Deloitte.

Meteorological Service of New Zealand Limited

Te Ratonga Tirorangi

Public Records Act 2005 Audit Report

Prepared for Archives New Zealand

August 2022

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1. Disclaimers

Use of Report

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Independence

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

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 MetService and Archives NZ who 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 NZ's 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 MetService and Archives NZ. 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 NZ. These procedures are designed to identify control weaknesses but cannot be relied upon to identify all weaknesses.

2. Executive Summary

Meteorological Service of New Zealand Limited

The MetService was established in July 1992 when the government split the functions of the former Meteorological Service into two entities. One of which was the MetService, a State-Owned Enterprise, whose main responsibilities include:

- Being New Zealand's national weather authority and designated representative to the World Meteorological Organisation, providing comprehensive weather services,

- Delivering scientific insights and solutions to local and international businesses in the transport, energy, media, resources, industry, infrastructure and retail sectors,

- Delivering weather services to benefit New Zealand's people and economy, and

- Providing services including weather forecasting, atmospheric observations, and research into the science of meteorology, which are particularly important for the maritime and aviation transport sectors.

MetService has 300 employees across various locations including its head office in Wellington. In addition, MetService has other legislation, charters and agreements with certain industry partners such as, the Civil Aviation Authority (CAA) and the World Meteorological Organisation (WMO).

Summary of Findings

We assessed MetService's information management maturity against the five maturity levels of Archives NZ's IM Maturity Assessment model. The results are summarised below:

Maturity Level	Beginning	Progressing	Managing	Maturing	Optimising
No. of Findings	10	10	—	—	—

3. Introduction

Background

Archives NZ provides Information Management (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 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 NZ's monitoring of 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 commissioned Deloitte to undertake these audits for certain public offices.

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. They 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 MetService's IM practices, against Archives NZ's IM Maturity Assessment Model (PRA requirements). The IM Maturity Assessment aligns with the PRA and Archives NZ's mandatory Information and Records Management standard. Topics 17 and 19 of the Archives NZ 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). MetService 's maturity level for each topic area assessed is highlighted under each of the respective areas. Ratings were based on MetService's officials' responses to questions during the interviews and the supporting documents provided in line with the IM Maturity Assessment guidelines.

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

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.

MetService'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.

Category	No.	Topic	Assessed Maturity Level				
			Beginning	Progressing	Managing	Maturing	Optimising
Governance	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	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 NZ	●				

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

5. 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, 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.

Progressing

Observations

MetService is currently drafting a Knowledge Management Strategy (the Strategy), which addresses key components of IM at a high level.

The draft Strategy references application of Government Data and Information Management Principles, including meeting its obligations under the PRA. It defines the current and future knowledge management state; sets out the Strategy objectives, key results, and deliverables; and includes an implementation road map.

The new Executive Sponsor (ES) is championing this Strategy, as part of a known need to increase maturity in this area.

Recommendation

1. As part of developing the draft Knowledge Management Strategy, develop an IM work programme to support implementation.

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

Observations

There are several different policies referencing aspects of IM including ones for backups, data ownership, email security, remote access, security, data access, privacy, and disposal. The Records Policy is the closest to an IM Policy, setting out IM roles and responsibilities and MetService's obligations to the PRA.

Due to multiple policies referencing IM related information this presents a risk that not all obligations under the PRA are known or understood by the business.

Recommendation

1. Develop one policy, which aligns to the Strategy and Archives NZ *Information and records management policy development* guidance.

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.

Beginning

Observations

There is currently no IM governance group or a governance group that specifically considers IM. Additionally, there is no identified regular reporting provided to the ES relating to IM. It is expected that with an IM incident, the ES would be consulted.

There are governance groups covering related areas such as, the Data Governance Group (the Group), of which the ES is a member. The Group currently focuses on scientific data and, more specifically, the volumes of data being managed, and their criticality, rather than the whole scope of information and records held.

Given the size of MetService, including IM within an existing group would be more appropriate than developing a specific governance body.

Recommendation
1. Ensure that all aspects of IM within the organisation are covered by a governance group.

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

Policies including ones for Data Ownership and the Records state responsibilities for all levels of staff relating to managing data and records. Discussions indicate this responsibility is known and understood, however, is not always supported by clear processes, application, and monitoring. Within individual business units there are specific IM processes followed depending on the preference of the managers, the information, and databases in use. This includes using naming conventions, file structures and version control.

