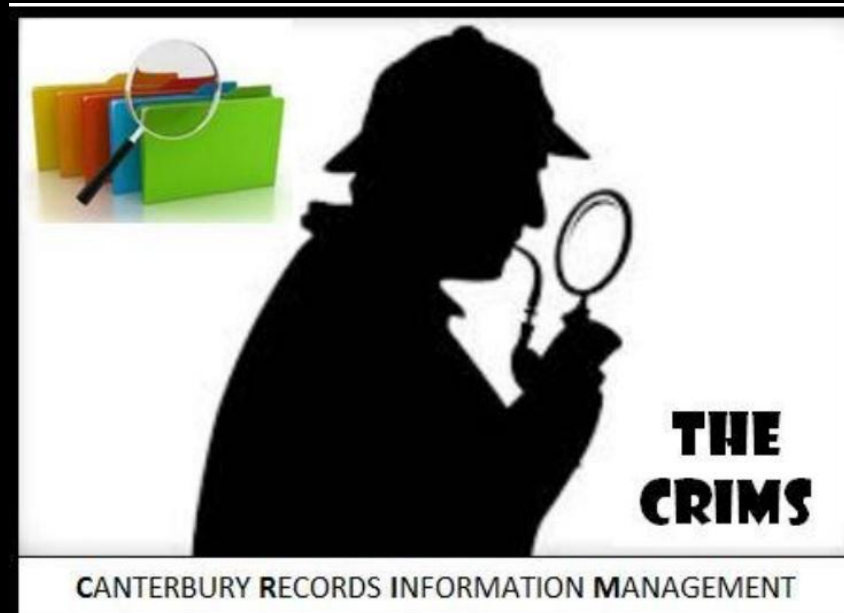


We Have a Framework for That!



Turning Governance and IM Maturity Assessments into Value

Presentation to CRIMs – April 2026



EVAN GREENSIDES



15 years IM-Sector Experience

- New Zealand Archives Council Member
- First-Past President, ARANZ
- ARANZ 2024 & 2026 Conferences 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
-

Abstract

This presentation aims to demystify information governance and IM maturity assessments, outlining what they are, how the full audit process works, and how we can add value to the Archives New Zealand Information Management Framework. It examines how external reviews add value beyond compliance by identifying risk, clarifying accountability, and prioritising improvements that are achievable within constrained time and resourcing. Attendees will gain practical tools and approaches to sustain momentum after an audit, embed governance into business-as-usual operations, and build organisational buy-in.

Because a framework on the shelf is not governance, it is just very tidy optimism...

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 and leave a comment!

Go to: egconsulting.co.nz - > News

A photograph of a library with wooden bookshelves filled with books. A metal ladder is positioned in the foreground, leaning against the shelves. The word "Governance" is overlaid in white text in the center of the image.

Governance

Defining Governance

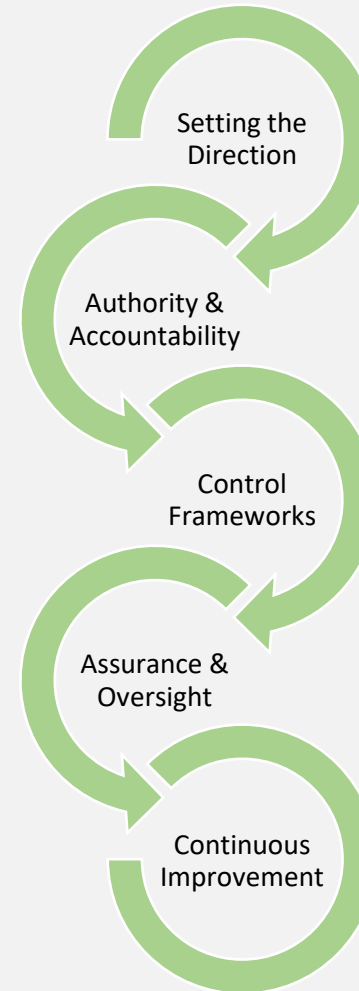
How decisions about information are made, enforced, monitored, and improved.

Governance is **not** the work.

Governance controls the resources and management that enable the work.

Governance asks of a Council:

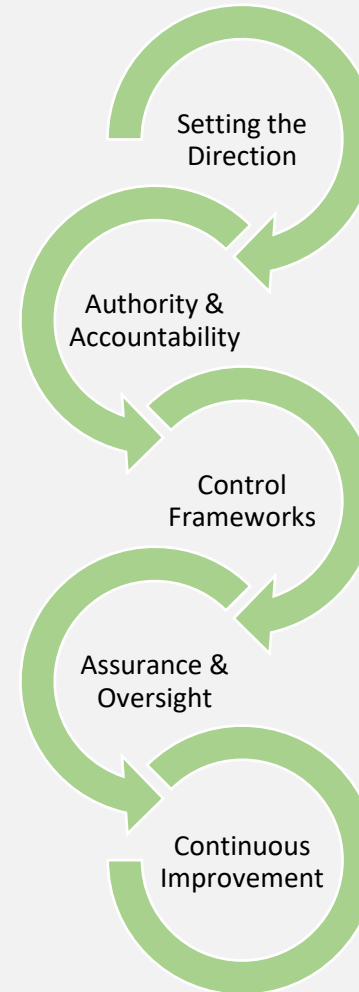
- Who is accountable?
- What are the rules?
- What risk is acceptable?
- How do we mitigate risk?
- How do we know it's working?
- What happens when things fails?
- What monitoring is in place?



Good Governance Matters

Effective governance helps councils to:

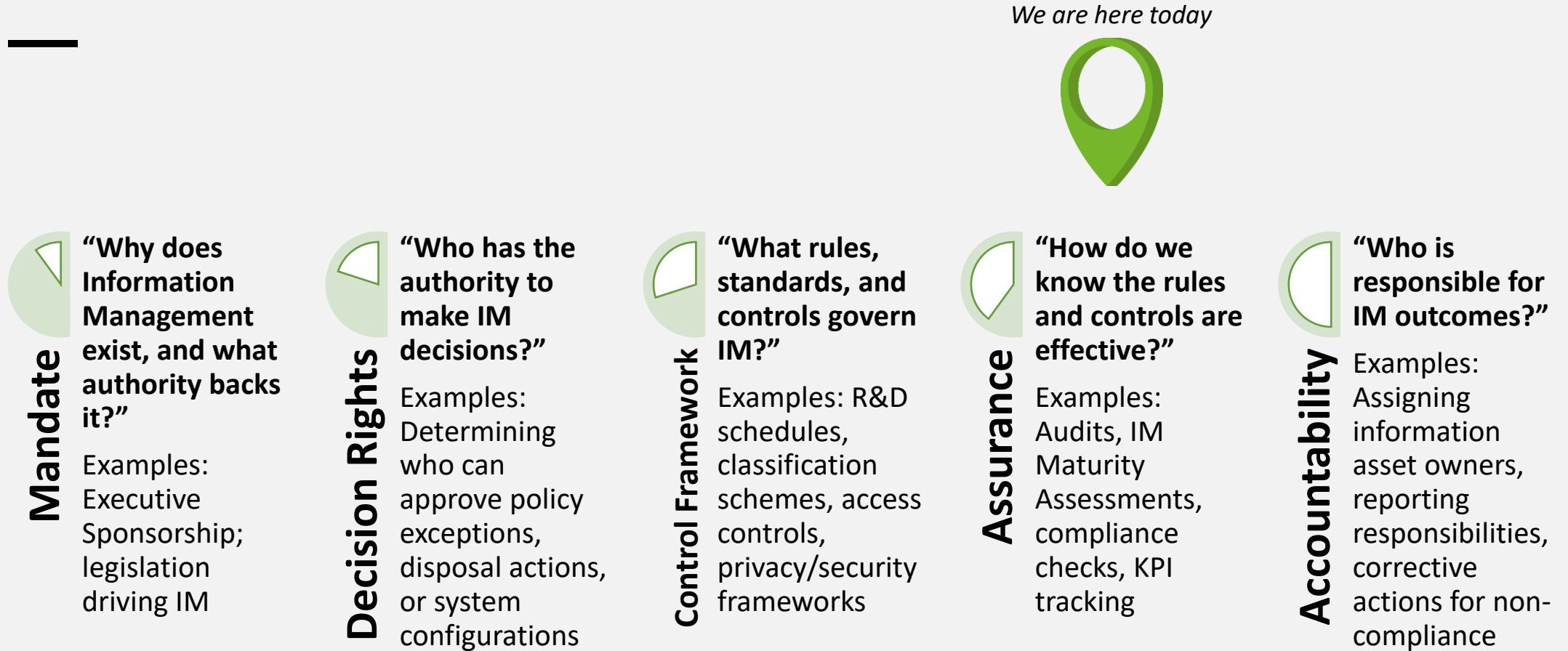
- provide a foundation for long-term sustainability
- foster good decision-making that is in their best interests
- systematically manage business and legislative risks
- ensure that activities comply with legal, ethical, and professional requirements



Defining Layers

Layer	Defining Questions
Governance	"Am I defining authority, risk tolerance and/or control requirements?" "Does the Council require a formally approved process? Who authorises it?"
Management	"Am I organising how the task is done across teams?" "What process should the Council adopt to manage an activity across departments?"
Operations	"Am I completing the task?" "What process do I personally follow to complete this work?"

