

Chief Archivist Prioritised Audit Recommendations

Information Management Action Plan

Recommendation	Planned action (brief summary)	Target Date	Completion
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)	
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. Update policy/process documentation as appropriate.	Q4 FY22	
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	
Topic 11 – The Authority should formalise the identification, analysis and documentation of their	Relevant information to be identified and documented.	Q4 FY22	

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<p>high-value and high-risk information assets within their file structure that they already have in place.</p>		
<p>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 version control once the Authority has migrated to Microsoft 365</p>	<p>Risks to be captured (as appropriate) in risk register. Relevant shared drives to be made read-only.</p>	<p>Q4 FY22</p>
<p>Topic 21 – The Authority should ensure disposal actions are routinely carried out.</p>	<p>External resource (eg from student job search) to be engaged to assist with initial backlog.</p>	<p>Q4 FY22</p>

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Department of Conservation

Name of public office: Department of Conservation			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>Develop, implement and track an organisation-wide IM strategy and work programme that is aligned with the Digital Strategy.</i>	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. IM Team are involved in the Data Strategy and Governance project.	Q2 2023
Topic 3 Governance arrangements and Executive Sponsor	<i>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.</i>	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
Topic 5 Outsourced functions and collaborative arrangements	<i>Recommendation 2: Review and update key current agreements with third parties to provide adequate provision for DOC's IM requirements.</i>	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	Q3 2022

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Department of Conservation

<p>Topic 6 Te Tiriti o Waitangi</p>	<p><i>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.</i></p>	<p>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.</p>	<p>Started in Q3 2021 Ongoing</p>
<p>Topic 16 Appropriate storage arrangements</p>	<p><i>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.</i></p>	<p>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.</p>	<p>Ongoing project</p>
<p>Topic 21 Implementation of disposal decisions</p>	<p><i>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.</i></p>	<p>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.</p>	<p>Ongoing project</p>

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28 May 2021

Archives New Zealand, 10 Mulgrave Street, Wellington

Phone +64 499 5595

Mark Davis

Group Manager, Corporate Services
Energy Efficiency and Conservation
Authority

Mark.Davis@eeca.govt.nz

Websites www.archives.govt.nz

www.dia.govt.nz

Tēnā koe Mark

Public Records Act (PRA) Audit Follow-up

The Chief Archivist's audit letter dated 30 April 2021 requires us to follow-up on the prioritised audit recommendations through your development of an action plan.

The purpose of this follow-up is to monitor the actions of public offices to address the recommendations outlined in the Chief Archivist's letter.

IM Improvement Programme Roadmap

All recommendations in the Audit Report are designed to improve your information management (IM) maturity. We trust that you will consider addressing all of them over the next five years in a comprehensive roadmap.

This will help your organisation to capitalise on the audit effort and raise the maturity of your organisation's IM practice.

Prioritised recommendations and follow-up timeframes

To focus your IM improvement programme, the identified recommendations in the Chief Archivist's audit letter should provide the most immediate value.

In the appendix is an IM Action Plan with your organisation's prioritised recommendations pre-populated. Please fill the template with the following:

- actions you intend to take to address the recommendations
- a target completion date for the actions over the next two years

Your action plan should be returned to Archives New Zealand via PRAAudit@dia.govt.nz by **28 November 2021**. Archives will not be issuing any reminders for this step of the process.

We will however be checking in with your organisation's progress after 6 months of receiving your action plan, and again at 12 months. Reminders will be sent to your organisation for these check-ins.

Our annual State of Government Recordkeeping Report that is presented to our Minister and tabled in the House of Representatives will report action plans returned and not returned.

We look forward to receiving your action plan and if you require further guidance please contact rkadvice@dia.govt.nz

Nāku noa, nā



Aroha Dawson
Manager Advice and Compliance

on behalf of
Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand

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APPENDIX

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
Topic 1 – IM Strategy	<i>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.</i>	<p>We currently have an IM Strategy that is with the Leadership Group for approval. It includes plans to:</p> <ol style="list-style-type: none"> 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 in-line with modern workplace practices. 6. Keep staff engaged in good records management with strong examples set by leadership. <p>While some of these points are already underway, there are a few factors that have slowed the rollout of this strategy:</p> <ul style="list-style-type: none"> • The key stakeholder and author of the strategy moved on from the agency in December 2021. 	July 2022

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		<ul style="list-style-type: none"> 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. 	
Topic 3 – Governance arrangements and Executive Sponsor	<i>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.</i>	<p>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.</p> <p>The group includes a focus on information security and privacy to help align with good information management – reinforcing both goals simultaneously.</p>	Complete
Topic 12 – IM requirements built into technology systems	<i>Review core systems to ensure that IM requirements are considered throughout the systems lifecycle, including systems that are up for decommissioning.</i>	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
Topic 12 – IM requirements built into technology systems	<i>Adopt an Information Management “by design” approach for new systems to enable IM requirements to be specified for system from the planning phase.</i>	<p>Our Information Management “by design” approach is governed by the following principles:</p> <ul style="list-style-type: none"> All newly acquired information systems that generate records will have IM factored into them at the design phase. 	July 2022

		<ul style="list-style-type: none"> Project templates will be updated to reflect these requirements. 	
Topic 14 – Information maintenance and accessibility	<i>In conjunction with their disposal authority, EECA should identify the preservation needs for information across all environments.</i>	<p>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.</p> <p>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.</p>	December 2022
Topic 21 – Implementation of disposal decisions	<i>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.</i>	<p>Records generated by our systems will be classified by Archives NZ’s recommended disposal authorities and the EECA-specific retention and disposal schedule.</p> <p>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.</p> <p>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.</p> <p>Disposal actions that have been identified under the above steps will be implemented on at least a half-yearly basis.</p>	December 2022

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Information Management Improvement Action Plan – June 2021

The 2021 Public Records Act audit by KPMG on behalf of the Chief Archivist lists a number of recommendations to improve HDC’s information management (IM) maturity. To focus our IM improvement programme on the areas which will most improve HDC’s IM maturity, the Chief Archivist has asked that we prioritise six recommendations and develop an action plan to progress these areas.

This IM Action Plan will be sent to the Chief Archivist to demonstrate how HDC will address the prioritised recommendations, and Archives New Zealand’s follow-up process will track our progress against this Action Plan.¹

Category	Audit Topic Number	Auditor’s Recommendation	Actions required	Completion date	Actions in progress or completed
Governance	5: Outsourced functions and collaborative arrangements	The HDC should ensure that all relevant contracts should include requirements on information creation, ownership of information, arrangements for access, security, storage, monitoring and inspection, retention and disposal, and what happens to the information at the end of the agreement.	<ul style="list-style-type: none"> Use the Information Management section of Schedule 2 Terms and Conditions for all contracts for goods and services negotiated going forward, and in particular for any renegotiation of the Advocacy Contract, and the payroll service contract(All DFAs) <p>See “Schedule 2 – Standard Terms and Conditions – Services – Form 1”, section 5 https://www.procurement.govt.nz/assets/procurement-property/documents/services-schedule-2-contract-form-1-government-model.pdf</p> <p>See “Schedule 2 – Standard Terms and Conditions – Goods – Form 2” section 5 https://www.procurement.govt.nz/assets/procurement-property/documents/goods-schedule-2-contract-form-2-non-crown-government-model.pdf</p>	As and when contracts are negotiated and signed	

¹ Records must be kept of actions taken so that Archives New Zealand can follow HDC’s progress against this action plan.

Category	Audit Topic Number	Auditor's Recommendation	Actions required	Completion date	Actions in progress or completed
Governance	6: Te Tiriti o Waitangi	The HDC should consult with a Māori advisor to assess whether it holds information that is of importance to Māori. The outcome of the assessment will inform the HDC if further actions are required to address this topic.	<ul style="list-style-type: none"> Identify a suitably qualified Māori advisor to assess the information that HDC holds (<i>IM Sponsor/Projects Co-ordinator</i>) Further action as is required after assessment (<i>IM Sponsor/Projects Co-ordinator</i>) 	<ul style="list-style-type: none"> 31 December 2021 When action is identified	
Self-monitoring	7: Self-monitoring	To increase maturity, the HDC should establish a regular and proactive approach to monitoring compliance and identifying any issues with the HDC's information management policy and processes to support six-monthly legislative compliance survey results	<ul style="list-style-type: none"> Review of file-naming and version control (<i>Projects Co-ordinator to do spot checks monthly on shared drives and feedback improvement actions to folder/file owners</i>) 	Monthly	
			<ul style="list-style-type: none"> Review of information loaded and deleted on ECDS (<i>Projects Co-ordinator to do spot checks monthly on ECDS and feedback improvement actions to staff loading and deleting information.</i>) 	Monthly	
			<ul style="list-style-type: none"> Review of digitised information (<i>Projects Co-ordinator to do spot checks every month on digitising of hard copy inwards correspondence to ensure integrity, accessibility, and completeness of information</i>) 	Monthly	
			<ul style="list-style-type: none"> Follow-up with new staff about their understanding of roles and responsibilities under the Information and Records Management Policy (<i>Managers and HR</i>) 	1 month after new staff start	

Category	Audit Topic Number	Auditor's Recommendation	Actions required	Completion date	Actions in progress or completed
Management	14: Information maintenance and accessibility	To increase maturity, the HDC should ensure that strategies for the management and maintenance of information is routinely part of the planning for any business and system change	<ul style="list-style-type: none"> As technology is improved and updated, to ensure that IM requirements are well known and documented so that risks to ongoing accessibility for digital information are mitigated. (IM Sponsor/ICT Manager) 	As and when technological updates and improvements are made	
Disposal	20: Current organisation-specific disposal authorities	The HDC should develop a retention and disposal schedule that covers all business functions and formats and obtain approval from Archives New Zealand	<ul style="list-style-type: none"> Complete the R&D Schedule for ECDS Records as outlined in the IM Strategic Plan (IM Sponsor/Projects Co-ordinators/Other functional leaders as required) 	By 31 December 2021	
			<ul style="list-style-type: none"> Commence appraisal for the R&D Schedule for non-ECDS Records as outlined in the IM Strategic Plan (IM Sponsor/Projects Co-ordinator/Others as required) 	By 31 December 2021 (with completion of the R&D Schedule by 30 June 2022)	
Disposal	21: Implementation of disposal decisions	Once the retention and disposal schedules are developed and approved (as discussed in Topic 20) the HDC should ensure disposal actions are routinely actioned	<ul style="list-style-type: none"> Regular disposal of Corporate Services records held at Iron Mountain pursuant to GDA6. (IM Sponsor/Projects Co-ordinator) 	Three-monthly	
			<ul style="list-style-type: none"> Provide information and encouragement to staff on regular disposal of facilitative, transitory and short-term value records (Projects Co-ordinator/Managers) 		

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15th December 2021

Aroha Dawson
Manager Advice and Compliance
Archives New Zealand
10 Mulgrave Street
Wellington, 6011

Talofa lava Aroha,

SUBJECT: Your letter dated 29th June 2021 – Public Records Act (PRA) Follow-Up.

