

September 2018

# Regulatory Programme

## Set up 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 organisations?
- 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)**

# Set up IM

## Creating the right conditions for IM practice and trust



We've identified **three** focus areas for helping organisations to set up IM.

### Standardising description and control

IM practitioners know that when consistent ways of describing and controlling information aren't in place, it's hard for them to do their job and for users to find, trust and use information. It also affects users outside the public sector who want to access information that's been transferred to us or another permanent repository.

At the moment, we don't specify exactly what metadata we want organisations to capture for the purposes of IM, but for the above reasons we think this needs to change. We also need to do more to encourage description and access controls that better serve iwi/Māori. To achieve this, we'll seek to work alongside iwi/Māori groups, Māori IM specialists and organisations that have already made advances in this area.

We also want to encourage wider adoption of other semantic tools that can help IM practitioners control large volumes of digital information and users find what they need. We're especially interested in the potential ontologies have to support automatic tagging of information with metadata and disposal decisions rules, user-friendly ways of searching, information discovery in Te Reo Māori, and make working across the public sector easier.

#### Activities



- Develop core metadata standard
- Develop metadata for Māori concepts
- Scope potential for all-of-government ontology platform

#### Complementary activities



We want to work with Enterprise Content Management as a Service (ECMaaS) vendors to get IM requirements, including standards, consistently designed into the technology and services that create and store information. For more information, see the *Technology that delivers IM* focus area.

We'll also look at overarching considerations for IM supporting Crown-Māori relations, plus what education offerings are needed to support implementation of a metadata standard and other semantic tools. For more information, see the *Understand IM* theme.

# Technology that delivers IM

Technology and infrastructure are critical for enabling good digital IM, but they're not always set up to do so. Public sector ICT needs to shift away from viewing IM as an optional or time-consuming requirement that can be dealt with after a technology roll-out, or something that only happens in an organisation's document management system. Information is created and stored across all the technologies used by an organisation, and has to be managed well wherever it lives.

If the functionality and conditions for managing information well aren't in place from the moment it is created, it's that much harder for the organisation to do it right over time. So, IM requirements and risks need to be assessed when organisations are weighing what products and services to take up.

We want to take on more responsibility for setting the strategic direction for ECMaaS in the public sector. This could extend to working more closely with ECMaaS vendors and organisations on IM requirements. We also want to look at how we can better inform investment and procurement of other ICT products and services, because technology for IM is about far more than ECMaaS. For example, by collaborating with other leaders and regulators on a mechanism for informing key IM-related budget bids, like the [Data Investment Framework](#) used by the Digital Government Information Group.

## Activities



- Develop technology strategy, including direction for ECMaaS
- Work with vendors to embed IM requirements into ECMaaS offerings(s)
- Monitor public service departments' ICT strategies for IM-related implications
- Develop IM compliance certification process
- Develop mechanism for Chief Archivist to inform key IM-related budget bids

## Complementary activities



We want to develop education offerings that will help organisations assess the IM functionality of products and services, including line-of-business systems and cloud. This may involve working with other parts of DIA to build on existing offerings. For more information, see the *Understand IM* theme.

# Transforming disposal

Growing volumes of digital information, the shift away from folder-based structures for organising it, and rates of implementation into digital environments have highlighted a need for disposal practices to evolve. These disposal practices include the various instruments we issue or recommend to enable organisations to understand what information they've got, assess its value (i.e. appraise it), get authority to dispose of it, apply disposal decisions and actively do disposal.

We're already redeveloping our guidance on selecting information for transfer to our holdings, to help organisations with the process of assessing value. That doesn't mean our interest in disposal is limited to information with archival value though. Part of our role is to support accountable and transparent disposal of public sector information, regardless of its value.

We're also piloting changes to the way we develop disposal authorities, so that they're more modular and make it easier for organisations to achieve and maintain complete coverage for all their information. Read more about the changes in the spotlight section below. Both initiatives are aimed at getting more consistent decision-making across government about the same types of information.