Information Governance Brackets



Common Governance Misconceptions

Misconception 1: Governance *is* the IM team

Reality: Governance is an organisational control layer, not a team. Think of your Executive Sponsor and/or IM Steering/Advisory Group as examples.

Misconception 2: Policies = Governance

Reality: Partially true; policies without follow-up (eg. enforcement, monitoring, learnings and accountability) are documentation, not governance.

Misconception 3: Training fixes compliance

Reality: Training enables behaviours; governance enforces accountability.



A photograph of a large library with wooden shelves filled with books. A metal ladder is visible in the foreground, leaning against the shelves. The text "Audits & IM Maturity Assessments" is overlaid in white on the image.

Audits & IM Maturity Assessments

Audit



A systematic, independent, and documented process to:

- Examine evidence
- Assess conformity with defined standards, policies, regulations, or objectives.
- Provide assurance to decision-makers about effectiveness, compliance, and risk.

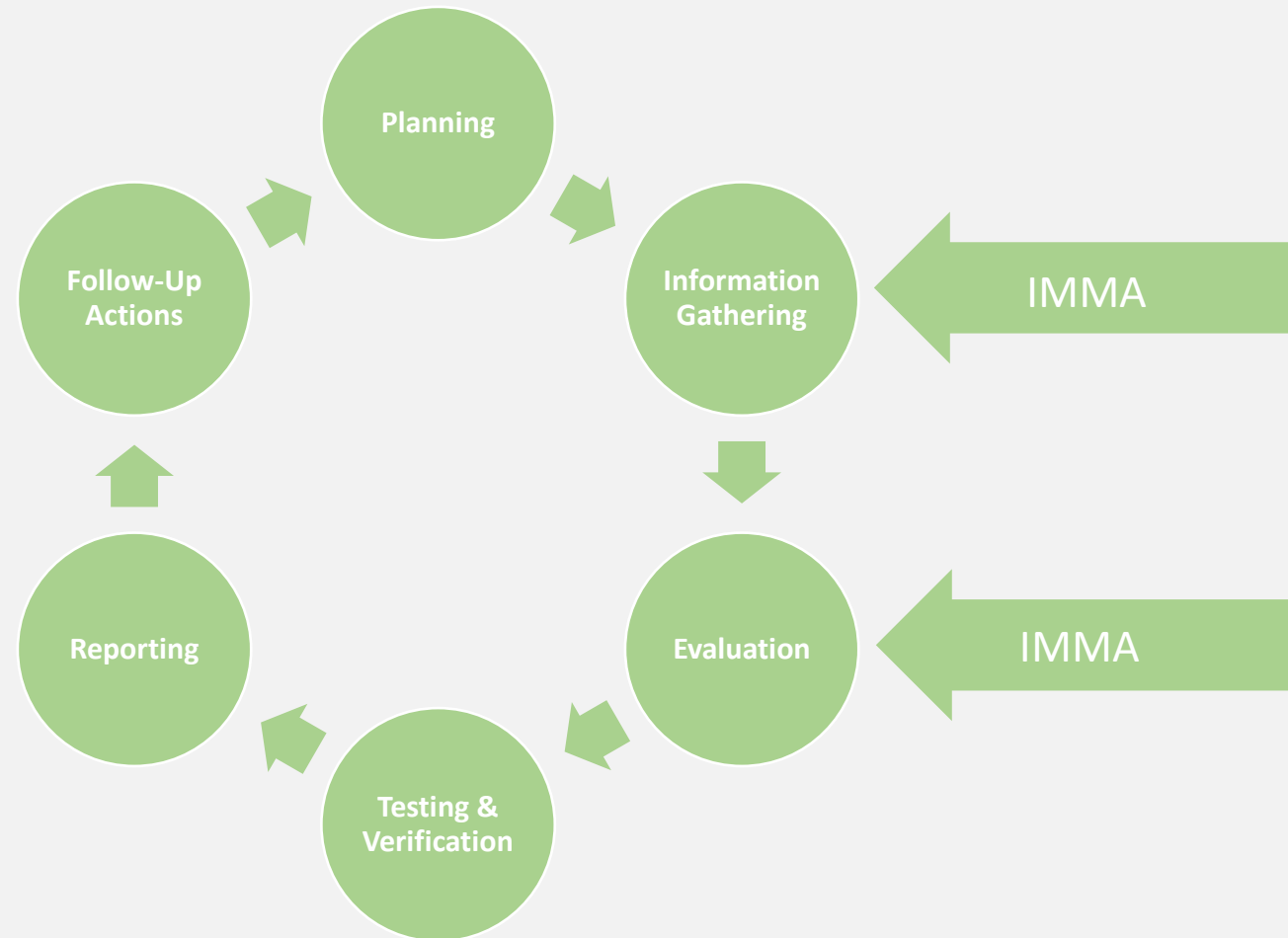
Key characteristics of an audit

- ✓ **Systematic**
- ✓ **Independent**
- ✓ **Evidence-based**
- ✓ **Documented**

Basic Audit Framework



Where does the IMMA fit in to the process?



PRA Provides Authority to Audit

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

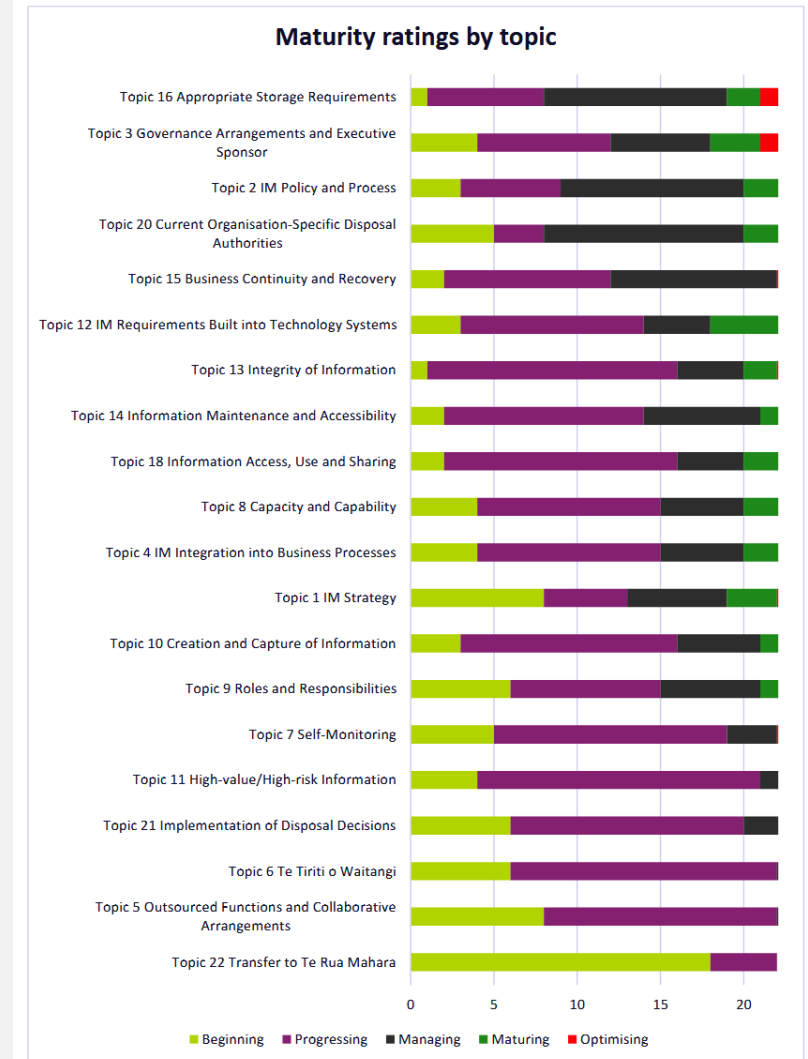


Performance Check: Trends in the State of Government Recordkeeping

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 15th 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.**



Regulatory 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.
- Updated IMMA released in September 2025
- Audit of the Chief Archivist’s office complete - results out soon
- A new audit & regulatory team has been formed at Archives New Zealand to conduct audits in-house
- 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](#)