I am writing in response to your letter dated 29th June 2021 – Public Records Act (PRA) Follow-Up.

Below you will find the completed table as requested. All dates provided are indicative and subject to funding and internal sign off.

Name of public office: Ministry for Pacific Peoples			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>Develop a new information strategy following Archives New Zealand's guidance and ensure it is aligned to the upcoming (or forthcoming) ECM system upgrade.</i>	Work on creating an Information Management Strategy and Roadmap will be begin in January 2022 with a target completion date of 30 th March 2022.	March 30 th 2022
Topic 2 IM Policy	<i>Recommendation 2: Senior management should review and approve the information management policy.</i>	As part of the IM Roadmap we will have an activity specifically around developing the IM Policy, as well as other policies, standards, and processes	June 30 th 2022
Topic 4 IM integration into business processes	<i>Provide mandatory training to business owners to enhance their understanding of the information management responsibilities expected of them.</i>	As part of the IM roadmap there will be an activity specifically around the uplift of IM understanding across the Ministry. This will be an ongoing activity with the first tranche of training to be completed by 30 th September 2022	Sept 30 th 2022

Topic 8 Capacity and Capability	<i>The Ministry should assess information management capacity requirements against business needs and recruit additional staffing where needed.</i>	In conjunction with the IM Strategy we will also creating a broader IT Strategy where we will be assessing the capacity and capability requirements across all IT capability areas.	June 30 th 2022
Topic 14 Information maintenance and accessibility	<i>Develop strategies to manage and maintain physical and digital information during business and system change, in particular during the planned upgrade to Office 365.</i>	Planning for the upgrade/migration is yet to commence. This is likely to occur in first half of FY22 subject to funding	December 30 th 2022
Topic 20 Current organisation-specific disposal authorities	<i>The Ministry should prioritise the development of an organisation-specific disposal authority that covers all formats and business functions as this is a statutory requirement</i>	A Retention and Disposal Policy will be produced as part of the IM Roadmap.	September 20 th 2022

As part of this action plan we will be actively seeking Archives New Zealand feedback on the documents and look working with you to lift the Ministry's maturity as it relates to the PRA.

Best regards,



Leatigaga Jason Tualima
Deputy Secretary Corporate Services
Ministry for Pacific Peoples
Jason.tualima@mpp.govt.nz

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Information Management Action Plan

Name of public office: Ministry of Transport			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 3 – Governance arrangements and Executive Sponsor	<i>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.</i>	<p>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.</p> <p>Regularly review effectiveness of reporting, including impact on staff information management behaviours and SLT decision-making.</p>	June 2022
Topic 4 – IM Integration into business processes	<i>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.</i>	<p>Resourcing for information management is being monitored with additional resource allocated, or sourced externally, as required to meet business needs.</p> <p>Improvements to wider business planning processes currently underway will assist with identifying upcoming requirements and allocating budget.</p>	Current and ongoing

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Topic 14 – Information maintenance and accessibility	<i>Create and document a plan for managing and maintaining digital information currently stored in old systems.</i>	<p>Create a Digital Preservation Plan following the development of the Information Asset Register (IAR) - refer topic 11.</p> <ol style="list-style-type: none"> 1) Review information held in obsolete formats and transfer to more accessible formats. 2) Identify actions required for active preservation 	December 2022
Topic 11 – High-value / high-risk information	<i>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.</i>	<p>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.</p> <p>Identify asset information to be collected.</p> <p>Conduct an information review with key stakeholders (focus groups with staff/stakeholders).</p>	July 2022
Topic 18 – Information access, use and sharing	<i>To improve maturity the Ministry should perform active maintenance of metadata and file plans to ensure the reliable management and discovery of information.</i>	Continue to review and maintain the Business Classification Scheme to ensure it is consistent, current, and covers all Ministry functions, activities and sub activities.	Current and ongoing as part of BAU

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		Continue to maintain workflow metadata to ensure the attributes (Group names, Team names, Managers) are current, and captured accurately in reporting.	
Topic 21 – Implementation of disposal decisions	<i>To increase maturity, the Ministry should create a plan to review all IT systems to ensure the ongoing effectiveness of information disposal.</i>	<ul style="list-style-type: none"> • 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: <ol style="list-style-type: none"> 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

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Information Management Action Plan

Note to Archives New Zealand: The Classification Office is a small organisation, and we have no dedicated IM staff. Our current budget limitations suggest that completing 2 IM projects per financial year will provide us with steady improvement that will be within our budget. Two of the suggested projects below fall outside the suggested two year time-frame. If we have the financial and people resources to bring some projects forward, we will do so.

Name of public office: Classification Office			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>Develop an information management strategy following Archives New Zealand's guidance. 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 the Classification Office's business activity.</i>	An information management strategy is the second activity we plan to address, commencing mid-2022. It will follow Archives NZ's guidance, and we anticipate that it will be signed off before December 2022. The roadmap that we develop as part of the strategy will outline in more detail the remaining projects in this action plan.	December 2022
Topic 2 IM policy and processes	<i>The Classification Office should create and maintain process documentation to be used in conjunction with the Recordkeeping Policy. These should include (but is not limited to) guidance on folder structures, document naming conventions, locating of storing records, disposal decisions and categories of information that is high-value or high-risk. The policy and process documentation should be approved by senior management, reviewed and updated on a periodic basis, and</i>	The information management strategy will highlight what policy and process documentation we need to review and update from our current 2009 information management policy, which, as the audit report noted, remains largely up-to-date. We plan to start this project after the IM Strategy has been signed off by senior management.	June 2023

	<i>communicated and made available to all staff and contractors.</i>		
Topic 11 High-value/high-risk information	<i>To increase maturity, the Classification Office should update the stocktake report and use it to create and maintain an information asset register, including the documentation of information that is high-value or high-risk.</i>	Developing an information asset register, with a focus on high-value and/or high-risk information will commence in the first half 2024, with the aim of completing it by June 2024. We are hoping also that Archives NZ will have some comprehensive guidance available for small organisations such as ours by then also.	June 2024
Topic 14 Information maintenance and accessibility	<i>Create and document a plan for managing and maintaining digital information with particular attention paid to the Classification Database.</i>	A framework for assessing business systems and integrating IM requirements into new business systems and IT projects will be developed later in 2024. This will ensure that with any new business systems or changes to existing business systems (such as decommissioning) will have a methodology for assessing what needs to be included in the design and planning to meet IM requirements. As above, any guidance from Archives NZ will be most welcome.	December 2024
Topic 20 Current organisation-specific disposal authorities	<i>Develop an organisation-specific disposal authority.</i>	Work on revising the disposal authority is underway. We anticipate submitting this to Archives by mid-June 2022 for approval.	June 2022
Topic 21 Implementation of disposal	<i>Develop a disposal implementation plan with a focus on digital information.</i>	Having a signed disposal authority will facilitate the development of a disposal implementation plan. We hope to commence this activity in the latter	December 2023.

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decisions		half of 2023, and complete it by the end of 2023	
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Draft Action Plan based on PRA report and covering letter from the Chief Archivist.

Table 1: Priority items identified in the Chief Archivist's letter:

Action	Topic	Resource required	Description	Proposed delivery date
1. Develop a new IM strategy following Archives New Zealand's guidance and ensure it is aligned to the new digital strategy	1 – IM Strategy	IM/IT in consultation with Digital Steering Committee	SharePoint Business Analyst to liaise with the Digital Steering Committee and Information Leadership to draft a new IM Strategy	Draft Strategy document prepared for review by SLT
2. Ensure that the digital strategy incorporates initiatives relating to information management	1 – IM Strategy	Digital working group in consultation with IM	IM Initiatives and an IM lens have been an integral part of developing the IT Roadmap and Digital Ecosystem (referred to as the Digital Strategy)	Complete
3. Design reporting that provides useful and actionable information to the Executive Sponsor that can be provided to the Group's Senior Leadership Team. (Resume periodic adoption reporting with recommendations as part of BAU)	3 – Governance arrangements and Executive Sponsor 7 – Self Monitoring	Off the back of the Biannual O365 report, IM/Performance Systems to be trained in how and what to extract from Smart Records and Office 365 Admin, and design a process of reporting to Executive Sponsor and SLT.	First report received with some follow up required. Next step to provide overview and recommendations to Sponsor and SLT. Next report to be ready Late October 2021.	Completed
4. Implement changes to information management practices to improve access, discoverability and care for information of importance to Māori.	6 – Te Tiriti of Waitangi	IM/IT and Intelligence in consultation with Rautaki Māori team	In consultation with the Rautaki Māori team we updated the taxonomy and created a new site, which is now actively used and open to all Sport NZ staff. Kaupapa Māori - Home (sharepoint.com)	Complete

Action	Topic	Resource required	Description	Proposed delivery date
5. In consultation with information management staff, analyse the information management staff capacity to ensure that continuous improvement for information management is supported in the business.	8 – Capacity and Capability	IM/IT/Performance Systems	An assessment was made of capacity versus workload, and it was identified that an additional resource was required to support dedicated focus on IM management. Fixed Term position now filled.	Complete
6. Create an information asset register to formally document the high-value or high-risk information for the Group and develop and plan for the long-term management of this information	5 – Outsourced functions and collaborative arrangements (tracking external parties with access to high risk/high value information assets) 11 – High value/high risk information	Performance Systems (John Lythe)/Digital Steering Committee/IM	By adapting an online template the team will develop an asset register to capture the high-value or high-risk information across the group. This piece has commenced and will require a range of conversations with key staff, with a view to have something established by the end of the year.	March 2022
7. Ensure that information management resources are assigned to implement disposal actions on a regular basis. Recommended action is to develop and	14 – Information maintenance and accessibility 21 – Implementation of disposal decisions	Develop Disposal Implementation Plan that covers hard copy files (legacy files), and electronic files in KC/KS and Teams, as well as shared drives. Review to be conducted quarterly	Proposed Disposal Implementation Plan to be ready by October 29, 2021 with the first review memos to be sent out to business owners by Mid November	Complete

