



# Public Records Act 2005 Audit Report for the New Zealand Symphony Orchestra

**Prepared for Archives  
New Zealand**

January 2022

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## **Independence**

We are independent of Archives New Zealand in accordance with the independence requirements of the Public Records Act 2005.

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# 1. Executive summary

The New Zealand Symphony Orchestra (NZSO) is New Zealand's national orchestra and is one of the world's oldest national symphony orchestras. The NZSO creates high value public records and subject files relating to the orchestra, such as artists files, audition notes, record covers, visual recordings and more artistic information.

The NZSO predominately stores digital corporate information in shared drives and is currently in the process of migrating to SharePoint. NZSO do not use third party storage provider for physical information. Physical information is stored on their premises and at offsite storage called the library.

The NZSO has approximately 120 staff and does not have any specific information management resources within the organisation.

The NZSO's information management maturity is summarised below. Further detail on each of the maturity assessments can be found in sections 4 and 5 of this report.

<b>Beginning</b>	<b>18</b>
<b>Progressing</b>	<b>2</b>
<b>Managing</b>	<b>0</b>
<b>Maturing</b>	<b>0</b>
<b>Optimising</b>	<b>0</b>



## 2. Introduction

KPMG was commissioned by Archives New Zealand to undertake an independent audit of the New Zealand Symphony Orchestra (NZSO) under section 33 of the Public Records Act 2005 (PRA). The audit took place in November 2021.

NZSO's information management practices were audited against the PRA and the requirements in the [Information and records management standard](#) as set out in Archives New Zealand's Information Management Maturity Assessment.

Archives New Zealand provides the framework and specifies the audit plan and areas of focus for auditors. Archives New Zealand also provides administrative support for the auditors as they undertake the independent component of the audit process. The auditors are primarily responsible for the onsite audit, assessing against the standard, and writing the audit report. Archives New Zealand is responsible for following up on the report's recommendations with your organisation.

## 3. This audit

This audit covers all public records held by the New Zealand Symphony Orchestra including both physical and digital information.

The audit involved reviews of selected documentation, interviews with selected staff, including the Executive Sponsor, library staff, third party IT provider, Senior Finance Manager, and a sample of other staff members from various areas of the NZSO. Note that the Executive Sponsor is the senior responsible officer for the audit.

The audit reviewed the NZSO's information management practices against the PRA and the requirements in the Information and records management standard and provides an assessment of current state maturity. Where recommendations have been made, these are intended to strengthen the current state of maturity or to assist with moving to the next level of maturity.

The summary of maturity ratings can be found at section 4, with detailed findings and recommendations following in section 5. The NZSO has reviewed the draft report, and a summary of their comments can be found in section 6.

## 4. Maturity Assessment

This section lists all assessed maturity levels by topic area. For further context about how each maturity level assessment has been made, refer to the relevant topic area in the report in Section 5.

Category	No.	Topic	Maturity				
			Beginning	Progressing	Managing	Maturing	Optimising
<b>Governance</b>							
	1	IM strategy	●				
	2	IM policy and processes	●				
	3	Governance arrangements & Executive Sponsor	●				
	4	IM integration into business processes	●				
	5	Outsourced functions and collaborative arrangements	●				
	6	Te Tiriti o Waitangi	●				
<b>Self-monitoring</b>							
	7	Self-monitoring	●				
<b>Capability</b>							
	8	Capacity and capability	●				
	9	IM roles and responsibilities	●				
<b>Creation</b>							
	10	Creation and capture of information	●				
	11	High-value / high-risk information	●				
<b>Management</b>							
	12	IM requirements built into technology systems	●				
	13	Integrity of information	●				
	14	Information maintenance and accessibility		●			
	15	Business continuity and recovery	●				
<b>Storage</b>							
	16	Appropriate storage arrangements		●			
<b>Access</b>							
	18	Information access, use and sharing	●				
<b>Disposal</b>							
	20	Current organisation-specific disposal authorities	●				
	21	Implementation of disposal decisions	●				
	22	Transfer to Archives New Zealand	●				

**Note:** Topics 17 and 19 in the Information Management Maturity Assessment are applicable to Local Authorities only and have therefore not been assessed.

