Chief Archivist Prioritised Audit Recommendations

Information Management Action Plan

Recommendation	Planned action (brief summary)	Target Completion Date	Progress	Comments from Archives NZ after meeting 15/12/2021
Topic 1 - The Authority should use the information management strategy in the Priorities and Planning document to set the direction for information management aspects of other organisational strategies and policies.	Ensure IM requirements reflected in other relevant strategies and plans (including communications strategy when finalised).	Q4 FY22 (and ongoing)	Pending (but latest Priorities and Planning doc updated to reflect high level progress to closing out all prioritised Audit actions by end of FY)	Noted
Topic 6 – The Authority should start to design processes to locate and identify information of importance to Māori, incorporating this into the information management policy currently in place. The Authority should also clarify what information they hold that would be relevant to Māori.	Consider asking for ethnic detail of complainants. Engage with relevant advisers (eg Te Puni Kokiri, Prof Tracey MacIntosh) for assistance in identifying relevant information.	Q4 FY22	Currently engaged with Te Arawhiti,(Office for Māori Crown Relations) about our draft Whāinga Amorangi plan. As part of this we're briefing them on our current practices and seeking their assistance with: • Identifying the information we have of importance to Māori	Useful approach and it will be interesting to hear how this progresses.

	Update policy/process documentation as appropriate.		• Deciding whether we should be seeking ethnic data from complainants.	
Topic 10 – The Authority should formalise oversight and monitoring over their shared drive platforms and personal hard drives.	To be agreed with Executive Office Manager and reflected in policy update. Policy to include annual check to ensure work related material not held on personal drives.	Q4 FY22	New Information Management Policy approved 9 December 2021. Section 5.7 (Roles and Responsibilities) now includes an additional clause formalising the Executive Office Manager's responsibility (in consultation with Executive Sponsor) for oversight and monitoring of SharePoint platforms and personal (OneDrive) and hard drives usage in line with the BSA's documented policies and procedures.	Noting that the information on shared drives has been migrated to SharePoint so the oversight and monitoring role is now related to the SharePoint environment as well as the personal hard drives.
Topic 11 – The Authority should formalise the identification, analysis and documentation of their high-value and high-risk information assets within their file structure that they already have in place.	Relevant information to be identified and documented.	Q4 FY22	Pending	Noted
Topic 12 – The Authority should identify and document the risks relating to the shared drives, ensuring that the shared drives are made read-only to enable	Risks to be captured (as appropriate) in risk register. Relevant	Q4 FY22	Pending, limited risk, noting: • CE files (eg finance HR) locked down to CE	Same as for Topic 10 above. Discussed that, although the shared drives are now redundant, an issues/risks register for information

version control once the Authority has migrated to Microsoft 365	shared drives to be made read-only.		• Other core doc saved as pdfs and in Sharepoint system which captures versioning. • Small team (effectively 3 'people' types). Decision stuff would be locking one person out (and she needs for upload)	management should be created (or be included as part of another register) to identify and monitor the issues/risks associated with personal hard drives, other storage devices (flash drives) and SharePoint.
Topic 21 – The Authority should ensure disposal actions are routinely carried out.	External resource (eg from student job search) to be engaged to assist with initial backlog.	Q4 FY22	New staff member o progress disposal actions over the quiet (January) period.	Noted

Department of Conservation
Check in 1 meeting held 19/10/2022
Present:
DOC: Mike Tully – Executive Sponsor, Judit Farquhar-Nadasi IM manager
Archives: Heather Mackay and Zoya Huxford

Name of public office: Department of Conservation			
IM Maturity Assessment Topic	**Recommendation**	**Planned action (summary)**	**Target completion date**
Topic 1 IM Strategy	*Develop, implement and track an organisation-wide IM strategy and work programme that is aligned with the Digital Strategy.*	The Digital Strategy Programme started in 2021. Work to discuss how an organisational IM strategy may align with and work alongside with DOC's Digital Strategy is planned. What we have achieved: IM Team are involved in the Data Strategy and Governance project and Māori data and Māori information management. This project is on hold pending the appointment of new senior leadership in IT.	Q2 2023 Not started yet. Organizational reset is changing the team structure; some programs are on hold right now.

Department of Conservation
Check in 1 meeting held 19/10/2022
Present:
DOC: Mike Tully – Executive Sponsor, Judit Farquhar-Nadasi IM manager
Archives: Heather Mackay and Zoya Huxford

Notes from Check in 1	Māori data and metadata – have been working with DIA (Judit will find out who that person is) which has paused but anticipating it will start again. Have implemented some functionality in DMS and the Digital Media Library working towards Māori information being identified in every environment- who owns it, can it be released etc. Working with Māori division at DOC. Treaty Partnership advice sought internally. Organisational reset with staffing change (whole new Tier 2, some new T3 and 4, some disestablishment) and new financial system which has absorbed resources. Digital Strategy will be driven by the CIO when the new person is in position.		
Topic 3 Governance arrangements and Executive Sponsor	*Establish an IM governance group, including the ES, with responsibility for oversight and monitoring of IM practices to better govern and support IM at DOC.*	IM team are recommending to the Data Strategy and Governance project that IM Governance is covered under the Data Governance Framework that is being established. IM Team is involved in project.	Ongoing Organisational reset is in progress, we are not able to form the Governance Group. New Executive Sponsor is in place.
Notes from Check in 1	DOC asked - what does an effective IM governance group look like? They are seeking more tangible help other than our advice on the website. Suggested they look through the audit reports to see who is doing well in this area and contact them. They will do that and if need more assistance will get back to us.		
Topic 5 Outsourced functions and collaborative arrangements	*Recommendation 2: Review and update key current agreements with third parties to provide adequate provision for DOC's IM requirements.*	This has been done in one off cases (e.g., TrapNZ) Planning toward standards Procurement and Legal teams to go into procurement documents and contracts as renewed / replaced. Using work developed with Trap NZ project**.** <u>What we have achieved:</u>	Q3 2022 Organizational reset is changing the team structure; some programs are on hold right now. DOC implemented a new finance system and resources have been allocated to that work.