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Action	Topic	Resource required	Description	Proposed delivery date
implement a Disposal Implementation Plan.	22 – Transfer to Archives New Zealand			

Table 2: Recommended Action endorsed by the Chief Archivist

Action	Topic	Resource required	Description	Proposed delivery date
<p>8. Document the Group's information management processes and procedures, including –</p> <p>a. flowcharts and decision trees to assist staff and contractors when making decisions on what to do with information captured</p> <p>b. standardised information management requirements for new and upgraded business systems,</p> <p>c. a formal definition of what information management good practice is for the Group.</p>	<p>2– IM policy and processes</p> <p>9 – IM roles and responsibilities</p> <p>10 – creation and capture of information</p> <p>12 – IM requirements built into technology systems</p> <p>13 – Integrity of Information</p>	<p>IM/IT in consultation with Intelligence Team and Performance Systems</p>		<p>February 2022</p>

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Action	Topic	Resource required	Description	Proposed delivery date
These documents should be approved and communicated to staff and contractors.				
9. Provide training to business owners to enhance their understanding of the information management responsibilities expected of them.	4 – IM Integration into business processes 9 – IM roles and responsibilities	1 hour session per business owner covering PRA requirements and mapping out of Workspace – which sites/libraries/Teams and what goes where IM/IT/Performance Systems	Assisted by the documentation developed in action point 8, this training could then be developed and delivered to the various business owners.	March 2022
10. Design and deliver Refresher Training to be completed by all staff annually.	9 – IM roles and responsibilities	20 hours to develop an online resource. IM/IT/Performance Systems	This would be delivered as an online module, with the opportunity to book time with the Performance Systems Consultant or SharePoint Business Analyst as needed.	March 2022
11. Incorporate an Information Management lens in identifying what information is required following a business disruption.	15 – Business continuity and recovery	Staff from HPSZ and Sport NZ to review the current BCP to ensure that key records are identified and incorporated in the overall plan, and to call out where these files relate to Sport NZ and/or HPSNZ and which physical locations are part of the plan.	The BCP is currently under review, with proposed changes to address what information is required following a business disruption. This review covers requirements for Sport NZ locations as well as High Performance Sport NZ locations.	March 2022
12. Security testing and reporting , performed by IL every 6 months (on request)	16 – Appropriate storage arrangements	Part of O365 Report provided by IL on a six-monthly basis as built into SLA. Report to be reviewed by IT, with follow up action identified and discussed with Sponsor and SLT.	First report received in August 2021. Recommended changes to be shared with Sponsor and implemented.	Complete

Action	Topic	Resource required	Description	Proposed delivery date
<p>13. Housekeeping task: review and validate AD and Office 365 security groups with business owners. Is there anyone listed who no longer needs access or is there anyone who should have access but is missing?</p>	18 – Information access, use and sharing	<p>Six monthly housekeeping task: review and validate AD and Office 365 security group membership with business owners.</p> <p>Write up and contact – 20 hours</p> <p>Awaiting approval/feedback – unknown</p> <p>Requesting changes (variable depending on changes required)</p> <p>IM/IT</p>	<p>This is a regularly scheduled housekeeping task to resume post migration</p> <p>First review scheduled for October, with the proposed delivery date indicating that the review process has commenced and managers have been contacted.</p>	Complete
<p>14. Determine frequency for review of current organisation-specific disposal authority and engage with IL/Archives New Zealand according to this frequency</p>	20 – Current organisation-specific disposal authorities	<p>Discuss and agree on frequency of review.</p> <p>IM/IT/Performance Systems/IL?</p> <p>Provide recommendation to Sponsor/SLT</p> <p>Capture record of agreed to frequency.</p>	<p>Develop a simple plan for reviewing the organisation-specific disposal authority and save to KC under the Records Management folder.</p> <p>Based on expiry date and duration of review process, frequency recommended is 8 years.</p>	Complete

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Information Management Action Plan for Open Polytechnic

28 Jan 2022

Name of public office: Open Polytechnic of New Zealand			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 2 IM policy and processes	<i>To improve maturity, the Open Polytechnic should document its information management processes for the ECM across business teams, focussing on high-value and high-risk information. These documents should be approved and communicated to all staff and contractors. This will ensure that information management activities are undertaken in the ECM in a clear and consistent manner.</i>	<i>Reviewed and updated 'Information, Records and Data Management Policy' has been approved by Executive. New intranet site for Information and Records Management is being created to clear provide policy and procedures for staff. This will be launched with communications to staff.</i>	March 2022
Topic 3 Governance arrangements and Executive Sponsor	<i>In line with Topic 1 – IM Strategy establish an information management Governance Group, to monitor performance against the strategy and where useful and actionable reporting can be provided to.</i>	<i>New 'Information, Records, Data and Security Governance Group' has been established and meets regularly.</i>	Completed
Topic 6 Te Tiriti of Waitangi	<i>Work with the internal Māori adviser to clearly define and identify the information of importance to Māori that the Open Polytechnic holds, and document this within the existing register.</i>	<i>Open Polytechnic's kaiwhakahaere is on secondment to Te Pūkenga until July 2022. We are participating in conversations with other polytechs and our parent organisation Te Pūkenga around Māori Data Sovereignty.</i>	December 2022

Topic 11 High-value/high-risk information	<i>Update the Vital Records Register, ensuring that all high-value and high-risk information is appropriately documented and current.</i>	<i>Have created a new Information Asset Register which will be a living document. Initial effort will focus on high-value/high risk information.</i>	<i>High-value/high-risk information in Register by May 2022.</i>
Topic 12 IM requirements built into systems	<i>Develop a process for determining that information management requirements are incorporated in new and upgraded business systems.</i>	<i>Plan to develop an 'Information and Records Management checklist' that will be a requirement to complete for new and upgraded business systems and processes.</i>	<i>May 2022</i>
Topic 21 Implementation of disposal decisions	<i>To increase maturity to progressing, develop a plan to ensure adequate resources are assigned to ensure implementation of disposal actions is routinely carried out for both physical and digital information.</i>	<i>Since the PRA Audit, the 'Digital Records Lead' position at the Open Polytechnic has been filled and this position is responsible for implementing disposal actions. Some disposals have already been implemented. Plan to set up automated disposal functionality on O365 SharePoint.</i>	<i>Automated disposal functionality on O365 SharePoint – March 2023</i>

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26 November 2021

Antony Moss
Director, Government Recordkeeping Directorate
Archives New Zealand
10 Mulgrave Street
Wellington

Dear Antony

Public Records Act Audit prioritised recommendations action plan

I refer to the Public Records Act Audit Follow-up letter dated 28 May 2021 in which our organisations were provided with a template pre-populated with prioritised recommendations.

We have updated the template as shown below.

Kind regards,



James Smith
Chief Financial Officer

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Information Management Action Plan

Name of public office: Wellington Institute of Technology Limited and Whitireia Community Polytechnic Limited			
IM Maturity Assessment Topic no.	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 – IM Strategy	Work with Te Pūkenga to develop, implement and monitor an IM strategy covering physical and digital information, to support the entities' compliance with their IM obligations throughout the information lifecycle, in alignment with Archives NZ's Information and records management standard.	<p><i>Te Pūkenga is progressing a significant programme of transformation to meet RoVE expectations over the next 18 months. We believe the most appropriate approach is to align with known workstreams, the most logical being the development of an ISSP which is currently underway with a delivery date of mid-2022.</i></p> <p><i>We will connect with Te Pūkenga to determine an appropriate timeframe.</i></p>	TBC
Topic 3 – Governance arrangements and Executive Sponsor	Reinstate an IM governance group across Whitireia and WelTec to better govern and support IM practices in alignment to the strategic direction for IM.	<p><i>Terms of reference for a revised IM governance group have been developed. These will be formally agreed by our Joint Leadership Team and membership confirmed in Q1, 2022.</i></p> <p><i>We aim to re-launch this group in February 2022.</i></p>	February 2022
Topic 8 – Capacity and Capability	Increase IM capacity to support the uplift of IM practices to comply with the entities' IM obligations and policy.	<i>WelTec and Whitireia acknowledge the excellent work our dedicated staff within the Information and Reporting team complete. Unfortunately, tight financial management means we cannot add FTE into our organisation during 2022.</i>	December 2023 pending Te Pūkenga decisions

		<i>Once we conclude the phasing out of network drives our IRM team will have additional capacity to support the uplift of IM practices.</i>	
Topic 10 – Creation and capture of information	Implement controls to prevent staff from writing to network shared drives.	<i>Controls have been in place since March 2020 limiting write access to network shared drives. WelTec and Whitireia have made good progress to date in our archive project with SharePoint O365 becoming our information storage repository of choice. We are on-track to complete this project by the middle of 2022.</i>	30 June 2022
Topic 11 – High-value / high-risk information	Formally identify which information assets are of high-risk/high-value and determine related risk and compliance gaps, and regularly track and report remediation actions.	<i>This recommendation will be the standing agenda item of the IM governance group. An Information Asset Register is in place but is a work in progress. We are collaborating with other ITP's in determining risk, gaps, and remediation actions.</i>	31 December 2022
Topic 21 – Implementation of disposal decisions	Implement record keeping labels in SharePoint and O365 that align to the NZITP Disposal Authority.	<i>This recommendation represents a big piece of work which we estimate will roll through into 2023. During 2022 we will begin application of record keeping labels to facilitate compliant retention and disposal practices and provide professional development training to our staff.</i>	31 December 2023

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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.

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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.	<ol style="list-style-type: none">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

	<p>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.</p> <p>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.</p>		
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	<p>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.</p> <p>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?</p>		

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.		

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Archives New Zealand Audit 2021 – Top 6 Priorities Information Management Action Plan (9 August 2022)

Name of public office: Crown Law Office										
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target Completion Date							
			Jan-Mar 2022	Apr-Jun 2022	Jul-Sep 2022	Oct-Dec 2022	Jan-Mar 2023	Apr-Jun 2023	Jul-Sep 2023	Oct-Dec 2023
Topic 1 IM Strategy	<i>Complete and implement the IM Strategy in alignment with Archives NZ's mandatory Information and records management (IRM) standard.</i>	Participate in the development of the Information + Research Strategy, consult, revise and finalise. This will include the IM Strategy. Final to PCGC for sign off.								
Topic 7 Self-monitoring	<i>As part of the bedding in of the new governance arrangements, ensure a more structure approach to monitoring and reporting on the IM work programme and addressing corrective actions.</i>	Have agreed timetable for regular reporting to the Performance and Capability Governance Committee (PCGC). Reports will go to PCGC in January, May and September each year. Have agreed reporting template to ensure progress with projects is tracked, recordkeeping risks are highlighted and addressed, and that PCGC is familiar with current recordkeeping priorities. Review monitoring practices to identify improvements.								

