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Survey of Public Sector Information Management 2021

Welcome to the *Survey of Public Sector Information Management 2021*. **Thank you for taking the time to participate.**

The survey is run regularly to maintain a view of how well public sector organisations are performing against the requirements of the Public Records Act 2005, mandatory standards and good practice information management. The survey is structured around question topics that align with Archives New Zealand's *Information Management Maturity Assessment*.

The results from the survey give Archives New Zealand an evidence base for understanding where we need to better support organisations, so the survey ultimately delivers value to participants. We also publish the survey findings and data so that anyone can use and re-use them.

The survey takes 30-40 minutes to complete and needs to be submitted by Friday, 25 June 2021. You may need to work with several people within your organisation to answer the questions, but please submit a single response. If you would like to use a paper form to draft responses before entering them into SurveyMonkey you will find a PDF copy on our website.

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

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

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

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

Profile questions

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

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

[   ]

* 2. What type of organisation is it?

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

◯ State sector

◯ Local government

◯ Other (please specify)

[   ]

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

◯ One office only

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

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

◯ Offices located across more than one country

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

[   ]

Governance arrangements and Executive Sponsors

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 organisations.

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

○ Is dedicated to IM?

○ Has IM oversight as part of its mandate?

○ Neither of the above   **If you selected this option then skip to Question 8**

* 6. Does the formal governance group meet at least twice a year?

◯ Yes

◯ No

◯ Don't know

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

◯ Yes

◯ No

◯ Don't know

IM policy and process

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

* 8. Does your organisation have a documented IM policy?

◯ Yes

◯ No

◯ Don't know

Te Tiriti o Waitangi

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

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

◯ Yes

◯ No   **If you selected this option then skip to Question 12**

◯ Don't hold any   **If you selected this option then skip to Question 12**

◯ Don't know   **If you selected this option then skip to Question 12**

* 10. Does your organisation have criteria or methodologies for assessing this?

◯ No

◯ Don't know

◯ Yes (please specify)

[   ]

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

Tick all that apply

☐ Documented IM implications from TeTiriti o Waitangi agreements

☐ Improved access

☐ Improved discoverability e.g. improved metadata

☐ Improved levels of care

☐ Involved IM staff in negotiating agreements with Māori

☐ Worked with Māori to change IM practices

☐ No action taken

☐ Other (please specify)

[   ]

Self-monitoring

Organisations should monitor all aspects of their information management. Regular monitoring ensures that information is managed efficiently and effectively according to best practice and that this management continues to meet the business needs and legislative requirements of the organisation.

* 12. In the last 12 months, has your 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   **If you selected this option then skip to Question 15**

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

Tick all that apply

☐ Assessment by a third party

☐ Bench-marking exercise

☐ Internal audit

☐ Maturity assessment

☐ Review of processes

☐ Risk assessment

☐ Other (please specify)

☐

* 14. As a result of that self-monitoring, what action is your organisation taking?

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

Tick all that apply

☐ Developing an action plan

☐ Developed an action plan

☐ Implementing an action plan

☐ Implemented an action plan

☐ Deferring action

☐ Other (please specify)

☐

☐ None of these

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.

* 15. How many full-time-equivalent (FTEs) are dedicated IM staff?

*Explanatory note: This question is about dedicated information management staff. It does **not** include staff whose work is focused on:*

- *Geographic information systems*
- *Business intelligence*
- *Data management*
- *Medical records*
- *Business support*

○ None **If you selected this option then skip to Question 17**

○ Number of FTEs (enter numeric value)

* 16. 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)

☐ Attended an IM training course (face-to-face and or/online)

☐ Had an IM-relevant secondment

☐ Presented at an IM conference (or similar event)

☐ Studied towards a recognised IM qualification

☐ None of these

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.

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

Tick all that apply

☐ Staff at all levels

☐ Contractors

☐ Consultants

☐ None of these   **If you selected this option then skip to Question 19**

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

Tick all that apply

☐ Code of Conduct

☐ Contracts

☐ Induction training (face-to-face and/or online)

☐ Job descriptions

☐ Performance development plans/agreements

☐ Refresher training (face-to-face and/or online)

☐ Don't know

☐ Other (please specify)

[   ]

☐ None of the above

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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.

