**Welcome to the Survey of Public Sector Information Management 2024. Thank you for taking the time to participate. Please read the questions carefully as the wording may have changed from previous surveys.**

**This survey is one of the tools Te Rua Mahara o te Kāwanatanga Archives New Zealand (Te Rua Mahara) uses to understand how well public sector organisations are performing against the requirements of the Public Records Act 2005, mandatory standards and good practice information management. The survey is structured around question topics that align with the Information Management Maturity Assessment. The results from the survey give Te Rua Mahara an opportunity to**
**• track information management behaviours and trends across the sector,**
**• promote transparency about public information management by publishing survey data so anyone can use and reuse them and**
**• provide an evidence base for understanding where we need to better support organisations.**

**While we expect respondents to provide full and accurate information to survey questions, we may contact you for more information about your survey responses.**

**The survey takes 30-40 minutes to complete and needs to be submitted by 29 July 2024. You may need to work with several people within your organisation to answer the questions, but please submit a single response. If you would like to use a paper form to draft responses before entering them into SurveyMonkey you will find a PDF copy on our website.**

**Use the PREV and NEXT buttons to navigate through the questionnaire. If you use the internet browser forward and back buttons your response will not be saved. At the end of the survey select the DONE button to submit your response.**

**Most questions are mandatory and you will need to answer them in order to proceed to the next question. The survey software does not allow you to skip ahead, so you will need to progress through the survey question by question.**

**You can leave the questionnaire and come back to it later without losing your answers. Answers are saved each time you click the NEXT button, so make sure you do that before you take a break.**

**If you encounter any problems with the survey, contact us at rkexecutivesponsor@dia.govt.nz.**

## Profile questions

**This set of questions helps us to understand your organisation's profile.**

* 1. What is the name of your organisation?

[                                                    ]

* 2. What type of organisation is it?

*Explanatory note: 'State sector' includes public service and non-public service departments, organisations that are part of the legislative branch of government, all categories of Crown entities, Public Finance Act schedule 4 organisations and state-owned enterprises.*

○ State sector

○ Local government

○ Other (please specify)

[                                                    ]

* 3. Which of the following describes your organisation's physical location(s)?

○ One office only

○ More than one office, all of them in the same town/city

○ Offices located across more than one town/city but all in New Zealand

○ Offices located across more than one country

* 4. How many full-time-equivalent employees (FTEs) work for your organisation?

○ None

○ Less than 100

○ 100 to 299

○ 300 to 499

○ 500 to 2999

○ 3000 to 5999

○ More than 6000

## Governance arrangements and Executive Sponsors

**The information management (IM) governance group is a high-level inter-disciplinary group that oversees all aspects of information management within the organisation ranging from strategy, risk and compliance through to metadata standards and privacy. The Information and Records Management Standard (16/S1) developed by Te Rua Mahara requires a designated Executive Sponsor from every public office and local authority. The Executive Sponsor has strategic and executive responsibility for overseeing the management of information in a public sector organisations.**

* 5. Does your organisation have a formal governance group which:

○ Is dedicated to IM?

○ Has IM oversight as part of its mandate?

○ Neither of the above

* 6. Are IM activities regularly reported to the formal governance group?

○ Yes

○ No

* 7. Is your Executive Sponsor part of the formal governance group?

◯ Yes

◯ No

## IM policy and process

**An information management policy gives a clear directive from the senior management to all staff, describing expected information management behaviour and practices. It highlights that the management of information is the responsibility of all staff and assigns roles and responsibilities at all levels of the organisation. An information management policy supports the organisation's information management strategy and provides a foundation for information management processes.**

* 8. Does your organisation have an IM policy that is up-to-date, approved and communicated organisation-wide?

◯ Yes

◯ No

## Te Tiriti o Waitangi

**The Public Records Act 2005 and the *Information and Records Management Standard* support the rights of Māori under Te Tiriti o Waitangi / Treaty of Waitangi to access, use and reuse information that is important to Māori. This may include enhancing metadata to make information easier to find by or for Māori or ensuring that information of importance to Māori (for example: information about people, natural resources and land, or information required to support specific Te Tiriti commitments) is easy to access and use.**

* 9. Has your organisation identified information it holds that is of importance to Māori?

○ Yes

○ No

○ We have started identifying information we hold that is of importance to Māori

* 10. Does your organisation have criteria or methodologies for assessing whether your organisation holds information that is of importance to Māori?

