



Te Kunenga Ki Pūrehuroa

Massey University

Public Records Act 2005 Audit Report

Prepared for Te Rua Mahara o te Kāwanatanga

Archives New Zealand

Report

July 2023



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1. Disclaimers

USE OF REPORT

This report has been prepared in accordance with the Consultancy Order Services dated 1 December 2020 and variation dated 23 September 2021. We have prepared this report solely for Te Rua Mahara o te Kāwanatanga Archives New Zealand (Archives) and Te Kunenga Ki Pūrehuroa | Massey University (Massey University). It was prepared at the direction of Archives and may not include all procedures deemed necessary for the purposes of the reader. The report should be read in conjunction with the disclaimers as set out in the Statement of Responsibility section. We accept or assume no duty, responsibility, or liability to any other party in connection with the report or this engagement, including, without limitation, liability for negligence in relation to the factual findings expressed or implied in this report.

INDEPENDENCE

Deloitte is independent of Archives in accordance with the independence requirements of the Public Records Act 2005. We also adhere to the independence requirements of the New Zealand Auditing and Assurance Standards Board's Professional and Ethical Standard 1 (Revised): Code of Ethics for Assurance Practitioners. Other than this audit programme, we have no relationship with or interests in Archives.

STATEMENT OF RESPONSIBILITY

The procedures that we performed did not constitute an assurance engagement in accordance with New Zealand Standards for Assurance engagements, nor did it represent any form of audit under New Zealand Standards on Auditing, and consequently, no assurance conclusion or audit opinion is provided. The work was performed subject to the following limitations:

This assessment is based on observations and supporting evidence obtained during the review. This report has taken into account the views of Massey University and Archives, and both have reviewed this report.

Because of the inherent limitations of any internal control structure, it is possible that errors or irregularities may occur and not be detected. The procedures were not designed to detect all weaknesses in control procedures as the assessment was performed by interviewing relevant officials and obtaining supporting evidence in line with the guidelines of the Archives' Information Management (IM) Maturity Assessment.

The matters raised in this report are only those which came to our attention during the course of performing our procedures and are not necessarily a comprehensive statement of all the weaknesses that exist or improvements that might be made. We cannot, in practice, examine every activity and procedure, nor can we be a substitute for management's responsibility to maintain adequate controls over all levels of operations and their responsibility to prevent and detect irregularities, including fraud. Accordingly, management should not rely on our deliverable to identify all weaknesses that may exist in the systems and procedures under examination, or potential instances of non-compliance that may exist.

We have prepared this report solely for the use of Archives and Massey University. The report contains constructive suggestions to improve some practices which we identified in the course of the review using the instructions and procedures defined by Archives. These procedures are designed to identify control weaknesses but cannot be relied upon to identify all weaknesses.

2. Executive Summary

TE KUNENGA KI PŪREHUROA | MASSEY UNIVERSITY

Te Kunenga Ki Pūrehuroa | Massey University (Massey University) is a tertiary education organisation (TEO) with the overall purpose to educate and conduct research. Massey University was established on 1 January 1964 by the Massey University Establishment Act 1963 and is governed by the Education Act 1989.

Massey University's core functions include:

- Undertaking research across a wide range of academic fields, including the running of training farms and New Zealand's only veterinary school.
- Providing strategic and operational business activities to support research and teaching.
- Providing pastoral care and teaching of students, including international students.

Employing about 3300 staff and with approximately 31,000 enrolled students, Massey University has campuses in Palmerston North (principal one), Auckland and Wellington.

Massey University's high-risk/high-value records include records of commercial contracts and communications with key stakeholders, the master curricula, and student academic transcripts with final results.

The Deputy Vice-Chancellor, University Services is the Executive Sponsor (ES) at Massey University.

The Information and Records Management (IRM) team is responsible for information management (IM), which has reduced in size over the last few years from ten to three. Therefore, their primary focus is on business as usual activities.

