Public Records Act 2005 Audit Report for the Ministry for Primary Industries

Prepared for Archives New Zealand

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Independence

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

Contents

1. Executive summary

The Ministry for Primary Industries (MPI) role in New Zealand is related to helping primary industries to seize export opportunities, improve sector productivity, ensure food safety, increase sustainable resource use, and protect New Zealand from biological risk.

MPI has approximately 4130 staff and contractors, equivalent to 3360 full time staff and is made up of a collection of entities. This audit focused primarily on Biosecurity, Fisheries and Food Safety sections.

MPI creates high value public records, including around corporate administration and management activities, international trade and policy agreements, scientific reports, policies, strategies, and records associated with Treaty of Waitangi negotiations.

MPI primarily uses Cohesion/SharePoint 2016 to hold its digital records, with many other information systems used by operational and office based staff. Some physical records are held on site, with the majority being held at a commercial storage facility.

Seven professionals work in the Information Management team at MPI. Roles include Manager of Information Management, two Senior Data and Information Analysts, three Data and Information Analysts and an Information Lifecycle administrator. There is also a Principal Advisor, Data and Information who supports information management among other responsibilities. A separate Data and Information Advisory team supports MPI in using, managing, and accessing information and data to inform decision making, manage the business and gain insights.

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

Beginning	
Progressing	11
Managing	8
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2. Introduction

KPMG was commissioned by Te Rua Mahara o te Kāwanatanga Archives New Zealand (Archives) to undertake an independent audit of the Ministry for Primary Industries (MPI) under section 33 of the Public Records Act 2005 (PRA).

MPI's information management practices were audited against the PRA and the requirements in the Information and records management standard as set out in Archives' Information Management Maturity Assessment.

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

3. This audit

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

The audit involved reviews of selected documentation, interviews with selected staff, including the Executive Sponsor, Information Management staff, members of the Data and Information team, Service Delivery team, the Chief Digital Officer and Business Systems Manager, plus a sample of other staff members from Biosecurity, Fisheries and Food Safety within MPI. Note that the Executive Sponsor is the senior responsible officer for the audit.

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

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

4. Maturity Assessment

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

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

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

MPI has an information management strategy called 'Insights Strategy 2020', approved by the Digital, Data and Technology Governance Committee. The strategy highlights three themes: building strong data foundations, trust and transparency, and enabling data informed decisions. These strategic themes outline priorities and deliverables that will support the business needs and strategic direction of MPI.

However, the strategy has not been communicated to all staff and contractors. Most of the staff members interviewed in focus groups noted that they had not seen the document. Staff interviewed reported the Insights Strategy 2020 is available on the intranet if staff require access, however it is not straightforward to find. For the information strategy to be successful, it should be accessible to all staff and contractors and be endorsed by senior management.

MPI is currently developing a workplan to implement the strategy.

Recommendations

Finalise the current information strategy workplan, ensuring it includes practical information management initiatives and implementation activities while also ensuring it aligns with wider business strategies.

TOPIC 2 – IM policy and processes   Managing

Summary of findings

MPI has an Information Management Policy that was approved in November 2020 by the Director of Business Technology, and Information Services. The policy includes the roles and responsibilities of staff and contractors within the organisation and is linked to other MPI policies such as the Privacy Policy and Code of Conduct. The policy also outlines legislation relevant to information management, including the PRA. There is a plan to review the policy which will align with a review of MPI's Privacy Policy.

Discussions with focus groups found that staff were generally aware of the information management policy and were confident that they could find it on the intranet. The staff members interviewed also had an awareness of their general roles and responsibilities regarding information management. This was largely attributed to information management policies and processes being communicated to most staff and contractors through onboarding training.

Information management processes vary significantly across MPI depending on the team's function. Some teams have information management processes documented at a departmental level. For example, staff interviewed from the Fisheries group outlined that they are using a process mapping system to record internal processes. Observers

on fishing vessels refer to a 'Fisheries Observer Supervisor Manual' that details what information must be recorded, including where and when. However, other departments have limited documentation outlining information management processes specific to their team processes.