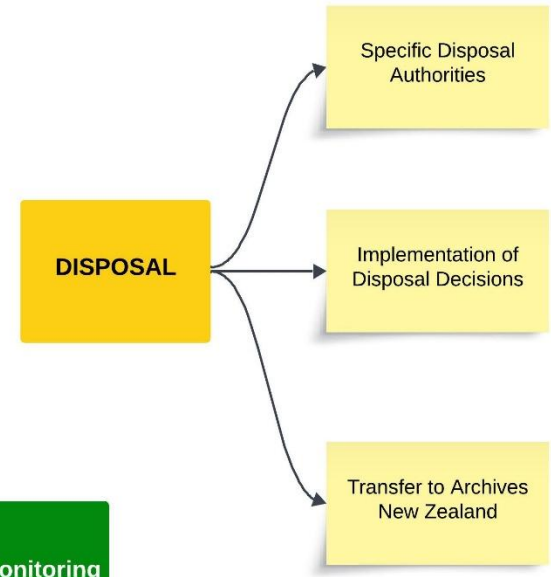
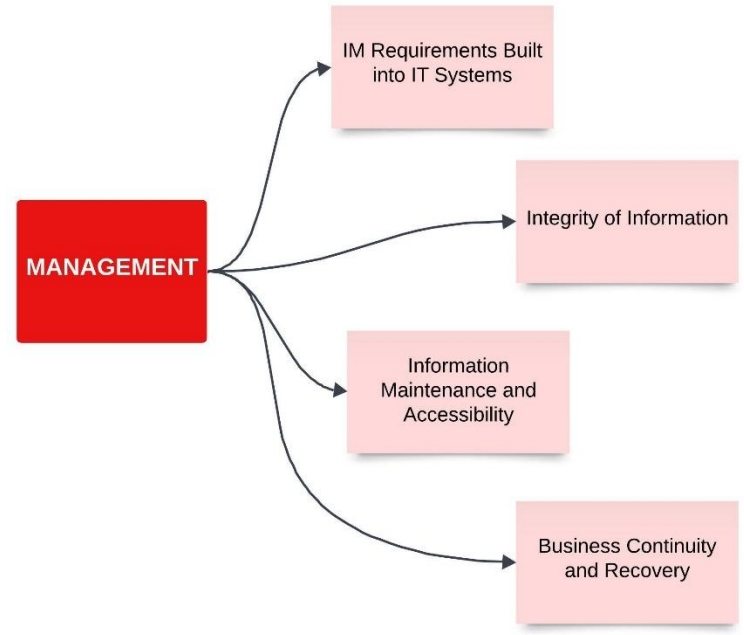
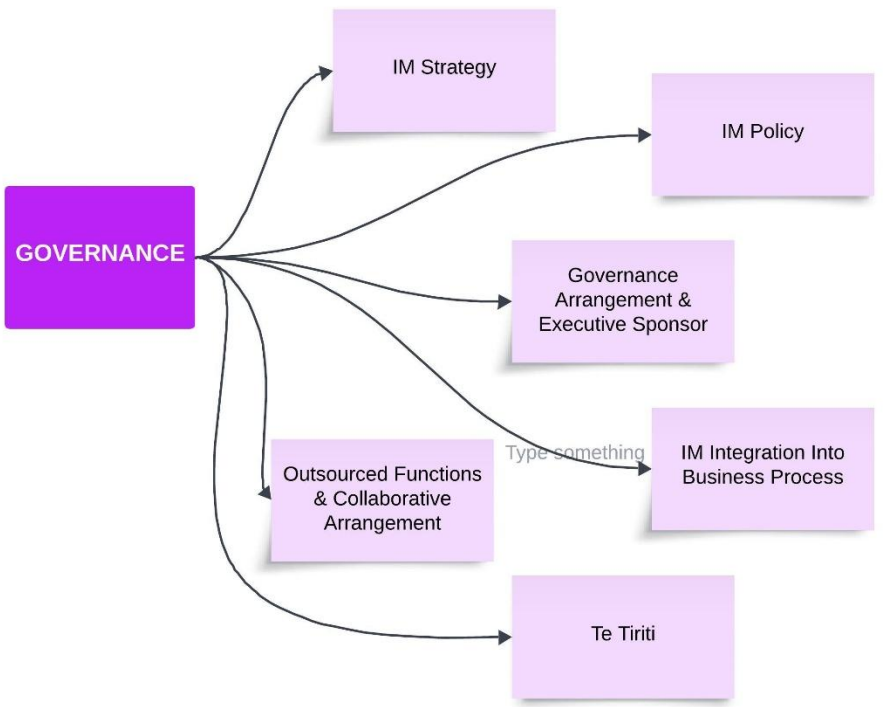
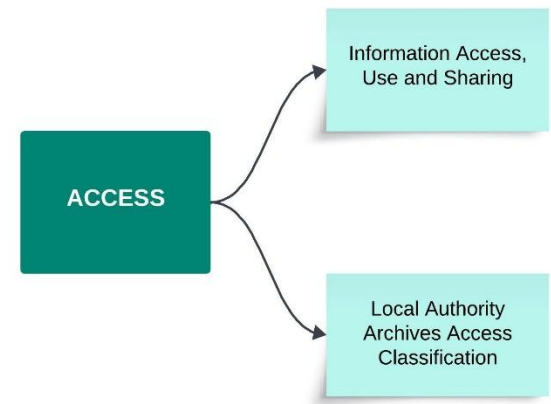
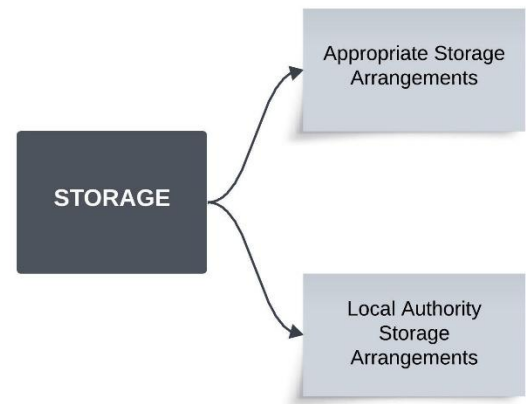
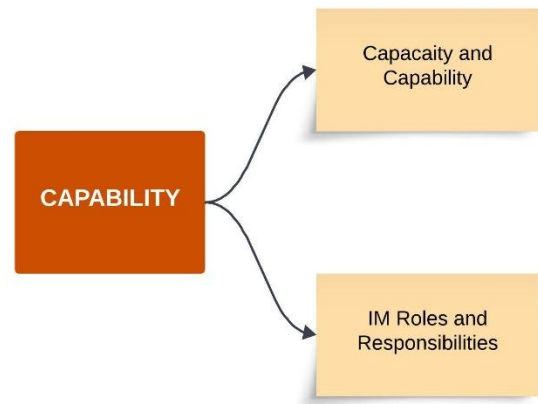
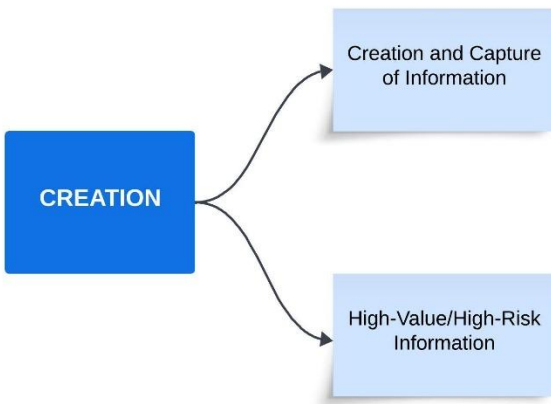
Archives NZ IM Maturity Assessment

Overview

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 and holistic view of all 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



Self-Monitoring

Scoring Method

- **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.¹ 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.]

