

From Audit to Action

**ALGIM**

IM Maturity Assessments & Tools That Work

*Annual Conference 2025, Beyond Boundaries*



# EVAN GREENSIDES



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## 15 years IM-Sector Experience

- New Zealand Archives Council Member
- First-Past President, ARANZ
- *Opening the Archives Conference 2024* Co-Convenor
- Trust Board Member, Te Manawa
- Senior Archivist, Archives Central
- Archivist, Palmerston North City Library
- Assistant Curator/Archivist, MTG Hawke's Bay

## Education

- PGDip, Information Studies
  - PGDip, Museum Studies
  - BA, History
-



**Dedicated to Stephen Clarke**

# Presentation Aims

- Feedback from what you, the ALGIM Member, wanted:
  - Presentations that link theory with real-world examples
  - Takeaways that can be used at work tomorrow
  - An educational focus
- How this session connects:
  - Bridging strategy and identification of gaps to execution in council Information Management
  - Templates and examples from completed IM Maturity Assessments

## Rules

- ✓ DO use your device to look up things during this presentation
- ✓ DO share this info with your colleagues
- ✓ And YES, do download this Powerpoint online and leave a comment!  
**Go to: [egconsulting.co.nz](http://egconsulting.co.nz) - > News -> "From Audit to Action Presentation"**

The image features a complex, isometric digital cityscape composed of numerous rectangular blocks and structures. These structures are rendered in a dark blue color with a grid-like texture, suggesting a digital or data environment. The scene is illuminated by various light sources: bright blue glows emanate from several rectangular openings and surfaces, while smaller, scattered red and green lights are visible throughout the scene. Some of these lights appear as thin, elongated streaks, possibly representing data flow or connections. The overall background is a gradient of blue, transitioning from a darker shade on the left to a lighter, cyan shade on the right. In the center of the image, the word "Legislation" is written in a clean, white, sans-serif font. The text is positioned over the central part of the digital cityscape, making it the focal point of the composition.

# Legislation

# What Does the PRA Say?

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## Section 27:

- The Chief Archivist can create standards about public and local authority records - How they're created, kept, appraised for disposal, and public access to them. These can change over time.
- Every standard must say who it applies to and whether following it is mandatory or optional.

## Section 28:

- Covers what information standards must include, such as:
  - Particular records (eg. List of Protected Records)
  - Best-practice to follow (eg. Best practice Guidance on Digital Storage & Preservation)
  - Minimum acceptable standards (eg. Minimum Metadata Requirements for Creation & Disposal)

## Section 29:

- Chief Archivist has the right to inspect the records & archives of public offices and local authorities

## Section 32:

- *As soon as is reasonably practicable after the date that is 5 years from the commencement of this Act, an independent audit of recordkeeping practices must be carried out in every public office.*

# What Does the PRA Say?

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## Section 11 - Section 1, Subsection d, part iv:

*The functions of the Chief Archivist, in achieving the purposes of this Act, are... in relation to local authority records... [are] to monitor, and if necessary report on, the compliance of local authorities with this Act*

- Results visible through the annual [Survey of public sector information management](#) and the [Chief Archivist's annual report on the state of government recordkeeping](#).



## FINDINGS REPORT

Survey of public sector information management 2023/24



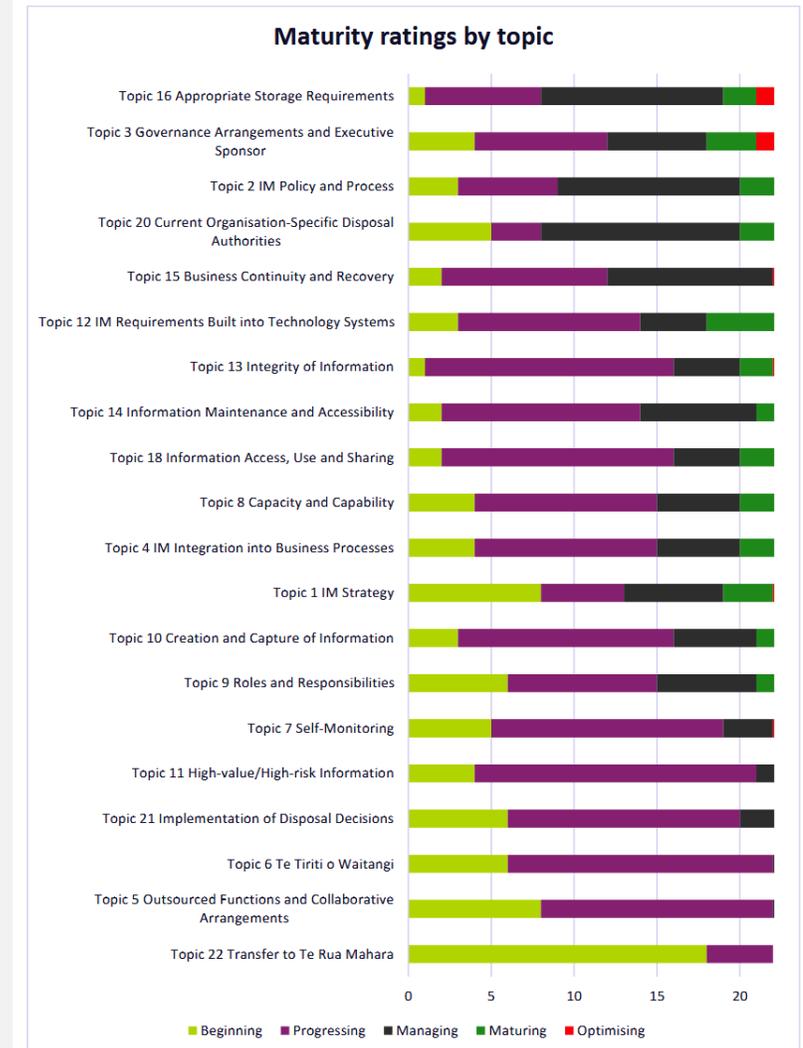
# Performance Check: Trends in the State of Government Recordkeeping

