INFORMATION MANAGEMENT MATURITY ASSESSMENT

GOVERNANCE

TOPIC NO. 1 IM STRATEGY

An information management (IM) strategy is a high-level document outlining the organisation's systematic approach to managing information. The strategy is a key document for an organisation's information management programme. It provides a long-term and organisation-wide direction for the management of the organisation's information.

QUESTIONS: Does the organisation have an up-to-date IM strategy that provides a strategic direction for IM? Has the strategy been approved by senior management? Has the strategy been communicated to staff and contractors? Is the organisation taking steps to implement the identified strategic direction?

NB: *The strategy may be a standalone document or integrated with wider or related strategies.*

MATURITY LEVELS

Beginning → Progressing → Managing → Maturing → Optimising

Beginning

☐ There is no IM strategy.

☐ There is ad hoc alignment of IM to business needs and strategic direction.

☐ IM and issues associated with IM are not recognised by senior management.

Progressing

☐ Planning is underway to develop an IM strategy.

☐ There is inconsistent alignment of IM to business needs and strategic direction.

☐ There is limited senior management support for IM.

Managing

☐ There is a current IM strategy.

☐ The IM strategy supports business needs and strategic direction.

☐ The IM strategy is approved by senior management and communicated to staff.

☐ The IM strategy includes identified initiatives and implementation activities.

☐ The IM strategy informs the development of the IM work programme.

Maturing

☐ The IM strategy sets the direction for or influences IM aspects of other strategies and policies.

☐ Senior management actively supports the IM strategic direction.

☐ There is regular reporting on identified initiatives and implementation activities.

☐ IM implications of organisation-wide risks, initiatives, and plans are considered.

Optimising

☐ The IM strategy is regularly reviewed and updated to reflect changing business needs and direction.

☐ Senior management proactively identify and lead IM strategic direction.

☐ The IM strategy is regularly assessed to ensure the objectives are relevant, initiatives are resourced, and outcomes are measurable.

☐ IM is integrated into all new organisation-wide initiatives and plans. For example: ICT projects, risk mitigation, business transformation initiatives, etc.

☐ The IM strategy is aligned or coordinated with strategies of related organisations or wider sector organisations.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: *Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.*

[1] *The term 'information' is used throughout this document. It references back to the word 'record' in the Public Records Act 2005. Section 4 of that Act defines 'record' as meaning 'information', which includes data and various other mediums*

GOVERNANCE

TOPIC NO. 2 IM POLICY AND PROCESSES

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.

QUESTIONS: Does the organisation have an up-to-date, approved and communicated organisation-wide IM policy? Does the policy align to the IM strategy, relevant legislation and Archives New Zealand's standards and requirements? Are the roles and responsibilities for IM documented? Is the IM policy linked to other relevant policies and strategies; for example, for security, privacy and risk management? Is the policy supported by up-to-date, appropriate and documented processes?

NB: *The policy may be a stand-alone document or integrated with wider or related policies.*

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ There is no IM policy. ☐ There are no IM processes documented. ☐ Roles and responsibilities for IM are not identified. ☐ There is no awareness of relevant legislation, Archives New Zealand's standards and requirements across the organisation.	☐ Planning is underway to develop an IM policy. ☐ There are localised IM processes documented. ☐ There is some awareness of roles and responsibilities for IM. ☐ Some staff and contractors are aware of relevant legislation, Archives New Zealand's standards and requirements.	☐ There is a current IM policy approved by senior management. ☐ The IM policy is consistent with the IM strategy, relevant legislation and Archives New Zealand's standards and requirements. ☐ There are up-to-date, approved, and documented processes. ☐ The IM policy documents roles and responsibilities for IM. ☐ The IM policy is linked to other policies and strategies. For example: security, privacy and risk management. ☐ IM policy and processes are communicated and available to all staff and contractors.	☐ Breaches of IM policy and processes are actively addressed. ☐ IM policy requirements are actively built into some information systems and business processes ☐ IM responsibilities are included in all job descriptions. ☐ All staff and contractors are actively encouraged to meet their IM responsibilities.	☐ IM policy and processes are championed and integrated across the organisation. ☐ IM policy requirements are actively built into information systems and business processes. ☐ IM responsibilities are addressed in performance management plans for staff and contractors. ☐ All staff and contractors meet their IM responsibilities. ☐ The organisation promotes its information assets as part of the national knowledge base. For example: www.data.govt.nz.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

GOVERNANCE

TOPIC NO. 3 GOVERNANCE ARRANGEMENTS AND EXECUTIVE SPONSOR

The 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. Archives New Zealand's Information and records management standard (16/S1) 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 organisation.

QUESTIONS: Is there an IM governance group? Does the Executive Sponsor actively champion IM and IM initiatives? Does the Executive Sponsor actively monitor IM activities and reporting?