* 19. Has your organisation identified its most important high-value/high-risk information?

⚪ Yes

⚪ In progress

⚪ No

⚪ Don't know

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

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

Tick all that apply

☐ Developed information architecture and/or search tools

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

☐ Implemented back-up capability

☐ Redeveloped systems to improve long-term accessibility of information

☐ Tested its business continuity plan

☐ Don't know

☐ Other (please specify)

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

⚪ Yes

⚪ In development   **If you selected this option then skip to Question 24**

⚪ Work started but deferred   **If you selected this option then skip to Question 24**

⚪ No   **If you selected this option then skip to Question 23**

* 22. Is that register:

☐ Up-to-date?

☐ Being used?

☐ Neither of these

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

◯ Yes

◯ No

◯ Don't know

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.

* 24. In the last 12 months, has your organisation implemented any new business information system(s)?

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

◯ Yes

◯ No   **If you selected this option then skip to Question 26**

◯ Don't know   **If you selected this option then skip to Question 26**

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

   ◯ Yes

   ◯ No

   ◯ Don't know

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

Tick all that apply

☐ Age of business system(s)

☐ IM requirements are not specified in the procurement process

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

☐ IM staff are not consulted enough

☐ Internal staff are not fully aware of the requirements

☐ Not enough management support

☐ Speed of implementation/upgrade

☐ The number of systems in use

☐ Don't know

☐ Other (please specify)

[   ]

☐ None

* 27. Do your organisation's current systems for managing documents and records meet the minimum requirements set in Archives New Zealand's *Minimum Requirements for Metadata*?

○ All systems do

○ Some systems do

○ No systems do

○ Don't know

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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.

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

◯ Yes

◯ No   **If you selected this option then skip to Question 30**

◯ Don't know   **If you selected this option then skip to Question 30**

* 29. 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 your organisation taken for that purpose?

Tick all that apply

☐ Ensured metadata is persistently linked to information

☐ Identified information needing long-term retention

☐ Implemented a digital storage management plan

☐ Migrated information to a long-term digital storage environment

☐ Migrated information to new file formats

☐ Used checksums to monitor integrity of information

☐ Don't know

☐ Other (please specify)

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[                                                    ]
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☐ None of the above

* 30. Does your organisation have any digital information that is inaccessible (i.e. cannot be located, retrieved or used)?

○ Definitely have

○ Possibly have

○ Definitely don't have   **If you selected this option then skip to Question 32**

○ Don't know   **If you selected this option then skip to Question 32**

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

Tick all that apply

☐ Hardware needed to access information no longer available

☐ IM staff unable to access business systems

☐ Information stored in obsolete file format(s)

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

☐ Not enough metadata to easily locate information

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

☐ Software needed to access information no longer available

☐ Storage failure

☐ Other (please specify)

[   ]

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.

* 32. 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

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

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

☐ Decommissioned business information system(s)

☐ Decommissioned website

☐ Established new activity/activities within a function

☐ Established new function(s)

☐ Implemented new service offering(s)

☐ Migrated information between systems

☐ Migrated information to a new storage environment

☐ Undertook business changes in response to COVID-19

☐ Other (please specify)

[   ]

☐ None of these

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

○ In every case

○ In some cases

○ Never

○ Don't know

Appropriate storage arrangements

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

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

Tick all that apply

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

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

Tick all that apply

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

Current organisation-specific disposal authorities

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

* 36. How much of the information held by your 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   **If you selected this option then skip to Question 38**

○ Don't know

* 37. This question is about the information not covered by disposal authorities. When does your organisation plan to start improving coverage?

◯ We are currently appraising our information

◯ In less than 12 months

◯ In the next 1-3 years

◯ In the next 4-5 years

◯ Don't know

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_.