SUMMARY OF FINDINGS

We assessed Massey University's IM maturity against the five maturity levels of Archives' IM Maturity Assessment model. The results are summarised below:

Maturity Level and Number of Findings

Beginning	2
Progressing	13
Managing	5
Maturing	0
Optimising	0

3. Introduction

BACKGROUND

Archives provides IM leadership across the public sector. This is achieved through monitoring government organisations' IM practices to assure the New Zealand public that:

- Full and accurate records are created and maintained, improving business efficiency, accountability and government decision-making, and in turn, enhancing public trust and confidence in government;
- Government is open, transparent and accountable by making public sector IM practices known to the public.

Section 33 of the Public Records Act 2005 (PRA) requires that every public office has an independent audit of its record keeping practices every 5-10 years. The audit programme is part of Archives' monitoring and reporting on the state of public sector IM. It is one of the key components of their Monitoring Framework, which also includes a biennial survey of public sector IM and the IM Maturity Assessment.

The Chief Archivist has commissioned Deloitte to undertake these audits of certain public offices and this audit was completed in April 2023.

OBJECTIVE

The objective of the audit is to identify IM strengths and weaknesses within the public office, prioritising areas that need attention and recommending improvements. These audits assist organisations to improve their IM maturity and to work more efficiently and effectively.

SCOPE

Deloitte has undertaken an independent point-in-time assessment of Massey University's IM practices against Archives' IM Maturity Assessment model. The IM Maturity Assessment aligns with the PRA and Archives' mandatory Information and records management standard (the Standard). Topics 17 and 19 of the Archives IM Maturity Assessment are only applicable to local authorities and have therefore been excluded for the purposes of this audit.

The IM Maturity Assessment model classifies the maturity of IM practices from "Beginning" (least mature) to "Optimising" (highest maturity level). Massey University's maturity level for each topic area is highlighted under each of the respective areas. Ratings were based on Massey University staff responses to questions during interviews and the supporting documents provided pre-audit.

Archives provided Deloitte with the framework including the specified audit plan, areas of focus for the PRA audits, and administrative support to Deloitte. Deloitte completed the onsite audit and audit report, which Archives reviewed before release to Massey University. Archives is responsible for following up on the report's recommendations with Massey University.

Our audit was based on a sample of IM systems, the review of selected documentation on a sample basis, and interviews conducted with a selection of staff and focus groups. As such, this audit does not relate to an Audit as defined under professional assurance standards.

Massey University's feedback to this report is set out in Section 6.

4. Information Management Maturity Summary

This section lists the Information Management maturity level for each of the assessed topic areas. For further context refer to the relevant topic area in Section 5.

ASSESSMENT MATURITY LEVEL

Governance

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
1	IM Strategy	•				
2	IM Policy			•		
3	Governance Arrangements & Executive Sponsor		•			
4	IM Integration into Business Processes		•			
5	Outsourced Functions and Collaborative Arrangements		•			
6	Te Tiriti o Waitangi	•				

Self-monitoring

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
7	Self-Monitoring		•			

Capability

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
8	Capacity and Capability		•			
9	IM Roles and Responsibilities		•			

Creation

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
10	Creation and Capture of Information		•			
11	High-Value / High-Risk Information		•			

Management

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
12	IM Requirements Built into Technology Systems		•			
13	Integrity of Information		•			
14	Information Maintenance and Accessibility		•			
15	Business Continuity and Recovery			•		

Storage

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
16	Appropriate Storage Arrangements			•		

Access

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
18	Information Access, Use and Sharing			•		

Disposal

No	Topic	Beginning	Progressing	Managing	Maturing	Optimising
20	Current Organisation-Specific Disposal Authorities			•		
21	Implementation of Disposal Decisions		•			
22	Transfer to Archives		•			

Note: Topics 17 and 19 of the Archives' IM Maturity Assessment are only applicable to local authorities and have therefore been excluded.

Audit Findings by Category and Topic

GOVERNANCE

The management of information is a discipline that needs to be owned 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

High-level statement outlining an organisation’s systematic approach to managing information across all operational environments of an organisation.	Beginning
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OBSERVATIONS

Massey University does not have an IM Strategy. However, there is a draft 5-year Information and Records Plan (the Plan), which the Senior Leadership Team (SLT) has not yet approved. The draft Plan includes a high-level roadmap and proposed actions for developing an IM Strategy.

