



# Public Records Act Audit Report for Quotable Value Limited

Prepared for Te Rua Mahara o te Kāwanatanga Archives  
New Zealand

December 2023



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### **Independence**

We are independent of Te Rua Mahara Archives New Zealand (Te Rua Mahara) in accordance with the independence requirements of the Public Records Act (PRA) 2005.



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# 1. Executive summary

Quotable Value is New Zealand's largest ratings valuations and property related services provider. Quotable Value's core business is the valuation of property and deriving value from the storage, management, processing, and provision of property-related information.

Quotable Value has 260 staff across New Zealand and does not have any dedicated information management (IM) staff. All records are maintained electronically. Quotable Value has digitised all physical information, therefore, assessment of the appropriateness of physical storage arrangements was not performed as part of this audit. No physical information is held at third-party storage providers.

Quotable Value has an electronic document and records management system (EDRMS) which has an established functions-based classification structure. The EDRMS is the official record-keeping repository for Quotable Value. Quotable Value also maintains a property valuation database.

Quotable Value's IM 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>6</b>
<b>Progressing</b>	<b>10</b>
<b>Managing</b>	<b>4</b>
<b>Maturing</b>	<b>0</b>
<b>Optimising</b>	<b>0</b>





## 2. Introduction

KPMG was commissioned by Te Rua Mahara Archives New Zealand (Te Rua Mahara) to undertake an independent audit of Quotable Value under section 33 of the PRA. The audit took place in September 2023.

Quotable Value's information management (IM) practices were audited against the PRA and the requirements in the [Information and records management standard](#) (the Standard) as set out in the IM Assessment of Te Rua Mahara.

Te Rua Mahara provides the framework and specifies the audit plan and areas of focus for auditors. Te Rua Mahara 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 and writing the audit report. Te Rua Mahara is responsible for following up on the report's recommendations with your organisation.

## 3. This audit

This audit covers all public records held by Quotable Value including both physical and digital information.

The audit involved the review of selected documentation, interviews with selected staff, including the Executive Sponsor, the information technology team, and a sample of Quotable Value staff. The Executive Sponsor is the Senior Responsible Officer for the audit.

The audit reviewed Quotable Value's IM practices against the PRA and the requirements in the Standard and provides an assessment of current state maturity. As part of this audit, we completed systems assessments over the Quotable Value's key systems that act as a repository for public records. The systems assessed were the EDRMS, property valuation database, and the email management system. Where recommendations have been made, they 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. Quotable Value 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 in a table format, refer to Appendix 1 for an accessible description of the table. 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 and 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 Te Rua Mahara	●				

**Please 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

### Managing

#### *Summary of findings*

Quotable Value has recently developed the QV Information Management Strategic Plan (the Strategy) that was approved by the Chief Executive in August 2023. The Strategy supports business needs and provides strategic direction to holistically uplift IM practices at Quotable Value. The Strategy has not yet been communicated to all relevant staff and contractors.

The Strategy includes identified initiatives and activities for example, assigning team members and roles in IM strategic programme projects and establishing an IM monitoring framework. These activities are included in future phases of the Strategy, which spans the period 2023 to 2028. As the Strategy was recently finalised, there is no evidence of measurable progress against the initiatives.

#### *Recommendation*

Communicate the QV Information Management Strategic Plan to all relevant staff and contractors staff.

***Summary of findings***

Quotable Value has an Information Management Policy (the Policy) that was approved by the Board in December 2022. The Policy outlines the roles and responsibilities for IM, expectations for the creation and capture of information, and rules regarding retention of records. These are consistent with PRA requirements. The Policy is aligned to the Privacy Act 2020 and the Official Information Act 1982. The Policy is linked to other corporate policies such as the Delegations Policy and the Conduct and Ethics Policy.

The Policy is introduced to staff as part of induction and is available on the intranet. Monthly forums are held with all staff which provide reminders about policies and highlight any changes made. Any changes made to policies are also communicated to staff on a quarterly basis.

Process documentation is localised to business units. The Executive Sponsor noted that process documentation does not align to Policy requirements. Process documentation is limited to standard business practices such as documenting and backing up data in line with Quotable Value's Quality Standards. Information management processes are not consistently communicated to staff and IM is primarily learnt on-the-job.

***Recommendation***

Document processes to include IM and keep these up-to-date, and ensure they are well-communicated.

***Summary of findings***

Quotable Value does not have a dedicated IM governance group. IM is sometimes covered at the Technology Governance Group, but there is no standing agenda item to address IM.