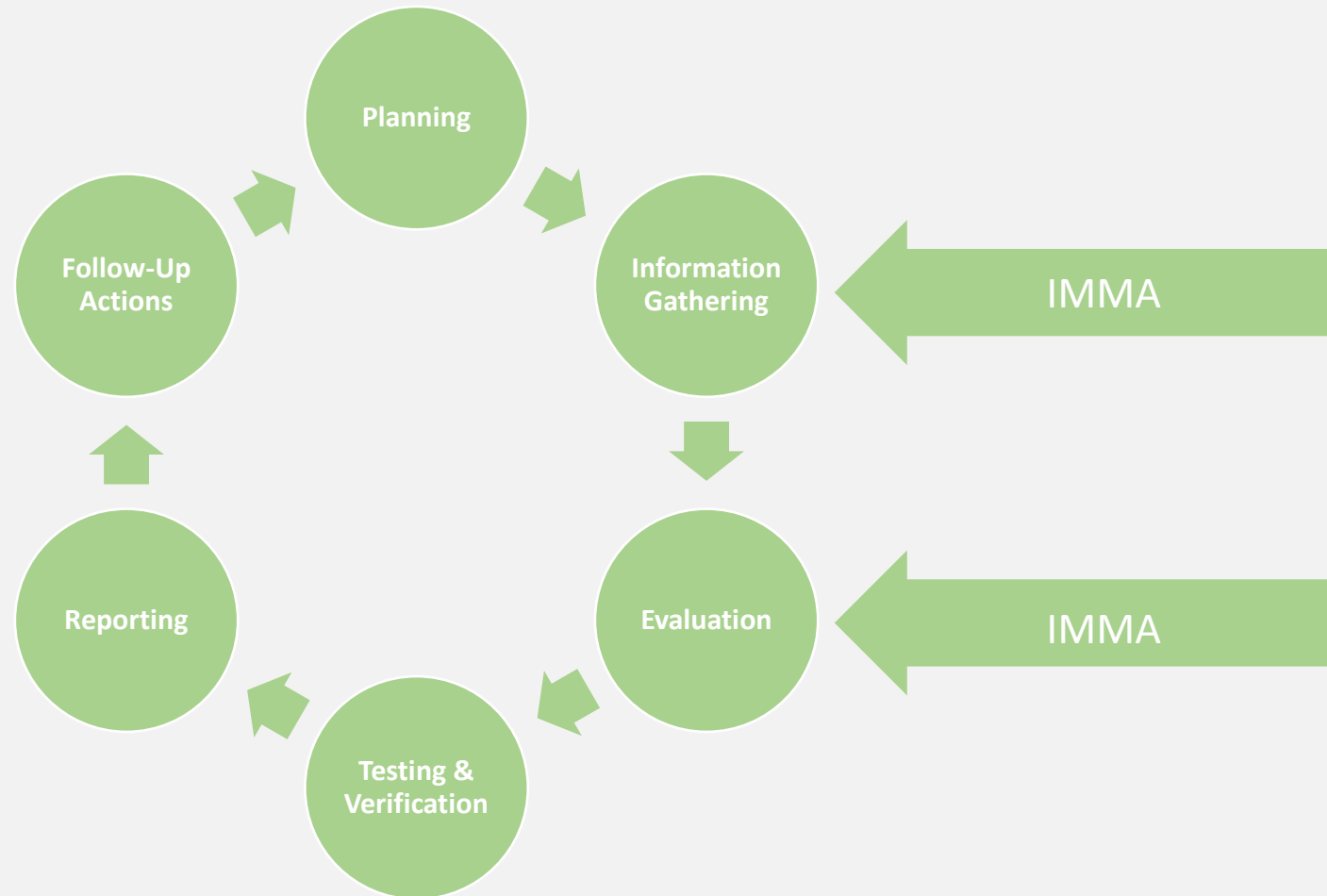
		Maturity Level					
Category	No.	Topic	Beginning	Progressing	Managing	Maturing	Optimising
Governance							
	1	IM Strategy					
	2	IM Policy					
	3	Governance Arrangements and Executive Sponsor					
	4	IM Integration into Business Processes					
	5	Outsourced Functions and Collaborative Arrangements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

A photograph of a library with wooden bookshelves filled with books. A metal ladder is positioned in the foreground, leaning against the shelves. The text "Adding Value" is overlaid in the center of the image.

