

This PDF is for reference only.

Survey responses must be submitted through SurveyMonkey by invited organisations (Public Offices and Local Authorities).

This PDF does not show the skip logic as applied in the online version.

Welcome to the Survey of public sector information management 2020

The purpose of this survey

This survey will be taken every year to gather data on information management (IM) in the public sector and to track changes over time. The survey questions are in line with the requirements of the [Public Records Act 2005](#) and the principles of the [Information and records management standard \(16/S1\)](#). We are asking these questions to get a better picture of the level of performance of IM in public sector organisations. The results will be used by Archives New Zealand Te Rua Mahara o te Kāwanatanga to monitor and report, identify gaps, and plan future services.

Organisations will be able to use the findings to monitor their own IM practices. The survey results will be published as a dataset on data.govt.nz and a findings report will be available on the Archives New Zealand website.

How long it will take

It should take 30-40 minutes.

When the questionnaire should be submitted

Please submit by 5pm on Friday 7 August 2020.

Who should answer the questions

In some organisations, different people will be better suited to answer different sections. A number of people can work on answering, but only one questionnaire should be returned to Archives New Zealand.

How to move through the questionnaire

Use only the PREV and NEXT buttons. Do NOT use the browser back or forward buttons: if you do, your response will not be saved. You cannot skip; you have to answer each question to get to the next one. Survey Monkey takes you to the next question that must be answered. There is no way to go directly to a particular part of the questionnaire. You must progress through the survey question by question.

Taking a break

You can leave the questionnaire and come back to it later, without losing any of your answers. In the same way, if another person takes over for the next set of questions, the preceding answers will be saved and will be visible.

Help available

If you have any problems with the questionnaire, ring [04] 499 5595 and ask to be put through to the Advice & Compliance team, or you can email us at rkadvice@dia.govt.nz.

1. What is the full legal name of your organisation?

2. What type of organisation is it?

- Central Government department
- Crown Entity
- State-owned Enterprise
- Office of Parliament
- Non-Public Service department
- District Health Board
- Tertiary education entity
- Local Authority
- Other (please specify)

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

- offices located across more than one country
- offices located across more than one town/city but all in New Zealand
- more than one office, all of them in the same town/city
- one office only

4. How many full-time-equivalent employees (FTEs) are working for this organisation?

- Less than 100
- 100-299
- 300-499
- 500-2999
- 3000-5999
- More than 6000

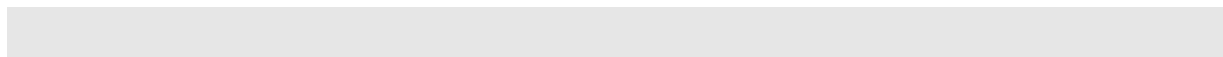
5. This question is about dedicated Information Management (IM) staff. Do NOT include:

Staff whose work is in:

- geographic information systems (GIS)
- business intelligence
- data management
- medical records, or
- staff whose main role is NOT in IM, e.g. a Business Support Assistant who oversees IM operations

How many full-time-equivalent (FTEs) are dedicated IM staff?
Please round to the nearest whole number.

- None
- Less than 0.5
- Number of FTEs to nearest whole number



6. In the last 12 months, which of the following has any dedicated IM staff member(s) done?

Tick all that apply

- Attended an IM conference (or similar event)
- Presented at an IM conference (or similar event)
- Attended an IM training course (face-to-face and / or online)
- Studied towards a recognised IM qualification
- Had an IM-relevant secondment
- None of these

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7. What current drivers for good IM practice and processes are important to your organisation?

Please provide an answer for each row.

	Not at all important	A little important	Fairly important	Extremely important	Don't know
Business efficiency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Risk management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Customer service delivery	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Compliance with legislative requirements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Efficient cost management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
In-house collaboration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collaboration with other organisations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other(s) (please specify)

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8. Below are some challenges for good IM practices and processes.
 In this organisation, how big a challenge are these to this organisation's IM?
 Please provide an answer for each row.

	No challenge at all	Minor challenge	Reasonably big challenge	Huge challenge	Don't know
Lack of understanding of the importance of IM	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
IM not adequately addressed in planning phase of projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
IM insufficiently resourced	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
'Silos' - lack of communication across business groups	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Information incomplete, e.g., not providing evidence of decisions, etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Information not easily searchable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Information is not easily accessible	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other(s) (please specify)

9. This question is about a formal governance group that has been officially set up to provide direction, support and oversight of IM at the executive level.

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

10. Does this organisation's formal governance group meet at least twice a year?

- Yes
- No
- Don't know

11. Is the Executive Sponsor part of this formal governance group?

- Yes
- No
- Don't know

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12. Has the organisation identified information it holds that is of importance to Māori?