NB: *The IM governance group could be a stand-alone governance group for IM or a broader governance group that covers IM.*

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ There is no governance group that covers IM. ☐ The Executive Sponsor does not understand or perform their oversight role. ☐ There is no regular reporting of IM activities to the Executive Sponsor.	☐ There is a plan to establish an IM governance group or a governance group that covers IM. ☐ The Executive Sponsor is aware of their oversight and monitoring role. ☐ There is inconsistent IM reporting to the Executive Sponsor.	☐ There is an IM governance group or a governance group that covers IM. ☐ The Executive Sponsor understands and sometimes performs their oversight and monitoring role. ☐ There is regular IM activity reporting to the Executive Sponsor.	☐ The IM governance group, or governance group that covers IM provides direction and support for IM. ☐ The Executive Sponsor consistently fulfils their oversight and monitoring role. ☐ The Executive Sponsor acts upon issues identified in the regular IM reporting. ☐ The Executive Sponsor actively promotes the value and importance of IM.	☐ The Executive Sponsor and IM governance group or governance group that covers IM champions the need for IM to be integrated into all facets of the business. ☐ The Executive Sponsor is proactive and agile in promoting continuous improvement in IM practices. ☐ The Executive Sponsor uses IM reporting to inform strategic business decisions. ☐ The Executive Sponsor actively works with other Executive Sponsors in their sector.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

GOVERNANCE

TOPIC NO. 4 IM INTEGRATION INTO BUSINESS PROCESSES

All staff should be responsible for the information they create, use and maintain. Business owners should be responsible for ensuring that the information created by their teams is integrated into business processes and activities. The IM team support business owners and staff to do this.

QUESTIONS: Do business owners understand their responsibilities for the management of information that they and their teams create, use and maintain? How are requirements for managing information integrated into business processes and activities? How are requirements for managing information integrated during any business process change and development initiatives? How do IM staff and services provide support to business owners and business units for the management of information?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ Responsibility for the management of information within business units is not assigned to business owners. ☐ IM is not integrated into business processes and activities.	☐ Responsibility for the management of information within business units is inconsistently assigned to business owners. ☐ IM responsibilities for business owners are documented. ☐ Requirements for managing information are integrated into some business processes and activities.	☐ Responsibility for the management of information within business units is consistently assigned to business owners. ☐ Business owners understand and sometimes act upon their IM responsibilities. ☐ Requirements for managing information are integrated into core business processes and activities. ☐ Issues with the management of information that impact business processes and activities are directed to appropriate staff for action.	☐ Business owners are actively fulfilling their responsibilities for managing information within their business unit. ☐ IM is integrated into most business processes and activities. ☐ IM expertise is regularly included in business process change and development. ☐ IM services are designed to support business processes and activities.	☐ Responsibility for management and quality of information is included in performance plans. ☐ IM is integrated into all business processes and activities. ☐ IM experts are trusted partners of business units throughout the organisation. ☐ IM expertise is included in all business process change and development initiatives. ☐ IM requirements and improvements are always considered in business process change.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

GOVERNANCE

TOPIC NO. 5 OUTSOURCED FUNCTIONS AND COLLABORATIVE ARRANGEMENTS

Organisations may need to contract external parties to perform various business functions and activities or collaborate with external parties. Outsourcing a business function or activity or establishing collaborative initiatives does not lessen an organisation's responsibility to ensure that all requirements for the management of information are met.

QUESTIONS: Are requirements for the management of information documented in contracts and agreements for outsourced functions and collaborative arrangements? Are governance arrangements and IM roles and responsibilities documented in contracts and agreements for outsourced functions and collaborative arrangements? Are the contractual requirements for IM monitored and issues addressed?

NB: *Contracts in the levels below refer to all types of contractual arrangements such as contracts, agreements, memoranda of understanding, instruments, etc.*

NB: *Collaborative arrangements are when two or more organisations are working together on a project or initiative.*

MATURITY LEVELS

Beginning

☐ Requirements for managing information are not identified in contracts for outsourced functions and collaborative arrangements.

☐ IM roles and responsibilities are not identified in contracts for outsourced functions and collaborative arrangements.

☐ There is no recognition of the public records status of information held by contracted parties.

Progressing

☐ Requirements for managing information are identified in some contracts for outsourced functions and collaborative arrangements.

☐ IM roles and responsibilities are identified in some contracts for outsourced functions and collaborative arrangements.

☐ All parties are aware of the public records status of the records they hold.

☐ There is some evidence of monitoring contracted parties to ensure IM requirements are met.

Managing

☐ All contracts for outsourced functions and collaborative arrangements identify requirements for managing information.

☐ All contracts for outsourced functions and collaborative arrangements identify IM roles and responsibilities.

☐ The responsibilities for IM within outsourced functions and collaborative arrangements are clearly identified and monitored.

Maturing

☐ Contracts for outsourced functions and collaborative arrangements specify details covering the creation, management, retention, portability and security of the information.

☐ The risks of non-compliance by any party are identified.

☐ IM governance and IM requirements for outsourced functions and collaborative arrangements are managed.

Optimising

☐ IM requirements outlined in contractual arrangements are routinely performed as part of contracted services.

☐ Contracts and collaborative arrangements remain current with IM good practice.

☐ Non-compliance with IM requirements by any party is addressed.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

GOVERNANCE

TOPIC NO. 6 TE TIRITI O WAITANGI

The Public Records Act 2005 and the Information and records management standard supports the rights of Māori under Te Tiriti o Waitangi / Treaty of Waitangi (ToW) 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.

QUESTIONS: Has the organisation identified any information it holds that is of importance to Māori? To what extent is the information managed to ensure that it is identifiable, accessible and usable by and for Māori? Does the organisation understand the IM implications within its ToW settlement agreements and/or other agreements with Māori?

NB: *ToW settlement agreements include relationship agreements that outline commitments, letters of commitment, accords and memoranda of understanding.*

NB: Please state "Not Applicable" if your organisation does not have information that is specifically of interest to Māori.