# 5. Audit findings by category and topic

## Governance



The management of information is a discipline that needs to be owned from the top down within a public office. The topics covered in the Governance category are those that need senior-level vision and support to ensure that government information is managed to ensure effective business outcomes for the public office, our government and New Zealanders.

### TOPIC 1 – IM strategy

Beginning

#### *Summary of findings*

The NZSO does not have an information management strategy to provide strategic direction and support over information management activities.

The Executive Sponsor shows awareness of the need to incorporate information management into the organisation's overall strategic direction. The NZSO plans to include information management in the 2023 Statement of Intent (its statutory report outlining activities, aims and strategies).

The NZSO has invested in IT improvements to increase information management capability across the organisation. Examples include planned migrations to new Finance and Human Resource systems (which will go live in January 2022) and to SharePoint.

#### *Recommendations*

Develop an information management strategy following Archives New Zealand's guidance. The information strategy should be approved by senior management and be communicated to all staff and contractors.

### TOPIC 2 – IM policy and processes

Beginning

#### *Summary of findings*

The NZSO does not have an information management policy or associated processes. Roles and responsibilities for information management have not been defined, and staff do not have guidance on information management practices. As a result, staff do not have consistent awareness of their roles and responsibilities for information management.

The lack of an information management policy and associated processes has led to an inconsistent approach to information management across the NZSO, contributing to information management issues experienced by staff.

#### *Recommendations*

Develop an information management policy and associated process documents that provide 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.

***Summary of findings***

NZSO does not have a dedicated information management governance group, or a governance group covers information management. There is no regular reporting of information management activities to the Executive Sponsor or the Senior Leadership team.

The Executive Sponsor is aware of their duties involving the oversight and monitoring of information management in the NZSO, though is in the early stages of actioning these. However, the Executive Sponsor is not a permanent staff member at the time of the audit, therefore there is a risk that information management institutional knowledge and continuity may be lost in future.

***Recommendations***

Design reporting that provides useful and actionable information for the Executive Sponsor, that can be tabled at Senior Leadership meetings.

***Summary of findings***

Information management responsibilities have not been assigned to staff. This is due to lack of support for information management and the absence of an information management strategy, policy and associated processes. As a result, staff are not aware of their information management responsibilities.

Staff create records as part of their roles, but the requirements for managing information have not been integrated into business processes and activities. Formal education on information management is required, for example, training on where information should be stored and how to ensure information that is created is findable in years to come.

***Recommendations***

Following completion of the recommendations in Topic 2 – *IM Policy and Process*, provide mandatory training to business owners to enhance their understanding of information management responsibilities.

***Summary of findings***

The NZSO has several outsourced functions and collaborative arrangements. Examples include agreements for artist hire and recording of performances.

Six contracts were sighted as part of this audit. These contracts did not sufficiently address expected information management requirements including what happens to the information at the end of the contract to ensure complete and accurate records are maintained.

***Recommendations***

The NZSO should review information management requirements for all outsourced functions and collaborative arrangements that create public records and include them as appropriate in all new contracts going forward.



**Summary of findings**

The NZSO has not identified any information of importance to Māori. As a result, the NZSO has not been able to improve access and use of information of importance to Māori. There is limited capability and resource within the NZSO to incorporate and maintain metadata in Te Reo Māori to assist in identifying information that is of importance to Māori. However, the NZSO has indicated that it would like to progress in this area as part of the TE AHI TAHUTAHU project. This is a multi-year project collaborated among artist/activist Tame Iti, the New Zealand Symphony Orchestra and Te Whare Wānanga o Awanuiārangi to capture and share ngā pūrākau of Mātaatua through art, music and physical space.

**Recommendations**

NZSO should undertake an exercise in consultation with Māori to identify and assess whether the information held by NZSO is of importance to Māori; this could be carried out alongside the TE AHI TAHUTAHU project. The outcome of this exercise will inform NZSO what further actions are required to address this topic.

**Self-monitoring**

Public offices are responsible for measuring and monitoring their information management performance for planning and improvement purposes. This helps to ensure that IM systems and processes are working effectively and efficiently. It also ensures that public offices are meeting the mandatory Information and records management standard as well as their own internal policies and processes.