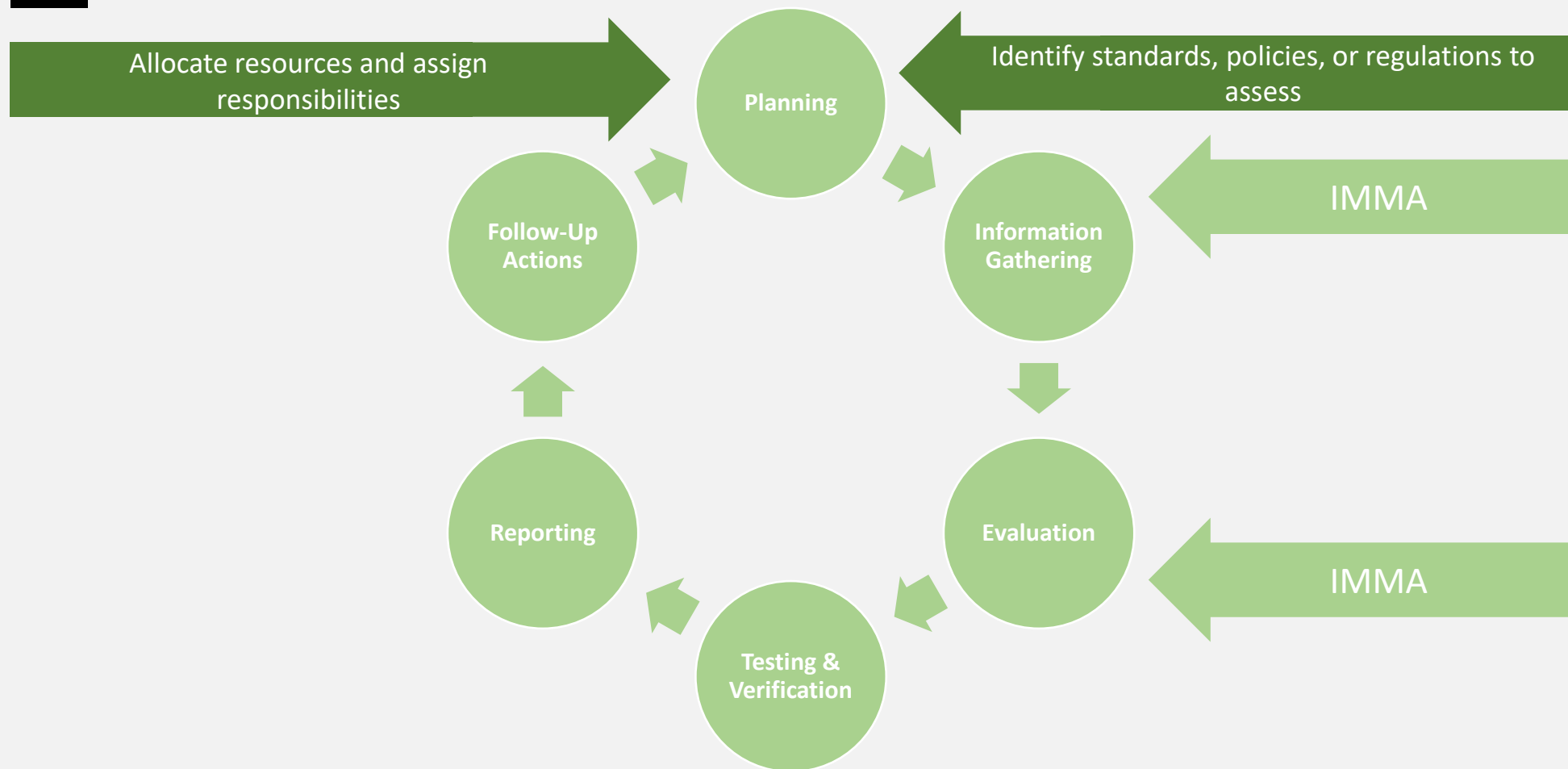
Adding Value

IMMA Alone

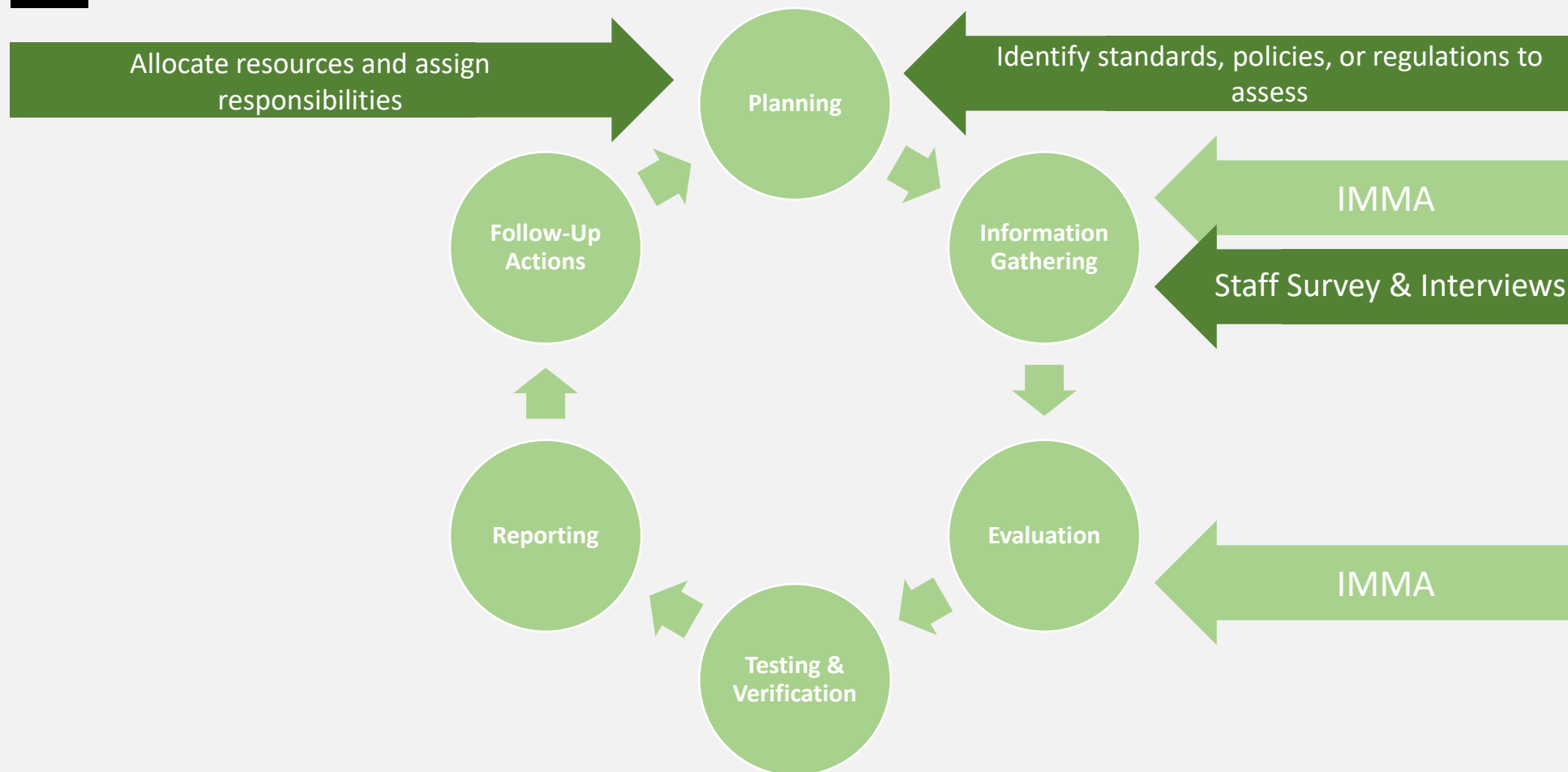
—



Adding Value - Planning



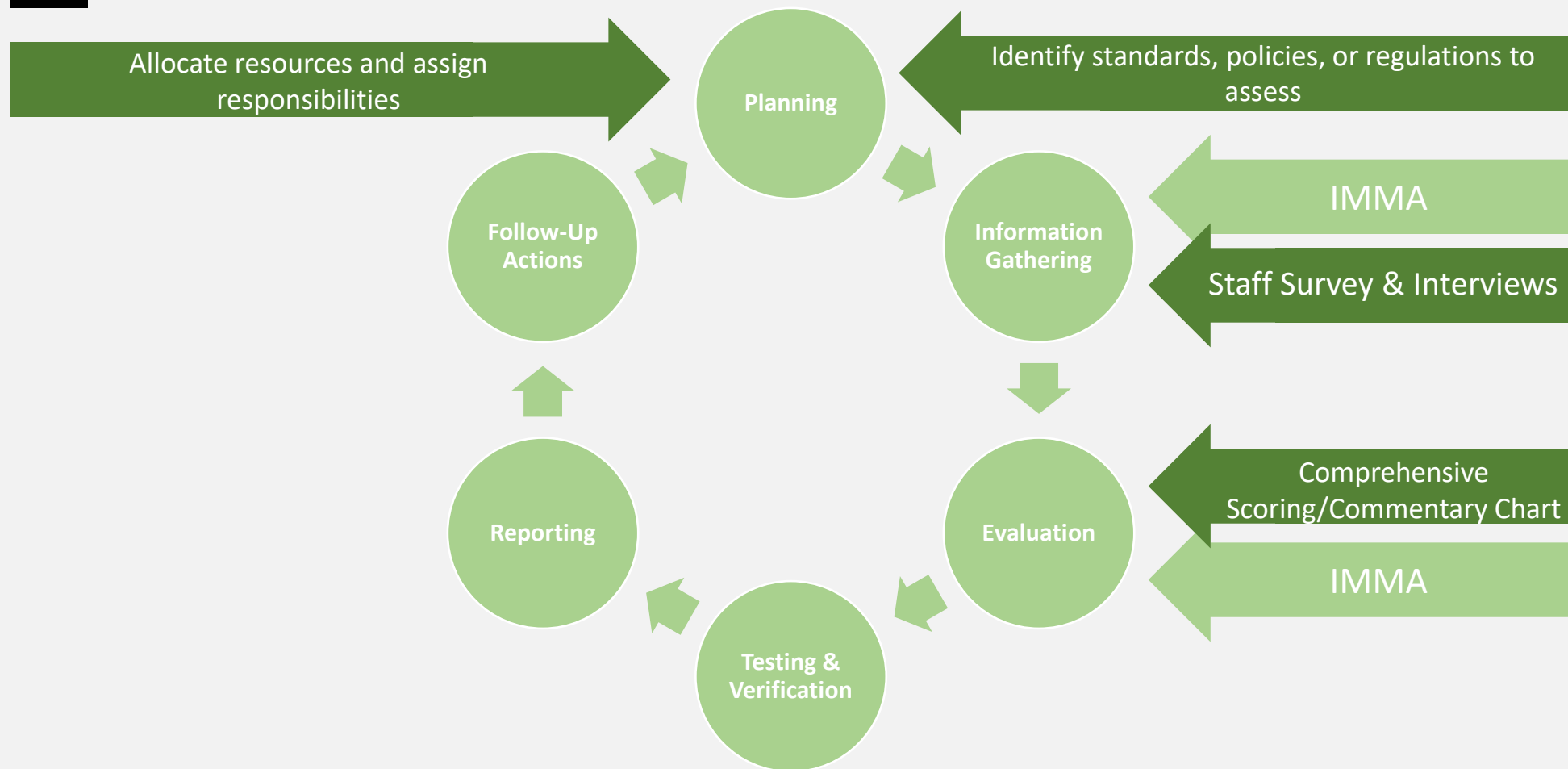
Adding Value – Info Gathering



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"> • Yes • No • Not sure 	✓					
		Have you read or been introduced to the Information Management Strategy?	<ul style="list-style-type: none"> • Yes, I've read it • I've heard of it, but haven't read it • No, I wasn't aware of it 	✓					
		How clearly do you understand the organisation's overall approach to managing information?	<ul style="list-style-type: none"> • Very clearly • Somewhat clearly • Unclear • Not at all 	✓					
		Has your team or manager ever discussed the IM strategy or how it applies to your role?	<ul style="list-style-type: none"> • Yes • No • Not sure 	✓					
		How well is the IM Strategy integrated into other organisation strategies (e.g., ICT, risk management, customer service)?	<ul style="list-style-type: none"> • Fully integrated • Somewhat integrated • Poorly integrated • Not sure/don't know 		✓				
		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"> • Yes, actively • Occasionally • No • Not sure/don't know 		✓				
		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"> • Yes • No • Not sure 		✓				
		In your opinion, how aware are staff of the organisation's IM Strategy?	<ul style="list-style-type: none"> • Very aware • Somewhat aware • Not aware • Not sure 		✓				
		How confident are you that teams across the organisation are working in alignment with the IM Strategy?	<ul style="list-style-type: none"> • Very confident • Somewhat confident • Not confident • Not sure 		✓				
		Have you seen tangible improvements in information management practices since the IM Strategy was implemented?	<ul style="list-style-type: none"> • Yes, significant improvements • Yes, minor improvements • No noticeable improvements • Too soon to tell yet 		✓				
		What support or resources would help ensure the IM Strategy is more fully implemented across the organisation?	Open text		✓				