Due to managers mainly guiding the IM practices, it has resulted in a decentralised IM approach creating inconsistencies in IM practices. Additionally, no training is provided to educate staff or business owners on their responsibilities or expected practices.

Recommendation
1. Document and educate business owners on their responsibilities for integrating IM into 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

MetService has multiple outsourced functions and collaborative arrangements relating to both corporate and scientific records. These include payroll services (corporate), and scientific for National Institute of Water and Atmospheric Research (NIWA), the WMO and CAA. Many of these agreements include information sharing requirements, retention periods and expectations between both parties.

The agreements reviewed had some provision for managing information including confidentiality, termination requirements and provisions, maintenance of records, breach reporting and compliance with relevant laws. However, none included clearly defined roles and responsibilities or monitoring and reporting requirements.

Recommendation
1. Define roles, responsibilities, monitoring and reporting requirements to ensure contracted parties met IM requirements.

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

Currently MetService has not defined information of importance to Māori. However, they are taking active steps to incorporate this into the business through the incorporation of IM into the Knowledge Management and Digital strategies. This has recently included identifying and cultivating Māori relationships as a strategic objective, and kaitiaki data stewardship in the Digital Strategy. In addition, MetService has recently hired a Pou Arahi Māori leader, who is responsible for Te Tiriti obligations.

The Digital Strategy has an objective to engage with Māori to understand MetService's unique areas of importance to Te Tiriti partners. While the objective to understand areas of importance is also referenced in the Digital Strategy, there are no clear deliverables tied to it.

Specific projects have involved iwi where relevant. For example, an external consultant assisted in engaging with iwi for the recent Moana project. This helped to integrate Māori knowledge with scientific research and to support iwi interests.

Recommendation
1. Formally identify information of importance to Māori.

Self-Monitoring

Public offices are responsible for measuring and monitoring their information management performance for planning and improvement purposes. This helps to ensure that IM systems and processes are working effectively and efficiently. It also ensures that public offices are meeting the mandatory information and records management standard, as well as, their internal policies and processes.

Topic 7: Self-Monitoring

Organisations should monitor all aspects of their information management.

Beginning

Observations

There is no regular monitoring of compliance with the Records Policy and other related policies and processes such as file structure and taxonomy.

A quarterly legislative compliance certificate must be provided to the Audit and Risk Committee (ARC); however, recent submissions have not included the PRA. According to the Records Policy, monitoring and auditing of compliance with recordkeeping requirements should be conducted, however, this is not undertaken with regularity.

Currently no compliance tool is used and there is no internal monitoring of compliance with the PRA. The use of ComplyWith or an equivalent tool has been recommended to the ARC and there is a current action to investigate its use at MetService.

Recommendation
1. Define and implement a regular monitoring process of the Records Policy and the PRA, and report results to the ES.

Capability

Information underpins everything 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.

Beginning

Observations

There is no IM team or resource specifically responsible for IM other than the ES. Additionally, there has not been a formalised identification of business needs relating to IM, or what supporting resources are required to meet that need. Currently if staff require assistance, they depend on their business unit managers, the IT helpdesk, or the ES. This contributes to decentralised IM practices across the business.

Recommendation
1.   Identify IM capacity and capability requirements to meet business needs and recruit the required resource.

Topic 9: IM Roles and Responsibilities

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

Beginning

Observations

Staff have a general understanding of their IM responsibilities through the induction requirement to read the key MetService policies, including the Records Policy. Additionally, within teams there are common practices and internal processes followed, which staff are briefed on when they start. However, this is not part of a formal induction and differs between business units. Some position descriptions mention IM, but only for specific roles which relate to it.

There is no ongoing or specific IM training.

Recommendations
1.   Assess MetService's IM training requirement, including mandatory induction training, and resource this appropriately.

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

There is inconsistent use of IM systems with each business unit using different platforms depending on the information they are capturing, and the business units established practices. In some cases, this is appropriate given the scientific data being captured through specific systems. The main systems used for storing information (outside of scientific databases) are:

- Microsoft Teams and SharePoint for working and collaborative documents,

- Thunder (a local drive storage location) for most final documents and forecast information, and

- Confluence Wiki (intranet) for policies, processes, and guidance.