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Question for Topic	2023/24	2021/22	Trend
IM covered by Governance? (Either “Oversight” or “Dedicated”)	70%	61%	↑
High-value/high-risk info identified? (Either “Partial” or Yes)	91%	90%	↑
Have an Information Asset register? (Either “In Development” or Yes)	84%	73%	↑
Carried Out Destruction of Physical Info? (Yes Answer)	69%	50%	↑
Carried Out Destruction of Digital Info? (Yes Answer)	50%	32%	↑

# Good Trends! But...

- Maturity levels are still low - only 7 out of 23 audited public offices were at Managing level (minimum requirement) or higher
- Self-Monitoring (eg. audits) scored 15<sup>th</sup> out of 20 topics
- *More work needs to be done in building IM requirements into new business systems. Only 21% of organisations survey reported that all their systems meet minimum requirements.*



# Recent Developments

- Archives New Zealand will continue to embed the Information Management Maturity Assessment (IMMA) across central and local government
- Provide a clear expectation that a “Managing” level of IM maturity is the minimum standard.
- Archives New Zealand is focused on developing enhancements to the IMMA identified through its use and user feedback
- A new KPI for audits by Archives New Zealand has been added by Government

<i>People trust government records</i>			
Percentage of agencies that meet or exceed managing level on the Information Management Maturity Assessment (see Note 1)	New measure	New measure	At least 20% of new assessments

- [2024-2028 Internal Affairs Strategic Intentions](#)



# Audit

# Archives NZ IM Maturity Assessment – Overview

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## Primary purposes:

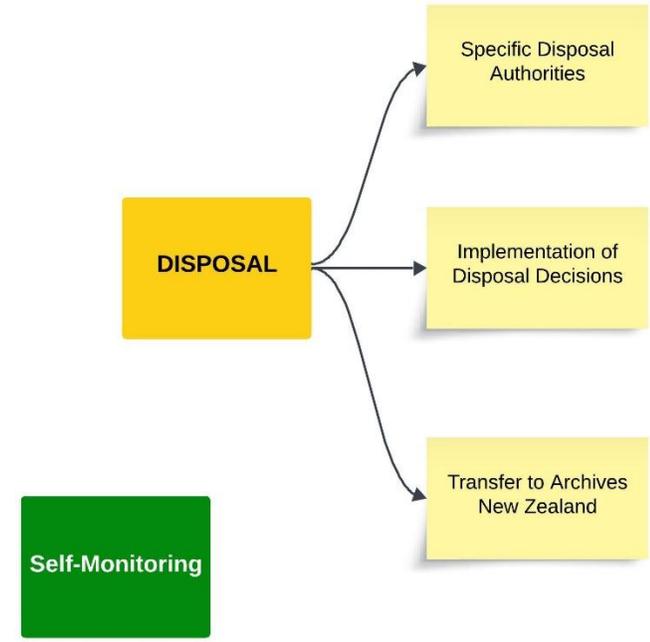
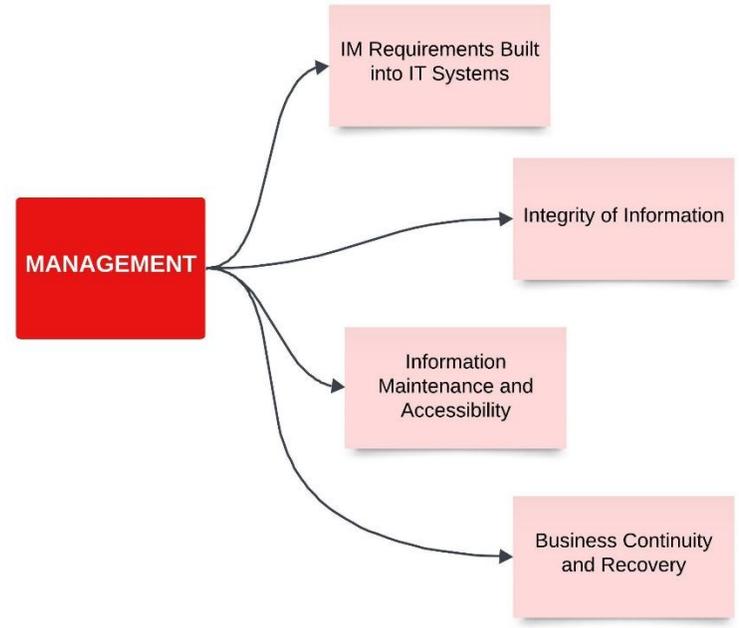
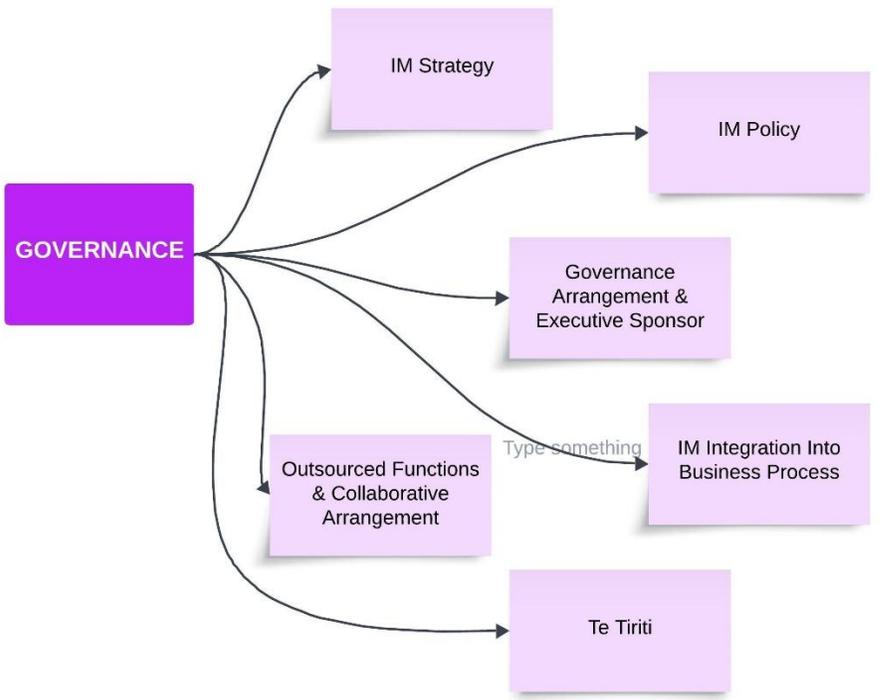
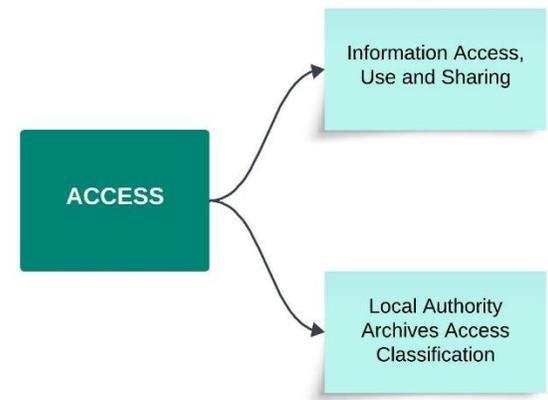
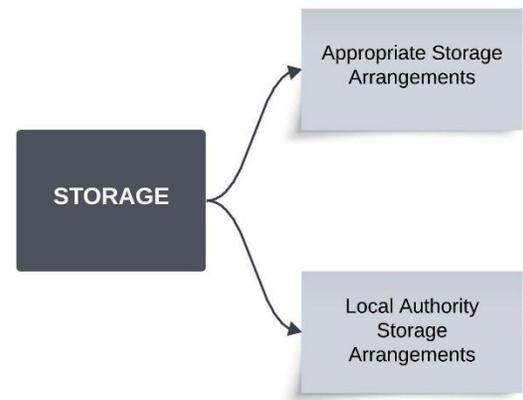
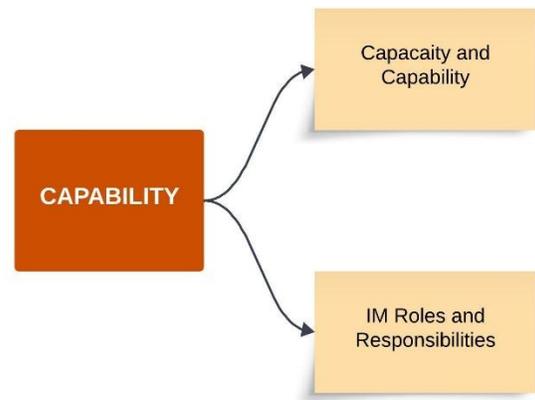
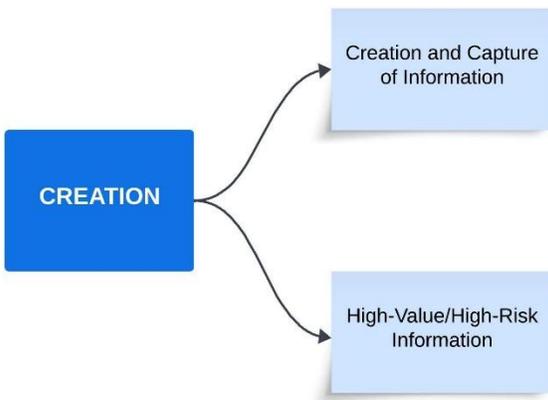
*To help New Zealand public offices and local authorities to self-assess the maturity of their current IM practices and to support the Public Records Act 2005 (PRA) audit programme*