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ Information of importance to Māori is not identified. ☐ IM implications within ToW settlement agreements and other agreements with Māori are not known.	☐ Processes to locate and identify information of importance to Māori are being designed. ☐ IM implications within ToW settlement agreements and other agreements with Māori are acknowledged but not well understood.	☐ Information held that is of importance to Māori is identified. ☐ Planning is underway to implement changes to IM practices to improve access, discoverability and care for information of importance to Māori. ☐ IM expertise is actively involved in any new agreements with Māori or of importance to Māori to ensure IM implications are analysed and documented. ☐ IM implications from ToW agreements and other agreements with Māori and the practical application of them for IM practices are documented.	☐ IM practices include appropriate levels of care for information of importance to Māori. ☐ Projects are in place to improve the accessibility and discoverability of information of importance to Māori. ☐ Clauses within agreements with Māori that require changes to IM practices are implemented. ☐ The organisation is actively working with Māori to ensure that information of importance to Māori is identified, appropriately managed, accessed and used.	☐ IM practices relating to information of importance to Māori are continually monitored and improved. ☐ IM experts are proactively and collaboratively working across government to improve access, discoverability and care of information of importance to Māori.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising ☐ Not Applicable

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

SELF-MONITORING

TOPIC NO. 7 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.

QUESTIONS: Does the organisation monitor compliance with its IM policy, processes, Public Records Act requirements, standards, and other relevant legislation? How does the organisation use self-monitoring to take corrective action or carry out improvements to IM practices?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ There is no monitoring of compliance with internal IM policy and processes. ☐ There is no monitoring of compliance with the Public Records Act requirements, standards, and other relevant legislation.	☐ There is some monitoring of compliance with internal IM policy and processes. ☐ IM requirements from the Public Records Act, standards, and other relevant legislation are identified and documented. ☐ There is some monitoring of compliance with the Public Records Act requirements, standards, and other relevant legislation. ☐ Corrective actions to address compliance are inconsistent.	☐ There is regular monitoring of compliance with internal IM policy and processes. ☐ There is regular monitoring of compliance with the Public Records Act requirements, standards, and other relevant legislation. ☐ Results of monitoring activities are regularly reported to the IM governance group and Executive Sponsor. ☐ There is evidence of a structured approach to implement corrective actions to address compliance.	☐ The Executive Sponsor actively raises awareness of IM compliance at senior management level. ☐ IM self-monitoring results are applied to organisation-wide initiatives. ☐ Corrective actions to address compliance are undertaken in a systematic and timely fashion. ☐ IM monitoring and reporting forms part of the organisation's risk management processes.	☐ Opportunities to improve compliance are explored and implemented. ☐ The Executive Sponsor drives IM compliance against internal policies and processes and relevant legislation. ☐ Corrective actions are planned, prioritised and implemented.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

CAPABILITY

TOPIC NO. 8 CAPACITY AND CAPABILITY

Organisations should have IM staff or access to appropriate expertise to support their IM programme. This is required to meet the expectations of the organisation, the government and the wider community

QUESTIONS: Does the organisation have or have access to appropriate IM capability to support business needs? Do internal IM staff have access to professional development opportunities? Does the organisation have access to sufficient IM capacity to support business needs and to develop and maintain good IM practices?

NB: *Capability relates to skills and experience, capacity relates to the level of resourcing.*

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ IM capability requirements have not been identified or addressed. ☐ IM capacity requirements have not been identified or addressed. ☐ There is limited access to appropriate IM capability.	☐ IM capability requirements are starting to be addressed. ☐ There is a plan to address IM capacity requirements. ☐ Internal IM staff have limited access to IM-related professional development opportunities.	☐ IM capability requirements are appropriately addressed. ☐ IM capacity requirements are appropriately resourced. ☐ IM capability and capacity is regularly assessed and monitored against business needs. ☐ Internal IM staff have regular access to IM-related professional development opportunities.	☐ IM capability development is aligned to current and future business needs. ☐ IM capacity is included in the organisation's workforce planning. ☐ Job descriptions for internal IM staff are regularly reviewed and updated to meet current and future business needs. ☐ Internal IM staff have regular access to broader professional development opportunities. For example: Te ao Māori, project management, ICT, risk management, information security, etc.	☐ IM expertise is involved across the organisation to support business needs and initiatives. For example: ICT, risk, information security, Official Information Act processes, etc. ☐ There is sufficient and sustained IM capacity to be able to implement continuous improvement in IM practices.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

CAPABILITY

TOPIC NO. 9 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.

QUESTIONS: Are responsibilities for IM documented in job descriptions, performance plans and/or codes of conduct for all staff and contractors? Are all staff and contractors in the organisation aware of their IM responsibilities? Is training provided to staff and contractors to help them meet their IM responsibilities and manage information appropriately?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ Roles and responsibilities for IM are not documented in job descriptions, performance plans or codes of conduct for staff and contractors. ☐ IM responsibilities are communicated in an ad hoc manner to staff and contractors. ☐ Training needs for IM are not identified.	☐ Roles and responsibilities for IM are documented in some job descriptions, performance plans and codes of conduct for staff and contractors. ☐ IM responsibilities are communicated to some staff and contractors. ☐ Training needs for IM are identified. ☐ There is IM induction training provided for some staff and contractors ☐ There is a plan to develop ongoing organisation-wide IM training.	☐ Job descriptions, performance plans and codes of conduct document IM roles and responsibilities for all staff and contractors. ☐ IM responsibilities are communicated to all staff and contractors. ☐ A formal induction to IM roles, responsibilities and practices is given to all staff and contractors as part of on-boarding. ☐ There is a formal and ongoing programme of IM training delivered to all staff and contractors.	☐ Job descriptions, performance plans and/or codes of conduct are reviewed and updated regularly to ensure they are meeting IM requirements and business needs. ☐ IM responsibilities are regularly promoted as part of normal business practice. ☐ Senior management understand their IM responsibilities and are exemplars of IM practice. ☐ There is targeted IM training available to staff and contractors in response to business needs and issues.	☐ Staff and contractors understand that managing information well is central to the integrity of government. ☐ IM responsibilities are embedded in the organisation's business activities. ☐ IM expertise is available to provide specific IM training when issues are identified through regular IM reporting. ☐ The value of IM training is understood and championed by senior management to support improved business practices.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

CREATION

TOPIC NO. 10 CREATION AND CAPTURE OF INFORMATION

Every public office and local authority must create and maintain full and accurate information documenting its activities. This information should be accessible, usable and reflect the organisation's business functions and activities.

