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Te Ratonga Whare Pāremata | Parliamentary Service

Public Records Act 2005 Audit Report

Prepared for
Te Rua Mahara o te Kāwanatanga | Archives New Zealand
June 2023

MAKING AN
IMPACT THAT
MATTERS
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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 Ratonga Whare Pāremata | Parliamentary Service (PS). 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 PS 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 PS. 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 RATONGA WHARE PĀREMATA | PARLIAMENTARY SERVICE

Te Ratonga Whare Pāremata | Parliamentary Service (PS) was established in 1985 and is governed by the Parliamentary Service Act 2000. The PS Chief Executive is accountable to the Speaker of the House for the following core functions:

- Providing administrative and support services to members of Parliament.
- Administering members' funding entitlements.
- Managing the Crown's buildings and the grounds within the Parliamentary area.
- Providing tours, education, and information services to the public.
- Managing Parliament's collections of art and heritage items.

PS employs approximately 720 staff, 460 are based in Wellington and 260 in the regions.

The high-risk/high-value records PS holds includes policy and rules for Members entitlements; briefings and policy advice for the Speaker; and security threat assessments.

The PS Information Management (IM) team sits within the Collections and Information team and reports to the Manager, Collections, and Information. The Collections and Information team (C&I team) is part of the wider Parliamentary Library and Engagement Group which reports to the Parliamentary Librarian and Deputy Chief Executive Library and Engagement, who is the Executive Sponsor for PS. The IM team is also responsible for information and records for the Office of the Clerk of the House of Representatives (OCHR).

The IM maturity level assessment ratings for each of the assessed topic areas raised in the OCHR report may differ from the ones noted below relating to PS. This is due to the timing of the PRA audits, as OCHR's was completed in December 2021.

SUMMARY OF FINDINGS

We assessed PS'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	0
Progressing	7
Managing	12
Maturing	1
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 an annual survey of public sector IM and the IM Maturity Assessment.

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

OBJECTIVE

To identify areas of IM strengths and weaknesses within the public office, prioritising areas that need attention and what needs to be done to strengthen them. These audits are seen as an important mechanism for organisations to improve their IM maturity and to work more efficiently and effectively.

SCOPE

Deloitte has undertaken an independent point-in-time assessment of PS'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). PS's maturity level for each topic area is highlighted under each of the respective areas. Ratings were based on PS's officials' responses to questions during online interviews and the supporting documents provided in line with the IM Maturity Assessment guidelines.

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 PS. Archives is responsible for following up on the report's recommendations with PS.

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.

PS'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.	Managing

OBSERVATIONS

PS has a joint IM strategy, IM Strategy 2022-2025 (the Strategy) with OCHR. This has been approved by both the PS Executive Sponsor (ES) and the OCHR ES and the leadership teams of both agencies. The Strategy supports both organisations and includes PS's IM business needs and strategic direction. The Strategy is accompanied by identified initiatives and implementation activities in a roadmap.

RECOMMENDATION

Ensure IM implications of organisation-wide risks, initiatives and plans are considered and documented when developing or updating the Strategy.

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

OBSERVATIONS

The Chief Executive approved the IM policy (the Policy) in February 2022. The Policy aligns with the PRA, including IM and records management requirements, and references the PS Retention and Disposal Schedule and relevant legislation. The Policy also identifies roles and responsibilities, sets out naming conventions and links to other relevant policies such as Privacy, Acceptable Use and Parliamentary Information Protocol. Roles and responsibilities for IM are not included in all job descriptions.

The Policy notes that staff compliance will be monitored through discussion with their manager. When the IM or IST (Information, Systems and Technology) teams are notified of breaches, these are reported to the ES to be addressed, as required.

The Policy is available on the intranet including other IM documents such as how to use Objective, PS's Electronic Documents and Records Management System (the EDRMS).

RECOMMENDATION

Include IM responsibilities in all job descriptions.

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.	Maturing

OBSERVATIONS

PS does not have a dedicated IM governance group. Instead, IM matters are covered at the Executive Leadership Team (ELT) on an as needed basis.

There is regular IM reporting to the ES, who meets weekly with the C&I Manager and quarterly with the IM team as ES. The ES is informed about IM incidents and updates and is responsible for raising matters at ELT meetings.

Feedback provided consistently indicated that the ES is a leader who actively promotes IM at PS. This includes supporting the development of the Strategy, implementing the roadmap, and actively promoting the value and importance of IM.

RECOMMENDATION

Actively seek opportunities for the ES to work with other executive sponsors in the sector.

