

September 2018

# Regulatory Programme

## Understand IM

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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. 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.



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## What we'd like to know

### Questions

- How will the activities we're planning make a difference for you and/or your organisation?
- What implementation challenges do you anticipate?
- What activities have we overlooked?
- What activities should we focus on first and why?
- What activities are not worth doing and why?

### How to provide feedback

Visit our [online discussion forum](#) to learn more about the programme and provide feedback. Our staff will be present on the forum to answer questions and guide discussion. The online discussion will run **until 12 October 2018** (5pm). Alternatively, you can send comments to [rkconsultation@dia.govt.nz](mailto:rkconsultation@dia.govt.nz)

# Understand IM

## Encouraging attitudes, behaviours and skills that support IM



We've identified **four** focus areas for helping organisations to understand IM.

## Influencing senior decision-makers

The [Information and Records Management Standard \(2016\)](#) requires all public sector organisations to designate an Executive Sponsor. That person is a Tier 2 manager with strategic and executive responsibility for overseeing IM in their organisation.

We're already operating a programme of initial engagements with Executive Sponsors. Next, we want to build the profile of IM and help them make sound choices about investment, technology, resourcing, recruitment and risk management for IM. We'll also make more effort to bring Executive Sponsors and IM practitioners together. Because we regulate a large number of organisations that carry different levels of IM risk we won't engage with all Executive Sponsors in the same way.

Executive Sponsors aren't the only ones making important decisions that affect IM in public sector organisations. Increasingly, decisions and investment are being made with an all-of-government (AOG) or cross-sector focus. So, we also need to continue working with other leaders and regulators to build the profile of IM, especially where it intersects with technology, privacy, security and data.

### Activities



- Develop an engagement strategy for Executive Sponsors
- Offer regular communications and learning opportunities for Executive Sponsors
- Sustained engagement with other leaders and regulators

### Complementary activities



We want to do more to influence technology that delivers IM. This will involve working with senior decision-makers and other leaders and regulators. For more information, see the *Set up IM* theme.

We want to power-up our monitoring, enhance our public reporting and implement a new relationship management model. These steps will help us to be more open about good practice and the harm resulting from poor practice. For more information, see the *Be Supported* theme.

# “Fit-for-digital” education

Education and support are essential regulatory tools that build understanding and capability. This focus area will deliver education offerings that support all the other focus areas in the Regulatory Programme.

We’re already gathering customer insights to inform redevelopment of our websites, as a platform for delivering education offerings, such as advice and training. Next, we want to re-develop our offerings so that they’re relevant and responsive to digital IM, and enable digital ways of learning and connecting. This could extend to hosting a virtual community of practice. Although we’re focusing on what we can deliver online, so that we can maximise our reach, we want to hear from you about any other delivery modes you’re keen to see.

Education topics we’re thinking about include: assessing the IM functionality of products and services, digital sentencing, and IM during change events. Building on the efforts of individual organisations, we also think that education targeted specifically at public sector employees will help to embed better information culture in organisations. A capability matrix, like the one developed by [National Archives of Australia](#), could help to educate senior decision-makers on planning and developing their organisation’s IM capability.

There are plenty of topics to consider and we welcome your thoughts on what should be covered. We don’t expect to be the only ones offering IM education. Training providers, professional associations and organisations themselves will always have an important role to play.

## Activities



- Develop an IM education strategy
- Conduct a “fit-for-digital” review of existing offerings
- Develop online education offerings, including IM 101 for all public sector employees
- Develop staff capability matrix for digital IM

## Complementary activities



We want to become more active with testing and reporting on common tools for digital IM and implement a new relationship management model. These steps will enable us to collaborate more with organisations and help them implement tools for digital IM. For more information, see the *Be Supported* theme.

# IM supporting Crown-Māori relations

With few exceptions, kaupapa Māori is still an afterthought in government IM practice, and the role of IM in supporting Crown-Māori relations is not well understood by organisations.

