

September 2018

Regulatory Programme Overview

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Introduction

Archives New Zealand is developing a work programme focused on raising information management (IM) capability across the public sector and ensuring our regulatory approach is fit for purpose in an increasingly digital environment. The scope of the programme extends to both public offices and local authorities, i.e. the public sector. It's part of a larger work programme to implement our long-term strategy, [Archives 2057](#).

We regulate the vast volumes of information the public sector creates about its work and the people it serves. We're here to make sure information is created and managed well, so that it supports transparency and accountability, the shift to digital government, and the cultural heritage aspect of our role. We enable the public to use recorded evidence as the basis for a check on the power of government.

We're now sharing our work with stakeholders to get their thoughts on what we're planning. We're outlining our reasons for creating the programme,

our vision and goals, and the activities we want to undertake to get there. Although the programme is underpinned by our own regulatory goals, we've chosen to shape it around what we think our regulatory partners need from us. Those needs are represented by four themes (see below).

This will be a multi-year programme, and for some activities we'll need to develop our capability or secure funding first. We'll use the feedback we receive to help with prioritising what activities we undertake and when.



Key concepts

Is a record the same as information?

Under the Public Records Act 2005 (PRA), any information in any form or format is considered a record. This includes paper and digital documents, emails, and data. Other examples given in the PRA include signatures, seals, images, sounds and speech.

In this document, we use the term “information management” instead of “recordkeeping”, as we think this better describes the range of activities that organisations need to carry out in order to meet the aims of the PRA.

There’s a lot of talk about data – how does that fit?

Data is a sub-set of information. It refers to a set of discrete, objective facts about events, people or places, without context or interpretation. Data is covered by the PRA and the standards issued by the Chief Archivist apply to it. The Chief Archivist has a particular interest where data forms a record of a transaction or decision-making that may be needed to hold the public sector to account.

Why we're creating the programme

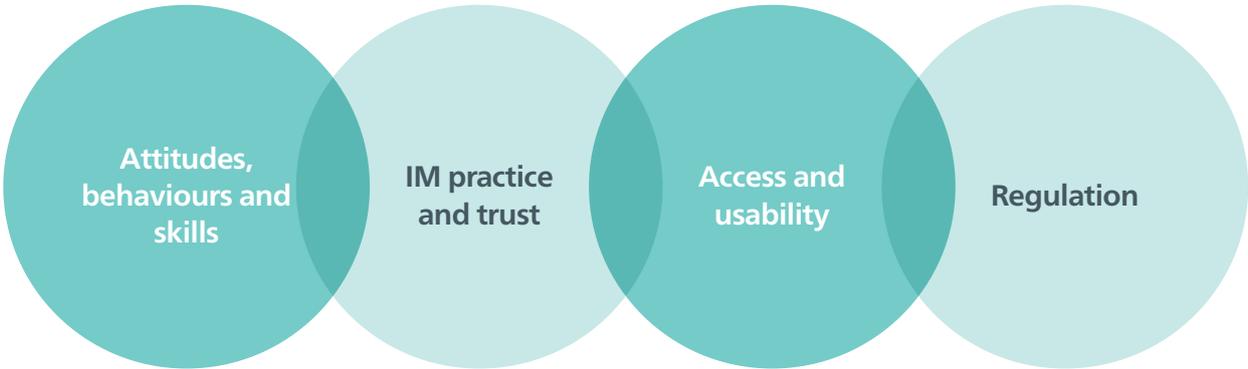
Our vision

Trusted information at our fingertips

People have complete trust in the information the public sector creates and manages, encouraging a strong democracy and progress towards digital government. They can readily locate and use public sector information, and are inspired to release its full potential to support their needs, aspirations and identities. Individuals, communities, iwi/Māori, organisations and the public sector value and benefit from lasting access to trusted information.

What we want to achieve

We've identified a number of goals to focus on for reaching our vision, which you can read about in Appendix A. They underpin all the activities in the Regulatory Programme. We've grouped them into four areas for progress (see below).