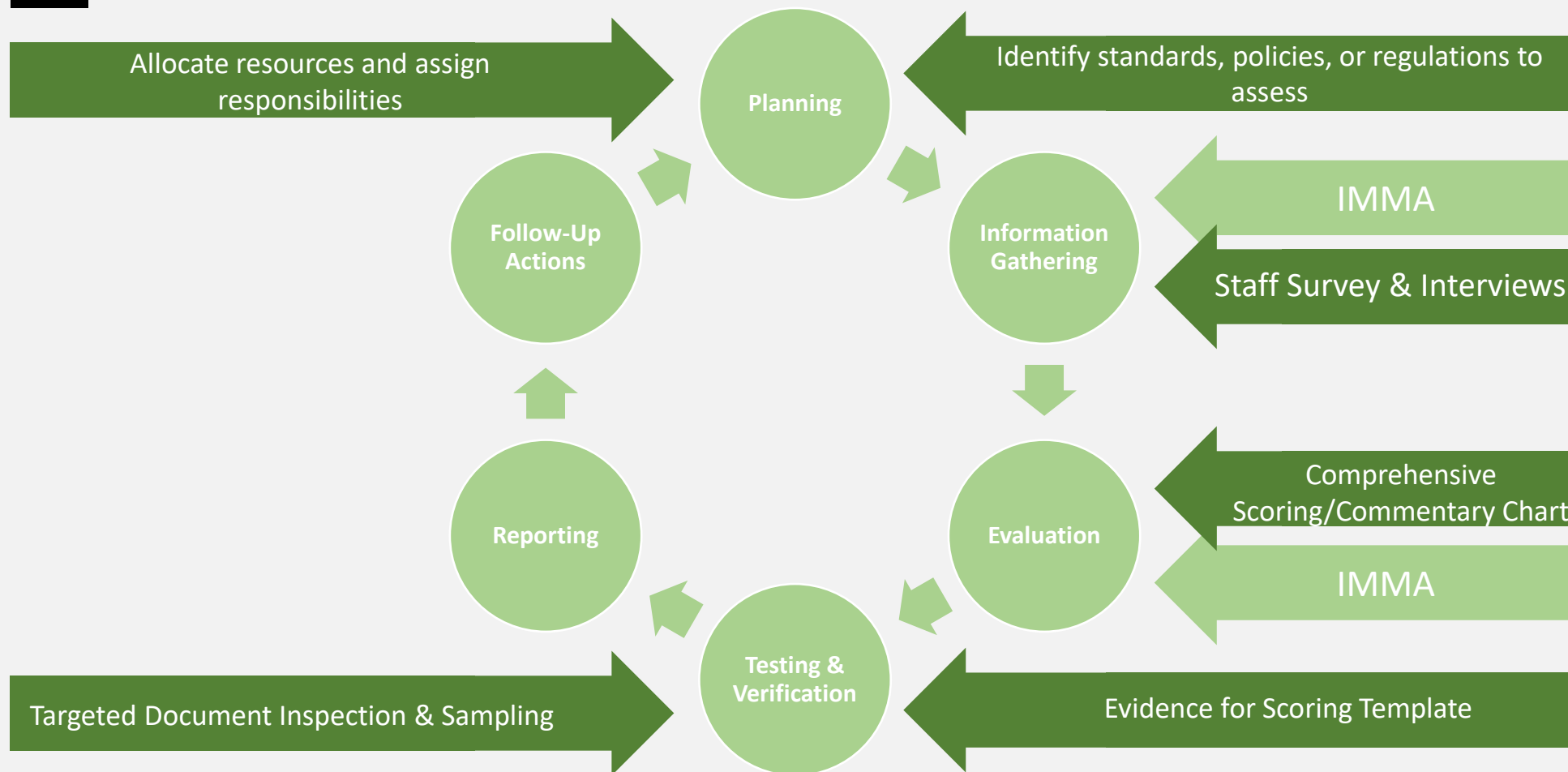
Question #	Topic	Question
Strategic Leadership and Vision		
1		<p>How do you champion information and records management at the leadership level, ensuring it is seen as an “an integral part of business operating effectively”? How do you align IM initiatives with the organisation’s strategic objectives 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>
Governance, Oversight, and Resources		
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>
Legal Compliance and Risk Management		
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>

Adding Value- Evaluation



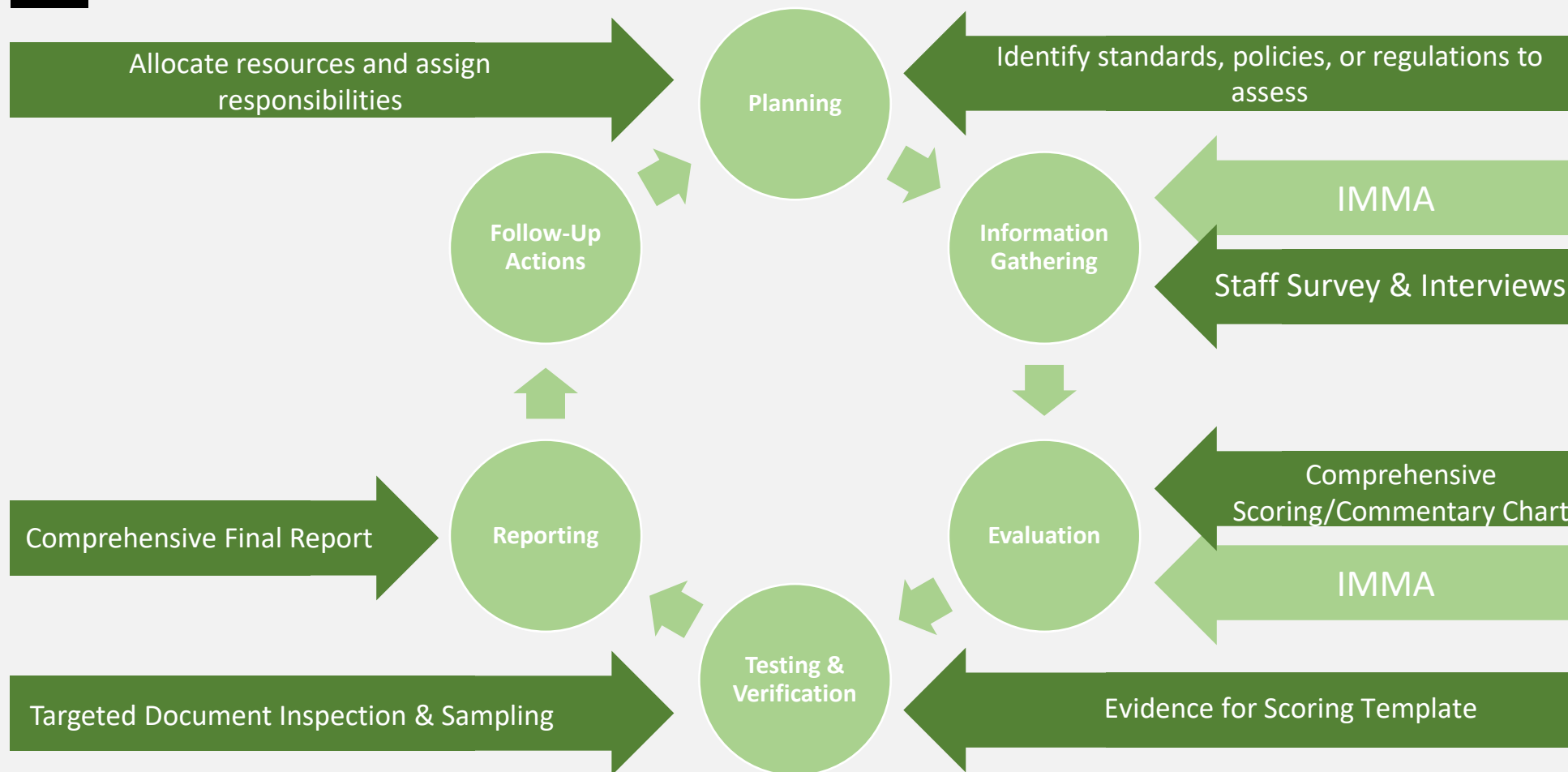
Category	No.	Topic	Beginning	Progressing	Managing	Maturing	Optimising
Governance							
	1	IM Strategy			→		
	2	IM Policy			→		
	3	Governance Arrangements and Executive Sponsor				→	
	4	IM Integration into Business Processes		→			
	5	Outsourced Functions and Collaborative Arrangements		→			
	6	Te Tiriti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

Adding Value – Testing & Verification



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					

Adding Value - Reporting



Information Management Maturity Assessment Report

July 2025



Storage



Effective storage is a critical component of information protection and security. Ensuring appropriate storage solutions for both physical and digital information helps maintain accessibility and usability. This is critical to meeting business needs, legal obligations, and supports a local authority to be transparent and accountable.

Topic 16 – Appropriate Storage Arrangements

Manawatu District Council
Public Offices Average

Progressing
Managing

Summary

Physical records are currently stored on-site in a secure Records Room, which now includes swipe card access. While general physical protections are in place, environmental, pest and fire suppression measures remain insufficient. The former mezzanine storage space has been decommissioned and repurposed. Long-term archival storage is managed by Archives Central under an outsourced arrangement and contributes to positive scoring in this topic.

Digital protections are strong with ISO 27001-aligned practices including multi-factor authentication (MFA), annual penetration testing and audit logs for access control. Reported privacy breaches are addressed through established processes and a Cyber Incident Response Plan is in place. Ongoing improvements are being made based on penetration testing outcomes.

Approximately 70% of the organisation's systems are cloud-based, with a target of 90% by the end of next year. While regular access and security audits are conducted for both physical and digital records, a trend towards digitisation of physical records and working in a digital-first manner would benefit the Council.

Recommendations

- Develop a comprehensive plan to reduce physical holdings. This should incorporate Retention and Disposal initiatives, digitisation, and physical transfers to Archives Central.
- Install and routinely monitor environmental control devices in the Records Storage Room to ensure temperature, relative humidity, and pest activity remain within acceptable preservation thresholds.
- Establish regular monitoring and response protocols for unauthorised access to both digital and physical records.

5. Findings from Staff Survey

Governance Section

Staff awareness of the Information Management (IM) Policy is relatively high, with 51 out of 65 respondents (78%) acknowledging its existence. This indicates a solid foundation, but the 22% who are unaware presents a significant visibility gap that needs addressing.

Induction Training is noted as the most common method of awareness (37% of those aware), suggesting that new staff are being introduced effectively but ongoing reinforcement may be lacking.