RECOMMENDATION

Once the Plan has been approved, develop and implement the IM Strategy ensuring alignment with business needs and that it follows Archives’ guidance.

Topic 2: IM Policy and Processes

An information management policy supports the organisation’s information management strategy and provides a foundation for information management processes.	Managing
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OBSERVATIONS

The SLT approved the IM Policy (the Policy) in 2022. The Policy aligns:

- With the PRA and references other relevant legislation such as the Official Information Act 1982 and the Privacy Act 2020. It also
- Includes IM principles, recordkeeping processes, disposal procedures for physical records and IM roles and responsibilities.

All staff can access the Policy on Massey University’s intranet, OneMassey, but it currently does not form part of the induction programme.

RECOMMENDATION

Incorporate the Policy into the induction programme.

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.

Progressing

OBSERVATIONS

IM matters are discussed at SLT meetings on an as-needed basis, as there is no relevant governance group.

The ES, is responsible for services and monitoring of IM. The IRM team informs the ES on the current state of IM across the organisation on an ad-hoc basis but does not provide regular reporting on the subject.

RECOMMENDATION

Identify and implement regular IM activity reporting to the ES and ensure IM is included in the ToR for SLT meetings.

Topic 4: IM Integration into Business Processes

All staff should be responsible for the information they create, use, and maintain. Business owners should be responsible for ensuring that the information created by their teams is integrated into business processes and activities. The IM team support business owners and staff.

Progressing

OBSERVATIONS

Business owners have some understanding of their responsibilities for managing information. Where required, business owners will request additional IM advice or training. Staff are aware of their responsibilities, but there are inconsistencies across Massey University due to different teams having their own business rules. This has resulted in inconsistent IM knowledge and capability across the different teams.

Some information is managed and integrated into business processes through SharePoint. The adoption and use of new processes remains inconsistent. IM activities such as attributing metadata and saving information to appropriate folders is dependent on each business unit's processes and awareness of expected IM practice.

The IRM team has produced guidelines on IM topics, which are available on the intranet.

RECOMMENDATION

Ensure that the responsibility for IM is consistently assigned to business owners who are provided with relevant training.

Topic 5: Outsourced Functions and Collaborative Arrangements

Outsourcing a business function or activity or establishing collaborative initiatives does not lessen an organisation's responsibility to ensure that all requirements for the management of information are met.

Progressing

OBSERVATIONS

The requirements for managing information and IM roles and responsibilities are included in some contracts. Massey University mainly uses the All of Government templates and where vendor terms and conditions are used its Procurement team reviews them.

The reviewed contracts and agreements referenced mandatory compliance with New Zealand law, but not specifically the PRA. Further references included the use of confidential information, ownership, security, privacy and storage. Most contracts included the requirement to align to Massey University policies, but IM was not referenced.

RECOMMENDATION

Ensure that requirements for managing information are identified in contracts for outsourced functions and collaborative arrangements where public records are created and maintained.

Topic 6: Te Tiriti o Waitangi

The Public Records Act 2005 and the information and records management standard supports the rights of Māori under Te Tiriti o Waitangi/Treaty of Waitangi to access, use and reuse information that is important to Māori.

Beginning

OBSERVATIONS

There is no process to identify information that is of importance to Māori. Massey University understands its IM implications within Te Tiriti o Waitangi settlement agreements. However, there is no clear view on implementing the required changes or identifying them as a high priority.

There is a vacancy for a data governance role for Māori in the Information Technology Services (ITS) team. This role, as well as the Deputy Vice Chancellor Māori, will support the IRM team to identify information of importance to Māori.

Metadata can be incorporated in Te Reo Māori in some systems, such as SharePoint, however it has not been utilised.

RECOMMENDATION

Define a process to locate and identify information of importance to Māori.

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 internal policies and processes.

Topic 7: Self-Monitoring

Organisations should monitor all aspects of their information management.

Progressing

OBSERVATIONS

Massey University has not completed a legislative compliance review, which includes PRA requirements, since 2015. This is due to capacity restraints. In addition, Massey University does not actively monitor teams' compliance with the Policy or monitor IM contractual obligations.