Metadata is not routinely used to improve findability outside of the basic metadata required by the systems. Microsoft 365 has sufficient metadata capability which could be more actively utilised to improve findability. However, as it was rolled out organically across MetService, training on minimum requirements have not been conducted. Thunder holds basic metadata such as name, date created, and creator but does not meet the minimum metadata requirements. The intranet has tags which show the page owner, modification date, history of changes and when changes are made.

The Records Policy specifies that all electronic records are to be captured in the central drive or an electronic records management system but are not monitored for compliance to prevent the use of personal or uncontrolled drives.

Recommendations
1. In the short term, document and communicate which systems are to be used for creating and maintaining information and monitor this activity.

2. Set SharePoint up consistently across the organisation and utilise Archives NZ minimum metadata requirements.

Topic 11: High-Value/High-Risk Information

The organisation has identified its high-value/high-risk information assets, including identifying and addressing any risk to those assets.

Beginning

Observations

There is a general appreciation within MetService of the areas of high value information, which is understood in more detail by key people in each business unit. However, this is not supported by a complete and current Information Asset Register (IAR).

There is a data responsibility matrix which identifies high, medium, and low data priority. The classifications are aligned to the organisation wider risk matrix, but this does not extend to all information.

Recommendation
1. Identify high-value/high-risk information assets and document in an IAR in conjunction with the development of an organisation specific disposal authority.

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.

Beginning

Observations

IM requirements are considered to some degree in the roll out of new technology. From a data perspective, it is a core consideration to ensure scientific data is appropriately gathered and stored. For wider IM requirements, it is considered in the context of identifying the most effective solution. However, little IM direction is assigned to new and upgraded business systems for example, this occurred during the adoption of Microsoft 365, including Teams and SharePoint. This was initiated eight years ago but did not have a targeted roll out, instead it was adopted organically in some areas. Covid lockdowns necessitated its wider adoption through MetService.

With the appointment of a new ES and development of the Strategy, IM requirements are expected to be defined going forward.

Recommendation

1. As part of the Knowledge Management Strategy ensure that IM requirements are addressed when designing and configuring decisions relating to new and upgraded 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

There are localised IM practices to ensure information is reliable and trustworthy, however, these processes are specific to business units and therefore vary in application. Each team has different practices including the channels used for draft and interim documents. Microsoft Teams is mostly used for draft and working documents with Thunder and Wiki used for most final versions. However, as the use of the systems is not monitored, there is a risk that some records, such as notes and draft documents, are not being created and managed within approved systems.

Staff make efforts to ensure that final documents and records are saved in the relevant system and are aware that storage of documents on local drives is discouraged but not prevented.

Metadata is not actively utilised to improve findability and while there are restricted areas and channels, document restrictions are not actively used to protect information.

Recommendation

1. Document and communicate which systems are to be used for creating and maintaining information and monitor this activity to ensure it is consistent and reliable.

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

MetService does not have defined processes to manage information accessibility during system change. However, in significant transitions such as the move to a new building, external expertise was engaged to help identify aged systems and facilitate secure migration. Additionally, the Digital Strategy and Knowledge Management Strategy will help establish clear expectations of information maintenance.

Technology obsolescence has been identified at a high level but is not being actively managed. Several key systems are approaching obsolescence including the Wiki and Thunder. If not addressed, this poses risk to the business that unsupported systems are holding critical information. The Wiki will be unsupported in 2024 and is being reviewed as part of the Digital Strategy. Thunder, which holds the forecast archive, corporate documents such as facilities records and Official Information Act requests, and unstructured scientific data, is supported but not considered fit for purpose.

Recommendation

1. Identify technology obsolescence risks and formalise plans to address them, particularly relating to core systems.

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

MetService has a current Business Continuity Plan (BCP) that is appropriate to the size and complexity of the organisation. The BCP sets out business unit requirements to ensure continued delivery of key services and products and identifies critical functions and information required to deliver. There is also a backup website to ensure base information can be communicated to the public when needed. The BCP also sets out who needs to be informed relating to the key functions. However, there is no clear definition of the information required to ensure the critical services are delivered.