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Topic 10 Creation and capture of information	<i>Perform periodic audits on storage of information on staff local drives and any inconsistencies with CLO's Recordkeeping Policy.</i>	Have considered and consulted on possible ways to meet this requirement. Have drafted an approach and have consulted with Crown Law's Privacy Officers. Are currently consulting with IT on technical approach. Will then prepared paper for PCGC. Once signed off will communicate and implement.								
Topic 11 High-value/high-risk information	<i>Validate the completeness and accuracy of the information asset and risk register against the Disposal Schedule as part of the process of developing the Disposal Schedule.</i>	<u>Crown Solicitors:</u> Have updated the Information Asset and Risk Register (IAAR). More work will be undertaken as DA703 is implemented and the IARR will be updated as required. <u>Crown Law:</u> Dependency on Topic 20. Review all classes of records identified in when disposal authority approved.								
Topic 14 Information maintenance and accessibility	<i>Include plans in the IM work programme to review information on obsolete formats and transfer them to more accessible formats.</i>	Consideration has been given to material held on obsolete formats. February 2022 - The only material identified as being on obsolete formats is on old backup tapes from superseded systems. These have had their contents migrated to current systems and so are now redundant. Complete unless more material is identified.								

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		August 2022 – Dependency on Topic 20. Approximately 60 VHS tapes will be considered for migration to a current format after the Crown Law Disposal Authority has been signed off by the Chief Archivist. This is to ensure that material is that is to be destroyed is not migrated.								
Topic 20 Current organisation-specific disposal authorities	<i>Complete and implement the DA's covering all business functions and information formats as soon as practically possible.</i>	<u>Crown Solicitors</u> : DA703 approved. Currently considering implementation options and budget, implement. <u>Crown Law</u> : Develop DA, sign off by Archives New Zealand, consider options for implementation, prepare budget, implement.								

Green = Is being worked on / Grey = Target completion date

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25 August 2021

Archives New Zealand, 10 Mulgrave Street, Wellington

Phone +64 499 5595

Websites www.archives.govt.nz

www.dia.govt.nz

Liam Mason
General Counsel
Financial Markets Authority
Liam.Mason@fma.govt.nz

Tēnā koe Liam

Public Records Act (PRA) Audit Follow-up

The Chief Archivist's audit letter dated 28 July 2021 requires us to follow-up on the prioritised audit recommendations through your development of an action plan.

The purpose of this follow-up is to monitor the actions of public offices to address the recommendations outlined in the Chief Archivist's letter.

IM Improvement Programme Roadmap

All recommendations in the Audit Report are designed to improve your information management (IM) maturity. We trust that you will consider addressing all of them over the next five years in a comprehensive roadmap.

This will help your organisation to capitalise on the audit effort and raise the maturity of your organisation's IM practice.

Prioritised recommendations and follow-up timeframes

To focus your IM improvement programme, the identified recommendations in the Chief Archivist's audit letter should provide the most immediate value.

In the appendix is an IM Action Plan with your organisation's prioritised recommendations pre-populated. Please fill the template with the following:

- actions you intend to take to address the recommendations
- a target completion date for the actions over the next two years

Your action plan should be returned to Archives New Zealand via PRAAudit@dia.govt.nz by **25 February 2022**. Archives will not be issuing any reminders for this step of the process.

We will however be checking in with your organisation's progress after 6 months of receiving your action plan, and again at 12 months. Reminders will be sent to your organisation for these check-ins.

Our annual State of Government Recordkeeping Report that is presented to our Minister and tabled in the House of Representatives will report action plans returned and not returned.

We look forward to receiving your action plan and if you require further guidance please contact rkadvice@dia.govt.nz

Nāku noa, nā



Aroha Dawson
Manager Advice and Compliance

on behalf of
Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand

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APPENDIX

Information Management Action Plan

Name of public office: Financial Markets Authority			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>When next updating the Knowledge Management Strategy engage with other public offices within the Authority's sector to ensure alignment where relevant.</i>	➤ 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 (expected 2023)
Topic 3 Governance arrangements and Executive Sponsor	<i>The Executive Sponsor should consider with other Executive Sponsors in their sector on information through forming a community of practice.</i>	➤ Executive Sponsor will be mindful of the recommendation when working with the CoFR agencies in information management capability areas	Ongoing
Topic 5 Outsourced functions and collaborative arrangements	<i>Ensure that information management roles and responsibilities for managing information are clearly identified in future contracts for outsourced functions and collaborative arrangements.</i>	➤ 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 (limited at present)

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Topic 6 Te Tiriti o Waitangi	<i>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.</i>	<ul style="list-style-type: none"> ➤ 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
Topic 13 Integrity of Information	<i>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.</i>	<ul style="list-style-type: none"> ➤ 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)
Topic 22 Transfer to Archives New Zealand	<i>Assess what information is due for transfer, physical and digital and create a plan for implementation.</i>	<ul style="list-style-type: none"> ➤ 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

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6 October 2021

Archives New Zealand, 10 Mulgrave Street, Wellington

Phone +64 499 5595

Websites www.archives.govt.nz

www.dia.govt.nz

Andrew Simpson
General Manager, Business Services
Institute of Geological and Nuclear
Sciences Limited (GNS Science)
A.simpson@gns.cri.nz

Tēnā koe Andrew

Public Records Act (PRA) Audit Follow-up

The Chief Archivist's audit letter dated 8 September 2021, requires us to follow-up on the prioritised audit recommendations through your development of an action plan.

The purpose of this follow-up is to monitor the actions of public offices to address the recommendations outlined in the Chief Archivist's letter.

IM Improvement Programme Roadmap

All recommendations in the Audit Report are designed to improve your information management (IM) maturity. We trust that you will consider addressing all of them over the next five years in a comprehensive roadmap.

This will help your organisation to capitalise on the audit effort and raise the maturity of your organisation's IM practice.

Prioritised recommendations and follow-up timeframes

To focus your IM improvement programme, the identified recommendations in the Chief Archivist's audit letter should provide the most immediate value.

In the appendix is an IM Action Plan with your organisation's prioritised recommendations pre-populated. Please fill the template with the following:

- actions you intend to take to address the recommendations
- a target completion date for the actions over the next two years

Your action plan should be returned to Archives New Zealand via PRAAudit@dia.govt.nz by **6 April 2022**. Archives will not be issuing any reminders for this step of the process.

We will however be checking in with your organisation's progress after 6 months of receiving your action plan, and again at 12 months. Reminders will be sent to your organisation for these check-ins.

Our annual State of Government Recordkeeping Report that is presented to our Minister and tabled in the House of Representatives will report action plans returned and not returned.

We look forward to receiving your action plan and if you require further guidance please contact rkadvice@dia.govt.nz

Nāku noa, nā



Aroha Dawson
Manager Advice and Compliance

on behalf of
Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand

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APPENDIX

Information Management Action Plan

Name of public office: Institute of Geological and Nuclear Sciences Limited (GNS Science)			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>Create an information strategy that supports the needs of GNS Science and its intended strategic direction. This should be approved by senior management.</i>	<i>The Information Services Strategic Plan is due for review in FY23/24 and we will write the Information Strategy to support that revised plan</i>	FY23/24
Topic 3 Governance arrangements and Executive Sponsor	<i>Establish a governance group that is responsible for overseeing information management activities, including the information management strategy and associated policy. This should be a priority for GNS Science due to the nature of information that is being created, captured and maintained.</i>	<i>GNS has implemented the IS&T Governance Group, and Information Management falls within their remit. The group meets quarterly, and received their first IM status update in February</i>	Completed
Topic 5 Outsourced functions and collaborative arrangements	<i>Update all relevant contract templates for outsourced functions and collaborative arrangements to include information management roles and responsibilities for the creation, maintenance, retention, and disposal of information.</i>	<i>GNS will review and update its contract templates and collaboration agreements, where appropriate and practicable, to clearly state these roles and responsibilities</i>	Q1 FY22/23

Name of public office: Institute of Geological and Nuclear Sciences Limited (GNS Science)			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 10 Creation and capture of information	<i>Implement an ECM to enable staff to capture information with the required amount of metadata, and to improve accessibility and reliability of information.</i>	<i>GNS is currently reviewing proposals from ECMS vendors and preparing a business case for ECMS implementation.</i>	Q4 FY22/23
Topic 14 Information maintenance and accessibility	<i>Assess whether information held in the formats identified as being at risk of becoming inaccessible due to technology obsolescence contain high-value or high-risk information.</i>	<i>GNS will explore solutions for maintaining access to priority information that's vulnerable / at risk from technological obsolescence.</i>	On-going
Topic 20 Current organisation-specific disposal authorities	<i>Finalise the organisation-specific disposal authority and get it approved by Archives New Zealand.</i>	<i>The GNS Appraisal Report is currently being reviewed by Archives New Zealand</i>	Q4 FY21/22

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1 February 2022

TEL +64 4 473 0111 FAX +64 4 494 1263
Level 11,1 Grey Street, Wellington 6011
PO Box 25620, Wellington 6140
New Zealand

Antony Moss
Director, Government
Recordkeeping Directorate
Archives New Zealand

Tēnā koe Antony

Thank you for your letter dated 28 July 2021 as a follow up to the Public Records Act (PRA) Audit and recommendations outlined by the Chief Archivist.

As per the recommendations in the Audit report, we have created an Information Management (IM) Roadmap designed to improve our IM maturity. These recommendations have been reviewed and incorporated into this roadmap to be addressed over the next five years. Additionally the PRA Report has been reported to our external Audit and Risk Committee who will retain oversight of the PRA recommendations over time.

We are also timing our work to re-develop our Information Strategy with the development of our regulatory strategy and our internal Te Korowai o Kaitiakitanga work programme. Te Korowai o Kaitiakitanga is our work programme to enable Maritime New Zealand staff to have the right tools to do their job and ensure we can operate now and into the future as stewards of the maritime domain.