- A high-level rating of an organisations IM practice
- Flexible: Use to assess an entire Council or down to an individual department
- Framework based on the requirements of the PRA and the IRM Standard
- Originally developed in conjunction with Kerri Siataris and adapted from the [Information Management Maturity Measurement \(IM3\)](#) from the Public Record Office of Victoria

# Archives NZ IM Maturity Assessment – Categories & Topics

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- Within each Category are multiple topics - 22 topics all up
- Each topic has a question set drawn from the requirements of the Act, the Standard and other instructions and authorities issued by the CA
- Topic 22: *Transfer to Archives New Zealand* does not apply to councils



# Archives NZ IM Maturity Assessment – Scoring

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- **Beginning or Progressing**  
*Council requires greater focus and priority on the management of information*
- **Managing**  
*Council is broadly meeting the minimum requirements*
- **Maturing**  
*Council is working towards increased organisation-wide consistency, alignment and effectiveness*
- **Optimising**  
*Council understands the strategic importance of information, as well as for accountability and transparency of government, and manages it accordingly*

## Topic No. 1 IM Strategy

An information management (IM) strategy is a high-level document outlining the organisation's systematic approach to managing information.<sup>1</sup> 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	
<input type="checkbox"/> There is no IM strategy. <input type="checkbox"/> There is ad hoc alignment of IM to business needs and strategic direction. <input checked="" type="checkbox"/> IM and issues associated with IM are not recognised by senior management.	<input type="checkbox"/> Planning is underway to develop an IM strategy. <input checked="" type="checkbox"/> There is inconsistent alignment of IM to business needs and strategic direction. <input type="checkbox"/> There is limited senior management support for IM.	<input checked="" type="checkbox"/> There is a current organisation-wide IM strategy. <input type="checkbox"/> The IM strategy supports business needs and strategic direction. <input type="checkbox"/> The IM strategy is approved by senior management and communicated and available to relevant staff and contractors. <input type="checkbox"/> The IM strategy includes identified initiatives and implementation activities. <input type="checkbox"/> The IM strategy informs the development of the IM work programme.	<input type="checkbox"/> The IM strategy sets the direction for or influences IM aspects of other strategies and policies. <input type="checkbox"/> Senior management actively support the IM strategic direction. <input type="checkbox"/> There is regular reporting on identified initiatives and implementation activities. <input type="checkbox"/> IM implications of organisation-wide risks, initiatives, and plans are considered.	<input type="checkbox"/> The IM strategy is regularly reviewed and updated to reflect changing business needs and direction. <input type="checkbox"/> Senior management proactively identify and lead IM strategic direction. <input type="checkbox"/> The IM strategy is regularly assessed to ensure the objectives are relevant, initiatives are resourced, and outcomes are measurable. <input type="checkbox"/> IM is integrated into all new organisation-wide initiatives and plans. For example: ICT projects, risk mitigation, business transformation initiatives, etc. <input type="checkbox"/> The IM strategy is aligned or coordinated with strategies of related organisations or wider sector organisations.	
Select your overall maturity level for this topic: <input type="checkbox"/> Beginning <input checked="" type="checkbox"/> Progressing <input type="checkbox"/> Managing <input type="checkbox"/> Maturing <input type="checkbox"/> Optimising					

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

We have rated ourselves at Progressing because although we have an Information Strategy, it has not been approved by senior management, and does not include an up-to-date implementation plan. It needs to be updated to better align with strategic direction and requires increased support from senior management.]

		Maturity Level					
Category	No.	Topic	Beginning	Progressing	Managing	Maturing	Optimising
<b>Governance</b>							
	1	IM Strategy					
	2	IM Policy					
	3	Governance Arrangements and Executive Sponsor					
	4	IM Integration into Business Processes					
	5	Outsourced Functions and Collaborative Arrangements					
	6	Te Tiriti					
<b>Self-Monitoring</b>							
	7	Self-Monitoring					
<b>Capability</b>							
	8	Capacity and Capability					
	9	IM Roles and Responsibilities					
<b>Creation</b>							
	10	Creation and Capture of Information					
	11	High-Value/High-Risk					
<b>Management</b>							
	12	IM Requirements Built into Technology Systems					
	13	Integrity of Information					
	14	Information Maintenance and Accessibility					
	15	Business Continuity and Recovery					
<b>Storage</b>							
	16	Appropriate Storage Arrangements					
	17	Local Authority Storage Arrangements					
<b>Access</b>							
	18	Information Access, Use and Sharing					
	19	Local Authority Archives Access Classification					
<b>Disposal</b>							
	20	Current Organisation-Specific Disposal Authorities					
	21	Implementation of Disposal Decisions					
	22	Transfer to Archives New Zealand					

# Archives NZ IM Maturity Assessment – Assessment Methods

Assessment Method	Primary Strengths
<b>Direct observation (Qualitative &amp; Quantitative)</b>	Evidence of real-world behaviour and practices Captures contextual and environmental factors that affect IM Reveals informal or latent practices not recorded elsewhere Independent of respondents' recall or interpretation
<b>Structured Assessment (Documentation, Reporting, etc.)</b>	Creates an auditable trail of evidence and decisions Supports benchmarking and trend analysis Objective, criteria-based scoring improves consistency
<b>Panel of Experts</b>	Diverse, high-level expertise and sector knowledge Enables rapid synthesis of complex issues and recommendations Builds credibility and stakeholder confidence in findings
<b>Interviews</b>	Elicits deep qualitative insights and contextual detail Enables follow-up questions and clarification in real time Useful for understanding decision-making and accountability
<b>Staff Questionnaires</b>	Scales quickly across large teams and multiple sites Generates quantifiable data for statistical analysis Anonymity options can produce more honest responses

Category	Topic	Documents That Can be Used As Evidence	Organisation Documents in Existence	Gaps in Documentation	Future Documentation Focus	Other Notes
Governance	IM Strategy					
Governance	IM Policy and Processes					
Governance	Governance Arrangements and Executive Sponsor					
Governance	IM Integration into Business Processes					
Governance	Outsourced Functions and Collaborative Arrangements					
Governance	Te Tiriti O Waitangi					
Self	Self-Monitoring					
Capability	Capacity and Capability					
Capability	Roles and Responsibilities					
Creation	Creation and Capture of Information					
Creation	High-Value/High-Risk Information		[No Title]			
Management	IM Requirements Built into Technology Systems					
Management	Integrity of Information					
Management	Information Maintenance and Accessibility					
Management	Business Continuity and Recovery					
Storage	Appropriate Storage Arrangements					
Storage	Local Authority Storage Arrangements for Protected Information and Local Authority Archives					
Access	Information Access, Use and Sharing					
Access	Local authority archives access classification					
Disposal	Current Organisation-Specific Disposal Authorities					
Disposal	Implementation of Disposal Decisions					
Disposal	Transfer to Archives Central					