There was an incident where the cooling system failed causing a 48hr service disruption in the Data Centre. There was no loss of data, data storage or integrity. In this case, the BCP was activated and considered to be a success.

The BCP states regular testing is required particularly relating to high impact risks in the enterprise risk register, however, this is not always done in practice. ELT has also requested a list of the backup status for all critical systems to understand the backups which are different between systems.

Recommendation

1. Ensure master and business unit BCPs are up to date and a testing schedule is put in place.

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

MetService holds physical records at various locations including at the Kelburn office basement, with TIMG and NIWA. The information stored with TIMG is boxed, barcoded, and recorded in a register, which can be searched if any of the information needs to be retrieved. Currently, there is no monitoring of the storage of physical information that NIWA is holding. The physical information the MetService holds at Kelburn is access controlled and stored in boxes and on shelves. However, the building is considered an earthquake risk.

Digital information storage is variable depending on the system used. Servers are based around the world from Ireland to Singapore, and retention, back up and testing processes are specific for each of them. There is a reliance placed on third parties (such as Amazon AWS) to provide the security, storage, and backups without oversight by MetService. It is expected that a GCDO risk assessment was conducted when migration was completed in 2006.

Hazards to physical and digital information are understood and formally identified, managed, or mitigated through an Information Systems Operational Risk Register. Aa third party virtual CISO has also been appointed and is working through a programme which has included identifing and managing risks.

In arrangements where other agencies, such as NIWA, that store information on behalf of MetService, there is no monitoring to ensure meeting storage requirements.

Recommendation
1. Ensure protection and security processes are tested regularly.

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.

Beginning

Observations

MetService information access is decentralised and siloed. Finding information appears to be accessible and straightforward within business units. However outside of a team, there is no consistency in file structure, metadata, naming conventions or platform.

Some systems such as, Microsoft 365 have metadata capability in line with Archives NZ requirements, but these are not leveraged further to improve findability. There is no training or monitoring to ensure minimum requirements are met.

Recommendation
1. Ensure that systems used can support minimum metadata requirements and organisation-wide ontology to assist information use and sharing.

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 NZ (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.

Beginning

Observations

MetService does not have a current and approved organisation-specific disposal authority (DA).

Recommendation

1. Develop an organisation-specific disposal authority and submit to Archives NZ for approval.

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.

Beginning

Observations

All records of national significance (warnings, forecasts, surface charts in perpetuity), and commercially created products/data are retained as per relevant rules/statutes and SLAs. There is a general 10-year retention period built into Microsoft SharePoint and Teams. However, there is no monitoring or active management of information retained or disposed. There is reference to GDAs in policies such as, the Records Policy and the Disposal of Records Procedure. However, there is an unclear internal sign off process and no defined requirements to ensure information is destroyed in all formats.

Implementing GDAs is the responsibility of the business unit leaders to action. In the move from Kelburn to the current office, business unit leaders went through physical documents and discarded securely information that they considered appropriate. There was no sign off or documentation of these disposal actions.

MetService has contacted Archives NZ to gain an understanding of expectations on retention, storage and prioritisation. MetService is experiencing increases in the data they are receiving and are not clear on where the PRA interacts with other legislation and charters relating to information such as, the WHO and CAA.

MetService also wants to understand what physical and historical information they can dispose of as they hold information over 25 years old.

Recommendation

1. When the DA is approved, develop a comprehensive disposal implementation plan, and include in the Knowledge Management Strategy workplans.

Topic 22: Transfer to Archives New Zealand

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

Beginning

Observations

There have been no transfers of physical and digital information to Archives NZ and no deferral of transfer agreement exists. MetService is aware it holds physical information that is over 25 years old, however, the full extent of the information held is not known.

Recommendations

1. When the DA is approved, identify information over 25 years old of archival value and transfer to Archives NZ or obtain a deferral of transfer.

6. Summary of Feedback

This section sets out MetService's feedback pursuant to this PRA audit.

Many of MetService's systems and processes have evolved over a long period of time, sometimes predating modern information management practices. Whilst operational and environmental data is generally well managed and cared for, there is room for improvement in more general back-office information management practices.

Following on from a recent migration of technology systems to the cloud, MetService is in the process of rolling out a new Digital strategy, that includes knowledge and information management at its core. This strategy, and adoption of systems and techniques now made ubiquitous by the cloud will enable MetService to drive ongoing improvements.