QUESTIONS: Has the organisation identified the information that must be created to support and document business functions and activities? Do staff and contractors create and capture information to document business functions and activities? Is the information created and captured to ensure it is usable by others? Is the information created and captured to ensure it is reliable and trustworthy?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ Information is created and captured in an ad hoc way as part of business functions and activities. ☐ Information is created and captured in uncontrolled environments. ☐ Appropriate metadata is not created to support the usability, reliability and trustworthiness of the information.	☐ Staff and contractors have some awareness of their legal obligations to create and capture full and accurate records. ☐ The information that must be created to support business functions and activities has been identified. ☐ Information is sometimes created and captured information as part of business functions and activities. ☐ Some information is managed in controlled environments to ensure its usability and reliability. ☐ Appropriate metadata is sometimes created to support the usability, reliability and trustworthiness of the information. ☐ Information usability, reliability and trust issues are identified but not yet addressed.	☐ Staff and contractors understand and comply with their legal obligations to create full and accurate records. ☐ Information is routinely created and captured as part of all business functions and activities. ☐ Information is managed in controlled environments to ensure its usability and reliability. ☐ Appropriate metadata is routinely created to support the usability, reliability and trustworthiness of the information. ☐ There is evidence of a structured approach to monitoring and addressing information usability, reliability, and trust issues.	☐ Staff and contractors actively ensure that the right information is created and captured as part of all business functions and activities. ☐ Information is managed in reliable and corporate-approved environments. ☐ The use of uncontrolled and individual environments to manage information is actively discouraged. ☐ Information is considered to be reliable and trustworthy because its creation, use and management is well understood by staff and contractors. ☐ Information usability, reliability and trust issues are routinely monitored and addressed.	☐ Automated systems capture and categorise information as part of business functions and activities. ☐ Automated systems managing information are managed and resourced as a key organisational asset. ☐ The IM governance group is routinely notified of organisation-wide usability, reliability, and trust issues for resolution.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

CREATION

TOPIC NO. 11 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, natural resources, the protection and security of the state or infrastructure would come into this category.

QUESTIONS: Does the organisation know what information it holds? Are high-value / high-risk information assets identified? Are the risks to those high-value / high-risk information assets identified and addressed?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ There is no inventory of the information held in digital and physical systems. ☐ There is no formal identification of high-value / high-risk information assets.	☐ There is an inventory of some of the information held in digital and physical systems. ☐ There is some identification of high-value / high-risk information assets.	☐ There is an inventory documenting all information held in digital and physical systems (including current and legacy systems). ☐ High-value / high-risk information assets are formally identified in an Information Asset Register (or similar). ☐ There is some analysis of risks to high-value / high-risk information assets.	☐ Current and legacy information assets (both digital and physical) are documented in an Information Asset Register (or similar). ☐ There is a process in place to ensure the Information Asset Register, or similar, is current and maintained. ☐ Risks to high-value / high-risk information assets are identified.	☐ Information asset management is considered at a strategic level within the organisation. ☐ Risk mitigation for high-value / high-risk information assets is addressed through planned initiatives.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

MANAGEMENT

TOPIC NO. 12 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.

QUESTIONS: Does the organisation involve IM expertise in decisions relating to new or upgraded business systems? To what extent do specifications for business systems (across all operating environments) include IM requirements?

NB: *IM requirements for creation, management, metadata, storage, and disposal are outlined in the Information and records management standard (16/S1).*

MATURITY LEVELS

Beginning

☐ IM expertise is not involved in design and configuration decisions related to new and upgraded business systems.

☐ IM requirements are generally not addressed during the design and configuration of new and upgraded business systems.

Progressing

☐ IM expertise is sometimes involved in design and configuration decisions relating to new and upgraded business systems.

☐ IM requirements are addressed during the design and configuration decisions relating to some new and upgraded business systems.

☐ New and upgraded business systems sometimes include minimum metadata requirements where applicable.

Managing

☐ IM expertise is involved in design and configuration decisions relating to most new and upgraded business systems.

☐ IM expertise is involved during decommissioning of some business systems to ensure IM requirements are met.

☐ Standardised IM requirements for new and upgraded business systems are identified and documented.

☐ New and upgraded business systems meet minimum metadata requirements where applicable.

☐ System design and configuration are fully documented and maintained for all business systems.

Maturing

☐ IM expertise is routinely involved in design, configuration and implementation for new and upgraded business systems.

☐ IM expertise is regularly involved during decommissioning of business systems to ensure IM requirements are met.

☐ IM requirements are actively addressed in the design and configuration of most new and upgraded business systems.

☐ Metadata and disposal requirements and processes facilitate the retention of information of long-term value.

☐ Risks relating to business systems that do not meet IM requirements are identified.

Optimising

☐ IM expertise is fully involved in design, configuration and implementation of projects involving new and upgraded business systems.