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.	Managing

OBSERVATIONS

Business owners understand their responsibilities for managing information. This includes following set naming conventions and filing structure.

Staff commented that IM is integrated into core business processes and activities particularly within the EDRMS. For example, following a restructuring which moved some teams from one business group to another, the IM team migrated the appropriate folders and files within the EDRMS.

IM provide general advice and support to business owners and business units for managing information, particularly on how to use the EDRMS. However, there is less oversight over systems outside of the EDRMS such as SharePoint/Teams where they do not have full administrator privileges. Staff noted they were confident in meeting their responsibilities for managing information appropriately.

RECOMMENDATION

Include responsibility for management and quality of information in role responsibilities.

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.	Managing

OBSERVATIONS

The contracts reviewed outlined the roles and responsibilities for IM. The two sample contracts referenced confidentiality and intellectual property obligations, and information about storage, privacy, and security. While both referenced compliance to legislation, only one had a specific reference to the PRA.

PS currently shares IM services with OCHR, and several staff from PS work across both organisations. The organisations share an EDRMS, and the IM team are working to provide more seamless integration between the IM environments for both PS and OCHR.

There is no regular monitoring over third-party contracts.

RECOMMENDATION

Ensure that requirements for managing information are present in all contracts and collaborative arrangements and compliance is monitored where public records are created and managed.

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.	Progressing

OBSERVATIONS

PS has begun identifying information of importance to Māori in the Information Asset Register (IAR).

Identifying information of importance to Māori and treating these in accordance with Mātauranga Māori principles is in the Strategy and on the IM roadmap. In addition, the Te Ao Māori strategy (He Ao Takitaki) acknowledges PS's goal to identify and make information available that is of importance to Māori and IM was actively involved in the development of the Strategy.

RECOMMENDATION

Finalise identifying and documenting information of importance to Māori within the IAR.

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.

	Managing

OBSERVATIONS

PS monitors compliance with PRA requirements, the Standard, and other relevant legislation through an annual third-party compliance tool survey. Compliance with internal processes and procedures is monitored for the EDRMS through quarterly reporting. The reports note how many documents have been saved per team member to the EDRMS and reports are used to start conversations around document management practices between managers and team members.

IM matters of concern are reported to the ES and raised at the ELT meetings, if required. If a staff IM work practice requires improvement personalised training may be offered.

RECOMMENDATION

Ensure that IM monitoring and reporting form part of the organisation's risk management process.

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.	Managing

OBSERVATIONS

The IM team has four staff and provides IM support and training to both PS and OCHR. IM planning is supported by the Strategy, IM roadmap and C&I team workplan.

The IM team has access to broader professional development opportunities, such as attending networking sessions, which the ES supports.

RECOMMENDATION

Ensure that there is regular review of IM capacity and capability resourcing requirements needed to meet business needs and to implement the Strategy.

Topic 9: IM Roles and Responsibilities

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

OBSERVATIONS

IM responsibilities for staff and contractors are outlined in the Policy and Code of Conduct. Job descriptions for Library staff have recently been updated to include IM responsibilities, however, they are not reflected in the majority of PS job descriptions.

Induction and onboarding training on IM and the EDRMS is provided to all new staff. All staff reported awareness of their obligations and how to access IM advice. Advice is provided when requested, but additional training was described as "self-select" and relies on staff reaching out to the IM team.

Staff that were interviewed reported that, if requested, IM refresher training was easily organised.

RECOMMENDATION

Assess the need for ongoing or refresher IM training for 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

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

OBSERVATIONS

Staff have a general understanding of their responsibility to create full and accurate information to support their business function. There is a module on IM, which includes staff responsibilities and an introduction on how to use the EDRMS. Staff noted that working versions of documents were often kept in Teams until they were finalised as Teams allows for easier collaboration than the EDRMS does.

The EDRMS meets Archives minimum metadata requirements and appropriate metadata is routinely created to support usability and reliability of information. PS's other core systems are TechOne, Chris21 and SnapHire which hold corporate records and data. TechOne, Chris21 and SnapHire are used for finance, payroll, and recruitment processes respectively. These systems meet the minimum metadata requirements and have access controls.

The Cyber Security team monitors the use of certain apps. The EDRMS also allows for the tracking of both physical and digital information.

RECOMMENDATION

Ensure that all non-working versions of documents are managed in controlled environments to preserve the reliability and useability of these documents.

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

PS is in the process of documenting all of its high-value/high-risk information in an IAR. Information recorded includes a description of the information held, whether it is of importance to Māori, the retention period, business value, location and whether there are any links to other systems.