**Summary of findings**

Due to the absence of information management policy and process documents, there is no monitoring of compliance with information management requirements detailed in the Public Records Act, standard and other relevant legislation. As a result, there are no monitoring activities or proposed corrective actions that are reported to the Executive Sponsor or senior management.

**Recommendations**

Following completion of the recommendations in Topic 2 – *IM Policy and Process*, design and implement regular information management monitoring procedures and report findings that provide useful and actionable information to the Executive Sponsor.

## Capability



Information underpins everything our public offices do and impacts all functions and all staff within the public office. Effective management of information requires a breadth of experience and expertise for IM practitioners. Information is a core asset and all staff need to understand how managing information as an asset will make a difference to business outcomes.

### TOPIC 8 – Capacity and capability

Beginning

#### *Summary of findings*

There is limited capacity for the NZSO to work on and drive information management activities. The Executive Sponsor takes on information management duties for the NZSO but is new to their role and is a contractor. The Senior Finance Manager is a contractor who has been at the NZSO for two months and is championing the SharePoint migration project. Both the Executive Sponsor and Senior Finance Manager have a wide range of duties. Due to the day-to-day demands of their positions, they both have limited capacity and capability to work on information management activities.

There is no information management expert within the organisation. The outsourced NZSO IT provider provides information management expert support when requested for tasks such as developing file structures for the SharePoint migration.

Based on the overall information management maturity of the NZSO, there are significant capacity and capability requirements to be addressed. The NZSO acknowledges this and is aware of the lack of capacity and capability within the organisation.

#### *Recommendations*

Assess information management capacity and capability requirements against business needs. As part of this assessment, identify how the Executive Sponsor and other information management project leaders could be supported with access to sufficient information management resource (expertise and time) for information management activities.

### TOPIC 9 – IM roles and responsibilities

Beginning

#### *Summary of findings*

The NZSO staff members have limited awareness of their information management responsibilities. This is due to a lack of policy and process documentation, and lack of access to information management expertise, resulting in roles and responsibilities for information management not being identified, documented, and communicated to staff and contractors in a consistent manner (see Topic 2 – *Information Management Policy and Processes*). Additionally, staff have not been provided with induction or ongoing training relating to information management.

Information management roles and responsibilities are not documented in job descriptions, performance plans or codes of conduct for staff and contractors, so they are not assessed as part of employee performance.

### **Recommendations**

Following completion of the recommendations in Topic 2 – *IM Policy and Process*, identify and document roles and responsibilities relating to information management.

Assess the information management training needs of staff and develop and implement induction and refresher training which includes information management roles and responsibilities to all staff and contractors.

## **Creation**



It is important to take a systematic approach to the management of government information, and this starts with an understanding of what information must be created and captured. It is expected that public offices create and capture complete and accurate documentation of the policies, actions and transactions of government. Knowing what information assets are held by public offices is essential to IM practice.

## **TOPIC 10 – Creation and capture of information**

**Beginning**

### **Summary of findings**

Digital information within the NZSO is being created and captured in uncontrolled environments. There is no consistency within or across business units for information management procedures, with most staff using individual folders to store information within the shared drive. Staff take inconsistent approaches to naming documents and files. Staff in focus groups indicated difficulty in finding information when searching for it.

The NZSO's library team is maintaining and managing the digital and physical artistic information using metadata to support the usability, reliability and trustworthiness of artistic information. However, other information created by the rest of NZSO is not captured with appropriate metadata.

There is no monitoring or oversight performed over what information is created and captured in uncontrolled environments. One staff member indicated that they hold copies of all information from their corporate computer on their personal device.

The NZSO is aware of some of these issues and is migrating to SharePoint to address them.

### **Recommendations**

As part of the development of the information management policy and process documents (refer Topic 2 – *IM policy and processes*), outline guidance on the creation and capture of information for all staff and contractors including the requirement to use corporate systems.

## **TOPIC 11 – High-value / high-risk information**

**Beginning**

### **Summary of findings**

The NZSO has an inventory of physical artistic information, which is maintained by the organisation. However, the NZSO has not formally identified or developed a management plan for the high-value or high-risk information assets it maintains.