Next, we want to look at what we can do to facilitate implementation of disposal decisions, possibly in the form of a disposal standard. Any standard would take a digital view of disposal and sit beneath the parent [Information and records management standard \(2016\)](#). For example, at the moment disposal decisions are written for a human audience, for accountability and because in the paper-based tradition humans are the ones that implement them. With digital information, people need machines to be able to execute disposal decisions for them. If the decisions aren't expressed in a machine-executable way, then there's still a lot of human intervention required, which increases the barriers to implementation.

Other things that need to be considered for digital environments include the granularity of the classes in authorities, the length of retention periods and the speed of our processes. We're also looking at updating appraisal guidance to set out our expectations for the appraisal process and support implementation of new selection guidance.

## Activities



- Establish a work plan and procedures for new disposal authority model and continue to pilot
- Review general disposal authorities
- Develop disposal standard and appraisal guidance

## Complementary activities



We want to take steps that will encourage organisations to implement their disposal decisions, like introducing disposal implementation plans and normalising early transfer of digital information. For more information, see the *Make IM Happen* theme.

We also want to be more active with testing and reporting on common tools for digital IM, including machine-executable disposal decisions. This may involve working with our peers in other jurisdictions. For more information, see the *Be Supported* theme.

## Spotlight: New disposal authority model

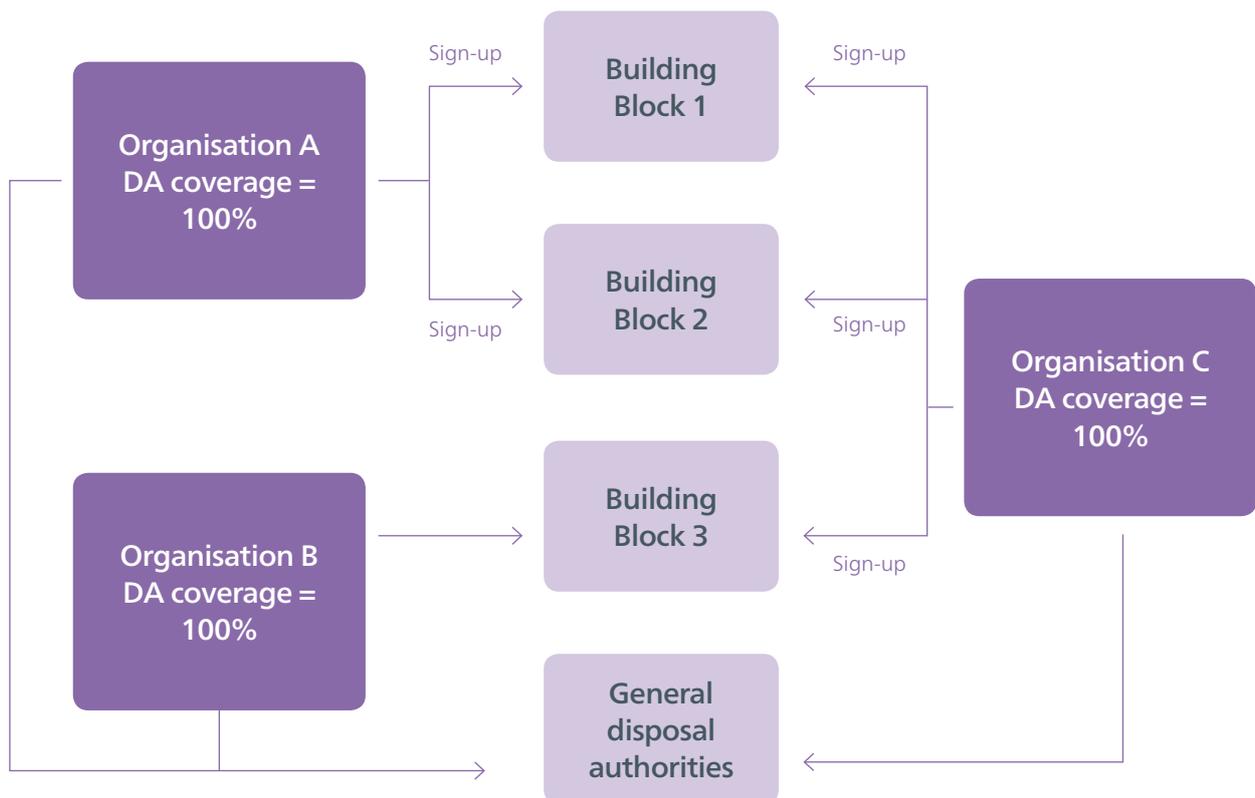
### Current state

At the moment, disposal authorities are usually specific to individual organisations. Organisations carry most of the burden for developing an authority. It can take several years to reach the point of authorisation and after 10 years, when the authority expires, the process is often repeated. In addition, authorities can't be transferred between organisations when there are changes to machinery of government. So it's unsurprising that only 56 percent of organisations have disposal authorisation for all of their information.<sup>1</sup>

The current model results in inconsistent decision-making across the public sector about similar types of information. It also permits a level of detail in authorities that creates barriers for implementation into digital environments.

### The new model

We want to look across the public sector and work with organisations that share similarities in what they do. Together, we'll develop modular "building block" authorities that multiple organisations can sign-up to, to achieve full disposal coverage for their information (see below). One of our [Archives 2057](#) goals is to see full disposal coverage for the core public sector by 2021.



1. Figure derived from Archway. Excludes the circa 2,500 school boards of trustees, Ministers of the Crown and local authorities.