The wide range of less-common awareness channels (such as “Audit,” “Searched [redacted]” and “Manager of Council policies”) suggests a fragmented communication strategy. This decentralisation may dilute consistent messaging and limit policy uptake, especially outside formal onboarding. Low numbers for internal communication avenues such as team discussions or manager-led conversations also point to a missed opportunity for reinforcing policy knowledge in routine operations.

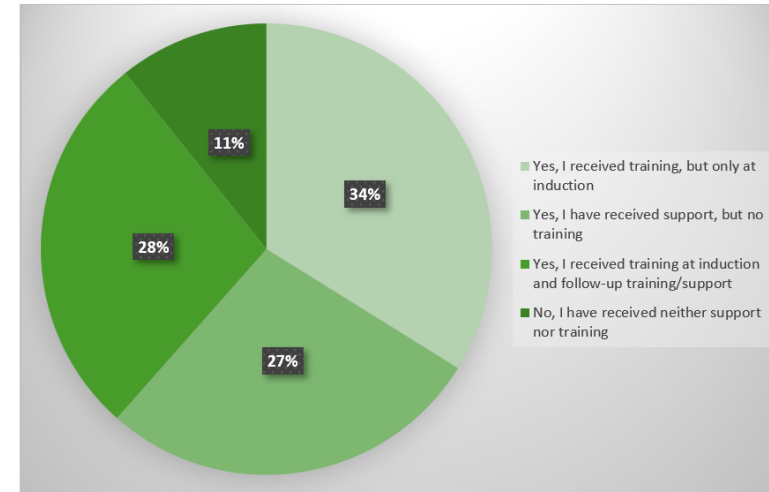
To close the awareness gap and embed governance more deeply:

- Standardise awareness mechanisms across the entire organisation by making IM Policy part of not just induction but also annual refreshers, performance discussions, and team meetings.
- Leverage existing successful channels, such as induction, while bolstering underused ones like team meetings and intranet visibility.

Roles and Responsibilities Section

Responses show that the majority of staff (58 out of 65) have received some form of training or support for understanding their information management (IM) responsibilities. However, a notable portion of this training is confined to induction only (22 responses), with just 18 respondents indicating they've received both induction and follow-up support.

In my role I feel I am responsible for creating, managing, and using information in a way that upholds confidentiality, accuracy, and compliance with relevant policies and legislation. This includes maintaining secure and accurate records of incidents, assessments, and interventions, while ensuring information is stored and shared appropriately.



The net positive communication score of +40 is moderately positive and suggests that, while perceptions are generally favourable, the overall strength of communication of IM roles and responsibilities to staff may be lacking. This score reflects pockets of effective communication within teams or business units, alongside broader organisational uncertainty or variability in how IM responsibilities are conveyed and embedded.

To strengthen understanding and accountability:

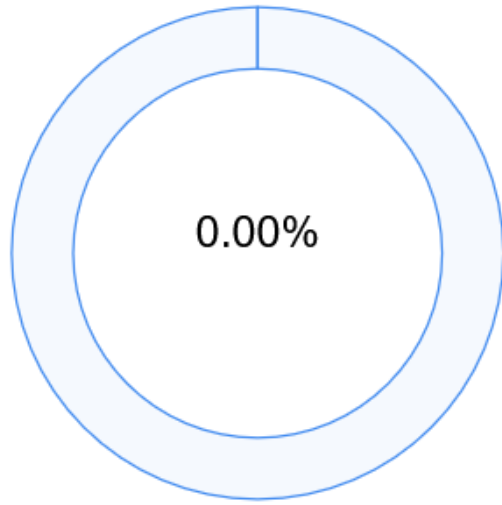
- Move beyond one-off induction by creating a structured, ongoing training programme that includes refreshers, contextualised role-based modules, and annual updates tied to changes in policy or systems.
- Monitor team-level engagement with IM responsibilities and encourage managers to serve as champions or escalation points for IM-related issues.

Integrity of Information Section

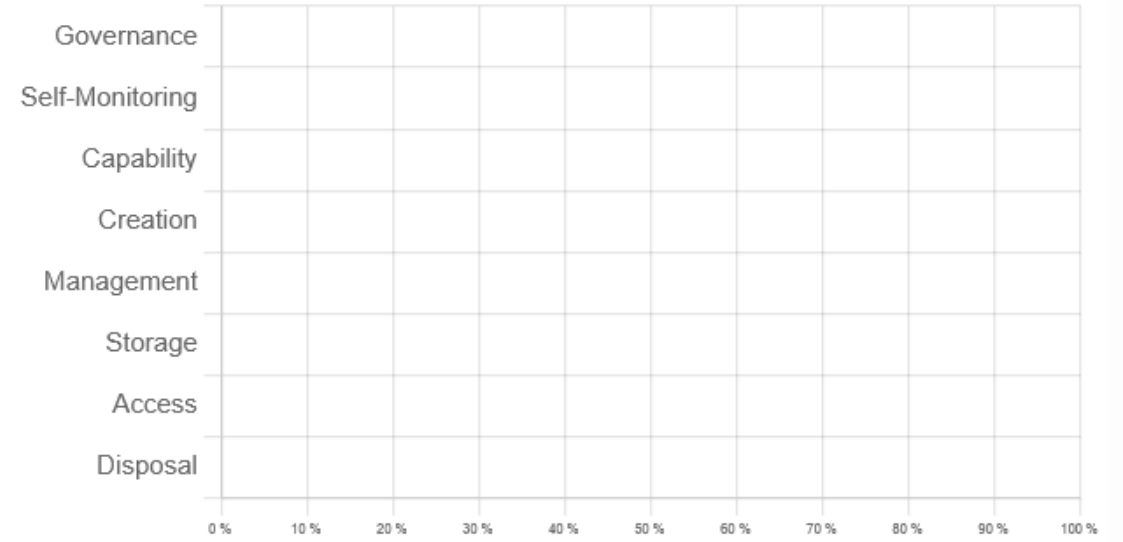
Council staff have a moderate level of trust and confidence in how information is managed across systems. Only 14 staff (21%) fully trust the accuracy and currency of information in systems, while a larger group (58%) qualify their trust based on specific systems or contexts. This conditional trust suggests varying data quality or system reliability, which could negatively affect decision-making, compliance, or operational efficiency.

ID	Requirement	Responsibility	Status	References
1	<p>Staff and contractors understand storage protection and security requirements</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
2	<p>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)</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
3	<p>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)</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
4	<p>The storage environment for physical and digital information has appropriate physical protection against hazards. For example: floods, fires, etc</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
5	<p>Information protection and security risks are regularly reported to the organisation's IM governance group, and remediation actions are identified</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
6	<p>Protection and security incidents relating to unauthorised access to physical and digital information are monitored and responded to</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
7	<p>Information protection and security risks are regularly mitigated</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
8	<p>Instances of loss, destruction and deletion are identified and reported to the IM governance group</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
9	<p>The IM governance group regularly monitors the remediation actions taken</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	
10	<p>Protection and security processes are tested regularly</p> <p>Notes Actions Tasks Exception Exemption</p>	<p>Select ...</p>	<p>Select ...</p>	

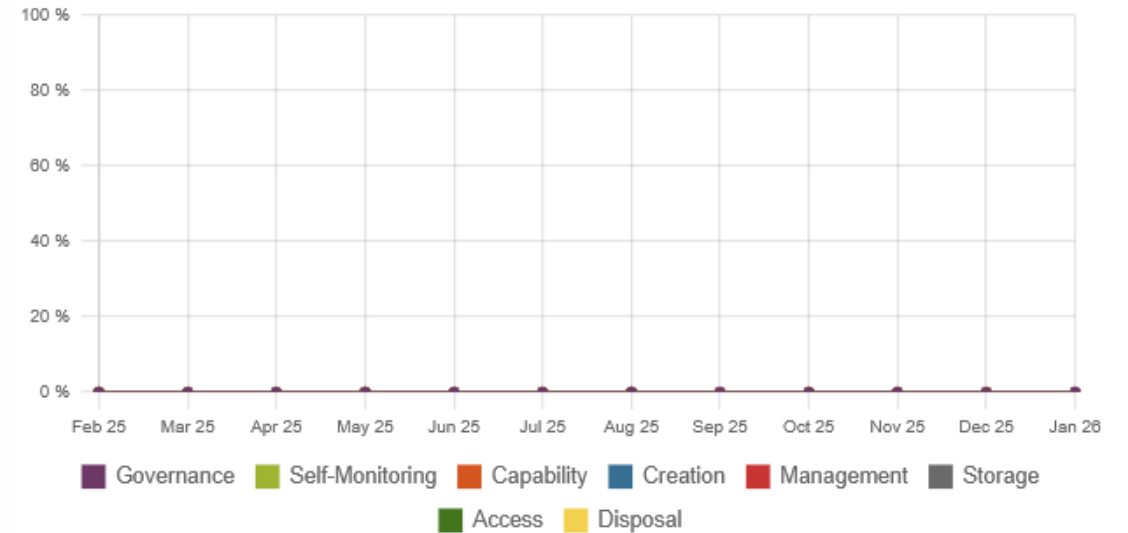
Information Governance Framework Compliance Status



Current Function Status



Function Performance Over Time



Other IM Maturity Assessments

- **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

A photograph of a library with wooden bookshelves filled with books. A metal ladder is positioned in the foreground, leaning against the shelves. The text "Adding Value" is overlaid in the center of the image.