Although some information has been captured in the IAR, it does not provide a complete view of all high-value/high-risk information. The IAR has a column for risk assessment, but this has not yet been filled in.

RECOMMENDATION

Finalise identifying all high-value/high-risk information and ensure they are documented 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

OBSERVATIONS

IM expertise is available and sometimes sought for new technology solutions and/or upgrades. IST staff noted that the IM team is actively involved in the decommissioning and configuring systems. For example, IST consulted with the IM team around the adoption of Teams.

New and upgraded business systems meet minimum metadata requirements (where applicable) which includes SharePoint Online (Intranet) and TechOne.

System designs and configurations are not fully documented and maintained for all business systems. Systems which are intended to be replaced do not have up to date documentation. The IST team can monitor the use of laptops but not all apps, such as Google drives.

RECOMMENDATION

Ensure that system designs and configurations are fully documented and maintained for all 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

OBSERVATIONS

The reliability and trustworthiness of information is fairly consistent across business units. The IM team creates file structures for the EDRMS.

General comments raised by staff include:

- Occasionally experiencing issues locating other teams' information

- Placing reliance on the latest date that the document was edited/saved to find it

- Managers occasionally needing to remind staff to save documents to the EDRMS.

Some staff reported an issue where they often could not access documents in the EDRMS when in use by another team member which resulted in the document being "locked". In addition, staff observed that some other employees did not use the EDRMS' auto-versioning, instead saving new versions, which could cause uncertainty around whether the document in use was the latest version. The merging of two teams has resulted in an unusual file structure in the EDRMS which makes it difficult to determine where documents should be saved. The IM team is aware of this, and plans are in place to address this issue.

RECOMMENDATION

Identify issues with staff experiencing inconsistency when locating and retrieving information and ensure these are addressed.

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.	Progressing

OBSERVATIONS

General accessibility to physical information is ensured through the long-term storage of information, which is retained on-site or with a third-party provider. PS has strategies in place to manage and maintain physical and digital information during business and system changes. This includes access controls and creating plans with teams to migrate their data within the EDRMS during organisational restructures.

In addition, the IST team manages technology obsolescence risks.

The preservation and digital continuity needs for digital information have not been formally identified.

RECOMMENDATION

Identify and document any preservation and continuity needs for digital information and develop a plan to address these issues.

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

PS has several business continuity plans (BCPs) and a Disaster Management manual that have been reviewed within the last two years. Two of the BCPs cover IM and the C&I team in detail which also includes key activities and actions, identified critical digital systems, and outlines specific roles and responsibilities.

A salvage plan for physical records is noted in the Disaster Management Manual and a plan for accessing physical collections is included in one of the BCPs. A member of the IM team is trained in disaster recovery.

Internal systems undergo regular back-ups with comprehensive access controls put in place. However, there is no regular testing of the digital system backups. A restoration of SharePoint from a backup has been undertaken, several years ago, but has not been repeated due to capacity restraints.

RECOMMENDATION

Develop a plan for ensuring regular updating of 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

Physical information is kept in one of the purpose-built, access-controlled storage rooms on Parliament grounds. The room is temperature-controlled and includes fire risk mitigation and pest control. There are lockable shelving units within the storage room. The key to access shelving is kept in a secure PIN-coded lockbox near the storage room, accessible to the IM team.

Physical information is stored in Archives' preferred boxes, with clear labels, or in appropriate storage containers such as racks for maps. There is a register of information including where the same information can be found on the EDRMS.

Digital information is appropriately stored to protect against unauthorised access, loss, or deletion. This includes access controls, particularly for sensitive information. All systems also have a "soft delete" so information inappropriately deleted can be recovered.

The location of providers is considered when setting up new systems. Digital information is largely stored in Australia, with plans for relocation to New Zealand when the Auckland data bank is live.

The PS Cyber Security team can audit most systems. The EDRMS, TechOne and Teams/SharePoint all have audit logs which can be accessed.

RECOMMENDATION

Regularly test protection and security processes and report the findings to the ES.

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.	Managing

OBSERVATIONS

PS applies access controls for both physical and digital information. For all digital systems this includes restricting access to folders within the EDRMS and SharePoint. The IM team is involved in updating internal file structures within the EDRMS after organisational-wide restructures.

Staff reported that they did not regularly add additional metadata in the EDRMS, and a few did not know how.

Some staff reported that they often could not access documents in the EDRMS due to these being 'locked' by another team member using them.

RECOMMENDATION

Identify issues with accessing information and provide training to address as necessary.

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

PS has a current Disposal Authority (DA) which is due to expire on 10 February 2030 and covers seven classes of records in any format. There is currently no formal review process of the DA.

