



Te Whare Wānaka o Aoraki

Lincoln University

Public Records Act 2005 Audit Report

Prepared for Te Rua Mahara o te Kāwanatanga
Archives New Zealand

Report

August 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 Whare Wānaka o Aoraki | Lincoln University (Lincoln). 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 Lincoln 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 Lincoln. 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 WHARE WĀNAKA O AORAKI | LINCOLN UNIVERSITY

Te Whare Wānaka o Aoraki | Lincoln University (Lincoln) is a tertiary education organisation (TEO) with the overall purpose to educate and conduct research. Formed in 1990, Lincoln is governed by the Education Act 1989 and the Lincoln University Act 1961.

Lincoln's core function, as a specialist land-based university, is to foster a greater relationship for people globally between land, food, and ecosystems. It is one of New Zealand's smallest universities and employs about 600 staff with approximately 3,500 enrolled students, Lincoln's sole campus is Lincoln.

Lincoln's high-value/high-risks records include records of relationships with key stakeholders, the approval process for curriculum development, and student academic transcripts with final results.

A total of 0.5 FTE is dedicated to IM at Lincoln. The Records Manager, a member of the wider Library Teaching and Learning team, completes most of this work. A Librarian oversees this work, with the Information Technology (IT) team and the Chief Information Officer (CIO) offering technical and security support. In addition, the Deputy Vice Chancellor of Student Life is the Executive Sponsor (ES) of IM at Lincoln.

SUMMARY OF FINDINGS

We assessed Lincoln'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	16
Managing	2
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 May 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 Lincoln'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). Lincoln's maturity level for each topic area is highlighted under each of the respective areas. Ratings were based on the Lincoln's 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 Lincoln. Archives is responsible for following up on the report's recommendations with Lincoln.

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.

Lincoln'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

Lincoln has no IM Strategy. However, there is an IM governance group that meets monthly to discuss IM matters.

Lincoln understands what they need to do strategically to improve their IM, such as digitising physical records. They are also in the process of shifting from shared drives to SharePoint, an Electronic Document Management System (EDMS). In addition, Lincoln is also considering the purchase of an additional records management system to add to SharePoint to manage digital records more effectively.

RECOMMENDATION

Draft and finalise the IM Strategy aligning with business needs and 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.	Progressing
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OBSERVATIONS

Lincoln has a Records Management Policy (the Policy), last updated in 2021. The Policy references the PRA and other relevant legislation and IM responsibilities. The Policy is linked to other policies such as the IT Security Policy, and Open Access Policy. Staff interviewed are aware of the Policy and know where to access it on the intranet.

Staff had some awareness of their IM roles and responsibilities. Their awareness of legislation comes from prior experience or from specific role requirements and not from IM training.

RECOMMENDATION

Once the IM Strategy is created, update the Policy to ensure consistency.

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.

Managing

OBSERVATIONS

The Records Management Project group is Lincoln’s IM governance group, which meets monthly. Two of the Senior Leadership Team (SLT), the Deputy Vice Chancellor of Student Life (Lincoln’s ES) and the CIO are members. The ES has a background in IM and library management and is a key advocate for IM with senior management. Staff confirmed that the ES is a strong supporter of IM.

Staff with IM responsibilities attend these meetings to advise and provide IM updates. Updates include the impact of construction on physical storage spaces and what records have been digitised. IM risks are included on Lincoln’s risk register, which is not actively managed.

RECOMMENDATION

Actively manage the risks identified in the Records Management Project 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 are consistently assigned individual and team responsibilities for managing information. IM responsibilities are documented in a records accountability matrix which identifies record ownership for each business unit. The Records Manager advises record owners on IM processes to promote consistency across Lincoln’s records.

Requirements for managing information are integrated into some business processes, and staff believe there is some common practice between business units. This consistency is not documented and is believed to be due to staff movement between teams. There is also no standardised organisation-wide naming conventions.

Lincoln’s core document repositories are PeopleSoft and SharePoint. PeopleSoft is a human resource (HR) system used for both HR and student management, SharePoint stores some of Lincoln’s records. Some departments continue to use shared drives, as there is no clear plan of when the migration to SharePoint will be completed.

RECOMMENDATION

Document and monitor requirements for managing information to ensure consistency between business units and integrate this into core business processes.