Problems we're addressing

We've identified a clear gap between our goals and the current state of public sector IM. We're not using our information leadership role and regulatory tools as strongly as we could. This has contributed to a generally low profile for IM in organisations, which in turn has led to inconsistent IM maturity. These circumstances are disrupting:

- findability, usability, integrity and longevity of information
- confidence in digital information as the single source of truth
- trust in government's accountability and transparency
- flow of digital archives into Archives New Zealand and back out to current and future users

In this environment, users can't readily access trusted information, limiting its use and reuse for better government and national wellbeing. Read our full problem statements in Appendix A.

Focus on digital

The programme has a focus on digital IM, with less emphasis on paper. While both are important, the volume of digital information created by the public sector is growing rapidly year-by-year and it has specific technical challenges that aren't present with the management of paper-based information.

For example, organisations can't put digital information in a virtual box or file room and assume that in 10 years' time they'll still have the ability to open, understand and use it. It has to be actively looked after. The constant adoption of new technologies is also changing the nature of information from something that can be fixed and finalised, to something more dynamic and changeable. This presents a challenge for the principles and techniques we all use to manage information, which are still rooted in paper-based traditions.

For these reasons, our focus is on building capabilities, tools and regulations for digital information. Many of the outputs of the programme can and will be used by organisations to deal with paper-based information.

The themes

Our key partners for the regulatory role are the IM practitioners working in public sector organisations. As a regulator, we have a range of responsibilities that mean we won't always deliver what IM practitioners want us to. But, they're the people who advocate for IM in organisations and who have to take our requirements and put them into practice. So, we've shaped our programme around what we think they need from us (see below).

We developed a story by reflecting on the things IM practitioners have asked, told and shared with us, while also looking to our regulatory goals (see Appendix A). Although we've focused on IM practitioners, throughout our work we've highlighted what the programme means for our other partners and customers.



As an IM practitioner I need:

Understand IM

- Senior decision-makers in my organisation to value IM and make sound choices about it, with my input
- My Executive Sponsor to be a strong advocate and work closely with me
- My organisation to know what information it creates and holds
- Individual staff to be responsible for the quality of the information they make, store and work with
- To know how to meet the challenges of digital IM and work effectively with related domains
- To know how IM supports Crown-Māori relations

Set up IM

- To know what description and control requirements my organisation has to meet
- To know how to set up description and control that will make my job easier and satisfy user needs
- ICT products and services, including line-of-business systems, to meet IM requirements
- To have input into decisions about new and existing ICT products and services
- To know when to dispose of information and what action to take
- To know how to set up the conditions for regular disposal across all systems