◯ No

◯ Yes (please specify)

[                                                        ]

* 11. Which of the following has your organisation done to improve the usage of information that is of importance to Māori?

*Tick those that apply*

☐ Documented IM implications from Te Tiriti o Waitangi agreements

☐ Improved access

☐ Improved discoverability e.g. improved metadata

☐ Improved levels of care

☐ Involved IM staff in negotiating agreements with Māori

☐ Worked with Māori to change IM practices

☐ No action taken

☐ Other (please specify)

[                                                        ]

## Self-monitoring

**Organisations should monitor all aspects of their information management. Regular monitoring ensures that information is managed efficiently and effectively according to best practice and that this management continues to meet the business needs and legislative requirements of the organisation. Te Rua Mahara has developed an Information Management Maturity Assessment tool to help organisations assess the maturity of their IM practices.**

* 12. In the last 24 months, has your organisation done any self-monitoring of its compliance with:

*Tick those that apply*

☐ Te Rua Mahara requirements?

☐ This organisation's own IM policy?

☐ We have not done any self-monitoring of our compliance

* 13. What method(s) were used for that self-monitoring?

*Tick those that apply*

☐ Assessment by a third party

☐ Bench-marking exercise

☐ Internal audit

☐ Maturity assessment

☐ Review of processes

☐ Risk assessment

☐ Te Rua Mahara IM Maturity Assessment

☐ Other (please specify)

_____

14. As a result of that self-montoring, is your organisation developing or has it developed an action plan?

Explanatory note: If you are 'developing' this means the work is underway. If you have 'developed' this means that the work is completed.

○ Developed an action plan

○ Developing an action plan

○ Deferred development of action plan

○ None of these

○ Other (please specify)

_____

15. As a result of that self-monitoring, is your organisation implementing or has it implemented an action plan?

Explanatory note: If you are 'implementing' this means the work is underway. If you have 'implemented' this means that the work is completed.

○ Implementing an action plan

○ Implemented an action plan

○ Deferred implementation of action plan

○ None of the above

○ Other (please specify)

[                                        ]

* 17. In the last 24 months has your organisation supported upskilling dedicated IM staff members to build IM capability (e.g. attended an IM conference, had an IM-relevant secondment, studied toward a recognised IM qualification or other IM related training)?

*Tick those that apply*

☐ No

☐ Yes (please specify)

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## Roles and responsibilities

**Staff and contractors should be aware of their responsibility to manage information. These responsibilities should be documented and communicated to all staff and contractors so that the organisation's information is managed appropriately.**

* 18. Which of the groups below does your organisation inform about their IM responsibilities?

*Tick those that apply*

☐ Staff at all levels

☐ Providers of outsourced functions and collaborative arrangements

☐ Consultants

☐ None of these

* 19. In which way(s) are the groups that you ticked in the previous question informed about their IM responsibilities?

*Tick those that apply*

- [ ] Code of Conduct
- [ ] Contracts
- [ ] Induction training (face-to-face and/or online)
- [ ] Job descriptions
- [ ] Performance development plans/agreements
- [ ] Refresher training (face-to-face and/or online)
- [ ] None of the above
- [ ] Other (please specify)

  [                                              ]

## High-value/high-risk information

**High-value/high-risk information is information collected or created by the organisation that has particular value. The risk of loss or damage to this information will negatively impact individuals and/or communities. For example: information about rights and entitlements, Records of Māori information, natural resources, the protection and security of the State or infrastructure would come into this category.**

* 20. Has your organisation identified its high-value/high-risk information?

○ Yes

○ In progress or partially

○ No

* 21. In the last 24 months, in order to actively manage its high-value/high-risk information, what action(s) has your organisation taken?

*Explanatory note: 'Business information systems' include human resources information systems (HRIS), financial systems, specialised databases etc.*

*Tick those that apply*

☐ Developed information architecture and/or search tools

☐ Implemented a new business information system that mitigate risks to information

☐ Implemented back-up capability

☐ Redeveloped systems to improve long-term accessibility of information

☐ Tested its business continuity plan

☐ Other (please specify)

[                                      ]

* 22. Does your organisation have an information asset register (or similar way of recording information assets)?

○ Yes

○ In development

○ Work started but deferred

○ No

* 23. Is that register:

*Tick those that apply*

☐  Up-to-date?

☐  Being used?