Department of Conservation
Check in 1 meeting held 19/10/2022
Present:
DOC: Mike Tully – Executive Sponsor, Judit Farquhar-Nadasi IM manager
Archives: Heather Mackay and Zoya Huxford

		We have started the work with the Procurement Business Unit to identify third parties but new finance system has been implemented in July and the workload has been too much IM team now is involved to provide advice for new systems D&R rules to attach to new systems.	
Notes from Check in 1	Trialled with TrapNZ and now have a good template which is under review by the legal group. Should be good to use now and after the OK by procurement it will be ready to use as an organisational template.		
Topic 6 Te Tiriti o Waitangi	*Work with the KKA team to assess the adequacy of DOC's IM practices to enable and support the rights of Māori, to access, use and reuse information that is important to Māori, as an input to the IM requirements for the Digital Strategy work programme.*	What we have achieved: As the part of the Digital Strategy work programme IM team has been working on requirements of Māori information management. It is an important part of DOC's Digital Strategy work programme. Indigenous data working group has been established and IM staff is involved. Māori metadata has been implemented in DOC's Media Library system and the SOP is up to date related to Māori related information stored in there.	Started in Q3 2021 Ongoing DOC-7150583 Organizational reset is changing the team structure; some programs are on hold right now.

Department of Conservation
Check in 1 meeting held 19/10/2022
Present:
DOC: Mike Tully – Executive Sponsor, Judit Farquhar-Nadasi IM manager
Archives: Heather Mackay and Zoya Huxford

		DOC's IM SOP has been reviewed and an updated version was drafted to refine Maori related information stored in DOC.	
Notes from Check in 1	As above in Topic 1 and have reviewed the IM SOP as well in relation to Māori data. Still more to do but have made progress.		
Topic 16 Appropriate storage arrangements	*Recommendation 2: Work with the business units in a risk-prioritised manner to identify and ingest information held on uncontrolled storage devices and media into DocCM*	<u>What we have achieved:</u> Project is established to move high-risk/high value data in DOC. The first aim of this project is to complete a data catalogue in DOC. IM team member is part of the project team. Long-term project, part of the Digital Strategy Programme. Discussion paper has been created to identify what is HR-HV record in DOC. IM team to put more work on it to reach out to Business for more information.	Ongoing project DOC-7150583 PRRA file transfer to Archives NZ: DOC-7161233

		Keep targeting offices and gathering data. Has moved few offices already to safe offsite facilities, moved HR-HV material from Hokitika to CHCH TiMG, PRRA paper records, Arthur's Pass, CHCH Office, Turangi, Tauranga…. Ongoing project with tangible steps.	
Notes from Check in 1	All contracts are now digitised and not in filing cabinets. Have been working with regional offices and moving hv information to improved storage. Still have some offices to work with but the target is to get all important files to TIMG. Have created a paper which lists examples of hv/hr records for DOC and this will be distributed to regional offices to help them identify if they have any. Once identified a plan to manage them is made and the central spreadsheet is updated. This is an ongoing process. Digital by default since 2018 so there is a change to digital but there is still a lot of working with paper records and also digital storage outside of central systems such as hard drives. Pike River Recovery operational files from Greymouth Regional Office have been put into storage.		
Topic 21 Implementation of disposal decisions	*Recommendation 1: Define, implement and monitor an appropriate disposal implementation plan to apply DOC's DA across all core data/information assets, in line with Archives NZ's IRM standard.*	DOC's information Asset register is the key tool for completing this recommendation. Some work started on mapping the information data catalogue, (please see above) the overarching asset register is not completed, yet.

What we have achieved: | Ongoing project

DOC-6049366 |

Department of Conservation
Check in 1 meeting held 19/10/2022
Present:
DOC: Mike Tully – Executive Sponsor, Judit Farquhar-Nadasi IM manager
Archives: Heather Mackay and Zoya Huxford

		Review of DOC's Disposal Authority (DA538) and the draft is ready for socialising with affected business groups. Completed sentencing paper file databases (DB Text), so we understand what material we have to transfer when transfers reopen to the Wellington Archive. A proposal paper was created by IM team working with InfoSec team and reviewed by PSS for M365 configuration change on DOC. After it is signed off Fujitsu will implement the proposed changes on OneDrive. Investigations begun with rolling out DOC's ontology (and therefore the disposal schedule) across more than docCM, with vendor demos for rolling it out across DOC's M365 environment done in September.	

Department of Conservation
Check in 1 meeting held 19/10/2022
Present:
DOC: Mike Tully – Executive Sponsor, Judit Farquhar-Nadasi IM manager
Archives: Heather Mackay and Zoya Huxford

Notes from Check in 1	They are reviewing their DA which has been extended. Have a draft now and about to send to business units to review. Extension until next May and and the new DA should be with Archives next February. Trying to get units not affected by the organisation reset to review – have targeted some now. Have applied DA and sentenced all physical records in the physical database and also sentenced in DOC DCM. Encouraging projects to add disposal classes into the systems they are using for their project data. Proposal for OneDrive as well – drafted and hopefully ready by the end of year around security classification and data sharing. Note: 4 FTE in IM section including Judit. Also have someone working on legacy project listing boxes – nearly completed. Advised that next meeting will be in a year's time unless DOC have questions and request a meeting earlier.

EECA

Information Management Action Plan

Name of public office: Energy Efficiency and Conservation Authority				
IM Maturity Assessment Topic no.	**Recommendation**	**Planned action (brief summary)**	**Target completion date**	**Notes from check in 1 on 14/10/2022 10 am with Sam Price (ES) and Simon Brash (Information and Platform Lead)**
Topic 1 – IM Strategy	*Develop, communicate and track the implementation of an IM Strategy that is aligned to the strategic direction of the agency as a standalone document or part of the wider organisational strategy as per Archives NZ's guidance.*	*We currently have an IM Strategy that is with the Leadership Group for approval. It includes plans to:* *1. Review core and legacy systems.* *2. Create a document/record classification plan.* *3. Automatically classify digital records.* *4. Maintain and enforce a simple and effective Retention and Disposal Schedule.* *5. Keep the IM strategy up to date, fit for purpose and inline with modern workplace practices.* *6. Keep staff engaged in good records management with strong examples set by leadership.*	July 2022	Over last two years quite a bit of activity around digital transformation. Also new team structure, personnel and platforms. So the drafted strategy is not now relevant and needs review to reflect the changed situation. Energy at the moment into system migration for the new information management system and strategy needs to relate to the new environment. Also cyber security enhancements happening.

		While some of these points are already underway, there are a few factors that have slowed the rollout of this strategy: • *The key stakeholder and author of the strategy moved on from the agency in December 2021* *The pandemic, the sharp increase in remote work and the significant improvements to Microsoft's core apps like SharePoint and Teams have meant that our key document management platform (Cohesion, built on the SharePoint 2016 platform) – on which a lot of the original strategy was predicated – has fallen out of favour with staff in comparison to these modern tools. Staff exit surveys indicate very low levels of satisfaction with the records management platform, Tiaki. This means we need to pivot quickly to re-engage staff and maintain strong information management practices on a platform that is fit for purpose. Records management systems are only as strong as the people creating and maintaining the records.*		Projected date for a new draft of the IM strategy is March 2023.