Recommendations

Provide guidance on good practice information management processes for both digital and physical information. Communicate these processes to all staff and contractors.

TOPIC 3 – Governance arrangements and Executive Sponsor   Progressing

Summary of findings

MPI's information management governance group the 'Digital, Data and Technology Governance Committee', is chaired by the Executive Sponsor. The Executive Sponsor has oversight of information management practices in the organisation and was actively involved in the planning conversations for this audit, as well as an information management internal audit conducted by MPI in 2021.

There is irregular reporting of information management activities to the Executive Sponsor, which limits their ability to champion information management across the organisation.

Recommendations

Design regular reporting that provides useful and actionable information to the Executive Sponsor and the Digital, Data and Technology Governance Committee.

TOPIC 4 – IM integration into business processes   Managing

Summary of findings

The information management responsibilities of managers are well documented in the Information Management Policy. The roles and responsibilities section in the policy details managers' responsibility to ensure their teams understand information management requirements. While the information management systems may differ across teams, there is a consistent understanding that comprehensive recordkeeping is required at MPI. However, training that is available via online training modules is optional which may led to a disparity in understanding of roles and responsibilities between those who have and have not completed training.

Information management is integrated into many business processes and activities, but this varies widely across teams. For example, observers on fishing vessels keep physical diaries that contain prompts to fill in various fields to ensure full and complete public records are created and maintained. Biosecurity uses a system specific to border processes that can be accessed on remote devices to record information on the go. Staff in office-based roles primarily rely on Cohesion/SharePoint 2016 to store digital records alongside business systems specific to each business unit and function.

Recommendations

Provide mandatory training to managers to ensure they are effectively fulfilling their information management roles and responsibilities.

TOPIC 5 – Outsourced functions and collaborative arrangements

Progressing

Summary of findings

The requirements for managing information are outlined in some of MPI's contracts relating to outsourced functions and collaborative arrangements. Of the sample of contracts reviewed, detail on information management roles and responsibilities was limited. One contract with a research organisation provided considerable detail on record keeping but did not provide any specific reference to the PRA. The other contracts did not contain any reference to IM roles and responsibilities.

The Data and Information team stated, and it was reiterated in focus groups, that since 2020 there had been a greater intention to include information management in contracts with external parties. Staff were also confident that there was a widespread understanding across external contractors that information created must be treated as a public record.

Information management staff do not monitor that information is being created and maintained as agreed in contracts across with outsourced functions and collaborate arrangements.

Recommendations

Establish processes to ensure that information management roles and responsibilities are clearly identified in future contracts for outsourced functions and collaborative agreements.

Create an information management monitoring programme which includes monitoring contracts with outsourced functions and collaborative arrangements. Refer to the recommendation from Topic 7.

TOPIC 6 – Te Tiriti o Waitangi

Progressing

Summary of findings

MPI is in the early stages of locating and identifying information of importance to Māori. The Principal Advisor Data and Information has met with various MPI teams to understand the types of information held that is of importance to Māori. Furthermore, these meetings have involved understanding the skills and capabilities of the teams in this area, for example, understanding what consultation work has been completed, and what teams understand about Tikanga, with the intention of sharing this knowledge across MPI. The outcomes of these Principal Advisor meetings have been communicated to the Data and Information team and planning has begun to identify data and information maturity regarding information that is of importance to Māori across the organisation.

The Manager of Information Management and the Executive Sponsor confirmed that various functional areas of MPI hold information of importance to Māori. However, this information is not easily identified and understood due to the vast range of teams across MPI.

Recommendations

Consult with external Māori groups and iwi to create processes which enable MPI to identify and assess whether the information 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

The Executive Sponsor has some oversight on the current state of information management in the organisation. There is irregular reporting to the Executive Sponsor or the Digital, Data and Technology Governance Committee on information management matters.