Without an inventory of all information, it is not possible to have a long-term management plan. In addition, there is a risk that knowledge about high risk, high-value information could be lost by the organisation when staff depart from NZSO.

## Recommendations

Define what information is considered high value and/or high-risk to NZSO.

Develop an information asset register to formally document high-value or high-risk information (physical and digital) and develop a plan for the long-term management of this information. This could be performed in line with an organisation-specific disposal authority (refer Topic 20 – *Current organisation-specific disposal authority*).

## Management

Management of information should be designed into systems to ensure its ongoing management and access over time, including following a business disruption event. Information must be reliable, trustworthy and complete and managed to ensure it is easy to find, retrieve and use, as well as protected and secure.



## TOPIC 12 – IM requirements built into technology systems

Beginning

### Summary of findings

The NZSO does not have any dedicated information management expertise. Instead, it outsources its IT function to a third-party provider, who provides information management expertise support around things such as designing file structures for system migration when requested.

The NZSO started the migration to SharePoint in late 2021 and is still in the process of doing so at the time of writing this report. Currently, one team is using SharePoint. During focus groups, staff indicated SharePoint addressed some of the information management problems they face but not all of them. For example, staff feel that the file structure proposed for use in SharePoint does not address business units' requirements.

### Recommendations

Ensure information management expertise is involved in design and configuration decisions related to new and upgraded business systems.

Ensure that the minimum metadata required by Archives New Zealand are captured in all new systems.

## TOPIC 13 – Integrity of information

Beginning

### Summary of findings

As most business units within the NZSO store information in uncontrolled environments that do not capture appropriate metadata, there is little confidence in the completeness of data.

Staff noted difficulties in finding and retrieving information. The focus group said searching for information created by other staff could be timely and challenging, and there are some physical files that are missing.

### Recommendations

As part of the development of the information management policy and process documents (see Topic 2 – *IM Policies and processes*), outline guidance on the creation and capture of information for all staff and contractors (see Topic 10 – *Creation and capture of information*).

In connection with Topic 9 – *IM roles and responsibilities*, develop formal induction and regular refresher information management training for staff.

## TOPIC 14 – Information maintenance and accessibility

Progressing

### *Summary of findings*

The NZSO has identified some technology obsolescence risks. For example, its finance system is outdated, and in response, it is transitioning to a new system in January 2022.

Some risks to the ongoing accessibility and preservation of physical information have been identified and are being managed. The majority of artistic physical information is kept in the offsite storage library, which has temperature and humidity control and is secured by key access limited to three authorised staff members. Artistic information that is currently in use is kept in the office, with no security controls in place.

The NZSO has access controls in place for department folders on the shared drive. For the migration to SharePoint, staff have been instructed to transfer information to a specific drive, where a third-party IT provider will migrate it to SharePoint. However, staff noted that the guidance around this was limited, and they were unclear what information should be included in this process.

### *Recommendations*

Develop strategies to manage and maintain physical and digital information during business and system change, in particular, during the planned migration to SharePoint.

## TOPIC 15 – Business continuity and recovery

Beginning

### *Summary of findings*

The NZSO has a business continuity plan which was last updated in 2020. However, this does not identify critical information or systems that are required to continue operating during a business disruption.

### *Recommendations*

Revise the business continuity plan to incorporate information management considerations such as what critical information is required to ensure business continuity.

## Storage



Good storage is a very important factor for information protection and security. Appropriate storage arrangements for both physical and digital information ensures information remains accessible and usable for as long as it is required for business and legal purposes and for accountable government.

### TOPIC 16 – Appropriate storage arrangements

Progressing

#### *Summary of findings*

There are protection and security controls for artistic physical information stored in the offsite library. However, there is no security for most physical information stored in the office, except for payroll information. The office can be accessed by all staff.

Digital information is secured from unauthorised access by restrictions set by the third-party IT provider. For example, access to business units' folders in the shared drive is restricted to staff in these units. In addition, information in the shared drive is backed up daily to protect against loss or destruction. However, the back-up server is stored onsite at the NZSO, which would make recovering information impossible in event of a natural disaster or other occurrence.