Adding Value

Where to From Here?

- ✓ Use an audit as a catalyst for change!
- ✓ Top down approach – get ELT/SLT onboard first to resource changes
- ✓ Link in with other audits (eg. Data Governance audit, M365 audit, etc) to have organisation-wide insights
- ✓ Small wins provide momentum for large projects and change



Turn Gaps into Solutions

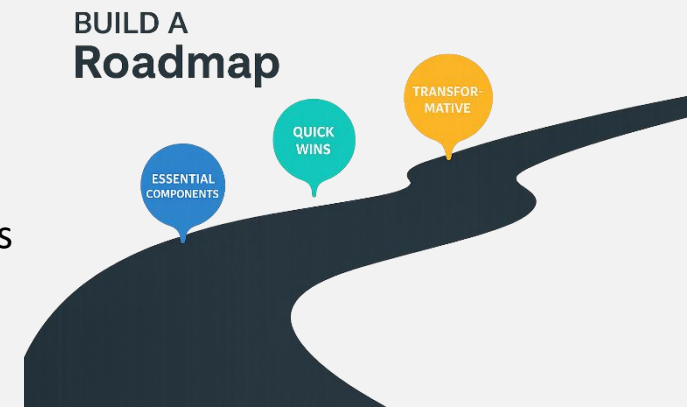
- **Reduce Risk and Protect your Council:** finding gaps exposes legal, privacy, security and operational vulnerabilities so you can close them
- **Prioritise Investment:** audits direct limited resources to the changes that deliver the best Return On Investment (ROI)
- **Unlock better decisions and services:** improve 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>1. Working IM Strategy: An overall Digital Strategy is currently under development and being reviewed. The Strategy incorporates Cybersecurity, Compliance, Digital Capability, Data & 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>2. Senior Management Support: GM Frances is Executive Sponsor and Privacy Officer and actively champions IM across the sector.</p> <p>3. Initiatives, Implementation, Reporting: 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>4. Strategy Informs IM Work Programme: 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>Information and Records Management Strategy</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>Score movement once action completed: Maturing</p>	Digital Governance Group	

Build a Roadmap

A roadmap operationalises governance by turning maturity gaps, risks, and obligations into a structured, prioritised improvement plan endorsed by accountable owners.

- **Essential Components of the Roadmap:**
 - Define the problem statement, scope, and objectives
 - Conduct benefit analysis and outline costs and resourcing needs
 - Identify risks and mitigation strategies
 - Establish success metrics
 - Set a timeline with clear milestones and decision points
- **Differentiate between initiative types:**
 - **Quick wins (3–12 months):** Low-effort, high-visibility improvements that reduce pain points and generate measurable progress
 - **Transformative initiatives (2–5 years):** Organisation-wide changes requiring formal governance, cross-functional alignment, and sustained investment
- **Sequencing rule:**
 - Deliver 2–3 quick wins early to demonstrate value and build credibility
 - Use these results to strengthen the business case for larger, transformative initiatives



Track Progress with KPIs

KPIs are governance instruments that ensure accountability, transparency, and continuous improvement across information management initiatives.

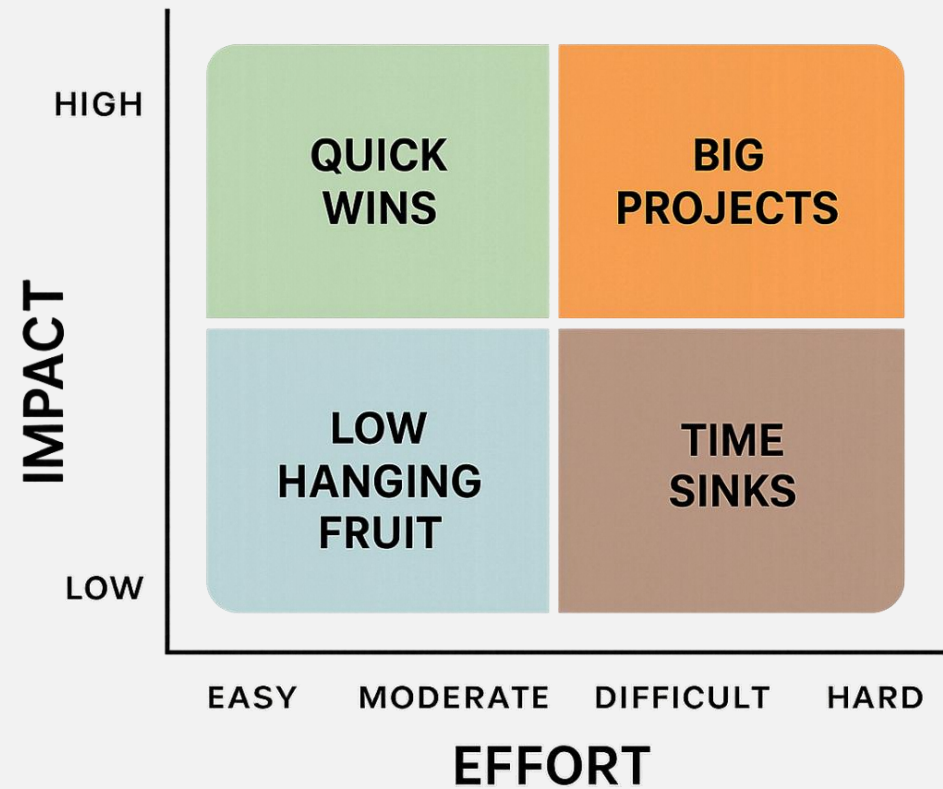
-
- **Link KPIs directly to Governance recommendations:**
 - Tie each KPI to a specific recommendation: capability upgrades, metadata schema, access controls, R&D initiatives
 - Ensure KPIs reflect governance priorities like compliance, stewardship, and risk mitigation
 - Use [SMART indicators](#) and assign owners
 - **Align with council objectives:**
 - Link IM improvements to Long-Term Plan (LTP) outcomes and strategic goals
 - Demonstrate how governance actions support broader organisational performance
 - **Track adoption and behavioural change:**
 - Monitor system usage, training completion rates, and policy compliance
 - Use metrics to assess cultural change and governance maturity
 - **Report progress consistently:**
 - Use dashboards and analytics to report to your governance group
 - Establish a regular cadence for updates and decision-making



Impact vs Effort Matrix

This matrix ensures governance decisions are risk-based, transparent, and focused on delivering the highest organisational value with the least friction.

- [Law of Diminishing Returns](#) applies!
- Build momentum by targeting low-scoring topics and “easy-effort” projects that deliver quick, visible wins
- Getting into the [Virtuous Cycle](#):
Quick wins + visible progress = organisational confidence
- Sequence larger initiatives that act as prerequisites for others
(IM Strategy -> IM Policy -> SOPs)



Quick Wins vs Transformative Projects

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

Securing Buy-In

Buy-in from the organisation is essential for embedding governance. It ensures shared accountability, sustained commitment, and cultural alignment across all levels of the organisation.

Celebrate your wins!



- Clearly articulate the governance rationale: why information management matters, what risks it addresses, and how it supports strategic goals
- Identify key stakeholders and tailor messaging to their roles, priorities, and influence. Use a mix of formats:
 - One-on-one briefings for decision-makers
 - Working sessions for teams
 - Drop-in clinics for individual staff
 - Know your audience and speak their language
- Frame IM improvements in terms of value, risk reduction, and operational efficiency
- Identify potential IM Champions and give them tools to succeed

Deliver + Sustain

Sustaining delivery ensures governance becomes BAU. We want to embed accountability, transparency, and continuous improvement across the organisation.

- **Align the Roadmap to your council's Long-Term Plan (LTP)**
- **Use your Dashboard to tell the story**
 - Visualise progress, risks, and benefits to keep stakeholders engaged and informed
- **Set a clear reporting cadence:**
 - Weekly/fortnightly: Operational tracker updates
 - Monthly: Performance reporting to the programme sponsor
 - Quarterly: Scorecard to Executive/Finance for budget decisions and LTP alignment
- **Define thresholds for project escalations**
 - Establish triggers for escalation such as missed milestones, budget variance, or risk elevation
- **Continuously train & upskill Council staff**
 - Provide ongoing training to embed IM practices and strengthen organisational capability





Resources

Leveraging Archives NZ & International Best Practice

- 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)

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.

Thank you!



evan.greensides@gmail.com

027 936 0615

egconsulting.co.nz

[linkedin.com/in/evan-greensides/](https://www.linkedin.com/in/evan-greensides/)



Evan G