The Executive Sponsor is aware of their oversight and monitoring role but does not regularly perform monitoring activities.

There is no regular IM reporting to the Executive Sponsor. The Executive Sponsor confirmed that if Quotable Value was to increase the number of operational resources to support IM, the Executive Sponsor would still not have the capacity to monitor IM practices due to other priorities.

***Recommendations***

Assess capacity requirements to ensure effective ownership and oversight of IM.

Agree which governance group covers IM and include this in the terms of reference.



***Summary of findings***

Responsibility for IM within business units is not formally assigned to business owners. Those filling the role of business owners understand their responsibilities to promote good maintenance of data and to ensure information is saved in controlled environments.

Requirements for managing information are integrated into some core business processes and activities. Staff interviewed as part of this audit understood where information should be saved, and the requirement to retain documents. These requirements are primarily learnt on the job; however, some resources are available to support staff in the use of the EDRMS. System enforced workflow management support staff to create and capture information appropriately.

Staff were aware that they could seek support from the service desk, their manager, or the Executive Sponsor for business process relating to IM.

***Recommendation***

Assign responsibility to business owners for the management of information and provide support to ensure the responsibilities for IM are understood.

***Summary of findings***

Quotable Value does not have any significant outsourced functions. Collaborative arrangements are in place with contractors who are responsible for maintaining the District Valuation Roll. While IM requirements and IM roles and responsibilities are not documented in the agreements, the contractors are expected to comply with all Quotable Value policies, including the Information Management Policy.

The contracts do not acknowledge the public records status of the information maintained by the contractors.

There is no recognition of the public records status of information held by the collaborating parties.

***Recommendation***

Identify IM roles and responsibilities for information created and maintained by the contracted parties.

***Summary of findings***

Information of importance to Māori is not identified, however information held that is of relevance to Māori is identified in Quotable Value’s EDRMS and property valuation database. Metadata fields on information held in these systems is tagged to support the access to and discoverability of information to support the valuation of Māori land.

Quotable Value has not formally assessed and is not aware of any Te Tiriti settlement agreements or any other agreements with Māori.

Quotable Value is currently running a programme to embed the principles of Te Ao Māori into its business practices. Amongst the many initiatives, there is planning underway to add Māori names to maps on the Quotable Value website to improve access for Māori.

***Recommendation***

Identify and document information held that is 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 own internal policies and processes.

### TOPIC 7 – Self-monitoring

### Progressing

#### *Summary of findings*

Information management requirements from the PRA, Standard and other relevant legislation are documented in the Policy.

There is minimal monitoring of compliance against the requirements of the Policy and processes. The extent of monitoring that takes place varies amongst business units and is mostly focussed on the completeness of information and data quality. There is no formal monitoring or audit programme to assess whether employees are consistently capturing information in the EDRMS, or, ensuring whether staff and contractors are sufficiently trained and supported in the use of record-keeping systems.

There is some monitoring of compliance with the PRA and other legislation through the annual Comply With survey.

Staff are reminded to save information in controlled environments on a routine basis. However, there is no consistent approach to assess, or address, compliance with the Policy and associated processes.

#### *Recommendation*

Agree a plan of what IM aspects will be monitored and implemented, including reporting 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*

Quotable Value does not have dedicated IM staff, and there are currently no opportunities for staff to undergo IM-related professional development. Information management capacity and capability are not regularly assessed or monitored against business needs.

Information management capability requirements have been identified in the Strategy. The Strategy identifies the skills that will be required to execute the planned strategic objectives.

Information management capacity requirements have not been formally identified or addressed. As mentioned in Topic 3 – *Governance Arrangements and Executive Sponsor*, the Executive Sponsor has limited capacity to address IM.

#### *Recommendation*

Assess IM capacity and capability needs and decide how to address the identified requirements.

### TOPIC 9 – IM roles and responsibilities

### Progressing

#### *Summary of findings*

Roles and responsibilities for IM are documented in the Policy and in the Code of Conduct. Roles and responsibilities for IM are not identified in job descriptions or performance plans for staff or contractors.

There is no IM specific induction training for staff or contractors. Information related induction training is focussed on information security.

Training needs are identified at a high level in the Strategy. The Strategy includes a plan to implement training to uplift Quotable Value's IM practices. The Strategy includes a strategic objective for the 2026/27 financial year to develop ongoing, organisation-wide training. The Executive Sponsor identified that there is room for improvement on educating staff how to use the EDRMS.

