

Archives New Zealand Information Management Maturity Assessment

User Guide

Purpose

The primary purpose of this Information Management Maturity Assessment (IM Maturity Assessment) is to help public offices and local authorities to assess the strengths and weaknesses of their information management (IM) programmes to determine where improvements are most needed.

A secondary purpose for the IM Maturity Assessment is to provide a consistent framework to support Archives New Zealand 's Audit Programme due to start in the 2020/21 financial year.

Other information-related models

Archives New Zealand acknowledge that there are a variety of excellent information-related maturity models and other guidelines available within New Zealand, each with their own purpose and scope.

Archives New Zealand also acknowledges the work completed by the Public Records Office of Victoria. Their Information Management Maturity Measurement tool (IM3) was used as a starting point for the development of Archives New Zealand's IM Maturity Assessment.

What is the IM Maturity Assessment?

This IM Maturity Assessment is a high-level rating of the maturity of an organisation's IM practice. It is a maturity model or analytical tool that provides a framework to assess a programme or practice based on a set of core principles and standards. The IM Maturity Assessment is based on the requirements outlined in the Public Records Act 2005 and Archives New Zealand's Information and records management standard 16/S1.

An assessment using a maturity model can highlight strengths and weaknesses in an organisation's information management practices and assist the organisation to make decisions about priorities and improvement projects to improve IM maturity. It can also identify areas of risk within an IM programme.

Scope and structure

The IM Maturity Assessment consists of eight categories. Within each category there are one or more topics. The categories are shown below in the left-hand column. The topics for the Governance category are shown in the right-hand column.

Categories

- Governance
- Self-monitoring
- Capability
- Creation
- Management
- Storage
- Access
- Disposal

Topics within Governance Category

- IM Strategy
- IM policy and processes
- Governance arrangements an Executive Sponsor
- IM integration into business processes
- Outsourced functions and collaborative arrangements
- Te Tiriti o Waitangi / Treaty of Waitangi

Each topic area has a question set drawn from the requirements of the Public Records Act 2005, the mandatory Information and records management standard 16/S1 and other instructions and authorities released by the Chief Archivist.

Archives New Zealand expects organisations that assess their maturity at:

- *Beginning or Progressing* require greater focus and priority on the management of information.
- *Managing* are broadly meeting the minimum requirements expected for all organisations covered by the mandatory Standard.
- *Maturing or Optimising* are working towards increased organisation-wide consistency, alignment and effectiveness.
- *Optimising* understand the strategic importance of information to their organisation as well as for accountability and transparency of government.

There are five levels of maturity. Each level builds on the previous level, showing progressive improvement in IM practices. Below are some of the words that have been used to describe IM maturity at each level of the assessment.

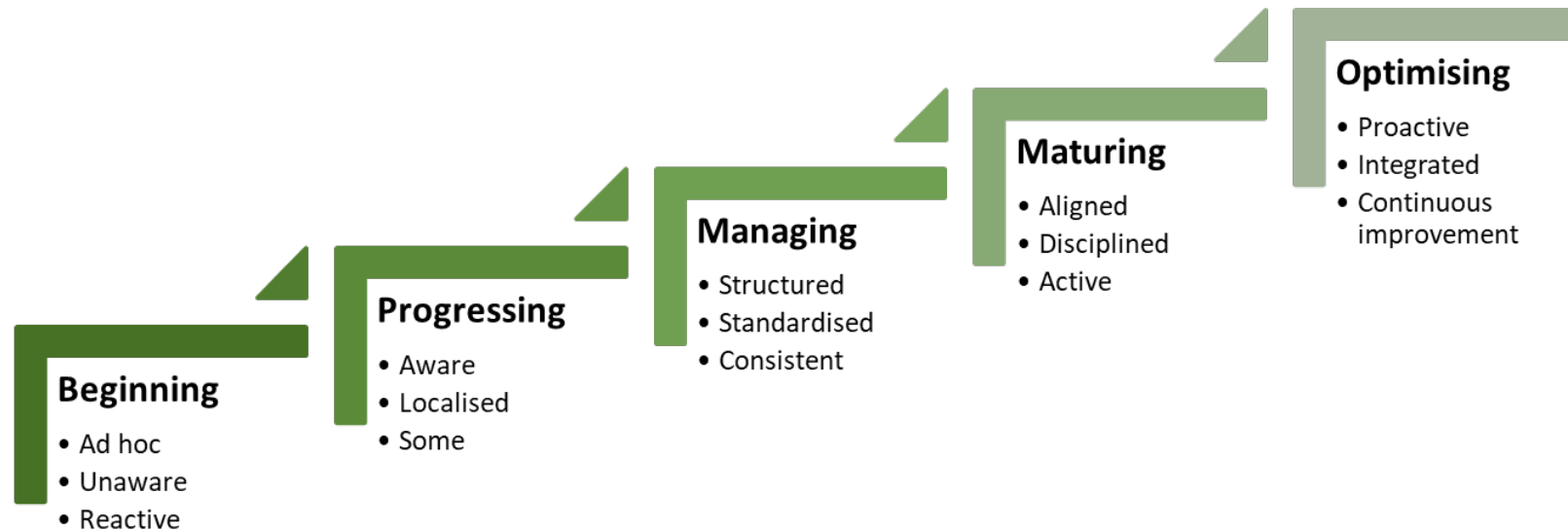


Figure 1: IM Maturity levels

How to do the Assessment

An organisation may use the model to assess information management maturity across an entire organisation. An organisation can also use it to assess a single business unit or department within an organisation.