Ultimately, we want to see information description and access controls that reflect Treaty of Waitangi obligations and the needs and concerns of iwi/Māori. We want iwi/Māori to be able to trust that the proper guidelines and protocols are applied to information about them and their whānau, iwi and hapū. We also want access and use to be simple for users coming from a Te Ao Māori perspective.

As a starting point for reaching these goals, we have a leadership role to play in developing understanding in organisations about why and how IM practice should integrate kaupapa Māori. To do this, we'll seek to work alongside iwi/Māori groups, Māori IM specialists and organisations that have already made advances in this area.

## Activities



- Develop statement on IM supporting Crown-Māori relations
- Develop metadata for Māori concepts (see Complementary activities)
- Work with Enterprise Content Management as a Service (ECMaaS) vendors on providing Te Reo Māori translation in products
- Collaborate on controlled list of iwi and hapū for organisations to apply to information

## Complementary activities



We want to explore metadata for Māori concepts. We also want to look at flexible ways of describing and linking digital information (e.g. ontologies) and embedding standards into technology. These steps will help with building responsiveness to iwi/Māori into public sector IM. For more information, see the *Set Up IM* theme.

# Strategically managing information assets

Applying asset management principles to information can generate valuable insights and improve the profile of IM with senior decision-makers. The easier it is for organisations to see across all their information assets, understand their value to the business and their connections with technology, privacy and security, the more likely it is that IM risks will be managed. A tool that some organisations are using to do this is the information asset register or catalogue (IAR).

We're collaborating with the System Assurance team at the Department of Internal Affairs (DIA) on piloting a platform for cataloguing information assets. This is part of a broader digital portfolio management tool that organisations can use to map technology dependencies, identify risks and opportunities, and manage change to assets.

If the pilot is successful, we hope to see this platform made available to all public sector organisations. It has the potential to provide a joined-up, standardised and public-facing view of public sector information assets that supports monitoring by multiple regulators and functional leads, such as data and privacy, and complements the Directory of Official Information.

Next, we want to look at whether to mandate IARs for some or all organisations, or simply recommend them as good practice. We think that if they're done right, they'll be immensely useful for organisations, regulators and people outside government. But we're also mindful of the effort it can take to develop and sustain them. So, we'll carefully consider what expectations to set around the scale and scope of asset identification.

## Activities



- Develop standard for identifying and documenting information assets
- Develop education offerings (see *Complementary activities*)
- Work with DIA to make IAR platform available for all public sector organisations

## Complementary activities



As part of the "*Fit-for-digital*" education focus area, we'll look at what education offerings are needed to support IARs. This may involve working with other parts of government to leverage off existing offerings.

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# What does this mean for me?



## Senior decision-makers

- I'll recognise the value of IM for my organisation.
- I'll hear more frequently from Archives New Zealand about what it expects to see from my organisation.
- If my organisation isn't performing as well as it should be, Archives New Zealand will make recommendations and monitor their implementation.
- I'll understand how IM can support Crown-Māori relations and what I can do to raise awareness in my organisation.



## Staff in public sector

- I'll complete IM training each time I join a public sector organisation.
- My employer will hold me accountable for the quality and authority of the information I make, store and work with.



## IM practitioners

- Senior decision-makers in my organisation will value the IM function and involve me in choices about investment, technology, resourcing, recruitment and risk management for IM.
- My Executive Sponsor will be a strong advocate for the IM function and will work closely with me to promote good IM practice.
- My organisation may be required to develop and maintain an IAR and there may be an all-of-government platform for doing this.
- I'll have access to education offerings that better support me to meet Archives New Zealand's requirements and the challenges of digital IM.
- I'll understand how IM can support Crown-Māori relations and what I can do to raise awareness in my organisation.



## People outside the public sector

- I'll have an easy way to find out what information public sector organisations create and hold.
- I'll see public sector organisations being more transparent about what information they have.
- I'll find it easier to locate information relevant to my whanau, iwi or hāpu.