Topic 3 – Governance arrangements and Executive Sponsor	*Establish an IM governance group, including the ES with responsibility for oversight and monitoring of IM practices to better govern, manage and support IM at EECA.*	*The Information, Privacy and Security Group was established in July 2021 and meets monthly. The group includes the Executive Sponsor, ICT Manager, and representatives from across the organisation to encourage strong IM principles across all teams. The group includes a focus on information security and privacy to help align with good information management – reinforcing both goals simultaneously.*	Complete	This is a useful representative group to help the organisation keep on top of how information is managed. It has been through a couple of iterations. Now effectively 2 groups - an IT focused group and a wider group which has useful discussions about new systems etc.

Topic 12 – IM requirements built into technology systems	*Review core systems to ensure that IM requirements are considered throughout the systems lifecycle, including systems that are up for decommissioning.*	*We have conducted reviews of most core business systems and there are projects underway to transition to more modern, efficient, and engaging systems. Having staff using systems that are fit for purpose with low friction encourages good information management.*	Included in Topic 1 – to be completed by July 2022 Completed	Also will be included in IM strategy. EECA now builds IM considerations into processes when purchasing new systems e.g. purchase of Salesforce considered information retention. How long data is kept for, access etc are now considered for all systems and requirements built in where they can. With Cohesion there were issues with staff finding it hard to use so they were saving to desktop etc. Now migrating to SharePoint Online to improve user experience and IM generally. They have read our guidance on M365 and implementing with IM in mind. In middle of phased implementation bringing data across team by team. Teams will use then improve. HR on board first – has worked out well championing it and ensuring metadata is useful for them. Aware of not siloing the set up and standardising across the organisation as

				much as possible. Migration has taken longer than anticipated as Cohesion had become very customised. End of October everyone should be using the new system.
Topic 12 – IM requirements built into technology systems	*Adopt an Information Management "by design" approach for new systems to enable IM requirements to be specified for system from the planning phase.*	Our Information Management "by design" approach is governed by the following principles: • All newly acquired information systems that generate records will have IM factored into them at the design phase**.**	July 2022 Completed	As above.
Topic 14 – Information maintenance and accessibility	*In conjunction with their disposal authority, EECA should identify the preservation needs for information across all environments.*	A review of all systems outside the core Information Management system (Tiaki) will be undertaken. A disposal authority process will be built into any new system. We are currently building/transitioning many of our business processes into the Salesforce environment. We will develop and implement a disposal authority in-system to manage old records in that environment.	December 2022	Taking this over into the new year. Applying disposal function to new systems completion June 2023

| Topic 21 – Implementation of disposal decisions | *Develop and implement a routine Disposal Implementation Plan in accordance with EECA's Disposal Authority for digital repositories and formats including Cohesion/SharePoint, Teams, email, and shared network drives.* | Records generated by our systems will be classified by Archives NZ's recommended disposal authorities and the EECA-specific retention and disposal schedule. Disposal actions (e.g. how long different types of records must be stored by EECA before they can either be destroyed or transferred to Archives NZ) for different record types have largely been identified but this document will be actively maintained as new record types arise. An in-system method of assigning these classifications at the point of the records creation will be developed. Even if it can't anticipate every record type to be classified it will be capable of classifying the vast majority (>90%) of the records created. Disposal actions that have been identified under the above steps will be implemented on at least a half-yearly basis. | December 2022 | Progressively working through this with new Salesforce and SharePoint Online. Interested in using Microsoft Viva Online. Asked if we had any expertise in this so have referred question to Mick Crouch and suggested they join the Records Listserv and the Mezzanine Meeting. To send joining details for listserv to Simon.

Note: Nick Best no longer at EECA. Meeting ended at 10.25 |

Ministry of Transport

Check in 1 meeting 19/10/2022
Present:
Ministry of Transport :Robyn Smith Executive Sponsor and Megan Shields Acting Head of Ministerial Services
Archives New Zealand: Heather Mackay and Zoya Huxford

IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 3 – Governance arrangements and Executive Sponsor	*Design reporting that provides useful and actionable information to the Executive Sponsor that can be provided to the Ministry's executive team. The reporting should be designed to provide actionable insights into the management of information within the Ministry and to enable the Executive Sponsor to actively engage with staff.*	Meet with Executive Sponsor to determine value adding reporting and frequency. Design and implement reporting, then review with Executive Sponsor for effectiveness and implement enhancements. Regularly review effectiveness of reporting, including impact on staff information management behaviours and SLT decision-making.	June 2022
Notes from Check in 1	Starting formal meetings and will document those. Small size means that there is regular informal interaction. With the lack of staffing after the previous IM person left this be taken up when the new person is employed.		

Topic 4 – IM Integration into business processes	*Review the information management staff capacity against the Ministry's business needs to allow further involvement of the Knowledge Management Advisor in wider Ministry processes and strategic business activities.*	Resourcing for information management is being monitored with additional resource allocated, or sourced externally, as required to meet business needs. Improvements to wider business planning processes currently underway will assist with identifying upcoming requirements and allocating budget	Current and ongoing
Notes from Check in 1	It has been difficult to find a suitably skilled and experienced IM person to replace the previous excellent encumbent. They know what they need but haven't been able to fill the person at the right level. Still working on understanding the level of staff needed. They will bring on the replacement person as soon as possible and continue to monitor the capacity needed. Have grown a bit but are at their maximum now at 250 FTE. Consider that they may need a part time person as well but will want to look at all the duties that are done against what are needed e.g. where to place EDRMS admin work – maybe this goes to a more technical role. Also considering where the IM person fits in the structure – now taken out of IT and in Ministerial Services area. Contactor is coming on board soon because of continuing difficulty in recruitment. The contractor will work on the deferred work. The IT staff are very supportive so no issues there. Drafting of the wording of contracts is on hold until they get someone employed. Procurement are also involved in this.		
Topic 14 – Information maintenance and accessibility	*Create and document a plan for managing and maintaining digital information currently stored in old systems.*	Create a Digital Preservation Plan following the development of the Information Asset Register (IAR) - refer topic 11. 1) Review information held in obsolete formats and transfer to more accessible formats. 2) Identify actions required for active preservation	December 2022

Notes from Check in 1	This information is currently on old servers – a key risk for the organisation. Need to get the information appraised and have it lifted and secured on the cloud. Servers are not supported now so the move to the cloud will happen before Xmas. Everything will be lifted and moved as the first concern is to secure it and then will sort through. Mostly data that is used by data and analytics team and some images. Not policy information etc. Still using the data so while working out what needs to be done next they are managing the technological risk. Don't have a lot of information on video or old formats.		
Topic 11 – High-value / high-risk information	*Create an information asset register which identifies the information that is high-value or high-risk to the Ministry and develop a plan for the long-term management of this information.*	Review existing resources as part of the asset identification process (e.g MoT Disposal Authority, Ministry Business Classification Scheme, software asset lists) to form a starting baseline. Identify asset information to be collected. Conduct an information review with key stakeholders (focus groups with staff/stakeholders).	July 2022
Notes from Check in 1	Contactor has created an IAR and incorporate information of importance to Māori once identified. They are sure that there is some as they have information related to land e.g. Kapiti airport and there will be historical information. As they progress on their Te Tiriti journey there will be more awareness about their information from that lens. The intention is to work more closely with Māori during this process. The information is not lost but just not visible and the work is to decide future management so that access is better.		