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Through this model, we'll encourage rolling-up detailed classes of information with the same characteristics, particularly function, disposal action and retention period. The intent is that these authorities will be maintained through a lighter 5-yearly review model. There'll be more effort up front to set them up but that effort will be shared and they'll persist for longer. We expect that there'll still be some need for organisation-specific authorities, when an organisation performs truly unique functions.

For the model to operate effectively we'll need to have new processes in place for managing sign-ups and notifying the public of intentions to dispose. This will include setting appraisal expectations for organisations wanting to sign-up to an existing function-based authority. We'll also need ways of meeting the demand to view all of an organisation's disposal decisions as a single output. Outside of the Regulatory Programme, we're working on a replacement for our archival management system that should help to facilitate the new model.

## Piloting the new model

Since 2017, we've been working with a group of District Health Boards (DHBs) and the Ministry of Health to develop a set of "building block" authorities to replace the current general disposal authority for DHBs (DA262). The working group has drafted three authorities, each of which covers a number of classes that relate to the same overarching function (see below).

As per the new model, we've designed the authorities with fewer classes so that they'll be easier to implement. Besides DHBs, we've already had interest from other organisations in the health sector in signing-up to the third block. Where we get the opportunity, we're also reaching out to organisations that we think could benefit from using the blocks. Consultation on the authorities is coming up later in the year, so keep an eye out.

### Building Block 1

Personal health information

### Building Block 2

Health administration

### Building Block 3

Population health and wellbeing

## Next steps

We'll evaluate the success of our first pilot, report back and conduct more pilots. We've already had interest from several sector groups in participating in the next pilot. At the moment, our resourcing will only allow us to conduct one pilot at a time.

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# What does this mean for me?



## Senior decision-makers

- I may be asked to share my ICT strategy with Archives New Zealand and expected to answer questions on how my organisation's ICT initiatives are meeting IM requirements.
- I'll be expected to demonstrate that IM requirements are met for information stored in all environments, not just our ECM.



## Staff in public sector

- I'll find digital business processes useful and usable, and be able to trust digital information as a single source of truth.



## IM practitioners

- I'll know how to select ICT products and services that are a good fit for IM requirements.
- Senior decision-makers will involve me in choices about investment and technology for IM.
- I'll know what description and control requirements my organisation has to meet and how to set them up across all systems.
- I'll know when to dispose of information, what action to take and how to set-up the conditions for regular disposal.



## People outside the public sector

- I'll be able to access and use public sector information in ways that make sense for me.