Topic #	Category	Topic & Questions	Options	Staff Level Question?	Manager Level Question?	Focus on Topic for Staff?	Focus on Topic for Managers?	Focus on Topic for IT?	Notes
1	Governance	IM Strategy							
		Are you aware that the organisation has an Information Management Strategy?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Not sure</li> </ul>	✓					
		Have you read or been introduced to the Information Management Strategy?	<ul style="list-style-type: none"> <li>• Yes, I've read it</li> <li>• I've heard of it, but haven't read it</li> <li>• No, I wasn't aware of it</li> </ul>	✓					
		How clearly do you understand the organisation's overall approach to managing information?	<ul style="list-style-type: none"> <li>• Very clearly</li> <li>• Somewhat clearly</li> <li>• Unclear</li> <li>• Not at all</li> </ul>	✓					
		Has your team or manager ever discussed the IM strategy or how it applies to your role?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Not sure</li> </ul>	✓					
		How well is the IM Strategy integrated into other organisation strategies (e.g., ICT, risk management, customer service)?	<ul style="list-style-type: none"> <li>• Fully integrated</li> <li>• Somewhat integrated</li> <li>• Poorly integrated</li> <li>• Not sure/don't know</li> </ul>		✓				
		Is the IM Strategy used to inform planning, decision-making or investment in your business unit or area of responsibility?	<ul style="list-style-type: none"> <li>• Yes, actively</li> <li>• Occasionally</li> <li>• No</li> <li>• Not sure/don't know</li> </ul>		✓				
		Are there specific goals or actions from the IM Strategy that are reflected in your area's operational or team plans?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Not sure</li> </ul>		✓				
		In your opinion, how aware are staff of the organisation's IM Strategy?	<ul style="list-style-type: none"> <li>• Very aware</li> <li>• Somewhat aware</li> <li>• Not aware</li> <li>• Not sure</li> </ul>		✓				
		How confident are you that teams across the organisation are working in alignment with the IM Strategy?	<ul style="list-style-type: none"> <li>• Very confident</li> <li>• Somewhat confident</li> <li>• Not confident</li> <li>• Not sure</li> </ul>		✓				
		Have you seen tangible improvements in information management practices since the IM Strategy was implemented?	<ul style="list-style-type: none"> <li>• Yes, significant improvements</li> <li>• Yes, minor improvements</li> <li>• No noticeable improvements</li> <li>• Too soon to tell yet</li> </ul>		✓				
		What support or resources would help ensure the IM Strategy is more fully implemented across the organisation?	Open text		✓				

Question #	Topic	Question
<b>Strategic Leadership and Vision</b>		
1		<p>How do you champion information and records management at the leadership level, ensuring it is seen as an “an integral part of business operating effectively”? How do you align IM initiatives with the organisation’s strategic objectives and priorities?</p> <p><i>Archives NZ notes that effective information flows can improve decision-making, innovation and transparency.</i></p>
2		<p>What IM initiatives would you prioritise to leverage the Council's information assets for better outcomes, and how do you envision evolving the Executive Sponsor role in the coming years to meet emerging challenges (e.g. digital transformation, AI, data growth)?</p>
<b>Governance, Oversight, and Resources</b>		
3		<p>What governance structures or committees will you establish to provide clear oversight and accountability for information management? How will you ensure IM responsibilities are explicitly included in our policies and executive performance plans as Archives NZ requires?</p> <p><i>Archives NZ states that the Executive Sponsor must oversee the IM budget and ensure necessary resources are secured.</i></p>
4		<p>How do you secure and manage funding, technology, and skilled staff needed to implement the Council's information management strategy effectively?</p>
<b>Legal Compliance and Risk Management</b>		
5		<p>How do you ensure the Council's information management practices comply with the Public Records Act 2005 and other relevant legislation (e.g. the Local Government Act 2002, which places recordkeeping responsibility on the Chief Executive)?</p>
6		<p>What approach do you take to identify, assess, and mitigate risks to information assets, especially high-value or high-risk records, as recommended by the Archives NZ standard? How do you integrate information risk management into the organisation’s overall risk framework and planning?</p>

# Other IM Maturity Assessments

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- **Public Record Office Victoria:** [IM3 \(Information Management Maturity Measurement\)](#)  
Questionnaire and guidance used by Victorian agencies to benchmark IM and produce an agency maturity profile
- **Australian Government, Department of Finance:** [Data Maturity Assessment Tool](#)  
Lifecycle data-maturity instrument for agencies to assess data capability and plan improvements
- **NSW Information & Privacy:** [Information Governance Self-Assessment Tools](#)  
Maturity matrix and survey tools aimed at improving privacy, governance and IM practices in agencies
- **CMMI Institute:** [DMM \(Data Management Maturity\)](#)  
A detailed, process-oriented data management maturity model (25+ process areas) used across sectors to benchmark enterprise data practices.
- **ARMA:** [Generally Accepted Recordkeeping Principles \(The Principles\)](#)  
Records/principles-based maturity model describing five levels of recordkeeping effectiveness

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Action

# Turning Gaps into Solutions

- **Reduces Risk and Protects the Council:** finding gaps exposes legal, privacy, security and operational vulnerabilities so you can close them
- **Prioritises Investment:** audits direct limited resources to the changes that deliver the best ROI; links IM improvements to business outcomes
- **Unlock better decisions and services:** improves information quality, discoverability and governance

B Title	C Category	D IM Maturity Assessment Score	E Comments	F Action Points	G Archives NZ supporting document to achieve	H Projected outcomes from actions	I Primary Owner	J Secondary Owner
IM Strategy	Governance	Managing	<p><b>1. Working IM Strategy:</b> An overall Digital Strategy is currently under development and being reviewed. The Strategy incorporates Cybersecurity, Compliance, Digital Capability, Data &amp; Information Management. Digital Engagement and GIS. Includes input from senior management, including IS, GIS and IT. The Strategy incorporates key projects long-term (IM Strategy workshop, etc) and general user feedback with prioritised issues. The previous 2021-22 IM Strategy was a single doc incorporating Design, Digital, GIS, Land Information and Records.</p> <p><b>2. Senior Management Support:</b> GM Frances is Executive Sponsor and Privacy Officer and actively champions IM across the sector.</p> <p><b>3. Initiatives, Implementation, Reporting:</b> The Digital Strategy identifies a wide range of initiatives and implementation activities over a 3-year term across the entire organisation. The Digital Strategy Programme of Work links different workflows and how individual initiatives can benefit teams outside of those that have been tasked with their development and use.</p> <p><b>4. Strategy Informs IM Work Programme:</b> The current IM work programme is included in the IM Strategy. There is particular strength around staff training and upskilling.</p>	<p>1. Digital Strategy has been reviewed and comments made by contractor, but is still in draft format. Suggests further edits and filling in content before sign-off.</p> <p>2. Include a reporting schedule section within the Digital Strategy for initiatives and activities.</p>	<p><a href="#">Information and Records Management Strategy</a></p>	<p>The Digital Strategy is fit for purpose and guides the organisation in making IM best-practice decisions. Other organisation strategies and policies are linked and are influenced by the Digital Strategy. Regular reporting takes place and senior management are proactive in implementation of initiatives.</p> <p><b>Score movement once action completed: Maturing</b></p>	Digital Governance Group	