The IRM team reviews all the SharePoint sites created but is reliant on being notified of issues identified. Once an issue has been addressed, the IRM team provides further training for staff.

With breaches, the IRM team informs the Acting Chief Information Officer (CIO) until the matter is closed. However, the ES advised there have been no recent breaches.

RECOMMENDATION

Develop and implement a process to monitor compliance with the Policy, IM processes and PRA obligations.

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

Organisations should have IM staff or access to appropriate expertise to support their IM programme.	Progressing
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OBSERVATIONS

Over the last few years, the IRM team has significantly reduced in size from ten full time employees (FTE) to three which has meant their primary focus has been to deliver business as usual activities. Massey University is currently in the process of hiring a new CIO, which will increase IM capacity and capability. The ES and Associate Director of Information Technology Services also provides support to the IRM where required.

The IRM team is allocated a budget to access IM related professional development opportunities.

RECOMMENDATION

Regularly assess IM capability and capacity requirements against business needs to ensure that the needs are appropriately addressed.

Topic 9: IM Roles and Responsibilities

Staff and contractors should be aware of their responsibility to manage information.	Progressing
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OBSERVATIONS

IM roles and responsibilities are outlined in the Policy, performance plans and some job descriptions.

Onboarding training on IM and SharePoint is provided and staff are aware of their obligations and how to access IM guidance. The ITS team may provide additional training on systems at the request of business managers; however, this is on an adhoc basis. Beyond the induction there is no refresher training.

Staff reported that a formal and on-going programme of IM training would be beneficial, specifically around IM processes, roles and responsibilities, and how to efficiently search for information.

RECOMMENDATION

Assess the need for ongoing IM training and deliver a programme to meet identified needs.

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

Every public office and local authority must create and maintain full and accurate information documenting its activities.

Progressing

OBSERVATIONS

Staff are aware of the responsibility to create full and accurate records. Controlled environments like SharePoint, and CRM Dynamics are used. The use of uncontrolled and individual environments is discouraged, but there are no tools in place to prevent this use.

Massey University has organisation-wide naming conventions, but staff do not use them as intended. In addition, file management processes vary between business units which creates issues in finding and using information. Despite this, Massey University systems met Archives minimum metadata requirements.

RECOMMENDATION

Identify, report and address issues that affect usability of information such as consistent naming conventions.

Topic 11: High-Value/High-Risk Information

Staff and contractors should be aware of their responsibility to manage information. Every public office and local authority must create and maintain full and accurate information documenting its activities.

Progressing

OBSERVATIONS

Massey University is in the process of confirming which information is considered high-value/high-risk. An inventory of physical information is held but not a complete list for digital information. Physical and digital sensitive information that must remain confidential has been identified.

Massey University is in the process of creating an Information Asset Register (IAR) to incorporate high-value/high-risk information.

RECOMMENDATIONS

Finish creating the inventory of physical information to incorporate in an IAR.

Begin work on analysis of digital information to include in the IAR.

MANAGEMENT

Management of information should be designed into systems to ensure its ongoing management and access over time, including following a business disruption event. The 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 Solutions

IM requirements must be identified, designed, and integrated into all of your organisation's business systems.	Progressing
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OBSERVATIONS

IM expertise is sometimes sought for new technology solutions and upgrades. For example, the IRM team was consulted during the migration to SharePoint in 2013. Metadata fields can also be added or removed when setting up a new system.

The ITS team sometimes seeks IRM input in the ITS commissioning and decommissioning process. Recently the ITS team, along with the IRM team, checked that information was correct and complete after migration to ensure the preservation of data integrity.

While IM expertise is sometimes sought, IM requirements are not formally incorporated into processes for new and upgraded business systems.

RECOMMENDATION

Identify and formalise standardised IM requirements, for new and upgraded business systems.

Topic 13: Integrity of Information

Information should be managed so that it is easy to find, retrieve and use, while also being secure and tamper-proof.	Progressing
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OBSERVATIONS

The reliability and trustworthiness of information varies across Massey University. Information saved in SharePoint is largely reliable. However, some staff choose to save information on local drives instead of on SharePoint as intended.