In 2021 MPI completed an internal audit of its information management processes to determine compliance with the PRA. The findings of this internal audit were reported to the Executive Sponsor, providing him with some oversight of information management across MPI. Further reporting on compliance with the PRA and Archives' Information and records management standard is through MPI's participation in Archives' annual survey of public sector information management.

Where individual instances of non-compliance are identified, they would typically be addressed with the relevant individual or team on an informal, as required basis. Staff interviewed noted they feel empowered to speak up if there was any evidence of non-compliance with MPI policies.

Recommendations

Create an information management monitoring programme and regularly report results to the Executive Sponsor and the Digital, Data and Technology Governance Committee. Refer to the recommendation from Topic 3.

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   Progressing

Summary of findings

The Data and Information team advised that there is limited capacity for MPI to drive information management activities that would improve the maturity of information management practices. The Data and Information team prioritises most of their time on activities that maintain current information management processes, leaving limited capacity for improvement. For example, the focus groups highlighted that there had been occasions where there had been a long wait for new sites to be added to Cohesion/SharePoint 2016 that would assist these teams in improving their information management practices. This was due to limited capacity to action requests such as this internally, or by an external vendor.

There is a plan to recruit a Cohesion/SharePoint 2016 specialist that would help to develop both the capability and capacity of the Data and Information team. In relation to upskilling existing employees, interviews highlighted that there is limited opportunity for information management staff to access professional development opportunities due to capacity constraints

Recommendations

Assess information management capacity and capability against business needs and decide how the identified need will be met.

TOPIC 9 – IM roles and responsibilities   Progressing

Summary of findings

The focus groups interviewed had a good awareness of information management responsibilities. Information management responsibilities are communicated to staff during onboarding training including by the Manager Advisory. An introductory session for Cohesion/SharePoint 2016 presented by the Learning and Development team at onboarding. Detailed Cohesion/SharePoint 2016 training was offered in 2018, and further training is available via online training modules. However, these are opt-in trainings, which has led to a disparity in capability between those who have and have not completed training.

In the sample of job descriptions reviewed, a limited number included a reference to maintaining accurate records. However, focus groups confirmed that staff understand their responsibilities to comply with the Code of Conduct and MPI policies as this is outlined in job descriptions.

There is a plan to develop ongoing organisation-wide information management training, which is due to be completed at the end of 2022.

Recommendations

Include information management responsibilities in all job descriptions.

Make information management and Cohesion/SharePoint 2016 training mandatory for all staff and contractors. This includes onboarding and regular refresher training.

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   Managing

Summary of findings

MPI staff and contractors are aware that there is an obligation to create full and accurate records. Focus groups stated that this awareness has come through onboarding, the Code of Conduct, and through informal communication from their respective teams.

Information is routinely created and captured as part of all business functions and activities. As earlier stated, office-based teams use Cohesion/SharePoint 2016 to capture and record their information and operational teams across MPI use a range of other systems, with information being recorded in Cohesion/SharePoint 2016 as well.

Cohesion/SharePoint 2016 meets the minimum metadata standards of Archives. Some teams add their own metadata for the purposes of reporting; however, this is rare and tied specifically to their business function.

Although Cohesion/SharePoint 2016 is a controlled environment with version control, focus groups consistently noted a tendency to save draft documents on personal drives, shared drives, or desktops. Furthermore, some teams noted that Cohesion/SharePoint 2016 is difficult to use, and it is time-consuming to upload large files to it. The use of personal drives is not monitored, and there are no enforced capacity limits on personal drives on MPI devices.

While metadata is saved within Cohesion/SharePoint 2016, focus groups highlighted that there is regular difficulty in sourcing information within Cohesion/SharePoint 2016. This is due to a limitation in the ability to search metadata and due to inconsistency in naming conventions leading to reliability and trust issues with the information.

Recommendations

Provide training on the correct use of systems for creating and maintaining information, and ensure it is included in onboarding and refresher training.

Formalise oversight and monitoring over personal and shared drives to ensure staff keep information in controlled environments and consider limiting the space available.