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

Lincoln has some information sharing agreements with third parties such as with other tertiary education organisations. IM requirements in some of these contracts include confidentiality, intellectual property rights, privacy, security and termination agreements. Although the PRA is not referenced directly, most contracts include compliance with New Zealand law. Additionally, some contracts document IM roles and responsibilities.

There is some monitoring of contracts to ensure IM requirements are met. For example, regular meetings with third parties are held to assess the provided service and discuss IM matters.

RECOMMENDATION

Ensure that contracts for outsourced functions and collaborative arrangements clearly identify IM responsibilities and monitor that they are met.

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

IM staff are identifying and digitising physical information including information of importance to Māori, such as land agreements with local iwi, rural sections and Crown grants.

IM implications within Te Tiriti o Waitangi settlement agreements and other agreements with Māori are acknowledged but not well understood.

RECOMMENDATION

Ensure all information of importance to Māori has been identified and is recorded centrally.

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

Internal policy and processes are monitored on an ad-hoc basis. IM staff conduct a biennial survey provided by Archives to monitor compliance. However, compliance with the PRA and other relevant legislation is not actively monitored.

IM staff have not been informed of any breaches. Lincoln expects if a breach occurred, it would be addressed with the IM governance group and escalated to the SLT by the ES if necessary.

RECOMMENDATION

Develop a regular process for monitoring IM policy and processes.

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

Lincoln has 0.5 FTE dedicated to IM with most of this work completed by the Records Manager. In addition, a Librarian oversees IM and Lincoln’s IT team, and CIO are responsible for the technical and security aspects of managing digital information. Wider staff held a positive view of Lincoln’s IM staff.

IM staff occasionally use allocated budget for IM related professional development. There is also no regular monitoring of IM capability and capacity against business needs.

RECOMMENDATION

Regularly assess IM capability and capacity and monitor against business needs.

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 responsibilities are included in some job descriptions and professional development plans. Staff advised that records, and confidentiality are mentioned in most job description templates, and professional development plans outline their roles and responsibilities.

Induction IM training is not consistent and is largely determined by role. Staff closely involved in IM receive this training while others are referred to the Policy on the intranet, the Hub.

Training needs for IM are identified but limited to advice requests from staff on an ad-hoc basis. This advice is centred on retention and disposal of records. Lincoln does not have IM training prepared or have regular IM refresher training for staff.

RECOMMENDATION

Assess the need for induction and refresher IM training and deliver a programme to meet business and staff 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. Some of Lincoln's information is managed in controlled environments i.e., SharePoint, which creates appropriate metadata automatically whereas shared drives do not.

In general, there is no difficulty locating or accessing any required information, including on the Hub.

RECOMMENDATION

Complete the migration to SharePoint to ensure that information is created and managed in a controlled environment.

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

IM staff use finding aids to track physical information and these are updated as physical files are digitised. The finding aids are storage unit specific, and provide a quick overview of what information is included in each record/collection. Lincoln is in the process of choosing software for an Information Asset Register (IAR) to collate this information.

Identifying high-value/high-risk assets has begun at Lincoln. Currently this includes records of relationships with key stakeholders, the approval process for curriculum development, and student academic transcripts with final results.

RECOMMENDATION

Finish identifying high-value/high-risk digital and physical information and record in the IAR once it is implemented.

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 is considered by IT staff when needed for new technology solutions and/or upgrades. This is formally included at the design stage and is part of Lincoln's requirements gathering process, however IM staff are not involved in this process. As a result, new and upgraded business systems sometimes meet minimum metadata requirements.

Sometimes information is audited before migration occurs, with only relevant and required information being transferred to new systems. However, when upgrading the HR system to PeopleSoft, data was entirely migrated from the old system.

RECOMMENDATION

Formalise IM involvement in all new business system implementation including system upgrades and decommissions.

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

There are no consistent organisation wide IM practices to ensure information is reliable and trustworthy as each business unit has their own practices. However, staff are confident they can find information they need and are aware the information they create and manage should be comprehensive and complete.

On occasion staff need to access a read-only copy of legacy systems, for example the old student management system. Access to legacy systems is restricted to select people who require access and there are no current plans to decommission them.

IM staff have undertaken a significant amount of work to ensure physical information is reliable and trustworthy. This includes updating their finding aids to ensure information can be found. Physical information is not entirely retrievable due to ongoing construction at Lincoln, which is explained below.

