: rkadvice@dia.govt.nz

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About the Monitoring Framework

We have written this guide to explain how Archives New Zealand monitors the effectiveness of public sector information management (IM) under the Public Records Act 2005 (PRA). Its focus is on the criteria, questions and indicators we will use to measure performance.

The redesign and implementation of our Monitoring Framework is an ongoing activity; this guide will therefore be regularly updated.

Why we monitor

Monitoring is a key regulatory tool for assuring that information is being well-managed and maintained. It is critical for maintaining confidence in the quality and stewardship of public sector information, and for empowering public sector organisations to lift their performance.

To release its full potential monitoring needs to be supported by other tools, such as reporting, follow-up and occasionally enforcement. Self-monitoring by organisations is also an important component of good IM. It supports planning, risk management, cost rationalisation and improvements to processes and services.

Objectives

The main objective of our monitoring is to generate evidence and insights that can be used to:

- Form a complete picture of the performance of public sector organisations, both individually and as-a-whole, against the requirements of the Public Records Act 2005 (PRA) and good practice IM
- Track improvements to organisations' performance over time
- Identify and respond to risks, challenges, opportunities and emerging trends that are affecting IM in organisations
- Provide public visibility of organisations' performance
- Provide helpful and meaningful feedback to individual organisations on improving their performance and addressing risks
- Identify needs for education and advice
- Inform our relationship management, future monitoring and IM leadership

- Support the work of other regulators, standard-setters and leaders in related domains, such as official information, personal information, government accountability, and public sector data.

What is the Monitoring Framework (the Framework)?

The Framework consists of three key components: what we want to know, how we find it out, and what we do with it (see Diagram 1).

What we want to know

This component includes the:

- **Questions and indicators** that reflect good IM and that we need to answer or measure to form a complete picture of performance, risk, challenges, opportunities and emerging trends. Some questions will be posed to organisations directly, while others will be answered through existing information sources
- Appropriate and meaningful **measurement models or scales** that will accompany those questions and indicators
- **Targets** we set for tracking improvements in performance. Some of these will be dictated by the key performance indicators set in our business plans and strategies.

How we find it out

This component includes the:

- Mechanisms we use to **collect information**. The range of mechanisms for doing this includes audit, survey and dedicated interactions with Executive Sponsors. Direction to report may also be used to mandate completion of surveys or self-assessments.
- **Existing information sources** we re-use for monitoring individual organisations. The range of sources for doing this includes Archway, and its replacement, our interactions with organisations, reporting by other leaders or regulators, and incidents reported in the media. The future potential of information asset registers (IARs) for monitoring individual organisations is being considered
- **Third-party information sources** we re-use to inform our general understanding of the risks, challenges, opportunities and emerging trends the public sector is facing. These sources will comprise monitoring or research conducted by other regulators and organisations.

What we do with it

This component includes the:

- **Reports** we issue to share our insights, provide public visibility and inform or educate organisations

- **Follow-up activities** we undertake with organisations to improve their performance. From time-to-time, these activities will include enforcement
- **Feedback loops** we establish to inform our education, advice, relationship management, future monitoring systems and wider regulatory approach.