Accordingly we have focussed our IM improvement programme on the identified recommendations in the Chief Archivist's audit letter (dated 30 June 2021), which will provide the most immediate value and was endorsed by the Audit and Risk Committee when reviewing the audit in October 2021. This has been attached in the appendix.

If you require any further information, or have any concerns, regarding the action plan please contact our CIO, John McCaw john.mccawe@maritimenz.govt.nz.

Nāku noa, nā



Andrew Saunderson
Deputy Chief Executive, Organisational
Strategy and Systems

APPENDIX 1 – Information Management Action Plan

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
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.	<input type="checkbox"/> A new strategy to lead improvement is critical as a starting point setting the direction.	<input type="checkbox"/> 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
Topic 20 Current organisationspecific disposal authorities	Develop an organisation-specific disposal authority covering business functions and formats.	<input type="checkbox"/> Obtaining a new organisationspecific disposal authority is also critical for improvement in other areas.	<input type="checkbox"/> 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
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.	<input type="checkbox"/> This will mitigate the risk of further issues around the reported inability to recover records created by third parties.	<input type="checkbox"/> 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

<p>Topic 8 Capacity and Capability</p>	<p>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).</p>	<p><input type="checkbox"/> Sufficient resource is needed to improve maturity across the many facets of IM and across the organisation.</p>	<p><input type="checkbox"/> 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 position (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.</p>	<p>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.</p>	<p>June 2022</p>
<p>Topic 11 High-value/ information</p>	<p>highrisk 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 organisationspecific disposal authorities).</p>	<p><input type="checkbox"/> This will be a useful adjunct to work on Topic 20.</p>	<p><input type="checkbox"/> An embryonic information asset register has been developed management but further work had been deferred due to other priorities and capacity constraints.</p>	<p>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 position.</p>	<p>December 2022</p>
<p>Topic 14 Information maintenance and accessibility</p>	<p>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.</p>	<p><input type="checkbox"/> 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/highrisk.</p>	<p><input type="checkbox"/> 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.</p>	<p>Work to develop a plan for managing and maintaining digital information will be undertaken in parallel with the development of an information asset register.</p>	<p>December 2023</p>

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6 October 2021

Archives New Zealand, 10 Mulgrave Street, Wellington

Phone +64 499 5595

Websites www.archives.govt.nz

www.dia.govt.nz

Warrick Johnston
General Manager Technology and
Innovation
National Institute of Water and
Atmospheric Research Limited (NIWA)
warrick.johnston@niwa.co.nz

Tēnā koe Warrick

Public Records Act (PRA) Audit Follow-up

The Chief Archivist's audit letter dated 8 September 2021 requires us to follow-up on the prioritised audit recommendations through your development of an action plan.

The purpose of this follow-up is to monitor the actions of public offices to address the recommendations outlined in the Chief Archivist's letter.

IM Improvement Programme Roadmap

All recommendations in the Audit Report are designed to improve your information management (IM) maturity. We trust that you will consider addressing all of them over the next five years in a comprehensive roadmap.

This will help your organisation to capitalise on the audit effort and raise the maturity of your organisation's IM practice.

Prioritised recommendations and follow-up timeframes

To focus your IM improvement programme, the identified recommendations in the Chief Archivist's audit letter should provide the most immediate value.

In the appendix is an IM Action Plan with your organisation's prioritised recommendations pre-populated. Please fill the template with the following:

- actions you intend to take to address the recommendations
- a target completion date for the actions over the next two years

Your action plan should be returned to Archives New Zealand via PRAAudit@dia.govt.nz by **6 April 2022**. Archives will not be issuing any reminders for this step of the process.

We will however be checking in with your organisation's progress after 6 months of receiving your action plan, and again at 12 months. Reminders will be sent to your organisation for these check-ins.

Our annual State of Government Recordkeeping Report that is presented to our Minister and tabled in the House of Representatives will report action plans returned and not returned.

We look forward to receiving your action plan and if you require further guidance please contact rkadvice@dia.govt.nz

Nāku noa, nā



Aroha Dawson
Manager Advice and Compliance

on behalf of
Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand

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APPENDIX

Information Management Action Plan

Name of public office: National Institute of Water and Atmospheric Research Limited (NIWA)			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>Complete and implement the IM Strategy in alignment with Archives NZ's mandatory IRM standard.</i>	Work is underway to revise the existing IM Strategy in readiness for review and input with the IM Governance Group. The IM Team have also documented a detailed programme of work based on PRA Audit Recommendations.	August 2022
Topic 3 Governance arrangements and Executive Sponsor	<i>Re-establish the IM Governance group, ensuring that it has an appropriate term of reference to provide effective governance for the direction of IM in NIWA.</i>	<ul style="list-style-type: none"> – A report has been submitted to NIWA Board/Exec outlining NIWA's obligations under PRA and next steps to progress IM Maturity. – IM Governance Group representation has been reviewed and will remain at the Exec level. Group terms of reference/engagement plan currently in discussion/review. – We anticipate the IM Governance Group to meet in July/August 2022. – Direction of IM at NIWA will be prioritised based on the detailed programme of work drafted, however significant work is already underway with establishing the IAR (Information Asset Register) and Physical Records Audit across all sites. 	July 2022

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<p>Topic 8 Capacity and Capability</p>	<p><i>Assess whether the current IM structure and mix of responsibilities remains appropriate for the organisation moving forward.</i></p>	<p>A review of existing roles was recently completed. Recruitment for team lead for IT Project Management and Information Management is currently underway.</p> <p>This role will oversee delivery of IM and will report directly to Service Delivery Lead and Executive Sponsor for IM.</p> <p>IM will be delivered as an evergreen project and focussed on improving NIWA's information management processes, procedures, and systems.</p> <p>Direct reports:</p> <p>2 x FTE - Project/Information Management Analyst</p> <p>1 x PTE - IT and Records Support Specialist (30 hours p/w a recent increase from 25 hours p/w)</p>	<p>Completed</p>
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<p>Topic 10 Creation and Capture of Information</p>	<p><i>NIWA should consider an appropriate technology solution for its science and research information and migrate that information from its network drives.</i></p>	<p>NIWA's technology solution for document management is SharePoint Online.</p> <p>NIWA's existing SharePoint Architecture Online and use of MS Teams/OneDrive is currently being reviewed to accommodate future migration of science and research information from network drives.</p> <p>Migration of Science Projects to M365/SPO is a significant piece of work as identified in the IM detailed Programme of work.</p>	<p>In progress and ongoing work.</p> <p>Completion Date TBC</p>
<p>Topic 11 High-value/high-risk information</p>	<p><i>Prioritise the development and implementation of a centralised NIWA Information Asset Register and the centralised process for the management of science records currently held in on-site and off-site storage repositories to ensure high-value/high-risk information is effectively maintained.</i></p>	<p>The development and implementation of a centralised NIWA Information Asset Register and SOP is now completed. The IAR captures significant Datasets, Databases and Physical Records. Attributes of the IAR register is based on the IAR Template from digital.govt.nz.</p>	<p>Completed</p>
<p>Topic 14 Information maintenance and accessibility</p>	<p><i>Address preservation needs for all physical information to ensure ongoing accessibility to that information.</i></p>	<p>An inventory of physical records across all Regional and EIO sites is now complete. This information is also captured in NIWA's Information Asset Register. Recent work includes cataloguing of Science and Research records in physical formats from Wellington Allen building to TIMG (The Information Management Group) to off-site storage. The records team is currently working with key stakeholders across regional sites to assist with appraisal and disposal decisions in line with future property programme work.</p>	<p>In Progress</p>

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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

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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	<i>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.</i>	<p>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.</p> <p>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).</p> <p>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.</p>	<p>In Progress</p> <p>Date for Approval by end of March 2022</p>

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<p>Topic 3 Governance arrangements and Executive Sponsor</p>	<p><i>Establish an information governance group, which includes the Executive Sponsor, that can champion information management within NZBOS.</i></p>	<p>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.</p>	<p>In Progress</p> <p>Date for Completion end of May 2022.</p>
<p>Topic 8 Capacity and capability</p>	<p><i>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.</i></p>	<p>NZBOS are currently recruiting to an Information Management lead, once in post NZBS commit to ensuring that they have regular access to professional development opportunities. As an interim measure NZBS have recruited a specialist IM Consultant to support information management initiatives and activities.</p>	<p>In Progress</p> <p>Date for Completion end of July 2022.</p>
<p>Topic 14 Information maintenance and accessibility</p>	<p><i>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.</i></p>	<p>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.</p> <p>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.</p>	<p>In Progress</p> <p>Date for Completion end of July 2022.</p>

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<p>Topic 18 Information access, use and sharing</p>	<p><i>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.</i></p>	<p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>	<p>In progress</p> <p>Date for Completion End of December 2022 for first 2 candidates.</p>
<p>Topic 21 Implementation of disposal decisions</p>	<p><i>Assign information management resources to ensure implementation of disposal actions is routinely carried out</i></p>	<p>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.</p>	<p>Completed February 2022</p>

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		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.	
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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 that 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 finalise 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.