Make IM happen

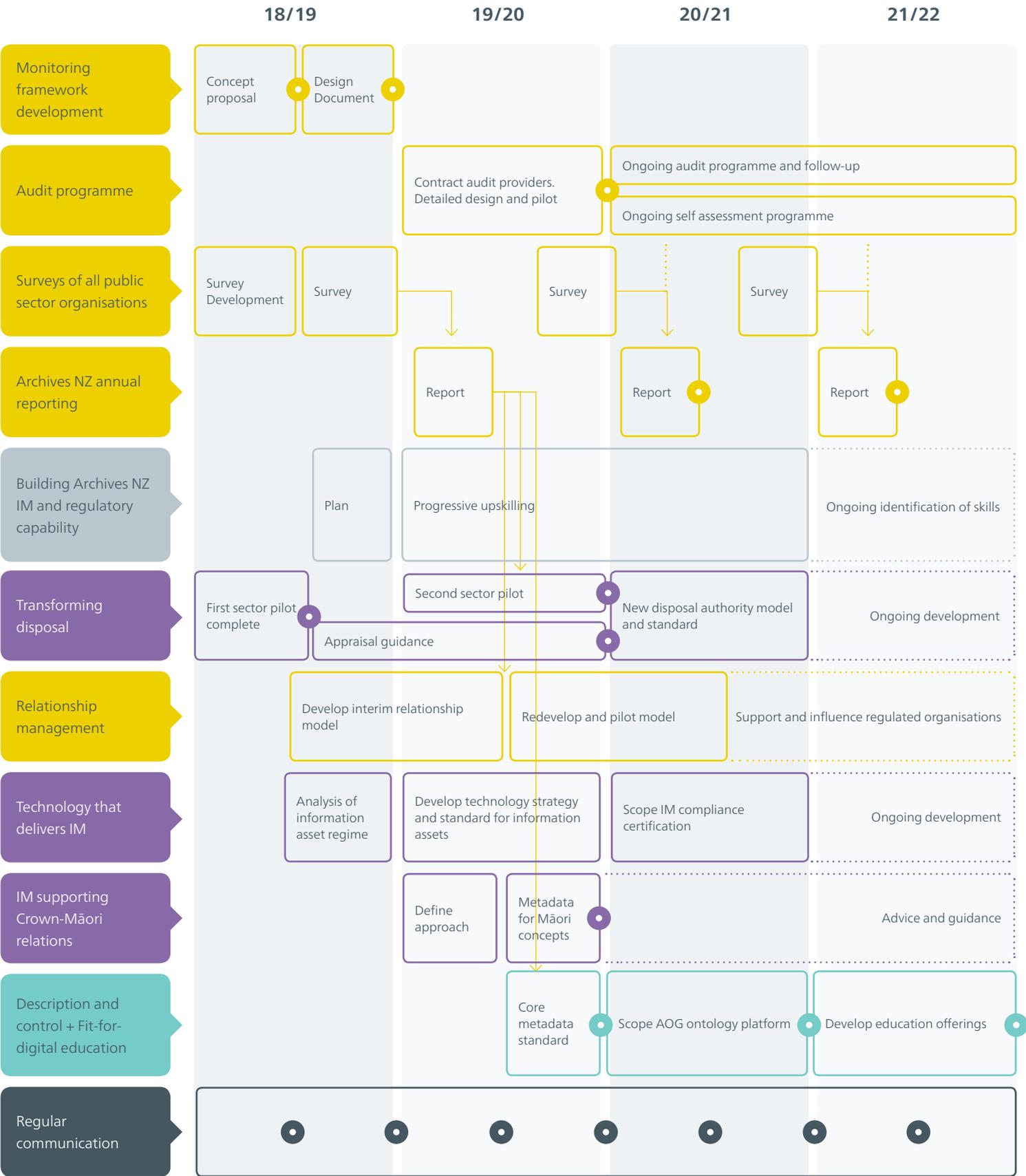
- My organisation to have the awareness and capability to protect the usability and integrity of information
- To know how to get regular disposal of digital information happening
- To know how to prepare for digital transfer

Be supported

- To have a knowledgeable point of contact for all my enquiries
- To know what tools are out there to help me do my job and how they can be used
- To know what monitoring activities my organisation is expected to participate in
- To know how my organisation measures up against IM requirements
- To know what will happen if my organisation isn't performing as well as it should be
- To know when my organisation will have to stop creating physical information

Indicative timeline

This will be a multi-year programme, and for some activities we'll need to develop our capability or secure funding first. The following diagram is an indicative timeline for key pieces of work in the programme, but it doesn't reflect everything we need or want to do.



Appendix A: Problems and goals

Problem statements for regulatory role

Archives New Zealand is not using its information leadership role and regulatory tools as strongly as it could to:

- influence information practices and attitudes in public sector organisations
- maintain a comprehensive view of IM performance in public sector organisations over time
- help IM practitioners adapt to digital ways of thinking about and managing information
- encourage incorporation of and access to kaupapa Māori in public sector IM
- respond to the challenges and opportunities that constantly evolving technology presents for IM

This has contributed to a state of public sector IM where:

- the harmful effects of poorly managed information are not widely recognised
- IM does not have a strong profile with people in public sector organisations that make investment and staffing decisions
- the IM function gets undervalued and lacks appropriate levels of specialist staff
- IM practitioners find it difficult to get traction and adequate funding for IM
- good IM is not yet consistently and seamlessly designed into technology and services, hindering compliance and placing excessive responsibility for IM on individual end-users
- with few exceptions, the role of IM in Crown-Māori relations is not well understood

These circumstances have led to insufficient and inconsistent levels of IM maturity in public sector organisations, which are disrupting:

- findability, usability, integrity and longevity of information
- confidence in digital information as the single source of truth
- trust in government's accountability and transparency
- flow of digital archives into Archives New Zealand and back out to current and future users

In this environment, users cannot readily access trusted public sector information, limiting its use and reuse for better government and national wellbeing.

Goals for regulatory role

Access and usability

- Public sector organisations no longer use paper-based business processes. Information that is created digitally is managed digitally.
- Flexible ways of describing and linking digital information support next-generation discovery, retrieval, automated IM, integration and interoperability between systems.
- Organisations maintain the technical ability to open and read the information in their care. They know who can access it, have effective mechanisms in place to track and control appropriate access, and routinely classify the access status of all information over 25 years.
- Information description and access models take Treaty of Waitangi obligations and the needs and concerns of iwi/Māori into account.

As a result:

- The official record of government is digital. The ability to easily find, open, understand and work with information is constant over time.
- Users outside the public sector know where information is held. In the long-term, there is an intuitive way to discover and interact with open public sector information.
- Access and use is simple for users coming from a Te Ao Māori perspective. Iwi/Māori can trust that proper guidelines and protocols are applied to information about them and their whanau, iwi or hapū.

Attitudes, behaviours and skills

- Public sector organisations have a strong and sustained awareness of the information they create and hold, and its usefulness for them and others. They understand the role of information and IM for supporting the expectations, aspirations, interests and concerns of iwi/Māori.
- Senior decision-makers in organisations recognise and value the potential uses for information and the benefits of managing it well.
- IM practitioners in organisations have the skills to successfully lead and manage all aspects of digital IM. They work confidently and effectively with related domains, including ICT, privacy, information security and data stewardship, to promote and integrate IM.
- Individual staff are aware of their IM responsibilities and are held accountable for the quality and authority of the information they make, store and work with.

As a result:

- Senior decision-makers place IM on equal footing with related domains. They make sound choices about investment, technology, resourcing, recruitment and risk management for IM.
- IM practitioners are valued, listened to and sustainably resourced.
- Information culture is embedded in organisations and the public sector.

IM practice and trust

- Information is created, stored and shared in ways that strengthen users' confidence in its quality, authority and stewardship.
- Every information asset has a clear custodian over time, both within individual organisations and across the public sector.
- Business processes, and the technologies that enable them, are designed to produce and maintain information that has attributes that generate trust: authenticity, reliability, integrity and usability. At the same time, they satisfy user needs and minimise end-user responsibility for IM.
- Disposal of information occurs routinely, once it is no longer needed for current business or to meet legal requirements.
- The conditions for long-term preservation are present from the moment information is created. Organisations expedite the movement of digital public archives into permanent preservation environments.

As a result:

- Users inside the public sector find digital business processes useful and usable, and have confidence in digital information as a single source of truth.
- Public sector information can be relied upon as a basis for accountability and transparency.

Regulation

- Archives New Zealand maintains a complete, publicly available understanding of the state of public sector IM, which it uses to inform its regulation and enforcement.
- It uses its full range of regulatory tools in a unified and complementary way to drive improvements to public sector IM.
- Archives New Zealand's staff have the skills to successfully lead and regulate all aspects of digital IM. They work confidently and effectively with related domains, including ICT, privacy, information security, data stewardship and identity, to promote and integrate IM.

As a result:

- The public have confidence in the quality and stewardship of public sector information, and awareness of areas for improvement. Public sector organisations are empowered to lift their performance.
- Effective, compliant IM is built into the technology and infrastructure used by public sector organisations.
- Archives New Zealand is seen to use its information leadership role and regulatory tools effectively.