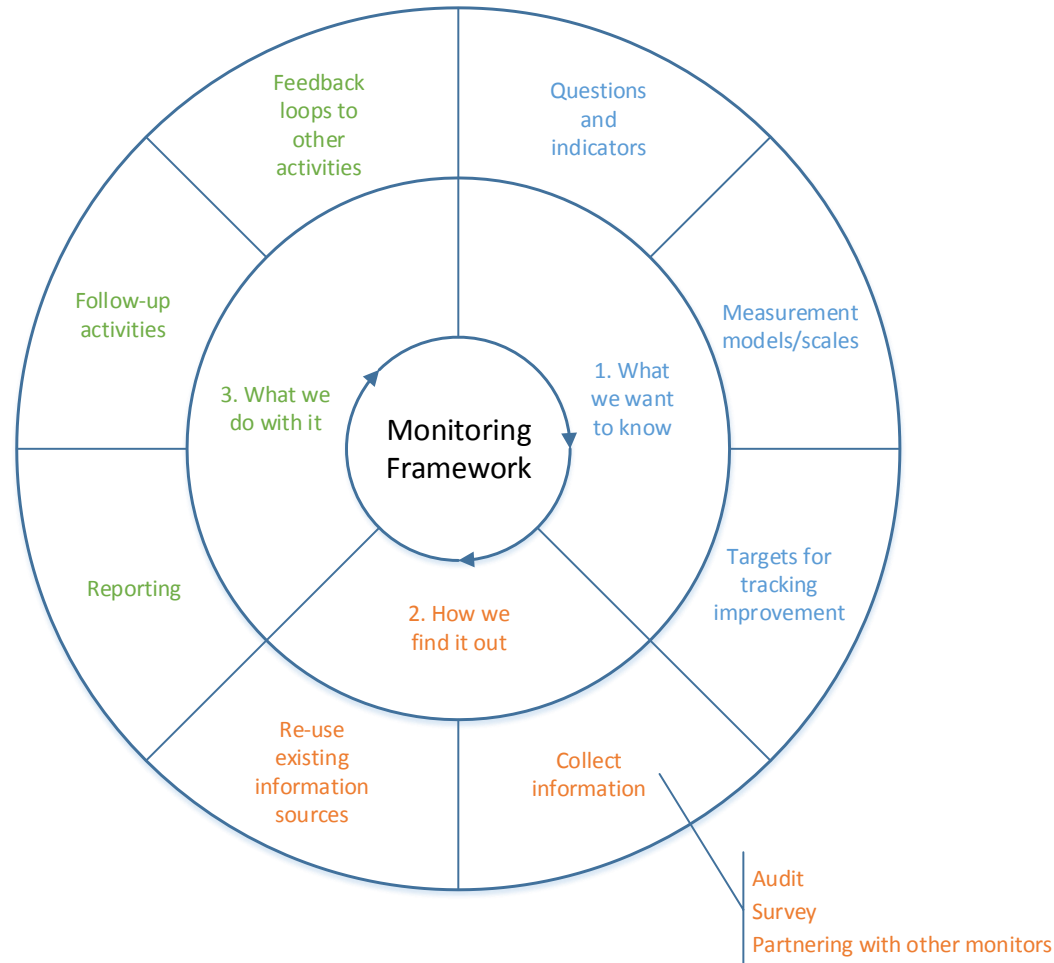


Diagram 1: Components of the Monitoring Framework

Who gets monitored

The Monitoring Framework will cover all the public sector organisations within our remit. There will be some variance in the frequency and depth with which we monitor individual organisations, for example, depending on their past performance and level of risk. Audit will run continuously on a 5-year cycle, while survey will occur annually. We will use different monitoring mechanisms for different types of organisation (see Table 1).

The PRA does not include local authorities in the audit system, but audit is being designed so that they can participate voluntarily, subject to resourcing in local authorities and Archives New Zealand.

The Framework is guided by the set of behaviours in the *Regulatory Statement 16/Sm1*. In accordance with the statement, we will ensure that the Framework minimises the burden our monitoring processes place on public sector organisations.

	Public offices ¹	Ministers of the Crown	School boards of trustees ²	Local authorities (i.e. councils)	Council-controlled organisations ³
Survey	✓	×	×	✓	×
Mandatory audit	✓	✓	×	×	×
Voluntary audit	×	×	×	✓	✓
Work with Education Review Office	×	×	✓	×	×

Table 1: Monitoring mechanisms by organisation type

¹ Excluding Ministers of the Crown and school boards of trustees

² Inclusion of school boards of trustees in the monitoring framework may depend on the outcomes of the [Tomorrow's Schools Review](#)

³ Participation may vary depending on level of independence from controlling council(s). Term includes council-controlled trading organisations

Benefits for stakeholders

Our stakeholders will benefit from the outputs of monitoring in a variety of ways:

Stakeholders	Benefit
General public	Our expectations of the public sector and rates of progress towards meeting those expectations are visible and transparent Increased confidence in quality and stewardship of public sector information Awareness of areas for improvement Insight on public sector progress towards meeting the aspirations of iwi/Māori Open access to raw data for re-use Easier access to public sector information
Executive Sponsors and IM practitioners	Helpful and meaningful feedback on improving performance and addressing risks Follow-up from Archives New Zealand relationship management Topical education and advice
Public offices and local authorities	Awareness of IM effectiveness in the organisation
Our Minister and Parliament	Confidence in the state of government recordkeeping
Other regulators and leaders	Improvements to public sector IM that impact related domains (e.g. official information, personal information, public sector data) Open access to raw data for re-use
Our advisory bodies	Insight on progress towards meeting the aspirations of iwi/Māori Well-informed advice to Ministers

Criteria, questions and indicators

This section outlines the overarching monitoring criteria and the survey questions including key health indicators. Audit performance indicators that stem from those criteria are yet to be determined. The criteria, questions and indicators are a result of detailed design and testing after engagement with public sector organisations.

Definitions

Under the PRA, any information in any form or format is considered a record. This includes paper and digital documents, emails, and data. In this section, when we use the term “information and records” it should be read as including “data”. We also use the term “information management” (IM) instead of “recordkeeping”, as we think this better describes the range of activities that organisations need to carry out to meet the aims of the PRA.

Monitoring criteria

The monitoring criteria represent good practice IM and provide the overarching guide for our questions and indicators. They are based on the requirements set out in the PRA and any mandatory standards or other regulatory instruments issued under the PRA.

The criteria are arranged into eight categories that represent the full range of IM practice. Most of the criteria apply to all public sector organisations, except where they reflect a legal requirement that is only applicable to a particular type of organisation.

Category	Criterion	Basis
Governance	There is a current organisation-wide strategy that is approved by senior management, has a senior management owner and which identifies the importance of information and records to the business, and assigns the responsibilities for information and records management. The strategy is implemented, reviewed and monitored regularly	Information and records management standard (16/S1)

Category	Criterion	Basis
	There is a current organisation-wide policy, approved by senior management, which explains the roles of information and records management, delineates roles and responsibilities for information and records management (Executive Sponsors, senior managers, other managers, IM staff and all staff, including contractors). The policy is implemented, reviewed and monitored regularly	As above
	The organisation has governance arrangements for information and records management into which the Executive Sponsor role is integrated	As above
	Business owners are responsible for ensuring that information and records management is integrated into business processes, systems and services	As above
	Outsourced and service contracts, instruments and arrangements specify information and records management obligations, and these are enforced by the organisation	As above
	There are accountability arrangements in place for information and records that are created and shared with other public offices and local authorities	As above
	The organisation can demonstrate that it understands and meets its Te Tiriti o Waitangi / Treaty of Waitangi obligations for the management of its information	As above
Self-monitoring	The Executive Sponsor oversees the organisation's monitoring of its compliance with the Public Records Act 2005 and any mandatory standards or other regulatory instruments issued under the Act	As above
	The organisation regularly monitors its level of compliance with its information and records management strategy, policy and processes. It identifies potential improvements and, where appropriate, takes corrective actions	As above
Capability	The organisation identifies the information and records management skills required to meet its present business needs, and is staffed with those skills	As above
	Professional development needs are met to ensure that the organisation has current information and records management skills to meet its present business needs	As above
	Information and records management roles and responsibilities are assigned, documented and communicated to all levels of the organisation. Staff are aware of their responsibilities	As above
Creation	Information and records required to support and manage business functions are identified, documented and regularly reviewed	As above
	Information and records needed to support and manage high risk and high value business functions are identified, documented and regularly reviewed	As above
	The organisation routinely creates reliable, usable and accessible information and records to meet its business needs	As above