☐ IM requirements are implemented across all new and upgraded business systems.

☐ Risks relating to business systems that do not meet IM requirements are mitigated.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

MANAGEMENT

TOPIC NO. 13 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.

QUESTIONS: Does the organisation manage its information to ensure it is reliable and trustworthy? Is the information easy to find, retrieve and use? Is the information managed to ensure it is comprehensive and complete?

MATURITY LEVELS

Beginning

☐ IM practices are ad hoc and do not support reliable and trustworthy information.

☐ Staff and contractors have difficulty retrieving and using information.

☐ Information is not comprehensive and complete.

Progressing

☐ There are localised IM practices that ensure that information is reliable and trustworthy.

☐ Staff and contractors have variable experiences when trying to find and retrieve information.

☐ Staff and contractors are aware that the information they create and manage should be comprehensive and complete.

Managing

☐ IM practices are in place to ensure that information is reliable and trustworthy.

☐ Staff and contractors have a consistent experience when finding and retrieving information that they create and manage.

☐ Staff and contractors have confidence that the information they create and manage is comprehensive and complete.

Maturing

☐ Organisation-wide IM practices are in place and routinely followed to ensure that information is reliable and trustworthy.

☐ Management controls are in place and regularly tested to maintain the integrity, accessibility and usability of information. For example: audit trails, business rules for descriptive metadata, controlled vocabulary lists, document versioning and/or status.

☐ User-experience issues with finding and retrieving information are identified and addressed.

☐ Staff and contractors have confidence that the information they find and retrieve from across the organisation is comprehensive and complete.

☐ Initiatives to ensure all information is reliable, usable, comprehensive and complete are identified and underway.

Optimising

☐ Remediation processes are in place to address issues identified by the testing of management controls. For example: audit trails, business rules for descriptive metadata, controlled vocabulary lists, document versioning and/or status.

☐ A high value is placed on ensuring that the information created and managed is trustworthy, findable and retrievable.

☐ Staff and contractors have a reliable and repeatable experience when using information from across the organisation.

☐ Staff and contractors understand the dependency between information creation and management and future use.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

MANAGEMENT

TOPIC NO. 14 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.

QUESTIONS: Are strategies in place to manage information and maintain accessibility during business and system changes (including machinery of government changes)? To what extent has the organisation addressed preservation or digital continuity requirements to ensure ongoing accessibility?

MATURITY LEVELS

Beginning → Progressing → Managing → Maturing → Optimising

Beginning

☐ There are no strategies in place to manage and maintain physical or digital information during business and system changes.

☐ Ongoing accessibility risks to either physical or digital information are not identified.

☐ Preservation needs for either physical or digital information are not identified.

Progressing

☐ There are strategies in place to manage and maintain physical information during some business and system change projects. For example: list and location registers and access control.

☐ There are strategies in place to manage and maintain digital information during some business and system change projects. For example: migration plans, metadata continuity, access control.

☐ Some risks to the ongoing accessibility of physical information are identified.

☐ Some technology obsolescence risks are identified.

☐ Preservation needs for physical information are inconsistently identified and addressed.

☐ Preservation needs for digital information are inconsistently identified and addressed.

Managing

☐ There are strategies in place to manage and maintain physical information during business and system changes. For example: list and location registers and access control.

☐ There are strategies in place to manage and maintain digital information during business and system changes. For example: migration plans, metadata continuity, access control.

☐ Risks to the ongoing accessibility of physical information are identified and plans are in place to address these.

☐ Technology obsolescence risks are identified, and plans are in place to address these.

☐ Preservation needs for physical information are identified and plans are in place to address these.

☐ Preservation and digital continuity needs for digital information are identified and plans are in place to address these.

Maturing

☐ Strategies for the management and maintenance of information is routinely part of the planning for any business and system change.

☐ Risks to ongoing accessibility for physical and digital information are mitigated.

☐ Preservation needs for physical information are addressed.

☐ Preservation and digital continuity needs for digital information are addressed.

Optimising

☐ The management and maintenance of information is included in strategic plans for the organisation. For example: ICT strategic plans and business transformation initiatives.

☐ There organisation demonstrates a commitment to maintain ongoing accessibility to its information for as long as it is required.

☐ Preservation and digital continuity requirements for digital information are integrated during business and system changes.

☐ There is active contribution to sector-wide planning for initiatives such as ongoing accessibility and digital continuity.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

MANAGEMENT

TOPIC NO. 15 BUSINESS CONTINUITY AND RECOVERY

This covers the capability of the organisation to continue delivery of products or services, or recover the information needed to deliver products or services, at acceptable pre-defined levels following a business disruption event.

QUESTIONS: Does the organisation know what information is critical to its continued operation during or immediately following a business disruption event? Does the business continuity and recovery plan cover the subsequent restoration of all business information? Does the organisation regularly test its business continuity and recovery plans?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ Critical information required for business continuity is not identified. ☐ There is no business continuity and recovery plan, or if there is one, it is not current.	☐ Some critical information is identified in business continuity and recovery plans. ☐ Business continuity and recovery plans do not include the salvage and restoration of physical business information. ☐ Business continuity and recovery plans do not include the restoration of digital business information. ☐ Business continuity and recovery plans are out of date and/or not regularly tested.	☐ Critical information is identified in business continuity and recovery plans. ☐ Business continuity and recovery plans include actions for the restoration of physical business information. ☐ Business continuity and recovery plans include actions for the restoration of digital business information. ☐ Business continuity and recovery plans are up to date. ☐ Business continuity and recovery plans are regularly tested. For example: digital information is able to be restored from backup or access to specialist equipment is available for physical information.	☐ Critical information is stored in digital format to enable business continuity and recovery. ☐ There is access to expertise for the salvage and restoration of physical business information. ☐ There is a clear plan for restoring business information as part of a phased approach to business continuity. For example: prioritisation of system restoration after a business disruption event. ☐ IM expertise is involved in prioritisation of what information is required following a business disruption event. ☐ Remediation processes are in place to mitigate problems identified during testing.	☐ There is confidence that the organisation will be able to operate following a business disruption event through regular testing, review or actual implementation. ☐ Business continuity and recovery plans are reviewed and updated to reflect business and system changes. ☐ The organisation understands the significance of its information to the recovery needs of the broader community.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