#### *Recommendations*

Assess and document protection and security controls for all onsite physical information.

In the interim while migrating to SharePoint, consider moving the back-up server to an alternate location or utilise a second back-up server that is offsite.

## Access



Ongoing access to and use of information enables staff to do their work and the public to hold government accountable. To facilitate this, public offices need mechanisms for finding and using this information efficiently. Information and/or data sharing between public offices and with external organisations should be documented in specific information sharing agreements.

### TOPIC 18 – Information access, use and sharing

Beginning

#### *Summary of findings*

The metadata captured in SharePoint meets most of Archives New Zealand's minimum metadata requirements, except for unique identifiers and access classification. The main metadata relied on by staff to search for information is the title of documents. However, there is an inconsistent approach to naming documents across the organisation. Therefore, staff have issues with locating information.

As detailed in Topic 16 – *Appropriate storage arrangements*, the office storage has no security controls in place for information, except for payroll information. Digital information in the shared drive is secured by access restrictions set by the third-party IT provider, but it is possible to delete critical and sensitive information which is saved in the shared drive.

### ***Recommendations***

Ensure the metadata in SharePoint meets the Archives New Zealand minimum metadata requirements, and regularly perform maintenance of metadata and file plans within SharePoint to ensure the reliable management and discovery of information

In connection with Topic 2 – *IM Policy and Processes*, develop information management policies and processes including guidance on filing critical and sensitive information, deleting information, and periodic review of user access.



## **Disposal**

Disposal activity must be authorised by the Chief Archivist under the Public Records Act. Public offices should have their own specific disposal authority as well as actively use the General Disposal Authorities for disposal of general or more ephemeral information. Disposal should be carried out routinely. Information of archival value, both physical and digital, should be regularly transferred to Archives New Zealand (or have a deferral of transfer) and be determined as either “open access” or “restricted access”.

## **TOPIC 20 – Current organisation-specific disposal authorities**

**Beginning**

### ***Summary of findings***

The NZSO does not have a current and approved organisation-specific disposal authority. The previously approved disposal authority expired in August 2019. The NZSO has started to work with Archives New Zealand to create a current organisation-specific disposal authority.

### ***Recommendations***

Finish developing the organisation-specific disposal authority and obtain approval from the Chief Archivist.

## **TOPIC 21 – Implementation of disposal decisions**

**Beginning**

### ***Summary of findings***

The NZSO is permitted to dispose of records under the General Disposal Authorities (GDA). However, the NZSO has no formal plans to dispose of physical or digital information and no processes currently in place to consider how disposal would be implemented. Staff members indicated due to lack of guidance on information disposal, most information will be retained indefinitely, but they have disposed of digital and physical information that they thought was old or unimportant.

### ***Recommendations***

Once the organisation-specific disposal authority has been approved (refer Topic 20 – *Current organisation-specific disposal authorities*), NZSO should ensure disposal actions are routinely carried out and documented in a disposal register.

***Summary of findings***

NZSO has transferred some physical information over 25 years old and of archival value to Archives New Zealand. There is currently no formal plan in place to transfer more information to Archives, and no deferral of transfer agreement is held by NZSO. Physical and digital information of archival value that is over 25 years old is not identified and determined as open or restricted access.

***Recommendations***

Once the organisation-specific disposal authority has been approved (refer Topic 20 – *Current organisation-specific disposal authorities*), create a plan to identify and transfer information of archival value to Archives New Zealand.





# 6. Summary of feedback

## ***Acknowledgement***

The New Zealand Symphony Orchestra (NZSO) welcomes this Archives New Zealand Audit of the NZSO's Information Management practice. On behalf of the NZSO, I also thank staff from KPMG for their collegial, productive and constructive approach to this important work.

## ***Commentary***

The NZSO will celebrate 75 years since its first ever performance on 6 March 1947. In its 75-year history, the NZSO has evolved as an organisation from its humble beginning as a broadcast orchestra, to a fully-fledged national touring orchestra in 2022.