Category	Criterion	Basis
Management	Requirements for creation, management, storage and disposal are built into all systems that hold information and records	As above
	The metadata requirements needed to support information and records identification, accessibility, content, usability and context are specified and implemented across all information and records management systems	As above
	Information and records are managed to ensure that they are reliable, usable and complete until their authorised disposal	As above
	Information and records are managed during system, service and other business changes to ensure preservation, ongoing accessibility and/or appropriate disposal	As above
	The organisation has current business continuity and recovery plans to provide for its ongoing access to and usability of its information and records for core business functions. Plans are regularly tested and updated	As above
Storage	The organisation has appropriate storage arrangements, and security and protection mechanisms in place for all information and records, wherever they are held. These are periodically monitored and reviewed	As above
	Local authorities store physical protected records in securely controlled environment suitable for maintaining and preserving archival items	Instruction to local authorities on the protection and preservation of protected records (16/Sp3)
Access	The organisation has processes in place to manage access to, the use of, and sharing of information and records, in line with legislative requirements	Information and records management standard (16/S1) Public Records Act 2005, s17 and s47
	Public offices classify all information over 25 years as either open or restricted	Public Records Act 2005, s43(1)
	All local authority archives are classified as either open or restricted access	Public Records Act 2005, s45

Category	Criterion	Basis
Disposal	The organisation has a current disposal authority (or authorities) based on the output of an appraisal process. Authorities are regularly reviewed for relevance	Information and records management standard (16/S1) Public Records Act 2005, s18
	All information and records are retained for as long as required for business use and their disposal is implemented in accordance with applicable disposal authorities and other legislative requirements	Information and records management standard (16/S1)
	Public records over 25 years that have archival value are transferred to Archives New Zealand	Public Records Act 2005, s21

Survey – Questions and indicators

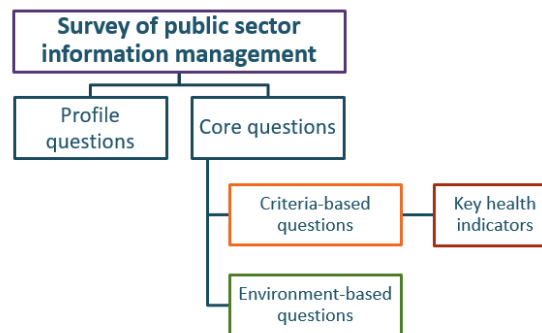
Survey delivers a longitudinal picture of public sector performance, both individual organisations and as-a-whole. It also enables us to identify risks, challenges, opportunities and emerging trends at a sector-wide level.

Types of question

Each survey will include:

- A small number of introductory **profile questions** to support survey logic and data analysis, for example, organisation name, type and size
- The **core questions** which form the basis of the survey and are listed in the table on Page 14. They consist of:
 - **Criteria-based questions** to assess how well organisations are performing against the monitoring criteria. Most of these questions will be repeated from survey-to-survey so that we can track change over time
 - **Environment-based questions** to identify and track risks, challenges, opportunities and emerging trends that are affecting IM in organisations. These may change from survey-to-survey and will help us to be a responsive regulator, for example, by issuing topical education and advice.

A sub-set of the criteria-based questions will be used to support **key health indicators**, i.e. the top things we will track and report on to give an indication of whether the public sector is practicing or progressing towards good practice IM.



Some questions are designed to be answered by an Executive Sponsor, while others are designed to be answered by staff running IM in the organisation.

Key health indicators


No.	Indicator	Target
1	Increase in the number of organisations that have implemented governance for IM	Establish baseline
2	Increase in the number of IM specialists employed by public sector organisations	Establish baseline
3	Increase in the number of organisations actively managing their high value and high-risk information	Establish baseline
4	Increase in the number of organisations building IM requirements into systems	Establish baseline
5	Increase in the number of organisations actively disposing of information	Establish baseline


Survey questions




The following is a list of the core questions for this year survey. The criteria-based questions may be refined further for next year’s survey and it is expected that the environment-based questions (identified with N/A in the Criterion column) may change from survey-to-survey.


Not all criteria are included in scope for survey because some are better suited to audit.

Questions marked with a key icon inform the “key health indicators”. A general indication of the type of response associated with each question is included.