STORAGE

TOPIC NO. 16 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 ensures information remains accessible and usable throughout its life.

QUESTIONS: Do the storage arrangements protect information from unauthorised or unlawful access, alteration, loss, deletion and/or destruction? Does the organisation protect information during transit and outside the workplace (for example when using commercial storage providers and cloud storage providers)? Are the protection and security mechanisms monitored and tested?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ There is inadequate protection and security in place for physical information against unauthorised access, loss or destruction. ☐ There is inadequate protection and security in place for digital information against unauthorised access, loss, deletion or destruction. ☐ The storage environment for physical and digital information provides inadequate physical protection against hazards. For example: floods, fires, etc.	☐ There is protection and security in place for some physical information against unauthorised access, loss or destruction. ☐ There is protection and security in place for some digital information against unauthorised access, loss deletion or destruction. ☐ Hazards that may impact information storage environment are identified. ☐ The storage environment for physical and digital information has some physical protection against hazards. For example: floods, fires, etc.	☐ There is appropriate protection and security in place to protect physical information against unauthorised access, loss, or destruction (including third party storage providers and in transit). ☐ There is appropriate protection and security in place for digital information against unauthorised access, loss, deletion, or destruction (including third party storage providers and in transit). ☐ The storage environment for physical and digital information has appropriate physical protection against hazards. For example: floods, fires, etc. ☐ Protection and security processes are tested regularly.	☐ Information protection and security risks are regularly reported to the organisation's IM governance group, and remediation actions are identified. ☐ Protection and security incidents relating to unauthorised access to physical and digital information are monitored and responded to. ☐ Instances of loss, destruction and deletion are identified and reported to the IM governance group. ☐ Staff and contractors understand protection and security requirements.	☐ Information protection and security risks are regularly mitigated. ☐ The IM governance group regularly monitors the remediation actions taken.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

STORAGE

TOPIC NO. 17 LOCAL AUTHORITY STORAGE ARRANGEMENTS FOR PROTECTED INFORMATION AND LOCAL AUTHORITY ARCHIVES

The storage of information is a very important factor that influences information protection and security. Protected information and local authority archives have specific requirements for appropriate storage arrangements for both physical and digital information to ensure information remains accessible and usable throughout its life.

QUESTIONS: Do the local authority's digital and physical repositories provide protection for protected information and local authority archives? Does the local authority protect its physical and digital protected information and local authority archives against loss, and unauthorised deletion and/or destruction? Does the local authority provide a facility with appropriate equipment, physical security and environmental controls for the preservation of its physical protected information? Has the local authority put in place processes to ensure the preservation of its digital protected information?

NB: *Protected information refers to Public Records Act 2005, Section 41.*

NB: Please state "Not Applicable" if your organisation is a Public Office, as this topic is only relevant to Local Authorities.

MATURITY LEVELS

Beginning

☐ Protected information and local authority archives are not identified.

☐ There is little or no consideration for protection and preservation of protected information and local authority archives.

Progressing

☐ Some protected information and local authority archives are identified.

☐ Storage of physical protected information meets some requirements of the *Physical storage and preservation of protected information and records instruction to Local Authorities*.

☐ There is some awareness of the risks associated with the storage and management of digital protected information.

☐ There is some awareness of the policies and processes needed to manage protected information and local authority archives.

Managing

☐ Protected information and local authority archives that require ongoing preservation are identified.

☐ Storage of physical protected information meets requirements of the *Physical storage and preservation of protected information and records instruction to Local Authorities*.

☐ Risks associated with the storage and management of digital protected information are identified.

☐ Protected information and local authority archives are managed as an archival collection with appropriate policies and processes in place.

Maturing

☐ Protected information and local authority archives are listed and described to facilitate ongoing preservation and access.

☐ Specific physical items that require conservation treatment are identified.

☐ Regular monitoring of preservation requirements for physical and digital protected information and local authority archives is undertaken, issues identified and reported to the IM governance group.

☐ There is a digital preservation plan to manage digital protected information and local authority archives across systems and repositories.

☐ The archival collection is appropriately resourced to ensure ongoing preservation and protection.

Optimising

☐ The local authority archival collection is actively promoted for Council and public use.

☐ Conservation and preservation issues identified through the monitoring of physical protected information and local authority archives are addressed.

☐ Resources are allocated to allow for the implementation of the preservation plan for digital protected information and local authority archives.

☐ There is proactive transfer of physical and digital information of archival value to a local authority archival collection.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising ☐ Not Applicable

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

ACCESS

TOPIC NO. 18 INFORMATION ACCESS, USE AND SHARING

Ongoing access to and use of information is required to enable staff to do their jobs. To facilitate this, organisations will need mechanisms to support the findability and usability of information. Information and data that is shared between organisations is identified and managed.