Deloitte.

7 October 2022

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Tēnā koe Stephen

Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Meteorological Service of New Zealand Te Ratonga Tirorangi (MetService), 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 (Archives) 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.

Kia pono ai te rua Mahara – Enabling trusted government information

Auckland Regional Office, 95 Richard Pearse Drive, Mangere, Auckland
Christchurch Regional Office, 15 Harvard Avenue, Wigram, Christchurch
Dunedin Regional Office, 556 George Street, Dunedin

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 Archives' mandatory Information and records management standard.

The MetService is operating mostly at the 'Progressing' level in managing its corporate information. Attention to setting an IM strategy with governance oversight and appropriate resourcing is required to uplift maturity. The disposal area is at the 'Beginning' level. Work on developing an organisation-specific disposal authority alongside an information asset register will assist the organisation to understand and prioritise management of its information.

In comparison with this general picture, MetService pays significantly more attention to the core role of creating and managing scientific data. The audit report notes oversight of scientific data is performed by the Data Governance Group and a data responsibility matrix is used to identify high, medium, and low risk data priority. Overall, scientific data is appropriately gathered and stored.

Prioritised recommendations

The audit report lists 21 recommendations to improve your organisation's IM maturity.

We endorse all recommendations as appropriate and relevant. To focus your IM improvement programme, we consider that your organisation should prioritise the eight recommendations as identified in the Appendix.

What will happen next

The audit report and this letter will be proactively released on the Archives 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, and we will contact your Executive Sponsor shortly in relation to this.

Nāku noa, nā

Louise Harris
Acting Chief Archivist Kaipupuri Matua
Te Rua Mahara o te Kāwanatanga Archives New Zealand

Cc Sean Davidson, Chief Information Officer (Executive Sponsor)
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APPENDIX

Category	Topic Number	Auditor's Recommendation	Archives New Zealand's Comments
Governance	1: IM Strategy	*As part of developing the draft Knowledge Management strategy, develop an IM work programme to support implementation.*	The MetService is drafting a strategy to comprehensively address IM improvement at a high level, with support from the Executive Sponsor. This is foundational to raising IM maturity.
Governance	3: Governance arrangements and Executive Sponsor	*Ensure that all aspects of IM within the organisation are covered by a governance group.*	MetService has an important mandate for scientific data and has governance coverage for this. It is important to also include governance of corporate information.
Self-Monitoring	7: Self-Monitoring	*Define and implement a regular monitoring process of the Records Policy and the PRA, and report results to the Executive Sponsor.*	Reporting of agreed regular monitoring activity supports the Executive Sponsor in their role. It will also raise awareness of trends and issues with an appropriate governance body.
Capability	8: Capacity and Capability	*Identify IM capacity and capability requirements to meet business needs and recruit the required resource.*	This identification of needs should be done to support the implementation of the IM strategy as well as BAU and to provide consistency across the organisation where relevant.
Management	12: IM Requirements built into Technology Solutions	*As part of the Knowledge Management strategy ensure that IM requirements are addressed when designing and configuring decisions related to new and upgraded systems.*	The report relates this specifically to systems containing corporate content such as SharePoint. However, IM requirements should be taken into consideration for all business systems where appropriate.

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Access	18: Information Access, Use and Sharing	*Ensure that systems used can support minimum metadata requirements and organisation-wide ontology to assist information use and sharing.*	In consultation with staff, a review of the metadata and ontology/file plan would be useful to assist findability. As reported, training is also needed, specifically mandatory induction training as identified in Topic 9: *IM Roles and Responsibilities.*
Disposal	20: Current Organisation-Specific Disposal Authorities	*Develop an organisation-specific disposal authority (DA) and submit to Archives NZ for approval.*	The development of a DA is fundamental in supporting the MetService to understand their information, how it should be managed, and its value.
Disposal	21: Implementation of Disposal Decisions	*When the DA is approved, develop a comprehensive disposal implementation plan, and include in the Knowledge Management strategy workplans.*	It is important that disposal is well managed. The MetService understands (from the Disposal of Records procedure) that it can dispose under General Disposal Authorities before the specific DA is approved. It is important that the disposal process is clearly understood in the organisation and appropriately authorised internally.