Criterion	Core questions	Type of response
N/A	Q.6 What current drivers for good IM practice and processes are important to your organisation?	Rating scale
	Q.7 What current IM challenges are applicable to your organisation?	Rating scale
The organisation has governance arrangements for information and records management into which the Executive Sponsor role is integrated	 Q.8 Does your organisation have an active formal governance group in place for ensuring that IM requirements are considered at a strategic level?	Picklist (single choice)
	Q.9 Is the Executive Sponsor and / or a member of the Information Management group part of this formal governance group?	Picklist (single choice)
The organisation can demonstrate that it understands and meets its Treaty of Waitangi obligations for the management of its information	Q.10 Does your organisation have any commitments related to Te Tiriti o Waitangi / the Treaty of Waitangi?	Picklist (single choice)
	Q.11 In the past 12 months, what activities has your organisation undertaken to ensure its IM meets Te Tiriti o Waitangi / the Treaty of Waitangi commitment arrangement(s)?	Picklist (multiple choice)
The Executive Sponsor oversees the organisation’s monitoring of its compliance with the Public Records Act 2005 and any mandatory standards or other regulatory instruments issued under the Act	Q12. In the past 12 months, what activities has your organisation undertaken to self-monitor its compliance with Archives New Zealand requirements?	Picklist (multiple choice)

Criterion	Core questions	Type of response
<p>The organisation regularly monitors its level of compliance with its information and records management strategy, policy and processes. It identifies potential improvements and, where appropriate, takes corrective actions</p>	<p>Q.13 In the past 12 months, what activities has your organisation undertaken to self-monitor its compliance with its own IM strategy, policy and processes?</p>	<p>Picklist (multiple choice)</p>
	<p>Q.14 What has the Executive Leadership Team and / or the IM Governance Group done with the findings from self-monitoring?</p>	<p>Picklist (single choice)</p>
<p>The organisation identifies the information and records management skills required to meet its present business needs, and is staffed with those skills</p>	<p> Q.15 How many dedicated IM staff (full-time equivalent) are currently working in your organisation?</p>	<p>Sizing range</p>
<p>Professional development needs are met to ensure that the organisation has current information and records management skills to meet its present business needs</p>	<p>Q.16 In the past 12 months, what professional development have dedicated IM staff / staff responsible for IM operations undertaken in that helped them meet business needs?</p>	<p>Picklist (multiple choice)</p>
<p>Information and records management roles and responsibilities are assigned, documented and communicated to all levels of the organisation. Staff are aware of their responsibilities</p>	<p>Q.17 How does your organisation communicate their IM responsibilities to staff (including contractors and consultants) at all levels?</p>	<p>Picklist (multiple choice)</p>
<p>N/A</p>	<p>Q.18 Is your organisation undertaking any of the following activities to transition from paper-based to digital business processes?</p>	<p>Picklist (multiple choice)</p>

Criterion	Core questions	Type of response
Information and records required to support and manage business functions are identified, documented and regularly reviewed	Q.19 Do you have an Information Asset Register that is current and in use?	Picklist (single choice)
Information and records needed to support and manage high risk and high value business functions are identified, documented and regularly reviewed	Q.20 Has your organisation identified its top high value and / or high risk information?	Picklist (single choice)
	 Q.21 In the past 12 months, what activities has your organisation undertaken to actively manage its high value and / or high risk information?	Picklist (multiple choice)
N/A	Q.22 What key risks to its information has your organisation identified?	Picklist (multiple choice)
Requirements for creation, management, storage and disposal are built into all systems that hold information and records	 Q.23 Are requirements for creating, managing, storing and disposing of information built into your organisation's new business information systems (i.e. automated systems that create or manage data about your organisation's activities)?	Picklist (single choice)
N/A	Q.24 Which of the following represent challenges for ensuring that requirements for creating, managing, storing and disposing of information are built into those business information systems?	Picklist (multiple choice)
The metadata requirements needed to support information and records identification, accessibility, content, usability and context are specified and implemented across all information and records management systems	 Q.25 Does your organisation's current document and records management system (Enterprise Content Management, Electronic Document / Records Management and / or Document Management systems) meet Archives New Zealand's Minimum requirements for metadata (16/G7)?	Picklist (single choice)
Information and records are managed to ensure that they are reliable, usable and complete until their authorised disposal	Q.26 In the past 12 months, what activities has your organisation undertaken to make sure digital information of long-term value (i.e. required beyond ten years) remains reliable, usable and complete over time?	Picklist (multiple choice)
	Q.27 Does your organisation hold any digital information that it can no longer open?	Picklist (single choice)
	Q.28 What are the main reasons you cannot open that digital information?	Picklist (multiple choice)