Staff are aware of their responsibility to ensure information is comprehensive and complete, however, it was raised that not all staff routinely act on their responsibility. This results in variable experiences finding information, particularly when created by other business units, as staff do not follow standardised naming conventions and taxonomy. Staff are unaware of their responsibilities and there are no processes to monitor adherence. Also, there are no standardised requirements for using, or monitoring Teams.

RECOMMENDATION

Socialise standardised naming conventions and consistent filing structures to support findability of information and develop processes to monitor adherence.

Topic 14: Information Maintenance and Accessibility

Information maintenance and accessibility cover strategies and processes that support the ongoing management and access to information over time.

Managing

OBSERVATIONS

There are processes in place in place for managing and maintaining physical information during business and system changes. The 'Massey Archive' is a custom-built facility at the Massey University campus, which meets Archives storage requirements. Systems and processes are in place to monitor who accesses the 'Massey Archive'.

Physical information stored in the 'Massey Archive' is currently being digitised to improve future accessibility to these records.

Massey University also has processes to manage and maintain digital records during business and system changes. As mentioned above, the ITS team sometimes identify IM requirements for new systems and ensure legacy information can be migrated to new systems. To manage the risk, information is retained on the old system to ensure it is still usable and accessible while changes/migrations are occurring.

Massey University currently backs up digital information to the Albany Campus and stores some digital information with a third-party storage provider. This assists with preservation in the event of a disruption on the main campus.

RECOMMENDATIONS

Ensure that migration plans are in place for systems during upgrades to enable smooth transition of digital information.

Identify and address digital and physical preservation needs.

Topic 15: Business Continuity and Recovery

This covers the capability of the organisation to continue delivery of products or services, or recover the information needed to deliver products or services, at acceptable pre-defined levels following a business disruption event.

Managing

OBSERVATIONS

Massey University has business continuity plans (BCPs) for ITS, the 'Massey Archive' and an ITS Disaster Recovery Plan (DR). The BCP, archive BCP and the ITS DR were updated in May 2022, January 2022 and November 2021 respectively.

The BCPs and DRs identify critical information and include recovery plans to ensure digital information can be restored. Physical information is also mentioned in these plans but has not been prioritised within the BCPs and DRs.

Massey University can restore information, which is accidentally deleted, and systems such as MyHR, their HR system, are backed up every two hours. Other systems are backed up daily. The ITS team advised that they regularly test restoration of back-ups for all systems with no major issues reported.

RECOMMENDATION

Regularly review business continuity and recovery plans.

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

Appropriate storage arrangements for both physical and digital information ensures information remains accessible and usable throughout its life.

Managing

OBSERVATIONS

The 'Massey Archive' facility includes fire safety and pest control, with staff monitoring the temperature and humidity. Additionally, Massey University has a fumigation room and hazard checks are completed daily with all physical information being stored in a retrievable manner. Records cannot be removed from the 'Massey Archive' by general staff.

There is protection and security in place for some digital information, such as access controls. Digital access follows a delegation framework and is only provided after manager approval. Deletion ability varies per system and role, but generally can be tracked. For example, SharePoint allows for soft-deletion but is backed up to Records 365. Records 365 tracks who has accessed and deleted a file and allows for restoration of the file. Digital information is stored onsite and in the Cloud in Australia and Singapore.

Protection and security processes are not tested regularly. However, a recent event at Massey University evidenced that security systems are working as expected.

RECOMMENDATION

Develop a plan for regularly testing protection and security processes.

ACCESS

Ongoing access to and use of information enables staff to do their jobs. To facilitate this, organisations will need mechanisms to support the findability and usability of information. Information and data that is shared between organisations is identified and managed.

Topic 18: Information Access, Use and Sharing

Staff and contractors are able to easily find and access the information they need to do their work. Access controls for information is documented and consistently applied and managed. Metadata facilitates discovery and use of information. Information and data received or shared under information sharing agreements is managed according to IM policies and processes.	Progressing
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OBSERVATIONS

Massey University applies access controls to both physical and digital information. For example, access to SharePoint folders is restricted to relevant staff. As mentioned above, access permission is controlled through requiring the relevant managers approval.