☐  Neither of these

* 24. Is your organisation planning to have an information asset register (or similar)?

◯ Yes

◯ No

## IM requirements built into technology systems

**IM requirements must be identified, designed and integrated into all of your organisation's business systems. Taking a 'by design' approach ensures that the requirements for the management of information are considered before, at the start of, and throughout the development and improvement of both new and existing business systems.**

* 25. In the last 24 months, has your organisation implemented any new business information system(s)?

Explanatory note: Business information systems include human resources information systems (HRIS), financial systems, specialised databases etc.

◯ Yes

◯ No

* 26. Is a process for managing information through its life-cycle built into those new business information system(s)?

◯ Yes

◯ No

* 27. Which challenge(s) affect your organisation's ability to integrate IM requirements into new or upgraded business information systems?

*Tick those that apply*

☐ Age of business system(s)

☐ IM requirements are not specified in the procurement process

☐ IM requirements considered 'nice-to-have' or de-scoped

☐ IM staff are not consulted enough

☐ Internal staff are not fully aware of the requirements

☐ Not enough management support

☐ Speed of implementation/upgrade

☐ The number of systems in use

☐ Other (please specify)

[                                                    ]

☐ None

* 28. Do your organisation's current systems for managing documents and records meet the minimum requirements described in Minimum Requirements for Metadata developed by Te Rua Mahara?

○ All systems do

○ Some systems do

○ No systems do

## Integrity of information

**Information integrity is about providing assurance that the information created and maintained by the organisation is reliable, trustworthy and complete. Information should be managed so that it is easy to find, retrieve and use, while also being secure and tamper-proof.**

* 29. Does your organisation have any digital information of long-term value (i.e. required for more than 10 years)?

○ Yes

○ No

* 30. This question is about ensuring that information of long-term value remains usable for as long as required. In the last 24 months, what action(s) has your organisation taken for that purpose?

*Tick those that apply*

☐ Ensured metadata is persistently linked to information

☐ Identified information needing long-term retention

☐ Implemented a digital storage management plan

☐ Migrated information to a long-term digital storage environment

☐ Migrated information to new file formats

☐ Used checksums to monitor integrity of information

☐ Other (please specify)

[                                                        ]

☐ None of the above

* 31. Has your organisation identified any digital information that is inaccessible (i.e. cannot be located, retrieved or used)?

◯ Yes

◯ No

* 32. What are the reasons your organisation is unable to access that digital information?

*Tick those that apply*

☐ Hardware needed to access information no longer available

☐ IM staff unable to access business systems

☐ Information stored in obsolete file format(s)

☐ Information stored in personal system (e.g. OneDrive)

☐ Not enough metadata to easily locate information

☐ Physical deterioration of the medium (e.g. CD-ROMS)

☐ Software needed to access information no longer available

☐ Storage failure

☐ Other (please specify)

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## Information maintenance and accessibility

**Information maintenance and accessibility covers strategies and processes that support the ongoing management and access to information over time. This includes changes to business operations, activities and structures and/or system and technology changes.**

* 33. This question is about business changes that have implications for IM. In the last 24 months, which of these changes has occurred?

*Tick those that apply*

☐ As part of an administrative change, received information from another organisation

☐ As part of an administrative change, transferred information to another organisation

☐ Decommissioned business information system(s)

☐ Decommissioned website

☐ Established new activity/activities within a function

☐ Established new function(s)

☐ Implemented new service offering(s)

☐ Migrated information between systems

☐ Migrated information to a new storage environment

☐ Undertook business changes in response to emergencies

☐ Other (please specify)

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☐ None of these

* 34. When business changes occur, they can have an impact on the organisation's information. When the changes that you ticked in the previous question happened, did your organisation take action to guarantee the integrity of the information involved?

○ In every case

○ In some cases

○ Never

## Appropriate storage arrangements

**The storage of information is a very important factor that influences information protection and security. Appropriate storage arrangements for both physical and digital information ensure that information remains accessible and usable throughout its life.**

* 35. This question is about physical information. Which security risk(s) does your organisation take measures to protect against?

*Tick those that apply*

☐ Unauthorised access

☐ Unauthorised alteration

☐ Unauthorised destruction

☐ Loss

☐ None of these

* 36. This question is about storage of digital information. Which security risk(s) does your organisation take measures to protect against?