#### *Recommendation*

Develop and deliver IM training as part of the induction process for all staff.

## 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

### Progressing

#### *Summary of findings*

Staff and contractors understand their legal obligations to capture full and accurate records. Information is routinely created and captured across all business functions. Staff understand what information should be created to document business transactions. Those interviewed highlighted that they would not be able to perform their job if full and accurate records are not maintained.

The use of uncontrolled and individual environments to manage information is actively discouraged. Staff interviewed noted that all final versions of documents must be stored on the EDRMS. Staff identified that there are some exceptions to this rule, for example financial information that is saved in network drives. The EDRMS is not designed to manage financial information within the system due to file size limitations.

Appropriate metadata is routinely created for information stored within the EDRMS to support the usability, reliability, and trustworthiness of information.

Quotable Value do not have monitoring in place to identify information usability, reliability, and trust issues. However, if any issues do arise, they would be reported to the service desk and escalated to the appropriate manager.

#### *Recommendation*

Develop a structured approach to monitoring for information usability, reliability, and trust issues and report findings to the Executive Sponsor.



***Summary of findings***

There is an inventory of some information held in digital systems. Quotable Value does not maintain any physical information of value. All physical information has been digitised and uploaded to the EDRMS.

There is some identification of high-value information. These are recorded on a spreadsheet containing a register of leases, supplier agreements, and commercial contracts. The Executive Sponsor noted that these registers may be incomplete and are not regularly updated.

There has been no formal analysis of risks to high-value information assets.

***Recommendation***

Identify high-value/high-risk information assets and create an information asset register.

## 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

Progressing

#### *Summary of findings*

The only recent change in Quotable Value’s business systems is the upgrade to a new interface for the property valuation database. A working group was established during the design of the interface, which included members from Operations, Information Technology, and Ratings Valuation Teams. The Executive Sponsor confirmed that the interface does not hold public records, but rather accesses the underlying database which was not changed through the project.

Quotable Value’s EDRMS meets the minimum metadata requirements issued by Te Rua Mahara and contains a comprehensive file plan structure and search function. Standardised IM requirements are not formally documented for the EDRMS, and other business systems maintained by Quotable value.

At the time of this audit, no systems have been decommissioned in the last 10 years.

System design and configuration is documented and maintained for some business systems.

#### *Recommendation*

Identify and document standardised IM requirements for new and upgraded business systems.

***Summary of findings***

There are localised IM practices within business units that ensure information is reliable and trustworthy. Metadata is automatically applied to information captured in the EDRMS, which includes audit trails, versioning, and unique identifiers. There are no formal business rules for descriptive metadata or controlled vocabulary lists.

There is no formal training provided for the use of Quotable Value's EDRMS. The Executive Sponsor raised that there are some concerns around the ability of staff to find and retrieve information on the EDRMS. The Executive Sponsor noted that these concerns have not yet been addressed and there is an opportunity to develop further training to educate staff on how to use the system.

Staff interviewed had a consistent experience when finding and retrieving information that they create and manage. There are some instances where information may be stored incorrectly, however staff are able to find information through the search engine in the EDRMS.

***Recommendation***

Identify and address issues affecting the findability of information.

***Summary of findings***

Quotable Value has not had any system migration that would impact how information is stored in the last 10 years. Quotable Value identified that the former interface for the property valuation system was at risk of technology obsolescence. In 2018 a new interface was developed to address this risk. During the implementation of the new interface, Quotable Value maintained a daily data back-up regime. Staff interviewed demonstrated an awareness of the requirement for documented processes to manage and maintain information for future business and system changes.

The former interface for the property valuation database has not yet been decommissioned. The Technology Operations Manager expects to be involved in future decommissioning processes for all systems.

Preservation needs for digital information are identified and addressed through an ongoing work programme to regularly update business systems.

There are no processes in place to manage and maintain physical information during business and system change projects as all physical information of value has been digitised.

***Recommendation***

Ensure documented processes are developed to manage and maintain digital information during business and system changes that includes the migration of information.

***Summary of findings***

Quotable Value has a Business Continuity Plan (BCP) that was last updated in October 2022. The BCP was last activated during the Auckland Anniversary Weekend flood event in early 2023.

The BCP outlines elements relevant to business continuity, including key personnel, core technology systems, office access and remote working. While there is no formal identification of critical information in the BCP, maximum tolerable outages for critical business processes are documented.