2021 Archives NZ Audit Recommendations Implementation Work Programme September 2021 – 2025

The following outlines the top 6 audit recommendations as advised by Archives NZ in their follow-up letter dated 6 October 2021 and the associated NZQA actions:

Topic	Requirement	Auditor Recommendations	NZQA Proposed Action	Due Date (Quarter)	Who	Status at 1 April 2022
Topic 1	IM Strategy High-level statement outlining an organisation's systematic approach to managing information across all operational environments of an organisation.	Develop a new Information Management Strategy and Roadmap	The existing Information Management Strategy and Roadmap will be reviewed and refreshed. This action is dependent on recruitment of a Principal Advisor, Information Management.	Strategy and Roadmap development – Quarter 2 2022 -2023	Chief Customer Officer	Deferred until recruitment of Principal Advisor, Information Management. Refer to Topic 8.
Topic 3	Governance arrangements and Executive Sponsor The Executive Sponsor has strategic and executive responsibility for overseeing the management of information in a public sector organisation.	A: Expand the Security, Privacy and information management committee (SPIMC) terms of reference to include a more specific focus on NZQA's IM processes, information assets, activities, initiatives and obligations, to ensure appropriate governance is established.	A: The Executive Sponsor and the SPIMC will review this recommendation to determine if it is possible to include a greater focus on IM within the SPIMC ToR and activities; <u>or</u> Agree that it will be more effective to convene a new committee with a specific focus on information management practices.	A: Discuss options - Quarter 2 2021 – 2022 C: Convene new committee (if required) – Quarter 3 2021 - 2022	Executive Sponsor Executive Sponsor	Options have been discussed and it was decided that the SPIMC Terms of Reference will be updated and the existing committee will deliver a greater focus on information management.
Topic 8	Capacity and capability Organisations should have IM staff or access to appropriate expertise to support their IM programme.	A: Reassess the IM structure and level of IM capacity and capability required to manage current and future IM activity and business needs.	A reassessment of required resource for information and records management was completed as part of the development of the ECMS (and Intranet) business case. It is proposed that: A: A new role of Principal Advisor Information Management is established; B: The vacant position for an Information Management Advisor is recruited for; and C: A new role of Senior System Administrator is established (role will be a one-third share with LMS and CRM).	A: Recruit Principal Advisor Information Management. - Quarter 2 2021 – 2022 (refer to business case timeline) B: Recruit Information Management Advisor - Quarter 3 2021 – 2022 (existing FTE) C: Establish and recruit for a Senior System Administrator – Quarter 2 2022 - 2023	A: Chief Customer Officer B: Chief Customer Officer C: Chief Customer Officer	A: Two initial recruitment efforts in Quarter 2 and Quarter 3 were not successful. Interviews taking place this week for applicants to 3 rd recruitment round. B: Recruitment underway. C: The first recruitment round was unsuccessful. A 2 nd will be initiated shortly.
Topic 10	Creation and capture of information Every public office and local authority must create and maintain full and accurate information documenting its activities.	A: Progress with developing a business case for an investment in an ECMS. B: Routinely monitor and address any information usability, reliability, and trust issues to ensure staff and contractors are using approved information management systems for	A: Approve ECMS business case B1: Complete project and BAU activities as per the ECMS (and Intranet) business case B2: Ensure regular monitoring of systems used by NZQA staff including	A: Approval - Quarter 1 2021 – 2022 B1&2: Implementation – by Quarter 1 2023 - 2024	A: Chief Customer Officer B1&2: Chief Customer Officer	A: Completed. B1&B2: Progressing.

2021 Archives NZ Audit Recommendations Implementation Work Programme September 2021 – 2025

		creating and capturing information, including emails.	activity reporting from One-Drive, SharePoint and Teams.			
Topic 21	Implementation of disposal decisions This is about the implementation of disposal decisions, whether from organisation-specific disposal authorities or the General Disposal Authorities.	<p>A: Proactively dispose of information that does not need to be retained under the disposal authorities.</p> <p>B: Incorporate retention and destruction into functional system requirements.</p> <p>C: Increase capacity of IM staff to effectively increase routine authorised disposal.</p>	<p>A: Initiate a programme of disposal in accordance with the approved Retention and Disposal Authority DA622 and the GDAs.</p> <p>B: Include in the functional requirements of the ECMS (and Intranet) business case</p> <p>C1: Recruit a Principal Advisor Information Management C2: Recruit an Information Management Advisor</p>	<p>A: Begin disposals – Quarter 4 2022 – 2023</p> <p>B: Completion of ECMS project – Quarter 1 2023 - 2024</p> <p>C1&2: Recruit Principal Advisor Information Management. - Quarter 2 2021 – 2022 (refer to business case timeline)</p> <p>Recruit Information Management Advisor - Quarter 3 2021 – 2022 (existing FTE)</p>	<p>A: Chief Customer Officer</p> <p>B: Chief Customer Officer</p> <p>C1&2: Chief Customer Officer</p>	<p>A: Not yet due.</p> <p>B: Not yet due.</p> <p>C1: Two initial recruitment efforts in Quarter 2 and Quarter 3 were not successful. Interviews taking place this week for applicants to 3rd recruitment round.</p> <p>C2: Recruitment underway.</p>
Topic 22	Transfer to Archives NZ Information of archival value, both physical or digital, should be regularly transferred to Archives NZ or a deferral of transfer should be put in place.	<p>A: Identify digital information of archival value and ensure that it is structured in such a way as to facilitate transfer to Archives New Zealand.</p> <p>B: Obtain a Deferral of Transfer Agreement for physical and digital information of archival value that is over 25 years old and is not going to be transferred to Archives NZ immediately or cannot be transferred to Archives NZ.</p>	<p>A: Identification and re-structure of existing archival value digital information to facilitate transfer will require a fully resourced project. This proposed action will not be undertaken until the ECMS project is completed.</p> <p>B: Complete deferral of transfer documentation and obtain approval from Archives NZ.</p>	<p>A: To be scoped as a project and submitted for budget prioritisation in 2023-2024</p> <p>B: Deferral documents completed and sent for approval – Quarter 3 2021-2022</p>	<p>A: Chief Customer Officer</p> <p>B: Chief Customer Officer</p>	<p>A: Not yet due.</p> <p>B: Dependent on recruitment of information management staff. See Topic 8.</p>

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6 October 2021

Archives New Zealand, 10 Mulgrave Street, Wellington

Phone +64 499 5595

Websites www.archives.govt.nz

www.dia.govt.nz

Danielle Tait
Manager, Human Resource
New Zealand Growth Capital Partners
Limited
danielle.tait@nzgcp.co.nz

Tēnā koe Danielle

Public Records Act (PRA) Audit Follow-up

The Chief Archivist's audit letter dated 8 September 2021, requires us to follow-up on the prioritised audit recommendations through your development of an action plan.

The purpose of this follow-up is to monitor the actions of public offices to address the recommendations outlined in the Chief Archivist's letter.

IM Improvement Programme Roadmap

All recommendations in the Audit Report are designed to improve your information management (IM) maturity. We trust that you will consider addressing all of them over the next five years in a comprehensive roadmap.

This will help your organisation to capitalise on the audit effort and raise the maturity of your organisation's IM practice.

Prioritised recommendations and follow-up timeframes

To focus your IM improvement programme, the identified recommendations in the Chief Archivist's audit letter should provide the most immediate value.

In the appendix is an IM Action Plan with your organisation's prioritised recommendations pre-populated. Please fill the template with the following:

- actions you intend to take to address the recommendations
- a target completion date for the actions over the next two years

Your action plan should be returned to Archives New Zealand via PRAAudit@dia.govt.nz by **6 April 2022**. Archives will not be issuing any reminders for this step of the process.

We will however be checking in with your organisation's progress after 6 months of receiving your action plan, and again at 12 months. Reminders will be sent to your organisation for these check-ins.

Our annual State of Government Recordkeeping Report that is presented to our Minister and tabled in the House of Representatives will report action plans returned and not returned.

We look forward to receiving your action plan and if you require further guidance please contact rkadvice@dia.govt.nz

Nāku noa, nā



Aroha Dawson
Manager Advice and Compliance

on behalf of
Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand

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APPENDIX

Information Management Action Plan

Name of public office: New Zealand Growth Capital Partners Limited			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>Develop an information management strategy following Archives New Zealand's guidance. This information management strategy should be approved by senior management, communicated to all staff and contractors, and reviewed periodically to ensure it continues to align with NZGCP's business activity. The strategy does not have to be a standalone document but can be included with other strategy documentation as relevant.</i>	<i>Data Management Strategy to be developed that will consider the guidelines provided by Archives New Zealand</i>	30 April 2022 - completed
Topic 2 IM policy and processes	<i>Develop an information management policy. The policy should support the information management strategy once it has been developed (refer Topic 1 – IM Strategy). IT should also include a definition of information management, staff and contractors' roles and responsibilities, and align to Archives New Zealand's standard and requirements and relevant legislation.</i>	<i>Develop a Data Classification and Protection Policy and Data Management Policy.</i>	February 2022 – completed.

Topic 8 Capacity and Capability	<i>NZGCP should assess information management capacity requirements against business needs and address by recruiting additional staff or access external expertise where needed to ensure there is sufficient capacity to drive the information management strategic plan and activities.</i>	<i>Ongoing action and incorporated with the NZGCP Market Development mandate.</i>	Ongoing
Topic 20 Current organisation-specific disposal authorities	<i>NZGCP should prioritise the development of an organisation-specific disposal authority that covers all format and business functions so that NZGCP can carry out authorised disposal of core records.</i>	<i>Planned to have a disposal authority outlined by December 2022; to be incorporated into the Data Management Policy</i>	December 2022
Topic 21 Implementation of disposal decisions	<i>NZGCP should prioritise developing an implementation plan to identify and dispose of physical and digital information under the GDAs.</i>	<i>Will be done after the disposal authority is agreed upon – H1 2023.</i>	H1 2023

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Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand
10 Mulgrave Street, Wellington
Email PRAAudit@dia.govt.nz

8 March 2022

Dear Antony Moss

RE: Public Records Act (PRA) Audit Follow-up

The following update on the Parliamentary Commissioner for the Environment's (PCE) post-audit action plan is provided in response to your letter of 15 September 2021. Five recommendations were made by Archives NZ and PCE's actions in response to those recommendations are provided in numerical order below.

Recommendation 1: Topic 5 - Revise outsourcing contracts (such as finance, human resources, investigative research contracts)

In all contracts, where public records are created and maintained, add information management requirements including ownership, storage, security, monitoring, retention and disposal.

PCE Plan: PCE is investigating revising the contract template to add new requirements, beyond privacy and confidentiality, to include information retention and disposal requirements. This task involves seeking legal advice.

A letter will also be sent to existing contractors setting out expectations regarding information retention and disposal, in line with the revised contract template.

Target completion date: 30/06/22

Recommendation 2: Topic 10 - Improved office information management system

Investigate implementing an information system within the business with audit trail functionality to minimise the risk of information being inappropriately edited and deleted.

PCE Plan: PCE is currently investigating the possibility of using O365 - SharePoint as its office information management system. This task will involve getting specialist ICT advice.

Target completion date: 30/06/22 for investigation phase

Recommendation 3: Topic 14 - Ensure digital transfer capability in all systems

Identify and address risks to the ongoing accessibility of digital information in all systems. Ensuring that digital information is stored in such a way as to assist digital transfer to Archives in the future should be a focus of this recommendation.

PCE Plan: PCE is currently identifying risks to the ongoing accessibility of digital information in all systems, making inquiries into how the current shared drive system could be migrated into an improved ECM environment, such as O365.

Two staff will attend courses on digital information management and transfer in April 2022. Target completion date: 30/06/22 for training

Recommendation 4: Topic 21 - Create and implement a digital information disposal plan

Create and implement a plan to dispose of digital information as authorised in the Disposal Authority and GDAs. This will facilitate the migration of information from shared drives into an improved ECM environment.