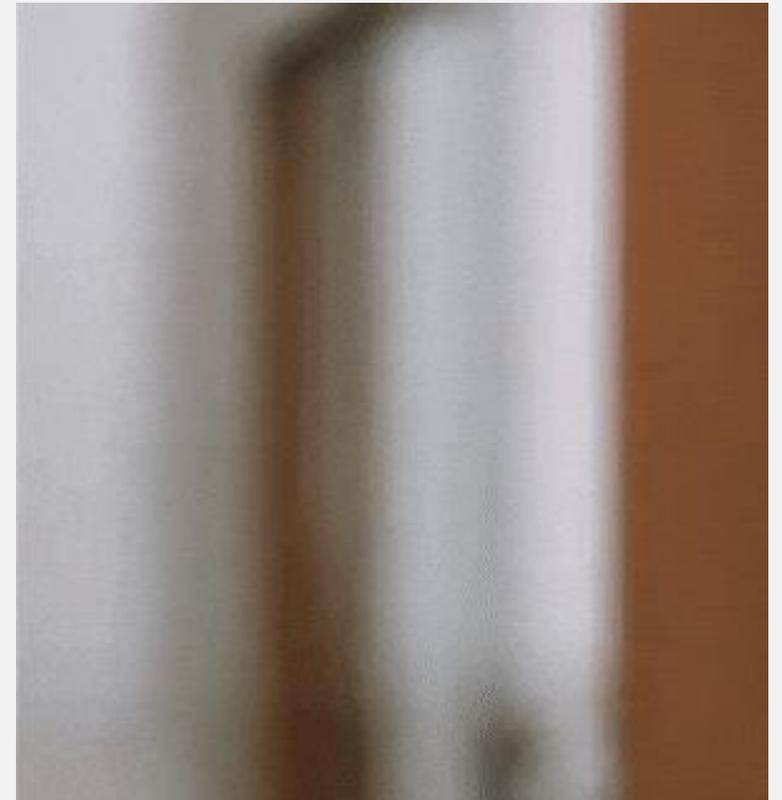
# Building a Roadmap

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- **Essential components:** Problem statement; scope & objectives; benefit analysis; cost estimates & resourcing; risks & mitigations; success metrics/KPIs; timeline & milestones, etc.
- Differentiate between:
  - **Quick wins (3–12 months):** Low-effort, high-visibility fixes that reduce pain and generate metrics
  - **Transformative initiatives (2–5 years):** Organisation-wide projects with formal governance
- **Sequencing rule:** Deliver 2 or 3 quick wins as proof-of-concept and add value, then use these results to build the business case for transformative work.
- **Gating criteria:** Executive Sponsor involvement, list benefits, pilot results, create a risk profile and confirm resourcing before moving to long-term stage.

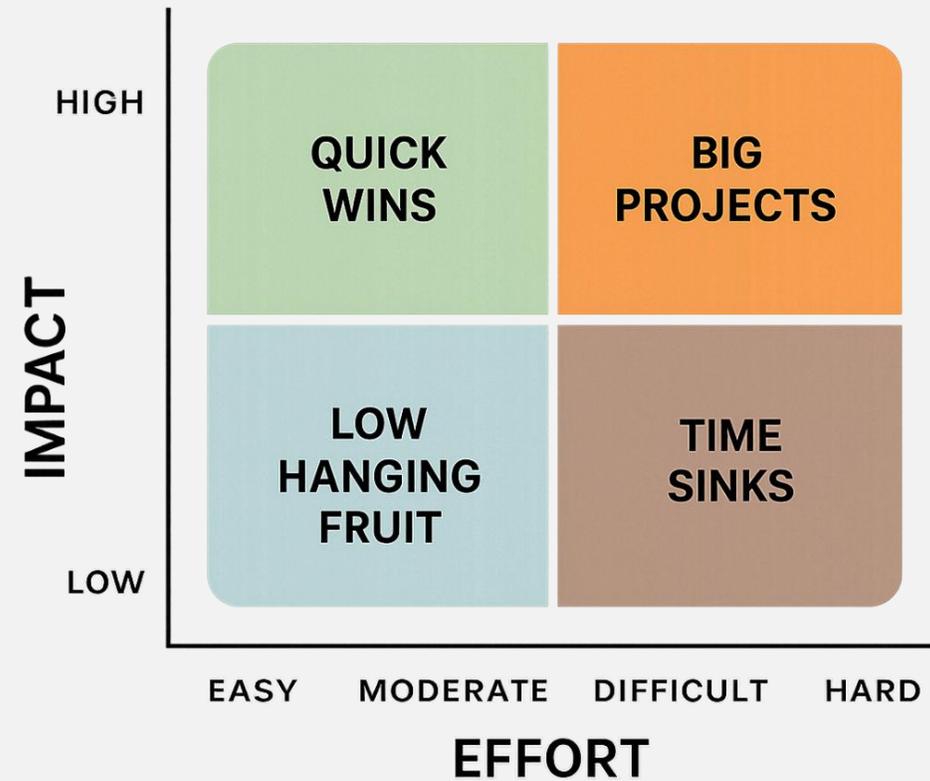
# Tracking Progress with Measurable KPIs