- Don't hold any
- Yes
- No
- Don't know

13. This question is about usage of information of importance to Māori.

Which of the following has this organisation done to improve the usage of information of importance to Māori?

Tick all that apply

- Documented IM implications from Te Tiriti o Waitangi / Treaty of Waitangi agreements
- Involved IM staff in negotiating agreements with Māori
- Improved access
- Improved discoverability e.g. improved metadata
- Improved levels of care
- Worked with Māori to change IM practices
- No action taken
- Other (please specify)

14. In the last 12 months, has this organisation done any self-monitoring of its compliance with:

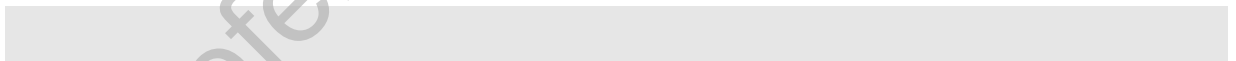
Tick all that apply

- Archives New Zealand's requirements?
- This organisation's own IM policy?
- Neither of these

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

Tick all that apply

- Bench-marking exercise
- Assessment by a third party
- Internal audit
- Review of processes
- Risk assessment
- Other (please specify)



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16. As a result of that self-monitoring, what action is this organisation taking?
Tick all that apply

- Developing an action plan
- Developed an action plan
- Implementing an action plan
- Implemented an action plan
- Deferring action
- None of these
- Other (please specify)

17. Does this organisation have a documented IM policy?

- Yes
- No
- Don't know

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

Tick all that apply

- Staff at all levels
- Contractors
- Consultants
- None of these

19. In which way(s) does this organisation inform the groups that you ticked in the previous question about their IM responsibilities?

Tick all that apply

- Contracts
- Code of conduct
- Job descriptions
- Induction training (face-to-face and / or online)
- Refresher training (face-to-face and / or online)
- Performance development plans / agreements
- None of the above
- Don't know
- Other (please specify)

20. Are all of this organisation's business processes fully digital?

- Yes
- No
- Don't know

21. Is this organisation taking action to transition from paper-based to digital business processes?

Yes

No

22. What action(s) is this organisation taking to transition from paper-based to digital business processes?

Tick all that apply

Becoming "digital-by-default"

Re-designing business processes and services to remove paper

Introducing digital authorisation in business processes

Scanning paper-based information at point of receipt

Back-scanning of paper-based information (where the digital version becomes the authoritative version)

Don't know

Other (please specify)

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23. Does this organisation have an Information Asset Register (or similar way of recording information assets)?

- Yes
- In development
- Work started but deferred
- No

24. Is that register:

- Up-to-date?
- Being used?
- Neither of these

25. Is this organisation planning to have such an Information Asset Register or similar?

- Yes
- No
- Don't know

26. Has this organisation identified any key risks to its information?

- Yes
- No
- Don't know

27. What key risks to this organisation's information have been identified?

Tick all that apply

- Lack of off-site backup
- Information stored on obsolete or at-risk mediums (e.g. floppy disks)
- Information stored on obsolete or at-risk file formats (e.g. WordStar files)
- Lack of contextual information to enable discovery and interpretation
- Information stored on business systems which are out-of-support
- Inadequate access and use controls for privacy and security
- Deterioration (of physical information and/or digital information stored on physical mediums)
- Storage failure (i.e. loss and/or corruption of data, inaccessible data, etc.)
- Other (please specify)

The following questions are about magnetic audio-visual records. We are asking these questions because these materials are considered extremely high risk. If not reformatted within the next 5 years, there may be permanent loss due to physical deterioration and lack of playback equipment.

Magnetic audio-visual records may be separate records or part of a file, e.g. an audio cassette attached to a paper file.

28. Does your organisation have magnetic audio-visual records on any of the following formats:

VHS, U-matic, 2" Quad, Video8, Audio cassette, Micro cassette, ¼ inch open reel, 16mm magtrack, Betacam, Beta SP, Betamax?

- Definitely have
- Possibly have
- Definitely don't have
- Don't know

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29. Which of these does this organisation have?

Tick all that apply

Format(s) not known

VHS

U-matic

2" Quad

Video8

Audio cassette

Micro cassette

1/4 inch open reel

16mm magtrack

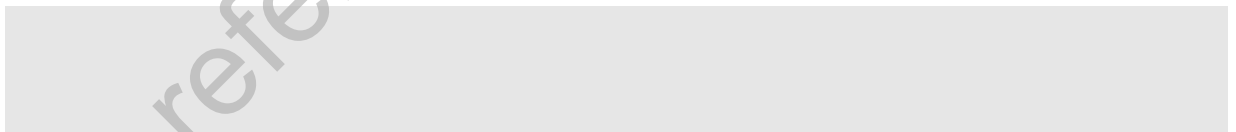
Betacam

Beta SP

Betamax

Digital audio tape (DAT)

Other (please specify)



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30. Approximately how many magnetic audio-visual records does this organisation hold?