RECOMMENDATION

Develop standard IM practices across business units to ensure staff have a consistent experience when finding and retrieving information.

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

There are processes in place to manage and maintain physical information during business change. These are more reactive than proactive with ongoing construction and demolition happening at Lincoln due to earthquake safety requirements. IM staff are not always informed of imminent changes to buildings and they have had to move physical files at short notice. As a result, files are stored across Lincoln's campus and are not always accessible. To mitigate this Lincoln are digitising materials. The Librarian, with input from the Records Manager, determine which materials should be digitised based on Lincoln's heritage requirements.

Preservation needs for digital information are not consistently identified and addressed, there is no Digital Continuity strategy. Although some technology obsolescence risks have been identified with information being digitised from floppy discs, tapes and film.

RECOMMENDATION

Formally identify the preservation needs for digital and physical information and develop a strategy and plan to address them.

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.

Progressing

OBSERVATIONS

Lincoln has a Business Continuity Plan (BCP) dated March 2020, which identifies core business functions and critical information. Lincoln regularly backs up digital information and annually tests its BCP.

The BCP does not reference physical records and IM expertise was not included when the BCP was created. However, Lincoln has disaster recovery plans which include contracts to ensure physical records are preserved.

RECOMMENDATION

Update the BCP to include the salvage and restoration of physical business information.

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.

Progressing

OBSERVATIONS

As described earlier, the storage of physical information is an ongoing challenge at Lincoln. Information is stored in various locations across Lincoln’s campus, which have varying levels of security and protection. Storage entry can be by swipe card or key, or through a monitored reception. Most storage areas have fire protection, and some are ventilated with temperature and humidity controls. Pest control is also variable. Most information is stored in boxes predominantly on shelves or on the floor. IM staff are aware of hazards and the locations that are not appropriate. They prioritise storage of materials of archival value and try to ensure it is sufficiently protected.

Most digital information is stored in Australia. There have not been any data breaches however, there was a cyber security incident which was escalated and resolved, and no data was lost.

RECOMMENDATION

Create and implement a plan to mitigate the protection and security risks for physical information, prioritising information of archival value.

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

OBSERVATIONS

Lincoln has no organisation-wide naming conventions or file plans. However, staff believe business units have similar practices and do not have trouble finding information needed.

Strong access controls are consistently applied for digital information to prevent unauthorised access, loss, or deletion. Although SharePoint meets Archives' minimum metadata requirements, shared drives do not. Access controls for physical information, as discussed above, is varied, but in general access is monitored and only available to those who require it.

Lincoln has shared data agreements with external parties but do not share the bulk of their data. IM processes are applied to both incoming and outgoing information shared. These data agreements also briefly include IM roles and responsibilities.

RECOMMENDATION

Develop an organisation wide taxonomy and standard metadata requirements for staff to use to improve management and discovery of information.

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

Lincoln has a current and approved disposal authority (DA). DA702 covers the eight New Zealand Universities and is due for review in seven years.

RECOMMENDATION

Ensure there is a regular internal review cycle for 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

Disposal of physical and digital information under the DA and General Disposal Authorities (GDAs), is on an ad-hoc basis. Retention and destruction requirements are not built into digital systems, but IM staff advise on this. All physical and digital disposal actions are documented in a disposal register.

Lincoln uses a third-party storage provider to ensure the destruction of physical information is secure, complete, and irreversible.

RECOMMENDATION

Create a formal plan for implementing the regular disposal of physical and digital information.

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.

Beginning

OBSERVATIONS

Lincoln has identified some physical and digital information that is over 25 years old of archival value which is referred to as heritage material. Lincoln considers their archival material as living records and refers to them. Because of this there is no plan to transfer to Archives. In addition, the regional Archives storage centre in Wigram has limited space and have communicated to Lincoln their inability to store Lincoln's records.

RECOMMENDATION

Discuss with Archives whether there are justifications for a proposed deferral of the mandatory transfer of records that is required by the PRA

6. Summary of Feedback

As Executive Sponsor for Records at Lincoln University and overseeing the PRA Audit, I acknowledge the comprehensive coverage of the audit and the assessment of the business record maturity status identified in the 2023 PRA Audit Report.