QUESTIONS: Are staff and contractors able to easily find and access the information they need to do their work? Are access controls for information documented and consistently applied and managed? Does metadata facilitate discovery and use of information? Is information and data received or shared under information sharing agreements managed according to IM policies and processes?

MATURITY LEVELS

Beginning → Progressing → Managing → Maturing → Optimising

Beginning	Progressing	Managing	Maturing	Optimising
☐ No ontology/taxonomy/file plan/metadata schema is available to facilitate information discovery.	☐ An ontology/taxonomy/file plan/metadata schema is either incomplete or available but inconsistently applied.	☐ An ontology/taxonomy/file plan/metadata schema is used to facilitate consistent management and discovery of information.	☐ Active maintenance of ontology/taxonomy/file plan/metadata schema ensures reliable management and discovery of information.	☐ There is organisational commitment to the continued use and development of an ontology/taxonomy/file plan/metadata schema.
☐ Access controls for physical and digital information are ad hoc.	☐ Staff and contractors know how to use some systems and tools that contain and facilitate access to information.	☐ Staff and contractors know how to use the systems and tools that contain and facilitate access to information.	☐ Advanced training in use of metadata and search techniques is available to staff and contractors.	☐ The value of easily accessible and discoverable information is actively promoted.
☐ Metadata does not comply with Archives New Zealand's minimum metadata requirements.	☐ Access controls for physical and digital information are documented for some systems.	☐ Access controls for physical and digital information are documented, in line with legal requirements and business needs, and approved by the IM governance group.	☐ Access controls are actively documented, monitored and maintained, and issues addressed promptly.	☐ Reliable information discovery and use is facilitated by auto-classification tools.
☐ IM processes are not applied to incoming and outgoing information and data shared with external parties.	☐ Access controls for physical and digital information are inconsistently implemented and maintained.	☐ Access controls for physical and digital information are implemented and regularly maintained.	☐ Metadata is automatically applied wherever possible.	☐ Access controls facilitate collaborative and transparent work practices.
	☐ Metadata used to find and manage information complies with some of Archives New Zealand's minimum metadata requirements.	☐ Metadata used to find and manage information complies with Archives New Zealand's minimum metadata requirements.	☐ Metadata values are regularly updated to facilitate reliable discovery and use of information.	
	☐ IM processes are applied to some incoming and outgoing information and data shared with external parties.	☐ IM processes are applied to incoming and outgoing information and data shared with external parties.		

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

ACCESS

TOPIC NO. 19 LOCAL AUTHORITY ARCHIVES ACCESS CLASSIFICATION

The access status of local authority archives must be determined. They must be identified as either "open access" or "restricted access". Access decisions and access conditions should be recorded in a publicly available register maintained by the local authority.

QUESTIONS: Has the local authority determined its local authority archives to have "open access" or "restricted access"? Is the public informed that the local authority's archives are open access, restricted access, or have conditions on access?

NB: Please state "Not Applicable" if your organisation is a Public Office, as this topic is only relevant to Local Authorities.

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ Access status of local authority archives is not determined or documented. ☐ There are no established processes for public access to local authority archives.	☐ Some restricted access local authority archives are identified. ☐ There is a plan in place to apply access status to all local authority archives. ☐ Public use of some open access local authority archives is supported.	☐ Access status of all local authority archives is applied and documented. ☐ Public use of open access local authority archives is supported. ☐ The period for which the restriction on access conditions apply to restricted access local authority archives is identified.	☐ The access status of local authority archives is proactively reviewed and updated. ☐ The public is informed that they are able to inspect open access local authority archives. ☐ The public is informed of access conditions for restricted access local authority archives.	☐ The local authority is committed to ensuring all local authority archives are determined to be open access and available as soon as possible.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising ☐ Not Applicable

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

DISPOSAL

TOPIC NO. 20 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 the General Disposal Authorities.

QUESTIONS: Is there a current and approved organisation-specific disposal authority (or multiple authorities)? Does it cover all information formats and business functions? Is the disposal authority reviewed regularly for relevance?

NB: The term "*organisation-specific disposal authority" also covers sector-specific and multiple agency disposal authorities.*

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ There is no current, approved organisation-specific disposal authority.	☐ There is a current, approved organisation-specific disposal authority that covers information relating to some business functions. ☐ There is a current, approved organisation-specific disposal authority that covers some formats. ☐ There is a plan to develop and/or update the organisation-specific disposal authority to cover information relating to all business functions and formats.	☐ There is a current, approved organisation-specific disposal authority that covers information relating to all business functions. ☐ There is a current, approved organisation-specific disposal authority that covers all formats. ☐ There is a regular review cycle to ensure that the organisation-specific disposal authority reflects business and legislative changes.	☐ The IM governance group understands their role in championing and providing internal approval for the organisation-specific disposal authority. ☐ Staff and contractors understand the disposal requirements relevant to the information they create and use. ☐ Changes identified in the regular disposal authority review cycle are incorporated into the organisation-specific disposal authority.	☐ Changes to business functions and the operational environment are monitored to inform updates to the organisation-specific disposal authority. ☐ Changes to legislation, stakeholder expectations and sector focus areas are monitored to drive revision to the organisation-specific disposal authority. ☐ The organisation is actively contributing to sector-specific disposal authorities.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

DISPOSAL

TOPIC NO. 21 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.

QUESTIONS: Are processes in place to ensure information is retained for as long as required for business use and as identified in authorised disposal authorities? Are disposal actions consistent and aligned across all storage environments and formats? Is information regularly disposed of under the General Disposal Authorities or the organisation-specific disposal authority? Is disposal of information documented? Is destruction of information secure, complete and irreversible?