- Less than 50
- 50-100
- 101-500
- More than 500
- Don't know

31. Does this organisation plan to reformat its magnetic audio-visual records within the next 2 years?

- Yes
- No
- Don't know

32. Has this organisation identified its most important high-value/high-risk information?

For more information about this please see [High-value and High Risk 16/F2](#)

- Yes
- In progress
- No
- Don't know

33. In the last 12 months, in order to actively manage its high-value/high-risk information, what action(s) has this organisation taken?

"Business information systems" in the list below include Human Resources Information Systems (HRIS), financial systems, specialised databases, etc.
Tick all that apply

- Tested its Business Continuity Plan
- Implemented a new business information system to mitigate risks to information
- Redeveloped systems to improve long-term accessibility of information
- Don't know
- Other (please specify)

34. In the last 12 months, has this organisation implemented any new business information system(s)?

"Business information systems" include Human Resources Information Systems (HRIS), financial systems, specialised databases, etc.

- Yes
- No
- Don't know

35. Is a process for managing information through its life-cycle built into this organisation's new business information system(s)?

- Yes
- No
- Don't know

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

Tick all that apply

- The number of systems in use
- IM requirements are not specified in the procurement process
- Internal staff are not fully aware of the requirements
- IM staff are not consulted enough
- Not enough management support
- None
- Don't know
- Other (please specify)

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37. Do this organisation's current systems for managing documents and records meet the requirements set in Archives New Zealand's [Minimum Requirements for Metadata](#)?

- All systems do
- Some systems do
- No systems do
- Don't know

38. Does this organisation have any digital information of long-term value (i.e., required for more than 10 years)?

- Yes
- No
- Don't know

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39. This question is about ensuring that information of long-term value remains usable for as long as required.

In the last 12 months, what action(s) has this organisation taken for that purpose?

Tick all that apply

- Identified information needing long-term retention
- Implemented a digital storage management plan
- Migrated information to new file formats
- Migrated information to a long-term digital storage environment
- Used checksums to monitor integrity of information
- Ensured metadata is persistently linked to information
- None of these
- Don't know
- Other (please specify)

40. Does this organisation have any digital information that is inaccessible (i.e. can NOT be located, and/or can NOT be retrieved, and/or can NOT be used)?

- Definitely have
- Possibly have
- Definitely don't have
- Don't know

41. What are the reasons this organisation is unable to access that digital information?

Tick all that apply

- Not enough metadata to easily locate information
- Information stored in obsolete file format(s)
- Information stored in personal systems (e.g. OneDrive)
- Software needed to access information no longer available
- Physical deterioration of the medium (e.g. CD-ROMs)
- Storage failure
- Other (please specify)

42. In the last 12 months, has this 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
- Don't know

43. In the last 12 months has this organisation ever been unable to provide the official information asked for?

- Yes
- No
- Don't know

44. In the last 12 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 had NOT been created)?

- Never
- Rarely
- Occasionally
- Often
- Don't know

45. In the last 12 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?

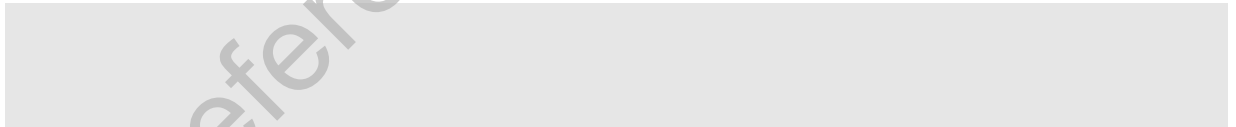
- Never
- Rarely
- Occasionally
- Often
- Don't know

46. This question is about business changes that have implications for IM.

In the last 12 months, which of these changes has occurred?

Tick all that apply

- Established new function(s)
- Established new activity/activities within a function
- 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
- Implemented new service offering(s)
- Migrated information to a new storage environment
- Migrated information between systems
- None of these
- Other (please specify)



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47. 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 this organisation take action to guarantee the integrity of the information involved?

- In every case
- In some cases
- Never
- Don't know

48. This question is about **physical** information.

Which security risk(s) does this organisation take measures to protect against?
Tick all that apply

- Unauthorised access
- Unauthorised alteration
- Unauthorised destruction
- Loss
- None of these

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49. This question is about storage of **digital** information.