Quotable Value's infrastructure, including the EDRMS and the property valuation system, is supported by a cloud service provider. The provider's support includes the regular backup of information stored on the systems, restoration of individual files and databases, and recovery testing. Recovery testing is performed on a 3-month basis. However, there is no detail in the BCPs regarding the process of the prioritisation of system restoration and a plan for the testing of the BCPs.

***Recommendation***

Identify critical information in the business continuity 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

### Managing

#### *Summary of findings*

Based on information reviewed and gathered during interviews, appropriate controls are in place for protection and security of digital information against unauthorised access, loss, and deletion. The EDRMS and the property valuation database has access controls depending on role types to restrict specific areas of the applications. Operational staff cannot permanently delete information off any system. Audit trails for system access are available for both the EDRMS and the property valuation database.

Protection and security processes for internal business systems are not regularly tested. All digital information is maintained by the cloud service provider. There are monthly infrastructure security reviews, and security incidents or remediations are tracked in the monthly operational meeting.

#### *Recommendation*

Develop a plan to regularly test protection and security processes for business systems.





## 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

Progressing

#### *Summary of findings*

A taxonomy is applied for information stored in the EDRMS and the property valuation database to support consistent management and discovery of information.

Staff interviewed generally knew how to use the systems relevant to their business units that contain information. The Executive Sponsor noted that there is opportunity to educate more staff on how to use the EDRMS, as not all staff are confident in use of the system.

Access controls for digital information are implemented for all systems, are in-line with business needs, and approved by managers. There is an annual audit programme in place to ensure access controls are regularly maintained. Access controls are documented for some systems. Processes are in place to revoke access to systems when access is no longer required. On an employee's last day, the Area Valuer requests that the employee's access to systems be removed.

Metadata that is used to find and manage information on the EDRMS complies with the minimum metadata requirements issued by Te Rua Mahara.

Quotable Value does not apply specific controls to incoming and outgoing information and data shared with external parties.

#### *Recommendation*

Ensure that IM training includes best-practice use of systems that store information.

## 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 Te Rua Mahara (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*

Quotable Value does not have a current or approved organisation-specific disposal authority. Quotable Value previously enquired with Te Rua Mahara about the process to obtain an organisation-specific disposal authority, however, Quotable Value noted the significant amount of time and resource to proceed to develop an organisation-specific disposal authority. Quotable Value have elected to retain all relevant information.

#### *Recommendation*

Work with Te Rua Mahara to determine how best an organisation-specific disposal authority that covers all business functions and formats can be obtained.

### TOPIC 21 – Implementation of disposal decisions

Beginning

#### *Summary of findings*

Processes are in place to ensure digital information is retained indefinitely. However, no formal retention plans are in place. General Disposal Authority requirements are not considered for information created and maintained by Quotable Value.

Quotable Value does not currently dispose of information. The Executive Sponsor advised that there has historically been some disposal of physical information. Some historic financial records were securely disposed of in accordance with relevant legislation including the Companies Act 1993. Quotable Value was unable to provide documentation detailing these disposal actions.

Adequate resources to dispose of information are not assigned as there are no plans in place to dispose of any information.

#### *Recommendation*

Develop a disposal strategy based on existing General Disposal Authority coverage.

***Summary of findings***

Quotable Value has not formally assessed and identified any digital information of archival value that is over 25 years old, subsequently, no information has been labelled as open or restricted access. Staff interviewed raised that all information is retained as it is relevant for their current business activities.

No information has been transferred to Te Rua Mahara.

***Recommendation***

Identify information of archival value that is over 25 years old under General Disposal Authority 6.



## 6. Summary of feedback

*Overall Quotable Value agrees with the reported maturity level assessment and findings. QV has an Information Management Strategy in place and expects to pragmatically address the recommendations in this report. As outlined in these audit findings, information management capability is progressing with some good systems and processes already in place. As a smaller organisation, Quotable Value needs to be realistic about the pace at which we can increase our maturity and what level of maturity is appropriate with the resources available.*

*Quotable Value will prioritise our improvement efforts towards ensuring the ongoing training of staff and identifying any high-value and high-risk information assets. Quotable Value will review our information management policies and governance arrangements and make targeted improvements.*



## 7. Appendix 1

The table in Section 4, on page 3 lists all assessed maturity levels by topic area in a table format. This table has been listed below for accessibility purposes:

Topic 1, IM strategy – Managing

Topic 2, IM policy and processes – Progressing

Topic 3, Governance arrangements & Executive Sponsor – Beginning

Topic 4, IM integration into business processes – Progressing

Topic 5, Outsourced functions and collaborative arrangements – Beginning

Topic 6, Te Tiriti o Waitangi – Progressing

Topic 7, Self-monitoring – Progressing

Topic 8, Capability and capacity - Beginning

Topic 9, IM roles and responsibilities - Progressing

Topic 10, Creation and capture of information - Progressing

Topic 11, High-value / high-risk information - Progressing

Topic 12, IM requirements built into technology systems - Progressing

Topic 13, Integrity of information - Progressing

Topic 14, Information maintenance and accessibility - Managing

Topic 15, Business continuity and recovery – Managing

Topic 16, Appropriate storage arrangements – Managing

Topic 18, Information access, use and sharing – Progressing

Topic 20, Current organisation-specific disposal authorities – Beginning

Topic 21, Implementation of disposal decisions – Beginning

Topic 22, Transfer to Te Rua Mahara – Beginning

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Tēnā koe Jacquie

## Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Quotable Value Limited (Quotable Value) completed 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

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 the mandatory Information and records management standard. Quotable Value's IM is assessed as operating mostly at the 'Progressing' level, and therefore not generally meeting expectations. There is room for improvement to IM in many areas. While it is correct that small organisations need to be realistic about the managing the pace of change, I also note the strong balance sheet noted in Quotable Value's recent annual report, and the intention to invest in technology, processes, and people to meet customer expectations. Improvement to information management would be a prime candidate for such investment. Full, accurate and accessible records are a foundation for customer service and accountability.

The organisation has a reasonably good understanding of the requirements for managing information under the PRA except around disposal. Authority to dispose of public records is one of the key roles of the Chief Archivist under the PRA whereas other legislation can indicate retention times and other variables. Some information is authorised for disposal across government under the General Disposal Authorities, but any other records must be kept. A specialist IM resource, whether sourced internally or externally, would provide the organisation with assurance around disposal requirements under the PRA. The topics relating to disposal are currently all assessed in the audit report at 'Beginning' maturity.

## **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 eight recommendations as identified in the Appendix.

## **What will happen next**

The audit report and this letter will be proactively released on our 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  
Poumanaaki Chief Archivist  
**Te Rua Mahara o te Kāwanatanga Archives New Zealand**

Cc Neil Cran, Chief Technology Officer (Executive Sponsor), [Neil.cran@qv.co.nz](mailto:Neil.cran@qv.co.nz)

## APPENDIX

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
<b>Governance</b>	2: IM policy and processes	<i>Document processes to include IM and keep these up-to-date, and ensure they are well communicated.</i>	This activity would support staff in understanding their IM responsibilities.
<b>Governance</b>	3: Governance arrangements and Executive Sponsor	<i>Assess capacity requirements to ensure effective ownership and oversight of IM.</i>	An IM resource would support the ES in their role by monitoring and reporting on IM to improve decision making. See also Topic 8: <i>Capacity and capability</i>
<b>Governance</b>	3: Governance arrangements and Executive Sponsor	<i>Agree which governance group covers IM and include this in the terms of reference.</i>	This group would support the ES by providing a forum for discussion and decision making.
<b>Capability</b>	8: Capacity and capability	<i>Assess IM capacity and capability needs and decide how to address the identified requirements.</i>	Capability but not capacity requirements have been identified. Unless there is some specialist IM expertise for the organisation IM improvement will be limited.
<b>Capability</b>	9: IM roles and responsibilities	<i>Develop and deliver IM training as part of the induction process for all staff.</i>	This also addresses the recommendation for Topic 18: <i>Information access, use and sharing.</i>
<b>Creation</b>	11: High-value/High-risk information	<i>Identify high-value/high-risk information assets and create an information asset register.</i>	This is useful work to do in preparation for an organisation-specific disposal authority and to help the organisation prioritise their work with information. <a href="#">Information assets overview</a>

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
<b>Management</b>	13: Integrity of information	<i>Identify and address issues affecting the findability of information.</i>	Searching for information can be frustrating and time-consuming. Quotable Value would benefit from understanding the issues in finding information and fixing them where possible. The issues will only increase as the amount of information grows.
<b>Disposal</b>	21: Implementation of disposal decisions	<i>Develop a disposal strategy based on existing General Disposal Authority coverage.</i>	This would help the organisation understand what is already approved for disposal and would prepare for wider disposal as appropriate under an organisation-specific disposal authority.