Criterion	Core questions	Type of response
N/A	Q.29 In the past 12 months, has your organisation had difficulty responding to requests for official information under the Official Information Act or the Local Government Official Information and Meetings Act because:	Rating scale
Information and records are managed during system, service and other business changes to ensure preservation, ongoing accessibility and/or appropriate disposal	Q.30 In the past 12 months, what major system, service and / or other business change has your organisation undergone that had implications for IM?	Picklist (multiple choice)
	Q.31 Did your organisation take measures to guarantee security and preserve the integrity of the information impacted by those changes (as selected in the previous question)?	Rating scale
The organisation has appropriate storage arrangements, and security and protection mechanisms in place for all information and records, wherever they are held. These are periodically monitored and reviewed	Q.32 Do the facilities your organisation uses to store physical information have measures in place to protect against unauthorised access, alteration, loss and destruction?	Rating scale
	Q.33 Do the systems and / or services your organisation uses to store digital information include mechanisms to protect against unauthorised access, alteration, loss, deletion and destruction?	Rating scale
Public offices classify all information over 25 years as either open or restricted	Q.34 How much of your organisation's information over 25 years old has been classified as either open or restricted?	Sizing range (%)
All information and records are retained for as long as required for business use and their disposal is implemented in accordance with applicable disposal authorities and other legislative requirements	Q.35 What percentage of information created and maintained by your organisation is covered by applicable disposal authorities?	Sizing range (%)
	Q.36 When does your organisation plan to appraise / identify and assess the value of the information not covered by applicable disposal authorities?	Time range
	 Q.37 In the past 12 months, what disposal activities has your organisation undertaken to implement the authorised disposal of information? Tick all that apply	Picklist (multiple choice)
	Q.38 What percentage of your organisation's information has been sentenced using applicable disposal authorities?	Sizing range (%)

Criterion	Core questions	Type of response
	Q.39 In the past 12 months, has your organisation undertaken (approved and authorised) destruction of information?	Picklist (single choice)
N/A	Q.40 Which of the following challenges for undertaking regular (authorised and approved) destruction of information apply to your organisation?	Picklist (multiple choice)
Public records over 25 years that have archival value are transferred to Archives New Zealand	Q.41 In the next 12 months, is your organisation planning to transfer any physical information (that is identified in applicable disposal authorities for transfer)?	Picklist (single choice)
	Q.42 In the next 12 months, is your organisation planning to transfer any digital information (that is identified in applicable disposal authorities for transfer) to the Government Digital Archive (if you are a public office) or to a Local Authority digital archive (if you are a local authority)?	Picklist (single choice)
N/A	Q.43 Which of the following represent challenges for undertaking regular transfer of information by your organisation?	Picklist (multiple choice)

Audit – Performance indicators

Audit delivers a point in time picture of an organisation's performance and identifies organisation-specific risks. Its main strength and point of difference with other monitoring mechanisms is that it enables us to validate an organisation's self-assessment of its performance.

Audit will use a set of indicators to assess how well an organisation is performing against the monitoring criteria. Not all criteria are included in scope for audit because some are better-suited to survey. The same set of indicators will apply to both mandatory and voluntary audit (which is under consideration for local authorities).

We are currently considering simplifying the model used in the first audit cycle. We are determining how we will use performance levels (formerly "capability levels"). Performance levels provide a more meaningful and nuanced insight into an organisation's IM than a simple pass or fail. They also enable us to set 'a bar' for expected performance.