Released under the Official Information Act 1982

Topic 18 – Information access, use and sharing	*To improve maturity the Ministry should perform active maintenance of metadata and file plans to ensure the reliable management and discovery of information.*	Continue to review and maintain the Business Classification Scheme to ensure it is consistent, current, and covers all Ministry functions, activities and sub activities. Continue to maintain workflow metadata to ensure the attributes (Group names, Team names, Managers) are current, and captured accurately in reporting.	Current and ongoing as part of BAU
Notes from Check in 1	Work has been started by the previous IM staff person and it is ongoing as BAU. Before staff left she initiated a progremme with teams to look at the file structure to ensure it was useful. Some of the file structure was improved. There is good oversight of new folders that are created – now locked down to a small group with permission for folder creation e.g. HR who are trained to do this. This has freed up IM staff somewhat.		
Topic 21 – Implementation of disposal decisions	*To increase maturity, the Ministry should create a plan to review all IT systems to ensure the ongoing effectiveness of information disposal.*	• Create a plan following the development of the Information Asset Register (IAR) - refer topic 11. The IAR will record all information repositories including disposal functionality and effectiveness. • Scope a project and contract resources to: 1) apply disposal authorities to information migrated from shared drives to TARDIS and 2) transfer permanent electronic records to Archives New Zealand and legally dispose of non archival records.	May 2023
Notes from Check in 1	On hold. Have some physical records pending for when Archives is open again. This will be part of the work programme for the new staff at some stage. Some physical records are ready and wating for transfer. It was recommended that the new staff member when employed have a conversation with Archives to understand the requirements for digital transfer.		

Notes from follow up meeting discussing audit action plan

Name of organisation	Sport and Recreation New Zealand (including High Performance Sport)		
Date of meeting	26/08/2022 3pm Teams		
Organisation staff attending	Sally Kane, Dave Tischler (apologies), Catherine Campbell		
Archives staff attending	Heather Mackay		
Action plan items	**Comments from organisation**		
# recommendations	Prioritised recommendations = 6. Total recommendations = 22.		
Have any prioritised recommendations been completed?	Not started 0	Partially 2	Completed 4
Any issues in addressing prioritised recommendations, delays, funding, understanding?	Nothing to note. Discussion on identifying information of importance to Māori – they have Trevor Haimona starting soon and as he has worked at Archives and DIA they will get his further advice.		
Have the proposed deadlines been met?	Deadlines are not against the prioritised recommendations but the others and these are still in progress.		
Have any other recommendations been addressed?	Not started 0	Partially 9	Completed 7
Any guidance needed?	Not currently but pleased with the open offer.		
Any organisational change impacting IM since action plan produced?	Some change of duties resulting in ES but no major change for IM.		
Comments on process?	They self-assessed at Progressing same as auditors so were happy.		
Current IM person – name and role (check with D&A)	Catherine Campbell SharePoint Business Analyst (has IM in her role)		
Current ES – name and role	New ES Sally Kane Group Manager Corporate Services		
Other	Audit benefits. Found the audit useful to get some more resource – have a fixed term position to help the IM person focus on some non BAU activity. Also the audit focus		

| | bestowed credibility and respect. Working on the recommendations has meant more engagement with key stakeholders across the organisation. |

Action Plan to address key recommendations in the Public Records Act Audit 2021

Category	Topic Number	Auditor's Recommendation	Action
Governance	1. IM Strategy	Develop an IM Strategy following Archives NZ's Guidance	Prepare Strategy for approval at the September 2021 Board Meeting*
Update: 25 March 2022	Strategy approved by the Board.		
Governance	3. Governance arrangements and executive sponsor	Once IM strategy created, introduce regular board reporting	Include IM strategy processes in Terms of Reference of the Audit and Risk Committee*
Update: 25 March 2022	Updated and approved Terms of Reference.		
Governance	5. Outsourced functions and collaborative arrangements	Monitor roles and responsibilities in the contract with Manaaki Whenua Landcare Research	Continue with regular monitoring at project steering group meetings
Update: 25 March 2022	Current project with Manaaki Whenua due to be finalised and during finalisation meetings ownership and responsibilities for IP and records will be documented.		
Creation	10. Creation and capture of information	Review information and records management policy and outline guidance on creation and capture of information, in particular information stored on personal and network drives. Consider moving this to Microsoft 365	Creation of filing conventions to meet minimum metadata requirements; evaluation of risk and security of physical records vs. shared drives vs. Microsoft 365. Complete by June 30th 2022
Update: 25 March 2022	Preliminary work done. Statement of work requested from IT provider around IT security etc. In train and awaiting costing from provider. Next step will be for contractor to advise on M365 set up to include retention etc.		
Disposal	20. Current organisation specific disposal authorities	Develop an organisation specific disposal authority and gain Archives NZ approval	Determine need for a specific authority and begin preparation of any

			application by June 30th 2022
Update: 25 March 2022	Started work on this before working on recommendation for Topic 10 as needed to evaluate records. Drafted the Disposal Authority and it is with external stakeholders for comment until the end of March.		
Disposal	21. Implementation of disposal decisions	Once organisation specific plan and GDA's are complete, implement disposals regularly	Present any annual disposal plans to the Board in September
Update: 25 March 2022	Deferred until Disposal Authority work is completed.		

* Completed 16 September 2021

Note: The disposal of records in December 2020 as raised in the Chief Archivist's audit letter dated 9 August 2021 has been separately assessed by Archives. Additional information was supplied by Orillion and Archives New Zealand has closed this matter as we are satisfied with the actions Orillion has taken to ensure its ongoing compliance with the Public Records Act 2005 and the Information and records management standard.