*Tick those that apply*

☐ Unauthorised access

☐ Unauthorised alteration

☐ Unauthorised destruction

☐ Loss

☐ None of these

## Current organisation-specific disposal authorities

**A disposal authority is the legal mechanism that the Chief Archivist uses to provide approval for disposal actions for specified information. This topic is about an organisation having its own, specific disposal authority, not the implementation of the disposal actions authorised by the authority. This topic is not about *General Disposal Authorities*.**

* 37. Does your organisation have organisation-specific disposal coverage?

◯ Yes, there is disposal coverage for all organisation-specific functions and activities

◯ Yes, there is disposal coverage for some but not all organisation-specific functions and activities

◯ No, there is not disposal coverage for organisation-specific functions and activities

* 38. In the next 24 months, is your organisation intending to develop or extend an organisation-specific disposal authority?

○ Yes

○ No

## Implementation of disposal decisions

**Implementation of approved disposal decisions is an IM activity that should be carried out routinely by organisations. This topic is about the implementation of disposal decisions, whether from organisation-specific disposal authorities or the _General Disposal Authorities_.**

\* 39. This question is about both physical and digital information. In the last 24 months, which action(s) has your organisation carried out in preparation for disposal?

_Explanatory note: 'Sentenced' means the process of applying a disposal authority and its disposal actions across an organisation's information. 'Unstructured information' means information that either does not have a predefined data model,or is not organised in a pre-defined manner._

_Tick those that apply_

☐ Developed a disposal implementation plan

☐ Machine learning and other artificial intelligence (AI) tools and technology

☐ Obtained approval to dispose of information from business owners

☐ Sentenced information in offsite storage

☐ Sentenced unstructured information in business information systems

☐ Sentenced unstructured information in shared drives

☐ Sentenced structured information in shared drives

☐ Set up automated disposal in Enterprise Content Management System (or similar)

☐ Used automated tools to analyse digital files in preparation for transfer (e.g. DROID)

☐ Other (please specify)

☐ None of the above

\* 40. In the last 24 months, has your organisation carried out authorised destruction of physical information?

◯ Yes

◯ No

\* 41. In the last 24 months, has your organisation carried out authorised destruction of digital information?

◯ Yes

◯ No

* 42. This question is about physical information. Which challenge(s) affect your organisation's ability to undertake regular authorised destruction of information?

*Tick those that apply*

- [ ] A lack of confidence that sentencing has been done accurately
- [ ] Destruction not seen as a priority for staff
- [ ] Difficulty of sentencing unstructured information repositories
- [ ] Disposal authorities do not support automated disposal
- [ ] Do not have access to technology needed to do work
- [ ] IM staff unable to access business systems
- [ ] Lack of metadata and/or descriptive information for records held onsite or offsite
- [ ] Not enough resources put towards sentencing activity
- [ ] Systems not set up to automate regular authorised deletion
- [ ] The cost of secure destruction/deletion through the storage provider
- [ ] The difficulty of obtaining approvals
- [ ] Other (please specify)

[                                      ]

- [ ] None of the above

* 43. This question is about digital information. Which challenge(s) affect your organisation's ability to undertake regular authorised destruction of information?

*Tick those that apply*

- [ ] A lack of confidence that sentencing has been done accurately
- [ ] Destruction not seen as a priority for staff
- [ ] Difficulty of sentencing unstructured information repositories
- [ ] Disposal authorities do not support automated disposal
- [ ] Do not have access to technology needed to do work
- [ ] IM staff unable to access business systems
- [ ] Lack of metadata and/or descriptive information for records held onsite or offsite
- [ ] Not enough resources put towards sentencing activity
- [ ] Systems not set up to automate regular authorised deletion
- [ ] The cost of secure destruction/deletion through the storage provider
- [ ] The difficulty of obtaining approvals
- [ ] Other (please specify)

[                                      ]

- [ ] None of the above

## Transfer to Te Rua Mahara

**Information of archival value, both physical and digital, should be regularly transferred to Te Rua Mahara or a deferral of transfer should be put in place. As part of the transfer process, the access status of the information must be determined as either 'open access' or 'restricted access'.**

\* 44. Does your organisation hold any information that is more than 25 years old?

◯ Yes

◯ No

* 45. Do you have any information over 25 years old that is not classified as either open or restricted access?

◯ Yes

◯ No

◯ Do not know

* 46. In the next 24 months, is your organisation planning to transfer any physical information?