In 2004, the NZSO was established as a Crown Entity with its own legislation, the New Zealand Symphony Orchestra Act 2004. The legislation established key functions and responsibilities and enabled a platform for engagement between the NZSO and its number one shareholder, the Government.

Through the relevant Minister, the NZSO receives the Government's expectations through the Letters of Expectations. These letters set out what the Government expects the NZSO to be focused on, in addition to its core responsibilities.

In recent years, the NZSO has been challenged by rapidly increasing costs of operation and a static baseline. As a consequence, the NZSO has prioritised investment in its orchestral activity and has constrained investment in its back-office function. Investment in more contemporary operating systems for finance, human resources, technology and a number of other systems has been deferred.

In 2020, the NZSO began a process of transformation. The outcomes the NZSO seeks to achieve through its orchestral, education and outreach and commercial activities have been prioritised along with key back-office functions. This includes the NZSO's information management compliance activity.

The Archives New Zealand Information Management Audit provides the NZSO with a road-map towards greater information management maturity, improved compliance and resilient practice around the creation and preservation of important cultural and public administration information.

## ***Prioritised Activity***

The NZSO will take a phased, three-year approach to the implementation of activities designed to improve its overall information management practice. Phase One is set out below:

### *Phase One:*

1. Develop, agree and implement an Information Management Policy that will:
  - Set clear expectations about information management
  - Establish practice guidelines for the creation, recording and preservation of information
  - Establish an information management governance group
  - Establish an expectation for the information management governance group to develop and agree an annual improvement work-plan with a reporting framework.
2. Develop, agree and implement an Information Manager Strategy that will guide how the NZSO will work to address the recommendations from the Archives New Zealand Information Management Audit over the remaining years of the 2020 – 2024 Statement of Intent.

3. Undertake a review of all agreements and contract templates to include requirements aligned to a new NZSO Information Management Policy.

The establishment of an Information Management Governance Group will enable the NZSO to bring the key staff together with relevant responsibilities and expertise to provide advice to the Executive Leadership Team about what Phases Two and Three should look like to be successful.

Key to ensuring the sustainability of this programme of work, the NZSO will look to codify its work programme via its key statutory documentation, specifically its annually review Statement of Performance Expectations ("SPE"). Phase Two will be included in the NZSO's 2023 SPE. Phase Three will be included in the NZSO's 2024 SPE.

### *Concluding*

In addition to its prioritised activity for 2022, the NZSO will also work to identify a number of discrete activities in response to the Archives New Zealand Information Management Audit.

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Director

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Tēnā koe Peter

## Public Records Act 2005 Audit Recommendations

This letter contains recommendations related to the recent independent audit of the New Zealand Symphony Orchestra by KPMG under section 33 of the Public Records Act 2005 (PRA). Thank you for making your staff and resources available to support the audit process.

### Introduction

Archives New Zealand (Archives) is mandated by the PRA to regulate public sector information management (IM). The audit programme is a key regulatory tool in our Monitoring Framework.

Monitoring IM practice across the public sector gives assurance that the government is open, transparent and accountable by providing visibility of public sector IM practices. Full, accurate and accessible information improves business efficiency and government decision-making and accountability, which in turn enhances public trust and confidence. Information that is well managed unlocks the value of government information for the benefit of everyone.

We are confident that you and your organisation understand the value of delivering high-quality, trusted information to decision-makers, other government organisations, customers and stakeholders. We trust that the audit process will support this commitment. The audit report and this letter recommend changes to support improvement of your organisation's IM practices.

### Audit findings

In the audit report, the auditor has independently assessed your information maturity against the framework of our IM Maturity Assessment. Prior to the audit, your organisation completed the Maturity Assessment. This provided a self-assessment of IM maturity for your own use and as context for the auditor about your organisation.

*Kia pono ai te rua Mahara – Enabling trusted government information*

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Organisations that are assessed as having a maturity level of 'Managing' across all IM topics are broadly meeting the minimum requirements expected by the PRA and Archives' mandatory Information and records management standard. For an organisation with public accountability for funding and delivery, and which holds important cultural material, the NZSO has a responsibility to improve its very low IM maturity. Access to IM expertise with the skills and time to dedicate to IM improvement is needed as a starting point to build a strong internal IM culture. This requires commitment from senior management to provide the required resourcing. I commend the intention to include the IM work programme in NZSO's Statement of Performance Expectations. Making this commitment will provide for public and board-level accountability, and will help to reinforce the case for improvements.