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- **Link KPIs directly to recommendations:** capability/capacity upgrades, metadata schema, access controls, R&D projects, etc.
  - **Use [SMART indicators](#):** ensure each KPI is Specific, Measurable, Achievable, Relevant, and Time-bound to make progress visible and actionable. Don't forget to assign owners too!
  - **Align with council objectives:** Tie IM improvements to LTP outcomes
  - **Track adoption and behavioural change:** Monitor system usage, training completion rates, and staff compliance to policies
  - **Report progress consistently:** Utilise existing/create new analytics, use a dashboard and report to your governance group regularly



# Impact vs Effort Matrix

- [Law of Diminishing Returns](#) applies!
- Get into a rhythm by focusing on low scoring topics and projects requiring low effort to get a win
- Getting into the [Virtuous Cycle](#): Quick wins + visible progress = Optimism to take on more projects
- Prioritise projects that lead directly to other recommendations (ie. IM Strategy -> IM Policy -> SOPs)



# Prioritising Quick Wins & High-Impact Projects

Category	Quick Wins	Transformative Initiatives
<b>Timeframe &amp; Effort</b>	Low effort, days to weeks	High effort, months to years
<b>Scope &amp; Impact</b>	Local fixes with immediate benefits seen	Organisation-wide change with systemic, long-term impacts
<b>Risk &amp; Governance</b>	Low risk, light governance touch	High-risk, formal programme controls, exec sponsorship
<b>Why &amp; When</b>	Build credibility, measure value, reduce pain points quickly	Embed capability, realise strategic benefits

# Securing Buy-In

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- The “Why” – critical to get it right
- Map out stakeholders and tailor your plan and story to tell accordingly
- Design target engagement strategies
  - One-on-one briefings with decision-makers
  - Working sessions with teams
  - Drop-in clinics for individual staff
- Know your audience and speak their language!
- Identify potential IM Champions and give them tools to succeed
- Consistent communication is key – follow-up on enquiries and celebrate those wins

# Deliver + Sustain

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- **Align Roadmap to Council's Long-Term Plan:** map out each project to LTP outcomes and create a story of how IM is making life easier/more efficient
- **Quick Wins Tracker:** A single-source of truth
- **Dashboard:** A storytelling tool
- **Set cadence for reporting to Governance Group:**
  - Weekly/fortnightly ops for tracker updates
  - Monthly performance report to programme sponsor
  - Quarterly scorecard to exec/finance for budget decisions and LTP reporting
- **Define thresholds for project escalations** (eg missed milestones, budget overrun, etc.)
- **Continuously train & upskill Council staff**



ID	Title	Owner	Priority (impact/effort)	Status	Start Date	End Date	Measured Benefit	Dependencies?	Next Action	Notes
1	Create a governance group terms of reference (short-term)	Records & IM Manager	High impact / Easy effort	In Progress	Month 0	Month 2	Governance group established; decisions made within target SLA; % of IM decisions escalated resolved	Executive sponsor, availability of senior representatives	Draft TOR and circulate to proposed members for feedback	Use standard TOR template; include clear decision rights and meeting cadence
2	Update tags and classification terms in M365 (long-term)	IT & Taxonomy Lead (IM)	High impact / Difficult effort	Planned	Month 3	Month 18	% records correctly tagged; search success rate; reduction in duplicate content	Metadata audit, stakeholder workshops, IT configuration windows, governance sign-off	Run metadata inventory and stakeholder requirements workshops	Consider phased rollout by service area; align taxonomy with business terms
3	Conduct Retention & Disposal on physical records (Short-term)	Archives Officer / Records Team	Medium impact / Moderate effort	Planned	Month 6	Month 12	Linear metres assessed; % records with disposal authority; estimated storage cost avoided	Access to physical stores, SME input, approved retention schedules	Triage top-priority boxes and apply R&D decisions for immediate disposals	Prioritise high-volume, low-value collections to realise storage savings quickly
4	Adopt standardised file naming conventions (short-term)	Service Managers + IM Lead	High impact / Easy effort	In Progress	Month 0	Month 3	% files compliant with naming standard; reduction in time-to-find (mins); user satisfaction	Templates, training sessions, baseline file audit	Publish naming standard and run 30-minute team workshops	Create simple cheat-sheet and automate validation where possible (Power Automate)
5	Create an Information Asset Register and Business Systems Catalogue (Long-term)	IM Programme Lead	High impact / Hard effort	Planned	Month 18	Month 24	% assets catalogued; number of systems with owners assigned; reduced time to fulfil data access requests	Service engagement, IT inventories, data owners' cooperation, tool selection/funding	Initiate discovery workshops and select catalogue tool / template	Aim for iterative delivery (by directorate) and link entries to LTP activities where applicable

# Dashboard

75%

Adoption Rate



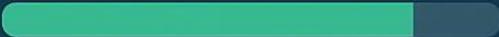
% Complete

850

Time Saved

3

Number of Escalated Risks/Incidents



Trend

Key KPIs

-  On Track
-  At Risk
-  Off Track

# Implementation – Manawatu District Council

- 
- Education plan enacted which includes:
    - Onboarding & ongoing training programme
    - Training on naming conventions & metadata
    - Drop in sessions, videos, Sharepoint page, factsheets, all-staff meetings Leadership forum, etc.
  - Framework for Governance Group created
  - Pulled through audit recommendations into Digital Strategy
  - Presenting to ELT and how Digital Governance ties in
  - Created an interactive app to show programme of work on timeline + details of each project
  - Tagging digital documents
  - Conducted other audits (Privacy, Compliance & Microsoft 365)



# MDC Digital Strategy Dashboard

Search

- Cybersecurity & Compliance
- SAM Compliance**
- Data & Information Management
  - Information Management Maturity Assessment
  - Update Retention and Disposal Schedule
  - Automated Retention & Disposal
  - Digital Information Asset Register (DIAR)
  - Data Classification