*Explanatory note: Public offices can transfer to a Te Rua Mahara repository or an approved repository. Local authorities can transfer to a local authority archive.*

◯ Yes

◯ No

* 47. Where are you planning to transfer the physical information to?

*Tick those that apply*

○ Te Rua Mahara Auckland repository

○ Te Rua Mahara Christchurch repository

○ Te Rua Mahara Dunedin repository

○ A local authority archive

○ An approved repository (please specify)

[ ]

* 48. Does your organisation hold physical information that it is ready to transfer to Te Rua Mahara Wellington repository once it begins accepting transfers again in the future?

○ Yes

○ No

○ Not applicable (local authorities select this option)

* 49. In the next 24 months, is your organisation planning to transfer any digital information to:

○ Te Rua Mahara

○ A local authority archive

○ Neither of these

○ We don't know

* 50. This question is about both physical and digital information. What challenge(s) affect your organisation's ability to undertake regular transfer of information?

*Tick those that apply*

☐ Te Rua Mahara Wellington repository is not taking transfers of physical information

☐ Current system is unable to export records and descriptive metadata for digital transfer

☐ Difficulty obtaining approval from senior management

☐ Difficulty understanding the processes and requirements of Te Rua Mahara

☐ Have no information over 25 years old

☐ Lack of confidence that sentencing has been doine accurately

☐ Lack of metadata

☐ Lack of resources to prepare transfer

☐ Lack of skills in doing physical transfers

☐ Lack of skills in doing digital transfers

☐ Lack of system support to export records and descriptive metadata for digital transfer

☐ No local authority archive to transfer to

☐ Not a priority for senior management

☐ Not enough resources put towards sentencing activity

☐ Other (please specify)

[                                                  ]

## IM environment

**This final set of questions is about the risks, challenges, opportunities and emerging trends that are affecting IM in your organisation.**

\* 51. Below are some challenges for good IM practices and processes. In your organisation, how big a challenge are these to the organisation's IM?

*Please provide an answer for each row*

| | No challenge at all | Minor challenge | Reasonably big challenge | Huge challenge |
|---|---|---|---|---|
| Lack of understanding of the importance of IM | ○ | ○ | ○ | ○ |
| IM not adequately addressed in planning phase of project | ○ | ○ | ○ | ○ |
| IM insufficiently resourced | ○ | ○ | ○ | ○ |
| 'Silos' - lack of communication across business groups | ○ | ○ | ○ | ○ |
| Information incomplete, e.g. not providing evidence of decisions | ○ | ○ | ○ | ○ |
| Information not easily searchable | ○ | ○ | ○ | ○ |
| Information is not easily accessible | ○ | ○ | ○ | ○ |

Other (please specify)

[                                        ]

\* 52. Has your organisation identified any key risks to its information?

○ Yes

○ No

* 53. What key risks to your organisation's information have been identified?

*Tick those that apply*

☐ Collaboration tools

☐ Deterioration (of physical information and/or digital information stored on physical mediums)

☐ Inadequate access and use controls for privacy and security

☐ Information stored on business systems which are out-of-support

☐ Information stored on obsolete or at-risk file formats (e.g. WordStar files)

☐ Information stored on obsolete or at-risk mediums (e.g. floppy disks)

☐ Lack of contextual information to enable discovery and interpretation

☐ Lack of off-site backup

☐ Shadow IT and personal repositories

☐ Storage failure (i.e. loss and/or corruption of data, inaccessible data etc.)

☐ Other (please specify)

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* 54. In the last 24 months, has your organisation had any requests for official information under the *Official Information Act 1982* or the *Local Government Official Information and Meetings Act 1987*?

○ Yes

○ No

* 55. In the last 24 months, has your organisation ever been unable to provide the official information asked for?

○ Yes

○ No

* 56. In the last 24 months, how often has the reason for being unable to provide the official information been that the information does not exist (i.e. the record has not been created)?

◯ Never

◯ Rarely

◯ Occasionally

◯ Often

* 57. In the last 24 months, how often has the reason for being unable to provide the official information been that the information does exist but could not be found?

◯ Never

◯ Rarely

◯ Occasionally

◯ Often

**Thank you for completing the survey. We may contact you for more information about your survey responses. Guidance for public offices and local authorities on how to manage information and records under the Public Records Act can be found on our [website](website).**

**If you have any questions regarding this survey, please email rkexecutivesponsor@dia.govt.nz**