Lincoln University has begun to address the findings of the report with the development of an Information Management Policy along with clarifying records management procedures. The University is also taking steps to ensure we create, store and retain documentation of significance. We plan to assign time and resources to identifying and properly managing the University's high-value and high-risk information, improving retention and disposal practices, and enhancing physical and electronic records storage. There are also plans underway to approach Archives NZ again to request space for the deposit of records.

Our Records Manager has joined a new sub-group of the informal NZ Universities Records Managers cohort aimed at identifying records and information of importance to Māori, in response to the report.

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Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of Te Whare Wānaka o Aoraki Lincoln University (Lincoln) 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. Lincoln's IM has been assessed as mostly at the 'Progressing' stage.

With the small IM resource available at Lincoln consider how IM can be supported throughout the organisation. For the business owners, good awareness of their IM role and responsibilities will mean that they can support their staff along with IM induction training across the organisation to improve consistency of IM. Ensuring that the transfer of information from the shared drives to SharePoint is completed will lessen the number of IM environments needing to be managed by specialist staff.

As Lincoln is Christchurch based, physical information of archival value is transferred to our Christchurch repository. The Christchurch Regional Archivist has confirmed that, given prior notification, transfer to the Christchurch repository is possible as there is space available. Lincoln should develop and implement a disposal plan, which would include physical and digital transfers.

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 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

A handwritten signature in black ink, appearing to be 'AR' followed by a stylized flourish.

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

Cc Damian Lodge, Deputy Vice-Chancellor (Executive Sponsor), damian.lodge@lincoln.ac.nz

APPENDIX

Category	Topic Number	Auditor's Recommendation	Te Rua Mahara Comments
Governance	1: IM Strategy	<i>Draft and finalise the IM Strategy aligning with business needs and Archives' guidance</i>	A strategy and associated work plan are the basis for IM maturity improvement across the organisation to ensure that improvement projects are planned and resourced. Information and records management strategy
Governance	4: IM Integration into Business Processes	<i>Document and monitor requirements for managing information to ensure consistency between business units and integrate this into core business processes.</i>	With a small IM specialist team, it is essential that there is good awareness of and support for IM from the business owners. Business owners need to be aware of their role and responsibilities to support IM practice in their business unit with oversight and direction from the specialist IM staff.
Capability	8: Capacity and Capability	Regularly assess IM capability and capacity and monitor against business needs.	For an organisation of around 600 staff the IM capacity is low. This affects the ability to do IM induction and to control and monitor IM across the organisation without a strong understanding by the organisation of expected IM roles and responsibilities.
Capability	9: Capacity and Capability	<i>Assess the need for induction and refresher IM training and deliver a programme to meet business and staff needs.</i>	IM induction and refresher training as needed would support the organisation's business owners and staff with a consistent understanding of the requirements for their roles and responsibilities in managing information.

Category	Topic Number	Auditor's Recommendation	Te Rua Mahara Comments
Creation	10: Creation and Management of Information	<i>Complete the migration to SharePoint to ensure that information is created and managed in a controlled environment.</i>	There are several recommendations that would be covered off by completing the migration to SharePoint and improving the consistency of the system set up for example Topic 13: <i>Integrity of Information</i> and Topic 18: <i>Information, Access, Use and Sharing</i> . IM specialist staff must be involved in this work at the design stage.
Creation	11: High-Value/High-Risk Information	<i>Finish identifying high-value/high-risk digital and physical information and record in the IAR once it is implemented.</i>	An IAR can help to prioritise work and sharing this with others in the sector could help in deciding consistent asset groups across the sector.
Storage	16: Appropriate Storage Arrangements	<i>Create and implement a plan to mitigate the protection and security risks for physical information, prioritising information of archival value.</i>	Currently Lincoln has a challenging situation with storage of physical information. Identifying the risks to information and reporting these would be useful. Looking at disposal options (including transfer) may be helpful in managing the current risks to information.
Disposal	21: Implementation of Disposal Decisions	<i>Create a formal plan for implementing the regular disposal of physical and digital information.</i>	Lincoln should take advantage of the disposal authority and develop a plan for implementing disposal including transfer.
Disposal	22: Transfer to Archives	<i>Discuss with Archives whether there are justifications for a proposed deferral of transfer of the mandatory transfer of records that is required by the PRA.</i>	Implement digital transfers and physically transfer to Te Rua Mahara Christchurch regional office.