PCE Plan: PCE Information Governance Team members will undertake training on digital information management and transfer, before creating and implementing a digital information plan.

The digital information plan will include ensuring that digital file storage structure matches retention and disposal criteria, that the means for transferring appropriate data to Archives NZ exists, and that a system is in place for disposal of digital information after set periods of retention.

Target completion date: 30/06/22 for training

Recommendation 5: Topic 22 - Organise deferral of transfer for physical information over 25 years old

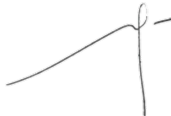
Obtain a deferral of transfer for physical information of archival value that is over 25 years old. It would be useful to ensure that the register of this information is listed according to Archives' requirements to facilitate an efficient transfer when it occurs.

Plan: PCE Information Governance Team members are looking to obtain a deferral.

Target completion date: 30/06/22

Investigations are also under way to ensure that the information asset register is upgraded to a form that meets Archives' requirements.

Yours sincerely



Simon Upton
Parliamentary Commissioner for the Environment



14 September 2021

Archives New Zealand, 10 Mulgrave Street, Wellington

Phone +64 499 5595

Websites www.archives.govt.nz

www.dia.govt.nz

David Ashton
Corporate Support Manager
Parliamentary Counsel Office
David.Ashton@pco.govt.nz

Tēnā koe David

Public Records Act (PRA) Audit Follow-up

The Chief Archivist's audit letter dated 17 August 2021 requires us to follow-up on the prioritised audit recommendations through your development of an action plan.

The purpose of this follow-up is to monitor the actions of public offices to address the recommendations outlined in the Chief Archivist's letter.

IM Improvement Programme Roadmap

All recommendations in the Audit Report are designed to improve your information management (IM) maturity. We trust that you will consider addressing all of them over the next five years in a comprehensive roadmap.

This will help your organisation to capitalise on the audit effort and raise the maturity of your organisation's IM practice.

Prioritised recommendations and follow-up timeframes

To focus your IM improvement programme, the identified recommendations in the Chief Archivist's audit letter should provide the most immediate value.

In the appendix is an IM Action Plan with your organisation's prioritised recommendations pre-populated. Please fill the template with the following:

- actions you intend to take to address the recommendations
- a target completion date for the actions over the next two years

Your action plan should be returned to Archives New Zealand via PRAAudit@dia.govt.nz by **14 March 2022**. Archives will not be issuing any reminders for this step of the process.

We will however be checking in with your organisation's progress after 6 months of receiving your action plan, and again at 12 months. Reminders will be sent to your organisation for these check-ins.

Our annual State of Government Recordkeeping Report that is presented to our Minister and tabled in the House of Representatives will report action plans returned and not returned.

We look forward to receiving your action plan and if you require further guidance please contact rkadvice@dia.govt.nz

Nāku noa, nā



Aroha Dawson
Manager Advice and Compliance

on behalf of
Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand

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APPENDIX

Information Management Action Plan

Name of public office: Parliamentary Counsel Office			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 1 IM Strategy	<i>Develop, implement and monitor an IM strategy covering physical and digital information, to support PCO compliance with their IM obligations throughout the information lifecycle, in alignment with Archives NZ's Information and records management standard.</i>	<i>No progress has been made on this. Work on our strategy will be the main priority for a proposed new role at the PCO called the Information and Knowledge Management Lead. We are currently going through a consultation process which will establish a Knowledge and Information function in the PCO. An IM strategy will be a key initial deliverable for this function/role.</i>	1 July 2023
Topic 3 Governance arrangements and Executive Sponsor	<i>Develop/define a work programme for the Records Advisor to deliver on the (to be developed) IM strategy.</i>	<i>No progress has been made on this. We are currently going through a consultation process which will establish a Knowledge and Information function in the PCO. An outcome of this will be the recruitment of staff to enable us to define and develop an IM work programme.</i>	1 March 2023

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Topic 8 Capacity and Capability	<i>Management to review IM capacity to determine whether additional resource is needed to assist with the IM administrative overhead and to support the uplift of IM practices generally to comply with the PCO IM obligations and policy.</i>	<i>We are currently going through a consultation process which will establish a Knowledge and Information function in the PCO. An outcome of this will be the recruitment of staff to enable us to define and develop an IM work programme.</i>	1 September 2022
Topic 14 Information maintenance and accessibility	<i>Execute the PCO's plan to investigate an appropriate replacement for the current EDRMS.</i>	<i>The PCO has had approval for a Business Transformation Programme (BTP), an aspect of this work will include a replacement for the corporate EDRMS. The Legislation EDRMS will be reviewed separately following the completion of the BTP.</i>	1 September 2022
Topic 12 IM requirements built into technology Systems	<i>Design an approach for new IT projects to consistently consider IM requirements, including disposal, throughout the project lifecycle, e.g. IM stage gates to allow for adequate specification and tracking of IM requirements.</i>	<i>Our understanding of this recommendation is to look to include specifications relating to IM in the PCOs systems. The PCO only has one non-corporate system, the Legislation Enactment of New Zealand (LENZ) system. IM requirements are a key consideration for this application. The PCO will consider corporate IM requirements as part of the BTP.</i>	1 July 2023
Topic 22 Transfer to Archives New Zealand	<i>Identify which physical and digital records need to be transferred to Archives NZ. Notify and work with archives NZ to determine any requirements to enable the transfer of such digital information.</i>	<i>No progress has been made on this. We are currently going through a consultation process which will establish a Knowledge and Information function in the PCO. An outcome of this will be the recruitment of staff to enable us to define and develop an IM work programme.</i>	1 July 2023

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15 September 2021

Archives New Zealand, 10 Mulgrave Street, Wellington

Phone +64 499 5595

Websites www.archives.govt.nz

www.dia.govt.nz

Duane McKibben
Deputy Commissioner, Organisational
Capability and Performance
Te Kawa Mataaho Public Service
Commission
duane.mckibben@publicservice.govt.nz

Tēnā koe Duane

Public Records Act (PRA) Audit Follow-up

The Chief Archivist's audit letter dated 18 August 2021 requires us to follow-up on the prioritised audit recommendations through your development of an action plan.

The purpose of this follow-up is to monitor the actions of public offices to address the recommendations outlined in the Chief Archivist's letter.

IM Improvement Programme Roadmap

All recommendations in the Audit Report are designed to improve your information management (IM) maturity. We trust that you will consider addressing all of them over the next five years in a comprehensive roadmap.

This will help your organisation to capitalise on the audit effort and raise the maturity of your organisation's IM practice.

Prioritised recommendations and follow-up timeframes

To focus your IM improvement programme, the identified recommendations in the Chief Archivist's audit letter should provide the most immediate value.

In the appendix is an IM Action Plan with your organisation's prioritised recommendations pre-populated. Please fill the template with the following:

- actions you intend to take to address the recommendations
- a target completion date for the actions over the next two years

Your action plan should be returned to Archives New Zealand via PRAAudit@dia.govt.nz by **15 March 2022**. Archives will not be issuing any reminders for this step of the process.

We will however be checking in with your organisation's progress after 6 months of receiving your action plan, and again at 12 months. Reminders will be sent to your organisation for these check-ins.

Our annual State of Government Recordkeeping Report that is presented to our Minister and tabled in the House of Representatives will report action plans returned and not returned.

We look forward to receiving your action plan and if you require further guidance please contact rkadvice@dia.govt.nz

Nāku noa, nā



Aroha Dawson
Manager Advice and Compliance

on behalf of
Antony Moss
Director
Government Recordkeeping Directorate
Archives New Zealand

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APPENDIX

Information Management Action Plan

Name of public office: Te Kawa Mataaho Public Service Commission			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 5 Outsourced functions and collaborative arrangements	Ensure information management responsibilities within outsourced functions and collaborative arrangements are regularly monitored for compliance and prioritising high-risk and high-value information.	<ul style="list-style-type: none"> Information and Technology Services will work with Legal Services to establish what gaps exist in the master agreements and how we can mitigate these. We will also review existing provider contracts where information is being stored on our behalf to ensure they are fit for purpose, such as Finance1 with CASS. We have already started contacting our key suppliers to better understand their information security obligations. We will look to add in information management requirements to this work. Information and Technology Services will establish a process to monitor compliance with our information clauses for outsourced functions and collaborative arrangements. 	30/09/2022

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Topic 6 Te Tiriti o Waitangi	As part of the work being completed, the Commission should undertake an exercise in consultation with Māori to identify and assess whether there is further information held by the Commission that is of importance to Māori. The outcome of this exercise will inform the Commission as to whether further actions are required to address this topic.	<ul style="list-style-type: none"> • <i>Information and Technology Services will work with Leadership, Diversity and Inclusion to establish an initial list of information of value to Māori. We've had initial discussions regarding the types of information we hold that may be of interest to Māori, further work is required to develop a comprehensive list of this content while also balancing the level of detail required.</i> • <i>Work with the Leadership, Diversity and Inclusion and consult with our Kaihautū and Te Hāpai Ō (our Māori Advisory Committee) on how we socialise the information we have identified as being of interest to Māori. As part of socialising the content we have identified we'll also need to give the opportunity for feedback from Māori on what other information we may not have considered.</i> 	31/03/2023
Topic 8 Capacity and Capability	In light of the recommendations from this audit, an assessment of information management capacity should be included in the Commission's long-term workforce planning.	<ul style="list-style-type: none"> • <i>Information and Technology Services to evaluate current capacity and whether it is fit for purpose to improve our compliance with the Public Records Act 2005. This includes optimising the use of our current resources across the Organisational Capability and Performance group to ensure we can achieve our desired progress.</i> • <i>The Retention and Disposal work identified as an area where we have lower maturity is labour intensive. There may be potential to resource this work from existing roles within Organisational Capability and Performance.</i> 	30/09/2022