TOPIC 11 – High-value / high-risk information   Progressing

Summary of findings

Information management staff have a good understanding of the information assets held by MPI and what constitutes high-value or high-risk information. This understanding is largely guided by MPI's organisation-specific disposal authority (DA). However, staff across MPI do not understand what information assets are high-value or high-risk as it is not documented in an information asset register.

Recommendations

Develop and maintain an information asset register covering both digital and physical records, with a focus on high-value and high-risk information including analysis of risks to the assets.

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   Managing

Summary of findings

The Data and Information team is routinely involved in the design and configuration of new and upgraded business systems. An example of this is their involvement in the system upgrades and decommissioning of MPI's document management system. During MPI's migration to the new system, an external information technology (IT) provider worked closely with the Data and Information team to ensure a smooth transition and decommissioning of the prior ECM.

The primary information management system is Cohesion/SharePoint 2016, which meets minimum metadata requirements, but does not have disposal requirements embedded. Standardised information management

requirements for Cohesion/SharePoint 2016 are identified and documented, including detail on information architecture and the internal Cohesion/SharePoint 2016 operating model. However, detailed system design and configuration are not fully documented for all business systems. MPI also has a team of Data and Information Architects that support information management practices in relation to technology systems.

Recommendations

Document the system design and configuration for all business systems and ensure it is maintained.

TOPIC 13 – Integrity of information   Progressing

Summary of findings

Teams are provided with guidance around information management best practice across MPI, with bespoke practices developed where required to support specialist systems and business practices. This was affirmed as focus groups reported they understand their responsibilities to create information that is comprehensive and complete.

Some teams have documented procedures. For example, staff from the Fisheries focus group stated that their team is working through documenting processes in Promapp. The Fisheries Observer Supervisor Manual also directs Observers on fishing vessels on what information they need to record and where. In addition, observers' diaries are reviewed at the end of a trip to ensure their fieldwork is comprehensive and complete.

The staff members interviewed shared variable experiences when trying to find and retrieve information. They are typically aware of the records that their teams create. However, due to the varied information management practices across MPI, staff can find it difficult to locate information within Cohesion/SharePoint 2016. Where staff have found information, there is a lack of confidence that the information is comprehensive and complete. It was noted that some staff are unaware of some of the features that Cohesion/SharePoint 2016 offers, such as version control. The Data and Information team recognises that Cohesion/SharePoint 2016 refresher training and guidance to staff may improve their experience.

Recommendations

Assess the need for training for existing staff in improving consistent information management practices across the organisations

TOPIC 14 – Information maintenance and accessibility   Progressing

Summary of findings

Strategies are in place to manage and maintain physical records through business and system changes. MPI still holds physical information, which is primarily paper documents stored in offsite storage. There are limited physical records held in other formats, for example, some records are held on CDs. The Manager of Information Management confirmed that there is intent to review these CD records and save these into a digital format, however this plan has not been formalised. Most physical documents are held at a third-party storage provider, ensuring the accessibility and security of the information.

Digital information is managed in controlled systems such as Cohesion/SharePoint 2016. Technology obsolescence risks are identified, and plans are in place to address these. For example, the workplan associated with the Insights Strategy 2020 is being developed to identify business systems in use, detailing which are evergreen and what investment needs to be made to upgrade business systems that are not.

Recommendations

Address continuity needs for digital information through the implementation of the Insights Strategy 2020 and associated roadmaps to ensure business systems will support future needs.

Summary of findings

MPI has a comprehensive business continuity plan (BCP) which was last updated in February 2022. This BCP clearly identifies critical information and information management systems, including categorising these based on its priority in a business interruption.

Key information systems, including Cohesion/SharePoint 2016, are categorised as 'Priority 1', highlighting necessary timeframes, dependencies, and priorities for these systems, as part of planning for restoring information in the event of a disruption.

The BCP also identifies the information management expertise required for prioritisation and restoration of information following a business disruption event. The broader Data and Information team is involved in the planning and testing of remediation processes, and mitigating issues, test trials and test scenarios are documented.