### *Prioritised recommendations*

The audit report lists 26 recommendations to improve your organisation's IM maturity.

We endorse all recommendations as appropriate and relevant. To focus your IM improvement programme, we consider that your organisation should prioritise the seven recommendations as identified in the Appendix.

### *What will happen next*

The audit report and this letter will be proactively released on the Archives website shortly. We would be grateful if you would advise of any redactions that your organisation considers are necessary for the release within 10 working days.

As required by the PRA, we will also provide the Minister of Internal Affairs with a report on the results of the audit programme for each financial year, which is tabled in the House of Representatives.

We will follow up this letter with a request to your Executive Sponsor that your organisation provides us with an action plan to address the prioritised recommendations. Our follow up process will track your progress against the action plan.

Thank you again for your support with the audit. We would greatly appreciate further feedback on the audit process and the value it provides to organisations, and we will contact your Executive Sponsor shortly in relation to this.

Nāku noa, nā



Antony Moss  
Acting Chief Archivist Kaipupuri Matua  
**Archives New Zealand Te Rua Mahara o te Kāwanatanga**

Cc Kaine Thompson, Director, Strategy & Corporate Services [kaine.thompson@nzso.co.nz](mailto:kaine.thompson@nzso.co.nz)  
(Executive Sponsor)

## APPENDIX

Category	Topic Number	Auditor's Recommendation	Archives New Zealand's Comments
<b>Governance</b>	1: IM strategy	<i>Develop an information management strategy following Archives New Zealand's guidance. The information strategy should be approved by senior management and be communicated to all staff and contractors.</i>	A strategy which is approved and actively supported by senior leadership will help scope the work ahead and the resources needed to implement the improvements.
<b>Governance</b>	2: IM policy and processes	<i>Develop an information management policy and associated process documents that provide 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.</i>	A necessary foundation to set expectations across the organisation and which can then be monitored for implementation.
<b>Governance</b>	3: Governance arrangements and Executive Sponsor	<i>Design reporting that provides useful and actionable information for the Executive Sponsor, that can be tabled at Senior Leadership meetings.</i>	Senior Leadership must understand, at a high level, what is required to improve IM maturity and ensure that the organisation's IM performance does improve. This can be done through well designed reporting.
<b>Capability</b>	8: Capacity and capability	<i>Assess information management capacity and capability requirements against business needs. As part of this assessment, identify how the Executive Sponsor and other information management project leaders could be supported with access to sufficient information management resource (expertise and time) for information management activities.</i>	Dedicated IM resourcing is needed to promote understanding of IM requirements throughout the NZSO through policy development and support, training and monitoring.

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<b>Creation</b>	11: High-value/high-risk information	<i>Develop an information management register to formally document high-value or high-risk information (physical and digital) and develop a plan for the long-term management of this information. This could be performed in line with an organisation-specific disposal authority (refer Topic 20 - Current organisation-specific disposal authority).</i>	The NZSO already has an inventory of physical artistic information which can be built on. To prioritise effort in managing IM it is useful to understand what high-value/high-risk information is created. This work can be done in conjunction with the development of the organisation-specific disposal authority – Topic 20 below.
<b>Management</b>	12: IM requirements built into technology systems	<i>Ensure information management expertise is involved in design and configuration decision related to new and upgraded business systems.</i>	With the organisation's move to SharePoint the shared network drives should be decommissioned to control the management of information. It is important that the file structure in SharePoint is fit for purpose and IM expertise would assist with getting this right to support staff use and effective management.
<b>Disposal</b>	20: Current organisation-specific disposal authorities	<i>Finish developing the organisation-specific disposal authority and obtain approval from the Chief Archivist.</i>	This is essential work for the NZSO to understand its information and to therefore manage it effectively. Its development can also assist the recommendation in Topic 11: <i>High-value/high-risk information</i> above.