Massey University does not have an up-to-date taxonomy. With the introduction of Teams, users have more control over this than with previous systems, which has made it difficult to ensure a consistent application of the taxonomy. It was noted that some teams were taking documents and saving them locally. This means some teams are unsure how many documents are on local drives, or where to find some documents.

IM processes are applied to some incoming and outgoing information and data shared with external parties. Data shared is in accordance with New Zealand legislation and the IRM team are aware of what is being shared.

RECOMMENDATION

Assess the issues with inconsistent taxonomy and address them to ensure information is able to be used and shared across the organisation.

DISPOSAL

Disposal activity must be authorised by the Chief Archivist under the PRA. 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 (or have a deferral of transfer) and be determined as either “open access” or “restricted access”.

Topic 20: Current Organisation-Specific Disposal Authorities

This is about an organisation having its own specific disposal authority, not the implementation of the disposal actions authorised by the authority. It is not about the General Disposal Authorities.

Managing

OBSERVATIONS

Disposal of Massey University’s core information is covered by a current and approved sector Disposal Authority (DA). The DA which is applicable to all New Zealand universities was reviewed last year and covers all business functions.

Most staff are aware of their obligations regarding disposal of information although they have stated that they would benefit from training on their obligations under the DA.

RECOMMENDATION

Ensure staff are aware of their obligations regarding disposal of information under the DA.

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.

Progressing

OBSERVATIONS

There is a culture of retaining information which sometimes results in opposition from the wider business when the IRM team proposes disposal. However, disposal under the DA and General Disposal Authorities (GDAs) has occurred over the last ten years. Physical information is destroyed as appropriate through a third-party storage provider.

The internal process for disposal is followed for each disposal activity. Memos are created which include the types of documents to dispose, the disposal class list, and the disposal authority being used. These memos must be authorised before disposal can occur.

RECOMMENDATION

Create a disposal implementation plan to cover physical and digital information across all repositories as appropriate.

Topic 22: Transfer to Archives

Information of archival value, both physical or digital, should be regularly transferred to Archives or a deferral of transfer should be put in place.

Progressing

OBSERVATIONS

Massey University's last physical transfer to Archives was in 2015.

Massey University has an expired deferral of transfer agreement with Archives. Archives is not requiring this to be renewed as the Wellington repository is currently not accepting transfers.

No digital information from Massey University has been transferred to Archives.

However, Massey University Archives aim to become an approved repository under the PRA, to negate the need for transferring materials to Archives.

RECOMMENDATION

Discuss options with Archives for digital transfer.

6. Summary of Feedback

This PRA Audit Report ratings confirms Massey University's own IM maturity self - assessment and the supporting documents provided pre-audit.

The report has accurately represented Massey's IM strengths and weaknesses across the University and suggested viable recommendations for improvements. These will be reviewed and implemented where considered appropriate and as and when resourcing is available.

The University is currently under financial duress and vacancies in many areas, including the Information and Records team, have been held to meet budget savings targets. This has resulted in a reduction in resourcing for key functions.

The University has been reducing cost through a series of operating model re-design initiatives across the University. A key feature of the recent Finance and General Administration operating model re-design is the establishment of concentrated centres to provide a wide range of support services to Colleges and Shared Services functions. This re-design provides for establishment of a greater focus on and concentration of resources managing the University's information and records.

Similarly, the University will be working towards establishing a new operating model for broader information, communication and technology function (ICT) and that work will include reviewing the approach to, and resourcing for, information and records management. The current preference is to implement a 'hub and spoke' model with information strategy, governance, support for tools (Teams/SharePoint/RecordPoint) and delivery of training provided centrally but executed locally. Consideration will be given to the reporting line and organisation level of the information and records function as part of the operating model for the information and technology function.

Improving the IM maturity level will enable the organisation to work more efficiently and effectively. This will have a significant impact on the way information can and will be managed in the future. Increasing the maturity of the University's approach to information and records management will involve organizational change and this is likely to impact everyone across Massey at some level.