Broadcasting Commission (NZ on Air)

Check in 1 meeting held 19/10/2022

Present:

NZ on Air: Sharon Kerry Executive Sponsor (Head of Corporate Services)

Archives NZ: Heather Mackay and Zoya Huxford

Topic 1 IM Strategy	Update the IT Strategy to incorporate the current state, and future roadmap for the IM work programme.	1. Engage with external consultant to update our current IT strategy and roadmap to ensure it aligns with current legislation and updated policy. 2. Communicate the updated strategy to staff and contractors, through email, organisation wide meetings and NZOA's intranet site.	30 June 2022
Notes from Check in 1	Still a work in progress as there it is part of the IT audit which is scheduled. Restructure of RNZ and TVNZ has affected NZ on Air with reduced budget. So need to reorient the IT strategy which will incorporate IM and also connect to the corporate strategy in changed circumstances. Major change for the organisation – less than half of current funding will be available Will have to sort our new direction which is driven by MCH.		

Topic 2 IM Policy	Update the IM policy to include current legislation standards, IM systems and internal processes, staff and contractors' roles and responsibilities to reflect and instruct current IM processes	1. Engage with external consultant to update our current policy to ensure it aligns with current legislation. 2. Link the IM policy to other relevant policies such as risk management, privacy, and security. 3. Communicate these updates to staff clearly and consistently through email, centralised intranet, and meetings. 4. Improve the induction process to include an attestation by staff they have read and understood their obligations and responsibilities outlined in the updated IM policy.	30 June 2022
Notes from Check in 1	Drafted a new IM Policy which is potentially too detailed. Reviewing all policies so will now review the draft within the review of all policies. NZ on Air asked for a sample template and we suggested they ask the sector via the listserv – send the link to join the listserv. Three staff were trained in the PRA by a contractor and one of the staff drafted the IM Policy.		
Topic 8 Capacity and Capability	Increase the availability of access to IM expertise to support IM decision making and responsibilities	1. Regular training provided to upskill all staff on IM systems and IM decision making and responsibilities. Ongoing 2. Appoint IM champions within the business, to provide IM support and knowledge to staff, as required. 3. Determine if additional storage for the EDRMS is required after conducting authorised disposal actions and clutter reduction in the EDRMS	Ongoing

	From the 3 staff trained 2 have left. NZ on Air asked where other training is available (although the contractor's training was good her availability is low). Send ALGIM training information. Boxes on site have been sorted out, labelled and deduplicated. These physical records are now classified same as digital records. Underestimated how long it would take. Internal staff did the work. Some physical records on site and some at TIMG. Intend to have a good look at what needs to be stored at TIMG. Emphasised that staff need to store information on SharePoint and that is now happening more.		
Topic 20 Current Organisation Specific Disposal Authorities	Incorporate business and legislative changes into the new disposal authority	New disposal authority has been completed and approved by Archives NZ	Completed (Jan 2022)
Notes from Check in 1	Internal staff worked on the DA. Probably won't need to alter DA to fit new circumstances as it seems that the funding will be transferred to the new media organisation but not any functions. Still under investigation depending on the change coming and the new strategy.		
Topic 21 Implementation of Disposal Decisions	Proactively dispose of information that does not need to be retained under the existing disposal authority and general disposal authority	1. Instigate project to audit current files to prepare a list of information that does not need to be retained under the existing disposal authority and general disposal authority. 2. Investigate appropriate software for processing information stored on EDRMS for appropriate action under disposal authority.	31 December 2022
Notes from Check in 1	As above have disposed of material (duplicates) from the storage boxes. Haven't applied the DA as yet. From the Broadcasting Act there is a role in archiving their material as well but unclear how this intersects with Archives role under the PRA. Agreed to refer this to someone at Archives to discuss. Doesn't seem that this was addressed when working on the DA. Has arisen in this changing environment. Sought a legal opinion recently on obligations in respect of data gathered by other agencies eg surveys by 3rd party organisations. Expecting an opinion soon. Need to know because of the changing environment. Seeking clarity on who is responsible for these records – are these public records or not and if so what needs to be done with maintaining them?		

Topic 22 Transfer to Archives N	Urgently engage with Archives New Zealand re transfer of archival value VHS and DVD media files	1. Evaluate the existing physical records held onsite to determine if this information is of archival value. 2. Implement a programme of assessing physical records held onsite and offsite for archival value and list in preparation for transfer to Archives 3. Liaise with Archives NZ for appropriate transfer	31 December 2022
Notes from Check in 1	Some of these physical records are tapes, VHS…as above in Topic 21. Some audio and some visual.		

Topic	Action	Timing	March 2022
1: IM strategy (maturing)			
Recommendation: Prioritised When next updating the Knowledge Management Strategy engage with other public offices within the Authority's sector to ensure alignment where relevant **ANZ comments:** *Although already achieving Maturing, it would be a useful next step to take the initial leadership on this in order to encourage improvements in information across the sector*	➢ When the new KM strategy is created ensure, external consultants take sector views and goals into account (especially Council of Financial Regulators (CoFR) agencies)	➢ After completion of DT > KM workstream + maturity reassessment (2022/23)	Not due for action yet
3: Governance arrangements (maturing)			
Recommendation: Prioritised The Executive Sponsor should consider working with other Executive Sponsors in their sector on information management through forming a community of practice **ANZ comments:** *There is already an Executive Sponsor community of practice operating in the Canterbury area. The FMA is in a good position to promote a similar initiative. This is also referred to in the auditor's recommendation for Topic 14*	➢ Executive Sponsor will be mindful of the recommendation when working with the CoFR agencies in information management capability areas	➢ Ongoing	John Botica is now Exec Sponsor Tried to attend the Archives Exec Sponsor March session Question for ANZ – are there any materials we can see from Canterbury group?

5: Outsourced functions (beginning)			
Recommendation: *Prioritised* Ensure that information management roles and responsibilities for managing information are clearly identified in future contracts for outsourced functions and collaborative arrangements ***ANZ comments:*** *Outsourcing a business function or activity does not lessen an organisation's responsibility for the public records created and there is some risk if the requirements for managing that information are not clearly defined or well monitored*	➢ KM team to work with Governance team to ensure appropriate attention is paid to IM roles and responsibilities in contract reviews	➢ 2021 - subject to Governance team capacity	With Governance Team Team has been decimated by Covid – aiming for mid/late April
6: Te Tiriti o Waitangi (progressing)			
Recommendation: *Prioritised* In conjunction with the activities already underway, undertake an exercise in consultation with external Māori groups and iwi to identify and assess whether the information held by the Authority is of importance to Māori. The outcome of this exercise will inform the Authority as to whether further actions are required to address this topic ***ANZ comments:*** *The work to do in identifying information of importance to Māori will benefit from the Authority's Te Ao Māori initiative which is underway*	➢ Work with Te Ao Māori team / Readiness Review workstream sponsor to include this requirement in their planning ➢ KM team will continue to watch for any advice provided by Archives NZ	➢ Ongoing	Te Ao Māori strategy has been approved by the Board. Will be working with the team operationalizing the strategy to make use of any consultation opportunities:

Information Asset Register – collection column designed for use during the IAR update project to collect initial view on relevancy of information assets to Māori

NZ - Value / Significance

—

Estimated - Value (importance to Māori / Te Tiriti, economic, social or cultural) of data asset to NZ society: 3 = loss or compromise of asset would have grave implications for NZ 2 = loss or compromise of asset would be newsworthy and/or would result in significant inconvenience or economic loss 1 = asset is of limited concern to NZ public or business

13: Integrity of information (managing)			
Recommendation: **Prioritised** As the Authority is preparing to migrate to Office 365, this migration should include a process for addressing the user experience issues with finding and retrieving information with this ECM update *ANZ comments:* *Improving the user experience when using systems has many benefits for the organisation and the implementation of Office 365 is an ideal improvement opportunity. The opportunity also extends to Topics 18 and 21*	➢ Microsoft 365 framework will be applied to each KM workstream project. This addresses useability needs such as information architecture, metadata design, and further system tools. Strong change management and learning resources will also support end users with finding and retrieving information	➢ During Digital Transformation > KM workstream projects (2021-2023)	Tiaki 1 migration project initiated and due to complete in September ▪ SPO build to replace Tiaki OpenText ▪ compliant migration from Tiaki to SPO ▪ unlocking image information in SPO ▪ ease of email management ▪ the ability to move and archive content ▪ SPO⁺ gold partner support for information management ▪ assessment of decommissioning of OpenText. Tiaki 2 project has been planned to include lifecycle management (E5 licenses) and reporting
22: Transfer to Archives NZ (beginning)			
Recommendation: **Prioritised** Assess what information is due for transfer, physical and digital, and create a plan for implementation	➢ Renewal of the expired deferral of transfer The records management and reporting project (parallel to the Tiaki (ECMS) migration project) will include the identification of materials for transfer as part of the range of disposal outcomes to be applied. These digital records will be the transfer focus for 2022 with scoping of the backlog of paper-only records in 2023, ready to have some ready for transfer when ANZ is able to take Wellington paper records again	➢ 2021 2022-2023	Archives approached about deferral renewal (Chris Buchanan 27/10/21 #6797661)

Information Management Action Plan

Present at Check in 1 meeting held 18/10/2022:

Maritime New Zealand

Andrew Saunderson – DCE Organisational strategy and systems

Katherine Hanna – Senior Advisor Information Management

Bede Jordan – Manager of Business Systems, Platforms and Data

John McCawe – Chief Information Officer

Archives New Zealand

Heather Mackay – Senior Recordkeeping Regulator

NOTE: advised next meeting is in one year's time unless they request it earlier.

Name of public office:			Maritime New Zealand				
IM Maturity Assessment Topic	**Recommendation**	**Archives NZ's Comment**	**Maritime NZ's Comment**	**Planned action (brief summary)**		**Target completion date**	**Status as at October 2022**
Topic 1 **IM Strategy**	Develop a new information strategy plan following Archives New Zealand's guidance, and ensure it is aligned to business needs and relevant to MNZ.	• A new strategy to lead improvement is critical as a starting point setting the direction.	• Maritime NZ responded to Archives NZ that it was to re-develop the 2015 to 2019 in 2019/20 but this activity was disrupted by COVID-19.	Maritime NZ will commence the development a new information strategic plan on completion of phase one the Te Korowai o Kaitiakitanga programme of work due to conclude in Dec 2021. This programme of work is focused on ensuring Maritime NZ staff have the right tools and is reviewing regulatory functions to identify opportunities for improvement across capacity and capability, systems and processes, and operating practices. It is important to establish these business foundations before refreshing the information strategic plan. In relation to Topic 2 - IM policy and processes Maritime NZ is mid-way through reviewing existing IM Policies looking to update, refresh and rationalise policies and it is anticipated that this will be completed by Dec 2021.		June 2022	A new IM strategy and roadmap have been developed – these have been reviewed by the Executive Sponsor and will be presented to the Executive Leadership Team in November.
Notes from Check in 1	Strategy is intended to be until 2025 and was developed in consultation with an external contractor. The roadmap covers all the topics as audited and is quite ambitious. This is part of the work across the organisation refreshing their organisational strategy and is part of the key workstream Information and Intelligence. There is a high-level strategy then a series of initiatives under that to strengthen and build capability.						
Topic 20 **Current organisation-specific disposal authorities**	Develop an organisation-specific disposal authority covering business functions and formats.	• Obtaining a new organisation-specific disposal authority is also critical for improvement in other areas.	• This has been an outstanding requirement that to date had been deferred in favour of other higher priority information technology considerations.	A dedicated project will be established and resourced to develop organisation specific disposal authority covering business functions and formats. This will be undertaken after further development of an information asset register.		June 2023	MNZ have engaged a consultant to develop a new disposal authority. This project will begin in November, and will be completed in tandem with the development of an information asset register.
Notes from Check in 1	External consultant will begin in November and will have a senior and an advisor level working on this. They will be working on the DA and also the Info Asset register. Indicated that the work would take about 6 months – functions haven't changed significantly. The Safe Ship Management Company records mentioned below are currently part of the expired DA. About a decade ago the govt brought some 3rd party activity into the regulatory regime and these records are not being incorporated – some have been but not all and this work will tidy this up. About 100 cartons will be collected from Auckland and stored at 3rd party commercial storage in Wellington.						