Due to the nature of the organisation, MPI's information is critical to the wider community, and the importance placed on critical information in the BCP displays its understanding of the significance of its information and work.

Recommendations

Due to the assessment of optimising, we have not made a recommendation for this topic.

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.

Summary of findings

MPI has appropriate protection and security controls to protect physical information against unauthorised access, loss, or destruction, both onsite and with the third-party storage provider. For example, an inspection of the record rooms at MPI confirmed that these are secure with cameras within the room and surrounding areas, and access to the record rooms is given to authorised personnel only. Third-party storage also provides security and has sufficient controls in place to protect against hazards such as pests, floods, and fires.

There is protection and security in place for digital information against unauthorised access, loss, or destruction. For example, access controls restrict unauthorised personnel from accessing digital records. However, digital storage controls are not tested regularly. The process of getting access to Cohesion/SharePoint 2016 folders is managed, where the owner of the folder or someone else with permissions endorses the request to IT. While Cohesion/SharePoint 2016 is widely used across MPI, staff noted that many people regularly use personal and shared drives.

Recommendations

Assess the risk of information stored on personal and shared drives against unauthorised access, loss, deletion or destruction and mitigation of identified risks.

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

Staff have a good awareness of the systems and tools that capture and facilitate access to information. Cohesion/SharePoint 2016 knowledge varies across the organisation, but focus groups stated there is a general feeling that Cohesion/SharePoint 2016 in its current form is limited and time-consuming to use when accessing information. Requirements for managing information are covered during onboarding training. There are additional courses on Cohesion/SharePoint 2016 offered as opt-in training, as well as the Data and Information Advisory team offering in-person support on information management and Cohesion/SharePoint 2016 matters upon request.

Information management practices also vary across teams. Some teams have formalised file structures and naming conventions to facilitate the management and discovery of information. However, this is not always followed correctly or consistently, and as a result, finding information within Cohesion/SharePoint 2016 can be difficult.

Access to physical information is restricted through swipe access to on-site record rooms, whereas all other physical information is secured at the third-party storage provider. Access controls are inconsistently implemented and maintained for digital information. Folder owners have the responsibility to add and remove access, and when a staff member departs MPI, their access is revoked. Audits occur to review user access as part of security certification processes. Despite this, discussion in focus groups suggested that folder owners do not always remember to revoke access, which may cause protection and security issues.

Information management processes are applied to some incoming and outgoing information. Internally, staff understand that they should share links to Cohesion/SharePoint 2016 documents rather than send documents via email to ensure they are managed in controlled environment.

Staff are largely reliant on the automatic capture of metadata, and very few staff interviewed had recorded additional metadata manually.

Recommendations

Regularly test user accounts to ensure they are effectively enabling users' access to information and are revoking the access from staff that no longer need access to restricted folders.

Disposal

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

TOPIC 20 – Current organisation-specific disposal authorities

Managing

Summary of findings

MPI has a current and approved DA. The Manager of Information Management stated that there is a plan to develop a new version of the DA to ensure it sufficiently captures information relating to all business functions and formats.

Recommendations

Implement a regular review process of the DA.

TOPIC 21 – Implementation of disposal decisions

Managing

Summary of findings

MPI is authorised to dispose of records under the General Disposal Authorities (GDAs) and its DA.

Disposal actions have been carried out historically for physical and digital information, but not routinely. There are controls in place to ensure information is retained and is disposed of following approved processes. For example, Cohesion/SharePoint 2016 only allows the soft deletion of records.

Physical documents held in storage are not regularly reviewed for disposal. Where the disposal of physical information has occurred historically, this has been secure, complete, and irreversible.

There is a reliance on the Data and Information team to implement disposal decisions. However, while they have documented plans to dispose of digital information, the Data and Information team has stated that implementation has been delayed due to resource constraints.
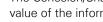
Recommendations

Ensure sufficient and appropriately trained information management resources are assigned to implement routine disposal of both physical and digital information.