Staff that were interviewed were generally aware of the disposal schedule.

RECOMMENDATION

Regularly review the organisation-specific DA to ensure that it reflects business and legislative changes.

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.	Managing

OBSERVATIONS

PS disposes of information under its DA and the General Disposal Authorities (GDAs).

Physical information is securely disposed of through a third-party provider as appropriate.

Digital information in the EDRMS has built-in disposal periods. These can be applied to folders to flag disposal in the system after an appropriate period. For example, PS does an annual disposal of HR information through the EDRMS and with associated physical files. PS has a soft delete, which enables recovery of information that is accidentally deleted. The IM and IST teams can review this information prior to final deletion. However, once information is finally deleted it is considered securely destroyed. A stub is retained to flag what was previously stored, but the information cannot be restored.

It was noted by IM staff that sign-off on disposal can take a long time and often there are questions and occasionally pushback on what should be disposed of. Staff know to approach the IM team when they have questions around disposal, however there was still some uncertainty around what could be disposed of and when. Contracts with third parties note that information will be securely destroyed on termination of the contracts, if not returned to PS.

RECOMMENDATION

Develop guidance on disposal policies and processes for staff and contractors to access.

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

PS has identified some information that is older than 25 years old or of archival value. This includes physical information e.g., maps and building plans, and digital information e.g., some of the content on the website.

The last completed transfer was in 2015 but PS does not have a current deferral of transfer in place. PS is not currently planning on transferring any physical or digital information to Archives. This is partially due to Archives not currently accepting physical transfers.

RECOMMENDATION

Identify information over 25 years whether of archival value or not and determine if it should be open or restricted access.

Summary of Feedback

This report provides a good evaluation of the PS information management environment.

It is encouraging to see the work on developing and implementing the IM Strategy is proving a success one year in. We can also see clear opportunities to continue improving our roadmap and areas of focus for our work in the years ahead.

PS appreciates the work of the audit team in conducting this audit and developing the report and recommendations.

Deloitte.

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Tēnā koe Rafael

Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Te Ratonga Whare Pāremata Parliamentary Service (Parliamentary Service) 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's mandatory Information and records management standard. The Parliamentary Service's IM is reported as operating mostly at the Managing level. Working on the recommendations prioritised in the Appendix will likely see all topics at Managing – a considerable achievement.

The audit report shows that the organisation values its information with commitment to good practice. The development of an IM strategy across Parliamentary Service and the Office of the Clerk of the House of Representatives underpins the further improvement of IM for both organisations. The Governance and Disposal areas are working well with support from the senior management level and with an IM team responsive to staff and business needs.

Prioritised recommendations

The audit report lists 20 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 Te Rua Mahara's 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 Amy Brier, Deputy Chief Executive and Parliamentary Librarian (Executive Sponsor), Amy.Brier@parliament.govt.nz

APPENDIX

Category	Topic Number	Auditor's Recommendation	Te Rua Mahara's Comments
Governance	6: Te Tiriti o Waitangi	*Finalise identifying and documenting information of importance to Māori within the IAR.*	A start has been made which should be continued and will likely be ongoing.
Creation	10: Creation and Capture of Information	*Ensure that all non-working versions of documents are managed in controlled environments to preserve the reliability and useability of these document.*	Limit the use of uncontrolled environments to manage the risk of staff creating and managing documentation outside of controlled systems.
Creation	11: High-Value/High-Risk Information	*Finalise identifying all high-value/high-risk information and ensure documented in IAR.*	The identification of high-value/high-risk information assets will assist the Parliamentary Service to further understand its information and prioritise its management.
Management	12: IM Requirements built into Technology Systems	*Ensure that system designs and configurations are fully documented and maintained for all business systems.*	This is work for both IM and IST teams to do and will be useful when decommissioning systems and when migrating or transferring information.
Management	13: Integrity of Information	*Identify issues with staff experiencing inconsistency when locating and retrieving information, particularly where the cause is attributed to file versions.*	Identification and solution of these issues in consultation with staff will produce efficiencies and improve the user experience.
Management	14: Information Maintenance and Accessibility	*Identify and document any preservation and continuity needs for digital information and develop a plan to address these issues.*	Another piece of work for both the IM and IST teams and can be lined up with priorities identified through the IAR.

Category	Topic Number	Auditor's Recommendation	Te Rua Mahara's Comments
Disposal	22: Transfer to Archives	*Identify information over 25 years whether of archival value or not and determine if it should be open or restricted access.*	This would be useful to do in preparation for digital transfer and in discussion with Te Rua Mahara.