Topic 5 **Outsourced functions and collaborative arrangements**	Review all existing major outsourced and collaborative contracts that may produce or contain high-risk/high-value information and identify what information management requirements need to be addressed.	• This will mitigate the risk of further issues around the reported inability to recover records created by third parties.	• This is a significant piece of work given current capacity across Information Management and Procurement and is an historical issue that relates predominantly to records created under former regulatory frameworks prior to MOSS.	Maritime NZ is currently working with a former Safe Ship Management company to obtain high-value records that were created under former regulatory regimes Following on from this a review of major outsourced contracts that produce high-value or high-risk information will be undertaken. Maritime NZ uses MBIE procurement and AOG model contracts, which KPMG commented as having limited information management clauses. The requirement for managing information has been addressed for future outsourced and collaborative contracts by updating procurement documentation during a recent refresh.	June 2022	Vessel records created under a former regulatory scheme will transfer to MNZ ownership at the beginning of Nov 2022. Other high risk/high value contract records are still to be identified – this work will progress in parallel with the development of the information asset register.
Notes from Check in 1	This is in conjunction with the work on identifying high-value/high-risk in the info asset register. Suggestion from Maritime that Archives New Zealand gets involved with MBIE and AoG contracts to improve the contract templates – this would be a significant help to small organisations such as Maritime NZ who do not have many supporting staff in Procurement or Contracts area.					
Topic 8 **Capacity and Capability**	In consultation with information management staff, analyse capacity requirements to ensure that continuous improvement for information management is supported in the business. Incorporate this when developing the strategy (refer Topic 1 – IM Strategy).	• Sufficient resource is needed to improve maturity across the many facets of IM and across the organisation.	• An additional fixed-term Information Management position (1FTE) was set in place in 2020 utilising temporary funding. More recently the incumbent Business and Information Systems Lead positon (1FTE) who led the PRA Audit engagement, has indicated his resignation. There will be an opportunity to re-shape and focus the role to take a stronger thought and organisational leadership role across information management practice. Both these positions are situated within a redesigned Business Systems Platforms and Data team that was given effect to in July 2021.	Maritime NZ currently has 2 FTE roles with dedicated Information Management responsibilities (one permanent and one fixed-term). With ongoing organisational growth there will be a need to make the additional role permanent which will occur through funding uplift anticipated in 2022/23. Prior to any additional allocation analysis of capacity will be undertaken and aligned to information strategy and organisational intent.	June 2022	Two information management FTEs were recruited in July 2022 – 1 x Senior Advisor Information Management, and 1 x Advisor Information Management and Systems Training. MNZ also have a Senior Information Management Advisor contractor that will be updating our Information Management policies. Additional contractor resource has been approved for the disposal authority and information asset register projects.
Notes from Check in 1	Current staffing. - 2FTE permanent and part of a role fixed term. Kathrine and the other full-time person on board in July after a bit of a gap. Question from Maritime about what a good staffing level looks like for their size regulatory organisation? We don't have a view on that yet but may have one in the future – it is data collected by our annual survey and we have 3 years of data now. They asked is the survey continuing - we are assessing how often either annually or biennially. The sector will be advised. Talked about everyone in the organisation being responsible for IM – distributed responsibility with regular training to lift their maturity. Regular refresher training is a big part of their roadmap.					
Topic 11 **High-value/ high-risk information**	Create an information asset register which identifies the information that is high-value or high-risk to MNZ and develop a plan for the long-term management of this information. This could be performed in line with an organisation-specific disposal authority (refer Topic 20 – Current organisation-specific disposal authorities).	• This will be a useful adjunct to work on Topic 20.	• An embryonic information asset register has been developed management but further work had been deferred due to other priorities and capacity constraints.	Work had already commenced developing an information asset register to identify high-value/high-risk information and support longer term management of this information as part of discovery activity in support of establishing a refreshed retention and disposal schedule. This work will be re-invigorated and become a key task for the re-shaped Business and Information Systems Lead positon.	December 2022	See Topic 20 – development of an information asset register will begin in November.

Notes from Check in 1	Internal staff will be working in close collaboration with the external contractor while the project of creating a DA and info asset register are in progress.					
Topic 14 **Information maintenance and accessibility**	Create and document a plan for managing and maintaining digital information currently located in historical data formats. Create and document a similar plan for managing and maintaining physical information and investigate the possibility of this information being digitised in an accessible format.	• There is a risk that there will be loss of information held on CDs and DVDs due to deterioration of these physical formats and is especially critical is this information is high-value/high-risk.	• Maritime NZ advised KPMG that the metadata for physical records stored offsite is of variable quality, which can cause issues with file retrieval. Physical files are securely stored, the variable quality of metadata means that in some cases, physical checks need to occur before files can be retrieved or disposed of.	Work to develop a plan for managing and maintaining digital information will be undertaken in parallel with the development of an information asset register.	December 2023	A plan for managing and maintaining digital information currently located in historical data formats will be progressed during the development of the information asset register.
Notes from Check in 1	Disparate systems have been used in the past – integration is very expensive and for example software as a service typically comes from external providers and doesn't help with integration. On top of that format inaccessibility of DVDs and USB sticks. Some parts of the sector don't move as quickly as others with technology e.g. regional shipping companies and investigation or inspection results. may still be in physical format and small fishing vessels are unlikely to be high tech. There is the challenge to integrate all parts of the sector. Things are improving now with file sharing mechanisms. Part of the work for this topic is discovery of where high value records are – going though old software and finding what is there. Doing this for all legacy technology with a focus on high value information. For example an old system Actionstep has been assessed and high value data has been migrated. Beginning of 2024/25 focus on digital information on physical format. A lot of different areas of the business send files off site so calling things back to gain more control. The work for this topic is firstly to develop a plan on how to proceed.					

NZBLOOD
Te Ratonga Toto O Aotearoa

National Office
71 Great South Road
Epsom, Auckland
Tel. (09) 523 5752

www.nzblood.co.nz

14 March 2022

Stephen Clarke
Chief Archivist - Kaipupuri Matua
Archives New Zealand - Te Rua Mahara o te Kāwanatanga
10 Mulgrave Street
Wellington

Tēnā koe Stephen,

Public Records Act Audit Actions
In reference to your letter dated 17 August 2021

As Executive Sponsor for New Zealand Blood and Organ Service of Information Management, I have reviewed the recommendations outlined in your letter and we have created an Information Management Action Plan within New Zealand Blood and Organ Service. This action plan is outlined further in this communication.

We are pleased to report actions outlined in this plan are in progress and dedicated information management resource is now in place to proceed with these actions across the organisation.

The next key milestone in this action plan is the adoption of the NZBOS Information Management Strategy which takes into consideration the 22 recommendations from the audit that will improve our IM maturity.

I look forward to the follow-up process from Archives New Zealand Te Rua Mahara o te Kāwanatanga in regards this action plan.

Yours sincerely,

Fidelma Murphy
Director, Quality and Regulatory Affairs and Privacy Officer
New Zealand Blood and Organ Service

Information Management Action Plan

New Zealand Blood and Organ Service			
IM Maturity Assessment Topic	**Recommendation**	**Planned action (summary)**	**Target completion date**
Topic 1 IM Strategy	*As per NZBOS's plan, develop an information management strategy following Archives New Zealand's guidance and ensure it is aligned with the outcome of the digital information management project. The information management strategy should be approved by senior management, be communicated to all staff and contractors, and reviewed on a periodic basis to ensure it continues to align with NZBOS's business activities.*	New Zealand Blood and Organ Service have developed an Information Management Strategy which details clear objectives for how we move forward with the maturity of our internal information management systems. The IM strategy has been tabled for discussion at the Executive Team and will be shared with staff through different forums including our Kakapa Manawa (Maori Advisory Group). The implementation of the strategy will be led by the Director, Digital Technology and Information Management and Director, Quality and Regulatory Affairs through the NZBOS Governance Group.	**In Progress** Date for Approval by end of March 2022