TOPIC 22 – Transfer to Archives New Zealand

Progressing

Summary of findings

MPI has identified and documented some physical and digital information of archival value over 25 years old. However, transfers are currently on hold due to internal capacity constraints.

The Cohesion/SharePoint 2016 support team is currently working on analysing data from 2000 to review the archival value of the information. MPI is also currently working with Archives to identify information of value and how MPI can best transfer these records.

Recommendations

Identify physical and digital records that are over 25 years old.

Prepare relevant physical records so that transfer can be made when the Archives Wellington repository is open.

6. Summary of feedback

MPI provided no feedback to include in this section.

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11/09/2023

Ray Smith
Chief Executive
Manatū Ahu Matua Ministry for Primary
Industries
Ray.smith@mpi.govt.nz

Tēnā koe Ray

Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Manatū Ahu Matua Ministry for Primary Industries 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.

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. The audit report shows MPI with 11 topics at Progressing, eight at Managing and one at Optimising, the highest rating.

As a large complex organisation, MPI has discrete functional areas and many systems. This presents a challenging IM environment. However, Cohesion/SharePoint is operating across the organisation and its implementation provides the opportunity for a consistent experience in searching and finding corporate information. The organisation would benefit from assessing where improvements could be made to support ease of use and determine if there are structural issues to be corrected as well as endorsing mandatory training.

Assessment of the resourcing needed to improve maturity in some areas such as disposal would be beneficial.

Prioritised recommendations

The audit report lists 24 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 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 apologise for the delay in finalising this report. During the audit, we have already received feedback from MPI on the application of the IM Maturity Assessment that can inform our future approach to auditing functionally complex organisations. As part of our standard process, 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 Cherry, Deputy Director General, Corporate Services (Executive Sponsor)
neil.cherry@mpi.govt.nz

APPENDIX

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
Governance	3: Governance arrangements and Executive Sponsor	*Design regular reporting that provides useful and actionable information to the Executive Sponsor and the Digital, Data and Technology Governance Committee.*	This can be done along with the recommendation for Topic 7: *Self-monitoring* on development of a monitoring programme.
Governance	5: Outsourced functions and collaborative arrangements	*Establish processes to ensure that information management roles and responsibilities are clearly identified in future contracts for outsourced functions and collaborative agreements.*	As reported, since 2020 there has been greater attention to this area, a necessary step before monitoring the IM components of contracts can be done.
Governance	6: Te Tiriti o Waitangi	*Consult with external Māori groups and iwi to create processes which enable MPI to identify and assess whether the information is important to Māori.*	A start has been made internally and should be continued considering the type of information that MPI creates and manages.
Governance	8: Capacity and capability	*Assess information management capacity and capability against business needs and decide how the identified need will be met.*	This impacts the ability to implement disposal Topics 21: *Implementation of disposal decisions* and 22: *Transfer to Archives New Zealand* as well as training of staff to better use the IM systems.
Capability	9: IM roles and responsibilities	*Make information management and Cohesion/SharePoint 2016 training mandatory for all staff and contractors. This includes onboarding and regular refresher training.*	As there are several recommendations for training in the report, see also Topic 13: *Integrity of information,* a general review of IM training needs should be done.
Creation	10: Creation and capture of information	*Formalise oversight and monitoring over personal and shared drives to ensure staff keep information in controlled environments and consider limiting the space available.*	Where possible the environments available for creating and maintaining information should be limited or decommissioned and information migrated as required.

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Creation	11: High-value/high-risk information	*Develop and maintain an information asset register covering both digital and physical records, with a focus on high-value and high-risk information including analysis of risks to the assets.*	IAR development can be leveraged off the established organisation-specific DA. An IAR is an important tool in understanding the information environment and prioritising IM.
Disposal	22: Transfer to Archives New Zealand	*Prepare relevant physical records so that transfer can be made when the Archives Wellington repository is open.*	With the large amount of physical information in storage this is a significant project that will need resourcing. Te Rua Mahara can provide advice on sentencing, listing, and boxing preparation for transfer.