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

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

Tick all that apply

- [ ] Developed a disposal implementation plan
- [ ] Obtained approval to dispose of information from business owners
- [ ] Sentenced information in offsite storage
- [ ] Sentenced unstructured information in business information systems
- [ ] Sentenced unstructured information in shared drives
- [ ] 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)
- [ ] Don't know
- [ ] Other (please specify)

      [   ]

- [ ] None of the above

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

- ( ) Yes
- ( ) No
- ( ) Don't know

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

- ( ) Yes
- ( ) No
- ( ) Don't know

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

Tick all that apply

☐ A lack of confidence that sentencing has been done accurately

☐ Destruction not seen as a priority for staff

☐ Difficulty of sentencing unstructured information repositories

☐ Disposal authorities do not support automated disposal

☐ IM staff unable to access business systems

☐ Not enough resources put towards sentencing activity

☐ Systems not set up to automate regular authorised deletion

☐ The cost of secure destruction/deletion through the storage provider

☐ The difficulty of obtaining approvals

☐ Don't know

☐ Other (please specify)

☐ None of the above

Transfer to Archives New Zealand

Information of archival value, both physical and 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'.

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

○ Yes

○ No   **If you selected this option then skip to Question 44**

○ Don't know   **If you selected this option then skip to Question 44**

* 43. How much of that information over 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

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

Explanatory note: Public offices can transfer to an Archives New Zealand repository or an approved repository. Local authorities can transfer to a local authority archive.

◯ Yes

◯ No   **If you selected this option then skip to Question 46**

◯ Don't know   **If you selected this option then skip to Question 46**

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

◯ Archives NZ's Auckland repository

◯ Archives NZ's Christchurch repository

◯ Archives NZ's Dunedin repository

◯ A local authority archive

◯ Don't know

◯ An approved repository (please specify)

[   ]

* 46. Does your organisation hold physical information that it is ready to transfer to Archives New Zealand's new Wellington repository when it becomes fully operational?

Explanatory note: Archives NZ's Wellington repository is unable to accept transfers at present, but we need to start planning ahead. It is expected that the new Wellington repository will be operational in 2026/27. 'Ready to transfer' means that your organisation has authority to dispose of the information and it has been listed to Archives New Zealand's requirements. If you select 'Yes' to this question we may contact you for further information.

◯ Yes

◯ No

◯ Not applicable (local authorities select this option)

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

◯ Archives New Zealand

◯ A local authority archive

◯ Neither of these

◯ Don't know

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

Tick all that apply

☐ Archives New Zealand's Wellington repository is not taking transfers of physical information

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

☐ Difficulty obtaining approval from senior management

☐ Difficulty understanding Archives New Zealand's processes and requirements

☐ Have no information over 25 years old

☐ Lack of confidence that sentencing has been done accurately

☐ Lack of resources to prepare transfer

☐ Lack of skills in doing physical transfers

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

☐ No local authority archive to transfer to

☐ Not a priority for senior management

☐ Not enough resources put towards sentencing activity

☐ Don't know

☐ Other (please specify)

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IM environment

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

* 49. 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	○	○	○	○	○
Risk management	○	○	○	○	○
Customer service delivery	○	○	○	○	○
Compliance with legislative requirements	○	○	○	○	○
Efficient cost management	○	○	○	○	○
In-house collaboration	○	○	○	○	○
Collaboration with other organisations	○	○	○	○	○

Other (please specify)

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

Please provide an answer for each row

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

Other (please specify)

[   ]

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

○ Yes

○ No   **If you selected this option then skip to Question 53**

○ Don't know   **If you selected this option then skip to Question 53**

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

Tick all that apply

☐ Collaboration tools

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

☐ Inadequate access and use controls for privacy and security

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

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

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

☐ Lack of contextual information to enable discovery and interpretation

☐ Lack of off-site backup

☐ Shadow IT and personal repositories

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

☐ Other (please specify)

[   ]

* 53. In the last 12 months, has your organisation had any requests for official information under the *Official Information Act 1982* or the *Local Government Official Information and Meetings Act 1987*?

◯ Yes

◯ No   **If you selected this option then you can end the survey here**

◯ Don't know   **If you selected this option then you can end the survey here**

* 54. In the last 12 months, has your organisation ever been unable to provide the official information asked for?

◯ Yes

◯ No   **If you selected this option then you can end the survey here**

◯ Don't know   **If you selected this option then you can end the survey here**

* 55. 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 has not been created)?

○ Never

○ Rarely

○ Occasionally

○ Often

○ Don't know

* 56. 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