It is anticipated that the IM Maturity Assessment will most frequently be completed by IM staff or staff with responsibility for IM within an organisation.

Reality is always more complex than any IM Maturity Assessment model provides for. Maturity in different business units may vary and growth in maturity will happen at different speeds across an organisation. The IM Maturity Assessment is a high-level indicator which should apply to most of the organisation.

Below the bulleted statements in the IM Maturity Assessment are two boxes. One allows you to choose a rating for your organisation. The second is a free-text box to document the reasoning why a specific maturity level was chosen. This allows the organisation to add some context to the selection of the chosen level. For example, an organisation may categorise itself at Progressing. The extra narrative can explain why that maturity level was chosen, or why the organisation is very well advanced or not very well advanced in that topic. This context will be useful to understand areas to be worked on or progression over time.

To gain the most benefit from using the IM Maturity Assessment organisations should be realistic about their level of maturity for each topic.

How to choose a level

- Each maturity level builds on the previous level by adding progressive levels of maturity.
- Choose the level that applies to most of the organisation.
- All the descriptions in a level should be broadly applicable across the organisation before progressing to the next level of maturity.
- Generally, if the organisation appears to fall between levels, choose the lower level and explain the current state in the Reasoning box.

Example

For an example of how to choose a maturity level, please see the extract below.

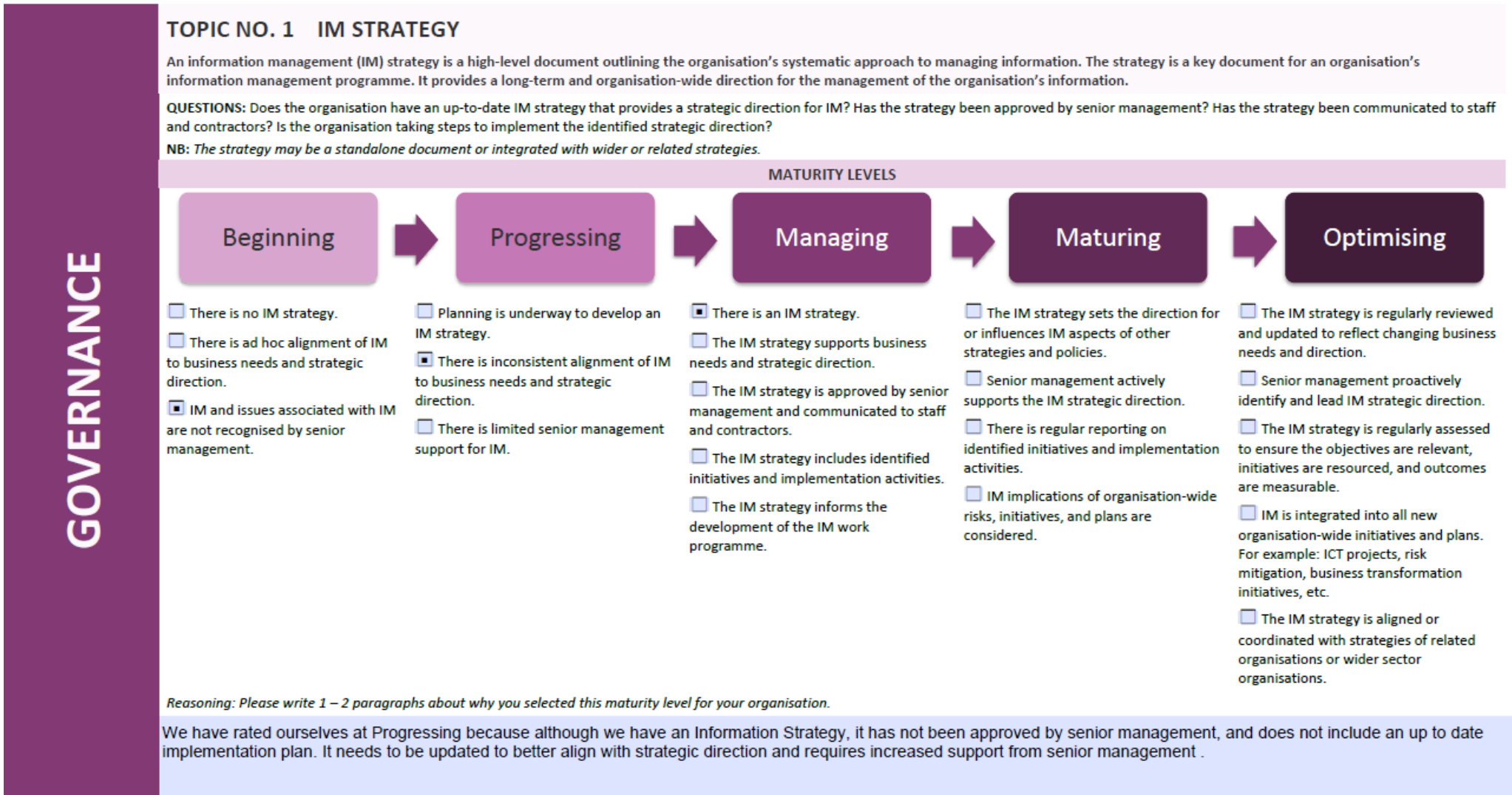


Figure 2: Example of completed maturity assessment