Topic 3 Governance arrangements and Executive Sponsor	*Establish an information governance group, which includes the Executive Sponsor, that can champion information management within NZBOS.*	NZBS has developed an internal Information Management Governance Group which includes the Executive Sponsor and other applicable Executive and colleague representation. Terms of Reference are now being developed and the first meeting will take place in May 2022.	**In Progress** Date for Completion end of May 2022.
Topic 8 Capacity and capability	*NZBOS should ensure that information management staff (including subsequent new recruits) have regular access to information management related training and professional development opportunities. This will equip staff with the appropriate training to support information management initiatives and activities.*	NZBOS are currently recruiting to an Information Management lead, once in post NZBS commit to ensuring that they have regular access to processional development opportunities. As an interim measure NZBS have recruited a specialist IM Consultant to support information management initiatives and activities.	**In Progress** Date for Completion end of July 2022.
Topic 14 Information maintenance and accessibility	*To increase maturity, NZBOS should ensure that strategies for managing and maintaining information is routinely part of the planning for any business and system change.*	NZBOS will embed two deliverables into the NZBOS project methodology. A 'Data and Information Strategy; and/or a 'Data and Information Plan' will be a consideration for project implementation. As part of the in-flight Donor Relationship Management project, where an aging system is getting replaced, these template deliverables will be created and used. They will then be incorporated into the NZBOS project methodology.	**In Progress** Date for Completion end of July 2022.

Topic 18 Information access, use and sharing	*To increase maturity, NZBOS should retire the shared network drives as their document management system and implement an ECM system. This will ensure functions such as search options, audit trails and minimum metadata requirements are available to support the management of information.*	NZBOS are currently working on the development of an ECM across the organisation with an external provider, this is a significant piece of work and will be planned over several years. A pilot site has been developed as a proof of concept and NZBS are now working towards implementation of this pilot site into operational use. There will be 2 identified candidate areas implemented into the ECM by the end of calendar year 2022 The identified candidates are likely to be the 'Project Management' and 'Clinical Letters' documentation. Additional candidates are also being identified to create a backlog of initiatives and each will need to be analysed for the approach to documentation migration and archiving. It is envisaged that this will be an ongoing task multiyear task and require prioritisation throughout.	**In progress** Date for Completion End of December 2022 for first 2 candidates.
Topic 21 Implementation of disposal decisions	*Assign information management resources to ensure implementation of disposal actions is routinely carried out.*	NZBOS are currently recruiting to an Information Management lead position. As we complete the permanent employee recruitment, we have employed the services of an IM consultant to commence the IM actions across the organisation.	**Completed** February 2022

		A key area of responsibility will be to lead on the implementation of disposal actions in line with the Public Records Act requirement and the NZBS Disposal Authority.	

Statutory managers of freshwater sports fish, game birds and their habitats

New Zealand Council

Level 2, The Dominion Building, 78 Victoria Street, Wellington 6011.   P.O. Box 25-055, Wellington 6146, New Zealand.
Telephone (04) 499 4767   Email nzcouncil@fishandgame.org.nz   www.fishandgame.org.nz

Statutory managers of freshwater sports fish, game birds and their habitats

New Zealand Council

Level 2, The Dominion Building, 78 Victoria Street, Wellington 6011.   P.O. Box 25-055, Wellington 6146, New Zealand.
Telephone (04) 499 4767   Email nzcouncil@fishandgame.org.nz   www.fishandgame.org.nz

Information Management Action Plan

This action plan has been prepared to address recommendations made by the Chief Archivist from an audit carried out under section 33 of the Public Records Act 2005.

Organisation: New Zealand Fish and Game Council	**Date of audit:** 31/05 – 1/06/2021
Prepared by: Brian Anderton, Acting Chief Executive and Jack Kos Executive Sponsor	**Date audit plan prepared: 23/03/2022** – note the action plan was received in letter form and has been copied onto this format.

Topic	Audit recommendation	Planned action	Person Responsible	Target completion date
2: IM policy and processes	Develop an information management policy and associated process documents that provide formal information management guidance to staff. The policy should support the information management strategy (Refer Topic 1 – IM Strategy). IT should include roles and responsibilities, align to Archives New Zealand's standard and requirements, and relevant legislation.	Contract with external provider for creation of IM policy planned.		2023
Progress report for first check in 25/10/2022	Assuming that all goes well with the DA they are anticipating including this in the budget round next April. This will also be done by a contractor.			
Final report				
5: Outsourced functions and collaborative arrangements	The Council should review information management requirements for all outsourced functions and collaborative agreements ha create public records and include them as appropriate in all new contracts going forward.	Contract with external provider for review of outsourced functions planned.		2024
Progress report for first check in 25/10/2022	Same as above but for the following year.			
Final report				
8: Capacity and capability	Analyse staff capacity to ensure that continuous improvement is supported whether by internal staff or contracted	No action planned at present. This is due to the size of the organisation and IM priorities.		

	resource. Incorporate this when developing the strategy (refer Topic 1 – IM Strategy).			
Progress report for first check in 25/10/2022				
Final report				
12: IM requirements built into technology systems	IM expertise is needed to create standardised information management requirements for new and upgraded business systems including meeting minimum metadata requirements where applicable. These should be included in information management procedures documents, in connection with Topic 2 – IM policy and processes.	No action planned at present. This is due to the size of the organisation and IM priorities.		
Progress report for first check in 25/10/2022				
Final report				
20: Current organisation-specific disposal authorities	Develop an organisation-specific disposal authority covering business functions and formats that is approved by Archives New Zealand.	Contract with external provider for creation of disposal authority now in progress.		2022
Progress report for first check in 25/10/2022	Update from Jack Kos – "In terms of progress against our action plan, we set one target for 2022 which was to contract with an external provider to create a disposal authority. I can confirm that we have contracted with Miranda Welch, who is currently partway through the process of preparing the DA. She has conducted her site visit of our office, and is in the process of visiting a regional Fish and Game Council". Regional Councils are legally separate entities but opportunity to scope them in. Expecting to inalise DA early next year after the consultation process. Once the DA is approved will look at getting some help from contractor to spread the word to the regions. Confirmed that Archives are not able to accept any physical transfers until probably 2026 but that organisations can prepare for transfer so that they are ready when we are open. We discussed digital transfers and that we are open to discussion about that at any time.			
Final report				

25/10/2022 General comment: new Chief Executive but down a few staff while the office is re-structured. Organisation had a review last year and that is in the process of being implemented but still in consultation with the Minister – could mean some changes to IM as it conceivably means changes at the national level. Jack will see how that pans out and there may need to be changes to the IM policy but probably not until 2024.