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<p>Topic 11 High-value / high-risk information</p>	<p>Create a process to ensure the information asset register is maintained and kept current. The process should also include the ongoing review of the risks to the high-value/high-risk information kept on the register.</p>	<ul style="list-style-type: none"> • <i>Information and Technology Services have developed an Information Asset Register which lists our information systems, who is the business owner, any personal information contained within and whether they hold high value information (high value information is content that we will need to transfer to Archives NZ at the end of its internal lifecycle). Over time this will be developed to focus more on high value information contained in the systems.</i> • <i>Information and Technology Services to formalise the process of reviewing and updating our Information Asset Register. Continue to develop the register, providing more context on widely-used systems as SharePoint, which contain a mixture of high-value and low-value information.</i> 	<p>20/12/2022</p>
<p>Topic 12 IM requirements built into technology systems</p>	<p>Perform analysis system configurations that could be utilised by the Commission to facilitate the retention and disposal of information.</p>	<ul style="list-style-type: none"> • <i>We will add dedicated sections into our two project initiation documents (the Project Brief for projects under \$70,000) and the Business Case for larger projects. These sections will detail why Information Management is important along with the life-cycle considerations of information.</i> • <i>We will work with the IT Governance Board on adding Information Management obligations to the roles in the Terms of Reference (Business Owner and System Owner obligations). These will sit alongside the role that the Leadership Team already has in leading our Information Management obligations under the Public Records Act 2005.</i> 	<p>30/09/2022</p>

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		<ul style="list-style-type: none"> • <i>Work with our Project Manager to ensure project processes include consultation with Information Management staff on any new systems that store information. These systems will need to be added to our Information Asset Register.</i> 	
Topic 21 Implementation of disposal decisions	Routinely action disposal against the General Disposal Authorities and against the organisation-specific Disposal Authority once approved, This should be monitored to ensure it happens.	<ul style="list-style-type: none"> • <i>Information and Technology Services will develop a periodical process on running retention and disposal. This will be added to the Information and Technology Services workplan as an annual item.</i> • <i>We're currently limited to running retention and disposal on information covered by General Disposal Authorities 6 and 7. The Te Kawa Mataaho Disposal Schedule is moving through the approval process at Archives New Zealand.</i> 	31/03/2023

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TE REO
IRIRANGI
O AOTEAROA

RNZ Information Management Action Plan - DRAFT

Name of public office: Radio New Zealand Limited			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date (calendar year)
Topic 1 - IM Strategy	Develop an information strategy following Archives New Zealand guidance and RNZ's definition of "Information Management" <i>The strategy should reflect the high-value/high-risk nature of RNZ's information and should factor in the resourcing required to achieve planned activities.</i>	RNZ is currently working on a draft a strategy	Q4 2022
	Communicate the strategy to all staff and contractors a review it on a periodic basis to ensure it continues to align with RNZ's business activity.	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024
Topic 2 - IM Policy and Processes	Develop an information management policy and associated processes documents that provide information management guidance to staff. <i>The policy should include RNZ's definition of 'information management' and roles and responsibilities to align to Archives New Zealand's standard and requirements, as well as other relevant legislation.</i>	RNZ is developing a draft policy and associated process documents to provide IM guidance to staff.	Q4 2022
Topic 3 – Governance and Executive Sponsor	Identify and appoint a member of the executive team to be the Executive Sponsor and be responsible for information management at RNZ.	Karen Larson has been appointed Executive Sponsor	DONE
Topic 4 – IM integration into business practices	Assign responsibility for the creation and management of information in business processes to business owners.	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024

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Topic 5 – Outsourced functions and collaborative agreements	All outsourced functions and collaborative agreements for all contracts going forward should include information management requirements.	This will be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new PME.	2024
Topic 6 – Te Tiriti of Waitangi	RNZ should ensure that information management capability is included in engagement with iwi on discussions of information that is of importance to Māori.	Embedding the principles of Te Tiriti o Waitangi is integral to RNZ's general strategy and will be included in RNZ's IM strategy and policy.	Q4 2022 (draft)
Topic 7 – Self-monitoring	Design and implement regular information management monitoring procedures and report the findings that provide useful and actionable information to the Executive Sponsor	Regular reporting timeframes and responsibilities will be included in RNZ's strategy and policy documents.	Q4 2022 (draft)
Topic 8 - Capacity and Capability	RNZ should assess information management capacity requirements against business needs and strategy and recruit information management staff where needed.	An Information Manager and IM working group are in place to assess the company's IM needs.	DONE
Topic 9 - Roles and Responsibilities	Identify and document roles and responsibilities relating to information management.	IM roles and responsibilities will be outlined in RNZ's strategy and policy documents.	Q4 2022 (draft)
	Develop and implement induction and refresher training which includes information management roles and responsibilities to all staff.	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024
Topic 10 – Creation and capture of information	RNZ should outline guidance on the creation and capture of information for all staff.	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024
Topic 11 – High value / High risk information	Create an Information Asset Register	An Information Asset Register is currently being developed.	Q1 2023
	Create standardised information management requirements for new and upgraded business systems	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024

Topic 12 – IM requirements built into technology systems	Ensure that IM requirements are considered throughout the development and improvement of all new and existing business systems	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024
Topic 13 – Integrity of Information	Formally define and implement standardised information processes across RNZ to ensure consistency	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024
Topic 14 - Information maintenance and accessibility	Ensure that information that is currently stored on the RNZ website is considered as part of the implementation of Pātaka	Visual assets have been transferred to Pātaka.	DONE
		A project to digitise RNZ's physical audio archive (and pertinent documents) is already underway with Ngā Taonga Sound and Vision. It is expected to be completed later in 2024	2024
		Any future projects of RNZ's remaining archive will be considered as RNZ evolves under the new Public Media Entity	2024
	Create and document a plan for managing and maintaining digital and physical information, particularly that required for long term accessibility	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	Q4 2022 (draft)
	Identify and document all risks relating to technology obsolescence.	The working group will consider this as part of the Strategy and Policy work.	Q4 2022
Topic 15 – Business continuity and recovery	Update business continuity and recovery plan and incident management framework, incorporating IM considerations such as what critical information is required to ensure business continuity	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024
Topic 16 – Appropriate storage arrangements	Periodically review the physical and digital storage environments and the protection and security in place to confirm controls are appropriate and relevant	This will be completed as part of the IM project and then at a time outlined in RNZ's IM policy documentation	Q4 2022 (draft)
Topic 18 – Information Access, use and sharing	Ensure that Archives New Zealand's minimum metadata requirements are met for all new business system	Metadata requirements will be outlined in RNZ's strategy and policy documents.	Q4 2022 (draft)

Topic 20 - Current organisation-specific Disposal Authorities	Develop and organisation-specific disposal authority and implement a regular review process to ensure the disposal authority does not expire	Work on this will begin once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	Underway 2023
Topic 21 – Implementation of disposal decisions	Once the organisation-specific disposal authority has been approved, RNZ should ensure disposal actions are regularly carried out and documented in a disposal register	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024
Topic 22 – Transfer to Archives New Zealand	Identify the digital information over 25 years old that can be transferred to Archives New Zealand and obtain a deferral of transfer agreement for records that are over 25 years and of archival value	This will to be completed once the strategy and policy have been agreed and will be considered as RNZ evolves under the new Public Media Entity.	2024

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Information Management Action Plan

Name of public office: Victoria University of Wellington			
IM Maturity Assessment Topic	Recommendation	Planned action (brief summary)	Target completion date
Topic 2 IM Policy and Processes	Ratify and communicate the updated IM policy requirements to staff that maintain and manage information systems and business processes.	Promote Information and Records Management and Security Policy and Records Management Procedures at Champions Meetings	BAU / ongoing (Champions meetings held on regular schedule)
		Promote Information and Records Management and Security Policy and Records Management Procedures with business owners	Annual meeting with business owners
		Review and refresh champions groups / model, including expectations of members	March 2022
		Write UniNews article on policy, procedures, audit and Disposal Authority	September 2021 (completed)
Topic 5 Outsourced Functions and Collaborative Arrangements	In addition to creating and capturing information, improve all contracts for outsourced functions and collaborative arrangements, to include VUW's IM requirements. This specifically should cover the management, retention, portability and security of the information.	Incorporate into regular meetings with business owners the requirement to include information and records management requirements into contracts as appropriate (focussing on outsourced and collaborative contracts)	December 2022 and then ongoing
		Legal Services to review all VUW contract templates to ensure clauses relating to information and records management are current and comprehensive.	December 2022

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		Legal Services to forward any non-standard contracts outsourced functions or collaborative agreements, that are identified to contain implications for the management of University information and records management, to IRM for review.	BAU / ongoing
Topic 8 Capacity and Capability	Consider whether the capacity of the IRM team needs to be increased. This could be through contracting professional services support or appointment of an IM role with responsibility to deliver ongoing training and awareness across the University.	Review of IRM teams capacity	July 2021 (completed)
		Review IRM staffing level in the 2nd quarter 2022, to determine if a budget submission for additional staff in 2023 is required to deal with units where 'lift and shift' was used.	June 2022
Topic 12 IM Requirements built into Technology Systems	Formalise IRM Team involvement when designing developing and decommissioning of systems where high risk and high value records are identified.	Ensure IRM review is included on business case template	December 2021 (completed)
		Formalise process to ensure that IM is integrated into CT projects, risk mitigation, business transformation initiatives with Digital Solutions	June 2022 December 2021 IRM on PID template
		Embed IRM as a key stakeholder in the review process of artifacts following the analysis of business requirements (relationship with business analysts)	June 2022
		Steering Group members responsible for advocating for engagement with IRM to ensure it is included in all University-wide initiatives relating to ICT projects, risk mitigation and business transformation initiatives.	Ongoing / BAU

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		Steering Group members advocate for engagement with IRM within their business units and report at IRM Steering Group meetings where there are changes being planned in their portfolio or across the wider University.	Ongoing / BAU
		Formalise process to ensure that IRM is integrated into strategic projects or business transformation initiatives	June 2022
Topic 18 Information Access, Use and Sharing	Develop guidance on standard metadata schema which Business Owners can adopt to help structure information in each business unit or faculty.	Taxonomy developed and approved by the IRM Steering Group in incremental stages	Ongoing - December 2025 (Quarterly reporting at IRM Steering Group meetings)
		Promote taxonomy across University	Ongoing / BAU
		Integrate taxonomy into Teams / SharePoint sites	Ongoing - December 2025 (Quarterly reporting at IRM Steering Group meetings)
Topic 21 Implementation of Disposal Decisions	Encourage business owners to dispose of low-value digital information in a timely manner.	Work with business owners and units to support identification and disposal of low value digital information	Ongoing / BAU
		Develop guidance on identifying low value digital information, and put on intranet site once approved	December 2022

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		Apply approved taxonomy to support and facilitate the disposal of low value information and records	Ongoing / BAU (Subject to approval of the taxonomy framework)
		Work with business owners and units to support identification and disposal of high-risk digital information	(Subject to approval of the taxonomy framework)
		Work with Digital Solutions to enable low value and high-risk digital information in M365 to be identified and discoverable and automate disposal process	December 2023

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