Which security risk(s) does this organisation take measures to protect against?
Tick all that apply

- Unauthorised access
- Unauthorised alteration
- Unauthorised destruction
- Loss
- None of these

50. Does this organisation hold any information that is more than 25 years old?

- Yes
- No
- Don't know

51. How much of that information that is more than 25 years old has been classified as either open or restricted access?

- None or hardly any
- About a quarter of it
- About half of it
- About three-quarters of it
- All or almost all
- Don't know

52. This question is about authorised disposal authorities, including:

- Current organisation-specific disposal authorities
- General Disposal Authorities (GDA6 and 7)
- Current local authority retention and disposal schedules

How much of the information held by this organisation is covered by authorised disposal authorities?

- None or hardly any
- About a quarter of it
- About half of it
- About three-quarters of it
- All or almost all
- Don't know

53. This question is about the information NOT covered by disposal authorities.

When does this organisation plan to start improving coverage?

- We are currently appraising this organisation's information
- In less than 12 months
- In the next 1-3 years
- In the next 4-5 years
- Don't know

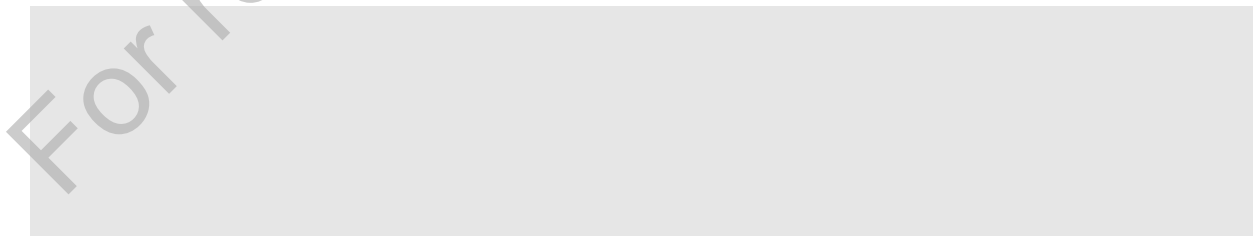
54. This question is about both **physical** and **digital** information.
In the last 12 months, which action(s) has this organisation carried out in preparation for disposal?

“Sentenced” in the list below means the process of applying a disposal authority and its disposal actions across an organisation's information (see [Disposal: sentencing \(16/G10\)](#) for more information).

"Unstructured information" means information that either does not have a pre-defined data model, or is not organised in a pre-defined manner.

Tick all that apply

- Developed a disposal implementation plan
- Sentenced information in offsite storage
- Sentenced unstructured information in business information systems
- Sentenced unstructured 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)
- Obtained approval to dispose of information from business owners
- None of the above
- Don't know
- Other (please specify)



55. In the last 12 months, has your organisation carried out authorised destruction of **physical** information?

- Yes
- No
- Don't know

56. In the last 12 months, has this organisation carried out authorised destruction of **digital** information?

- Yes
- No
- Don't know

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57. This question is about both **physical** and **digital** information.
Which challenge(s) affect this organisation's ability to undertake regular authorised destruction of information?

Tick all that apply

- Not enough resources put towards sentencing activity
- A lack of confidence that sentencing has been done accurately
- The cost of secure destruction / deletion through the storage provider
- The difficulty of obtaining approvals
- Destruction not seen as a priority for staff
- Systems not set up to automate regular authorised deletion
- None of the above
- Don't know
- Other (please specify)



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58. This question is about transferring **physical** information.

- Public offices can transfer to an Archives New Zealand repository (except to the Wellington repository which is currently closed for transfers), or to an Approved Repository
- Local Authorities can transfer to a Local Authority archive.

In the next 12 months, is this organisation planning to transfer any **physical** information?

- Yes
- No
- Don't know

59. Where are you planning to transfer **physical** information to?

- An Archives New Zealand repository (Auckland, Christchurch, Dunedin)
- An Approved Repository
- A Local Authority archive
- Don't know

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60. Why is there no plan for transferring **physical** information in the next 12 months?

- Wellington repository is closed
- There is no Local Authority archive to transfer to
- Have no information over 25 years old
- Other (please specify)

61. In the next 12 months, is this organisation planning to transfer any **digital** information to:

- Archives New Zealand
- A Local Authority archive
- Neither of these
- Don't know

For reference purposes only

62. This question is about both **physical** and **digital** information.

What challenge(s) affect this organisation's ability to undertake regular transfer of information?

Tick all that apply

- Not enough resources put towards sentencing activity
- Lack of confidence that sentencing has been done accurately
- Not a priority for senior management
- Lack of resources to prepare transfer
- Lack of skills in doing PHYSICAL transfers
- Difficulty obtaining approval from senior management
- Difficulty understanding Archives New Zealand's processes and requirements
- Archives New Zealand's Wellington repository is not taking transfer of physical information
- No Local Authority archive to transfer to
- Current system is unable to export records and descriptive metadata for digital transfer
- Lack of system support to export records and descriptive metadata for digital transfer
- Don't know
- Other (please specify)

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