## Data & Information Management

<b>Project</b>	<b>Purpose</b>
EDRMS Remediation/Enhancement	
<b>Priority</b>	
<b>Project Description</b>	
<p>Remediating EDRMS issues is essential for improving usability, collaboration, and efficiency. Staff frustrations include cumbersome document handling, requiring downloads before uploading or viewing attachments, poor search functionality due to lack of naming convention and governance, and glitchy version control, leading to lost document versions. Permissions are too restrictive, preventing staff from inviting colleagues to their sites. Mobile usability is poor, and legacy SharePoint migrations resulted in duplicate libraries. Metadata tagging is difficult, and emailing PDFs directly from SharePoint is inconsistent. Possible add on solutions should include Enterprise Search, AI-powered search and metadata tagging, mobile optimisation, permission reconfiguration, and deduplication of data/information. Standardised file naming convention and automated metadata extraction will improve classification and retrieval. By modernising document workflows, collaboration, and metadata management, EDRMS will become efficient, user-friendly, and compliant, ensuring staff can easily find and manage documents.</p>	
<b>Scope of Work</b>	
<b>Current State</b>	<b>Future State</b>
User frustration, access issues	Improved workflows, search, permissions, and mob
<b>Benefits</b>	<b>Measurement of Benefits</b>
Improved access, reduced storage costs, and better compliance with PPA	IM Maturity Assessment uplift (e.g. Beginning → Managing)

## MDC Digital Strategy Dashboard

- Search
- Digital Transformation
  - Digital Transformation
    - Form Digitization
  - Digital Transformation
    - Process Optimisation and Automation**
  - Digital Transformation
    - Disaster Recovery as a Service (DRaaS)
  - Digital Transformation
    - Implement ITAM (IT asset management)
  - GIS Programme
    - National Planning Standards Map Update
  - GIS Programme
    - Housing Capacity Model (v.2)

### Digital Transformation

<b>Project</b>	<b>Purpose</b>
Process Optimisation and Automation	To improve customer experience by streamlining/re
<b>Priority</b>	
<b>Project Description</b>	Automation improves process efficiency by streamlining manual tasks within each step of a workflow, reducing bottlenecks, and integrating systems for seamless operations. It eliminates repetitive tasks, enhances accuracy, and accelerates service delivery through automated approvals, notifications, and data sharing, while improving compliance, accountability, and user experience. This transformation reduces costs, frees up staff for higher-value work, and enhances customer service, making council operations more agile, efficient, and digitally driven. Automation improves compliance with audit trails and regulatory controls while enabling data-driven decision-making through real-time cost of services and customer satisfaction insights.
<b>Scope of Work</b>	Regular workshops with the business units to identify workarounds and opportunities for automation and modernization of existing 300 processes.
<b>Current State</b>	<b>Future State</b>
Inefficient workflows	Automated and optimised workflows improving sp
<b>Benefits</b>	<b>Measurement of Benefits</b>
Faster service delivery, cost savings, reduced manual errors	Turnaround time reductions; end-to-end average processing time

## PHYSICAL RECORDS

Close, Transfer  
Preserve



## DEFENDING DIGITAL

Mitigate Risk,  
Maximize Value



## A BORN-DIGITAL FUTURE

Digital First,  
Digital Smart



# Implementation – Horizons Regional Council

Improvements seen include:

- Policies and processes are now scored at Maturing/Optimising levels
- Management buy-in to IM has increased; Champions for IM across Council
- Governance arrangements
  - Change advisory board created to incorporate IM advice with new platforms + databases
  - Dedicated IM governance group setup
- Rules and reports for self-monitoring
- Naming conventions and R&D labels consistently applied
- Follow-up R&D has reduced 5x separate physical storage areas to just 1x
- Teams starting to come to IM for advice
- Reassessment using IMMA in 2026

Category	No.	Topic	Maturity Level				
			Beginning	Progressing	Managing	Maturing	Optimising
<b>Governance</b>							
	1	IM Strategy			•		
	2	IM Policy		→			
	3	Governance Arrangements and Executive Sponsor		→			
	4	IM Integration into Business Processes	←	→			
	5	Outsourced Functions and Collaborative Arrangements	←	→			
	6	Te Tiriti		→			
<b>Self-Monitoring</b>							
	7	Self-Monitoring	←	→			
<b>Capability</b>							
	8	Capacity and Capability		→			
	9	IM Roles and Responsibilities		→			
<b>Creation</b>							
	10	Creation and Capture of Information	←	→			

# Leveraging Archives NZ & International Best Practice

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- Archives New Zealand has amazing guidance:
  - [A-Z List of Guidance](#)
    - [Monitoring & Audit](#)
      - [Information Management Maturity Assessment Framework](#)
- Linked International Organization for Standardization (ISO) frameworks:
  - **ISO/IEC 33000 series:** Covers process assessment and maturity models
  - **ISO 27004 series:** Focuses on measurement and evaluation of Information Security Management performance
  - **ISO/IEC 38500:** Oversight, accountability and corporate governance of IT
- Don't be afraid to look to overseas practitioners for assistance:
  - National Archives of Australia: [Check-up Survey](#), [Information Management Policies](#), and [Information Management Standards](#)
  - Archives Canada: [Audits and evaluations](#)
- If you are completely stumped, ask a (really knowledgeable) Archivist! ([rkadvice@dia.govt.nz](mailto:rkadvice@dia.govt.nz))

# Why Undertake an IMMA?

- 
- ✓ Establish a clear baseline of current information and records capabilities across your Council
  - ✓ Identify capability gaps, risks and compliance shortfalls
  - ✓ Prioritise investments and allocate limited IM resources
  - ✓ Create a practical, sequenced roadmap of short-term wins and longer-term capability builds
  - ✓ Drive governance, accountability and stakeholder engagement by making responsibilities and outcomes explicit
  - ✓ Inform change programmes with evidence-based requirements.
  - ✓ Encourage a culture shift toward treating information as an asset—improving decision-making, service delivery and organisational resilience.



**Retention and Disposal:  
because even the Chief  
Archivist can't archive  
*everything*... including  
your excuses.**

# Thank you!



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