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Tēnā koe Jan

Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Te Kunenga ki Pūrehuroa Massey University (Massey) completed by Deloitte 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

Te Rua Mahara o te Kāwanatanga Archives New Zealand (Te Rua Mahara) 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 are committed to 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

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 Te Rua Mahara mandatory Information and records management standard. Massey's IM practice is currently assessed as mostly at the 'Progressing' maturity level.

Section 6: *Summary of Feedback* in the audit report explains Massey's current financial situation and describes the intended direction for IM. The distributed model is worthy of consideration. To be successful, there must be appropriate oversight from the 'hub' to enable the 'spokes' to operate in a coordinated and informed fashion rather than as independent units. From the report it seems that teams operating independently is an identified issue already (Topic 4: *IM Integration into Business Processes*). Any change will need to ensure that there is enough IM expertise to supervise and support.

We acknowledge the current barriers to physical transfers to Te Rua Mahara in Wellington. The plans to address these barriers do not currently include an extension of the approved repository function. As longer-term storage solutions are worked on, we consider that there is benefit to organisations continuing to develop disposal implementation plans and digital transfers.

Prioritised recommendations

The audit report lists 21 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 nine recommendations as identified in the Appendix.

What will happen next

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

As required by the PRA, I 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. We have sent a feedback survey link for the attention of your Executive Sponsor in the accompanying email.

Nāku noa, nā



Anahera Morehu
Poumanaako Chief Archivist
Te Rua Mahara o te Kāwanatanga Archives New Zealand

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APPENDIX

Category	Topic Number	Auditor's Recommendation	Te Rua Mahara Comments
Governance	1: IM Strategy	<i>Once the Plan has been approved, develop and implement the IM Strategy ensuring aligned with business needs and that it follows Archives' guidance.</i>	This would be useful for Massey to decide the priority IM work within the current financial constraints so that work can be prioritised and planned including the resource requirements.
Governance	2: IM Policy and Processes	<i>Incorporate the Policy into the induction programme.</i>	Using this opportunity to ensure all staff understand their roles and requirements from the Policy will help raise maturity of IM practice throughout the organisation.
Governance	3: Governance arrangements and Executive Sponsor	<i>Identify and implement regular IM activity reporting to the ES and ensure IM is included in the ToR for SLT meetings.</i>	It is important that IM has attention at governance level and is seen to have their support. Massey should consider where IM appropriately sits in their governance framework.
Governance	4: IM Integration into Business Processes	<i>Ensure that the responsibility for IM is consistently assigned to business owners who are provided with relevant training.</i>	To ensure consistency of practice across the organisation there must be targeted induction to support staff understand their IM roles.
Governance	6: Te Tiriti o Waitangi	<i>Define a process to locate and identify information of importance to Māori.</i>	This could be done in consultation with other universities where possible.

Category	Topic Number	Auditor's Recommendation	Te Rua Mahara Comments
Self-Monitoring	7: Self-Monitoring	<i>Develop and implement a process to monitor compliance with the Policy, IM processes and PRA obligations.</i>	This is essential activity to support the management of IM throughout the organisation. It shows how effective the training is and helps target further training for areas where issues are identified. It also ensures that the ES and senior leadership have the information necessary for them to perform their governance role.
Capability	8: Capacity and Capability	<i>Regularly assess IM capability and capacity requirements against business needs to ensure that the needs are appropriately addressed.</i>	By assessing IM requirements, the Massey can understand the resourcing requirements considering information is the basis of operation and decision making.
Creation	11: High-Value/High-Risk Information	<i>Begin work on analysis of digital information to include in the IAR</i>	Creation of an IAR covering physical and digital information will help Massey with prioritisation of their work with records which would be useful in the current situation of financial constraint.
Disposal	21: Implementation of Disposal Decisions	<i>Create a disposal implementation plan to cover physical and digital information across all repositories as appropriate.</i>	To benefit from the Disposal Authority coverage, creation and use of a disposal plan would ensure that Massey capitalised on the coverage. A cost/benefit analysis for disposal versus storage could be useful.