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ No processes are in place to ensure information is retained for as long as required for business use and as identified in authorised disposal authorities. ☐ Adequate resources to dispose of information are not assigned. ☐ Ad hoc disposal takes place for physical and digital information. ☐ Disposal actions are not documented. ☐ No disposal takes place.	☐ Processes ensure that some information is retained for as long as required for business use and as identified in authorised disposal authorities. ☐ There are plans in place to ensure adequate resources are assigned to ensure implementation of disposal actions is routinely carried out. ☐ Disposal actions are implemented across some repositories and formats. ☐ Disposal actions are sometimes documented. ☐ The destruction of some physical information is secure, complete and irreversible. ☐ The destruction of some digital information is secure, complete and irreversible.	☐ Processes ensure information is retained for as long as required for business use and as identified in authorised disposal authorities. ☐ Internal approvals to carry out disposal actions are routinely actioned. ☐ Appropriately trained IM resources are assigned to ensure implementation of disposal actions is routinely carried out. ☐ Disposal actions are routinely planned and implemented across most repositories and formats. For example: ECM/EDRMS, paper files, M365, Teams, email, shared network drives, other business systems and collaboration platforms. ☐ Disposal actions are fully documented in a disposal register (or similar), including date disposal carried out, who carried it out, what was disposed of, and under what authority. ☐ The destruction of physical information is secure, complete and irreversible. ☐ The destruction of digital information is secure, complete and irreversible.	☐ Processes for disposal are monitored to ensure their ongoing effectiveness to support authorised disposal of information. ☐ Issues relating to internal approvals for disposal are escalated to the IM governance group for action. ☐ Adequate, trained IM resources are assigned to ensure implementation of disposal actions is routinely carried out. ☐ Disposal actions are routinely implemented across all repositories, systems and formats. ☐ Disposal functionality is provided in all new and upgraded business systems. ☐ Staff and contractors know where to get guidance on disposal policies and processes. ☐ The destruction of physical and digital information is secure, complete and irreversible.	☐ The organisation proactively reviews and improves its disposal processes and capability to support regular disposal. ☐ Appropriate functionality is built into all information systems to facilitate routine authorised disposal of information. ☐ Application of disposal rules are facilitated by auto-classification tools. ☐ Staff and contractors understand the value of regular disposal for physical and digital information. ☐ The IM governance group promotes regular and routine disposal of information.

INFORMATION MANAGEMENT MATURITY ASSESSMENT

Select your overall maturity level for this topic:	☐ Beginning	☐ Progressing	☐ Managing	☐ Maturing	☐ Optimising

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

DISPOSAL

TOPIC NO. 22 TRANSFER TO ARCHIVES NEW ZEALAND

Information of archival value, both physical or digital, should be regularly transferred to Archives New Zealand 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"

QUESTIONS: Does the organisation transfer its information of archival value over 25 years old to Archives New Zealand? Does the organisation have deferral of transfer agreements in place for archival information over 25 years old that is not being transferred? Has the information that the organisation holds that is over 25 years old, been determined as open or restricted access?

NB: *transfer of physical information to Archives New Zealand's Wellington repository is not currently possible – therefore the terminology in the maturity levels has been chosen to reflect that.*

NB: Please state "Not Applicable" if your organisation does not hold information over 25 years old.

MATURITY LEVELS

Beginning	Progressing	Managing	Maturing	Optimising
☐ Physical and digital information of archival value that is over 25 years old is not identified. ☐ Physical and digital information over 25 years old is not determined as open or restricted access.	☐ Planning is underway to transfer information of archival value to Archives New Zealand. ☐ Some physical information of archival value that is over 25 years old is transferred to Archives New Zealand. ☐ Some digital information of archival value that is over 25 years old is transferred to Archives New Zealand. ☐ Deferral of transfer agreements are in place for some physical and digital information of archival value, that is over 25 years old and is not going to be transferred to Archives New Zealand. ☐ Some information over 25 years old, whether of archival value or not, is determined as open access or restricted access.	☐ Physical information of archival value that is over 25 years old is transferred to Archives New Zealand. ☐ Digital information of archival value that is over 25 years old or no longer required by the organisation is transferred to Archives New Zealand. ☐ Digital information identified as having archival value is managed to ensure suitability for transfer to Archives New Zealand. ☐ Deferral of transfer agreements are in place for physical and digital information of archival value that is over 25 years old and is not going to be transferred to Archives New Zealand. ☐ All information over 25 years old, whether of archival value or not is determined as open access or restricted access.	☐ Future transfers of physical and digital information of archival value is planned with Archives New Zealand. ☐ Agreements for deferral of transfer of digital and physical information are regularly reviewed and updated. ☐ Access determinations for restricted information over 25 years old are regularly reviewed and updated.	☐ The organisation regularly and routinely transfers physical and digital information of archival value to Archives New Zealand. ☐ Review of access determinations of public archives transferred to Archives New Zealand, or those that have been transferred by predecessor organisations are regularly done. ☐ The organisation is proactively committed to ensuring all information is determined as open access and available as soon as possible.

Select your overall maturity level for this topic: ☐ Beginning ☐ Progressing ☐ Managing ☐ Maturing ☐ Optimising ☐ Not Applicable

Reasoning: Please write 1 – 2 paragraphs about why you selected this maturity level for your organisation.

Te Rua Mahara o te Kāwanatanga
ARCHIVES
NEW ZEALAND