September 2018

Regulatory Programme
Make IM happen

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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**.

Te Rua Mahara o te Kāwanatanga
aRCHIVeS
NEW ZEALAND

New Zealand Government

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.

UNDERSTAND
IM

BE
SUPPORTED

**Regulatory
Programme**

SET UP
IM

MAKE IM
HAPPEN

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**

Make IM happen
Managing digital information over time

We've identified **two** focus areas for helping organisations to make IM happen.

Preserving usability and integrity

Once information has been created, organisations have to maintain the technical ability to find, open, understand and work with it, right up until they are ready to dispose of it. Often, the requirement to maintain information will extend over decades and numerous system upgrades or replacements.

We know that many organisations hold a proportion of older digital information that's usability is compromised. IM practitioners can face difficulties with getting senior decision-makers to prioritise management of this information, especially when it's no longer actively used by the organisation. This is particularly problematic for digital information, where the risk of losing functionality and trust over time is much greater than physical formats.

We're looking at how we can help organisations to actively preserve information, whether that's providing education on techniques and tools or guiding organisations on setting up their own long-term preservation environments. We also want to develop preservation policies for certain types of digital information that have archival value but present particular challenges, such as classified and published information.

Activities

- Develop education offerings (see Complementary activities)

- Test and report on tools (see Complementary activities)

- Develop policy for digital preservation of classified public archives

- Develop approach for digital preservation of published public archives, including websites and social media

Complementary activities

We want to develop education offerings that will help organisations manage information through change events, stay informed about what file formats to use for better information life expectancy, and access information in obsolete or unidentified formats. For more information, see the *Understand IM* theme.

We want to be more active with testing and reporting on common tools for digital IM, including analytical tools for searching, structuring, de-duplicating and identifying older digital information. This may involve working with our peers in other jurisdictions. For more information, see the *Be Supported* theme.

Taking action on disposal

Regular disposal of information is a fundamental component of good IM practice. It helps with managing risks to both information and the organisation, rationalising technology and lowering storage costs. At the moment, we're seeing low rates of organisation preparedness for digital transfer and it's common for organisations to have a disposal authority that they've only partially implemented.

We're looking at what controls, incentives and education we can put in place to encourage organisations to make disposal happen as a matter of routine. Some of these activities are associated with other themes in the Regulatory Programme (see Complementary activities).

We want to see organisations implementing their disposal decisions across all environments, including line-of-business systems. To achieve this we're looking at introducing disposal implementation plans as a condition for receiving disposal authorisation, probably in the form of a disposal standard. We'll monitor organisation progress against these plans and use them to anticipate future transfers. Our hope is that our monitoring will give IM practitioners extra leverage for getting disposal prioritised.

To date, we've avoided setting any technical requirements for digital transfer. This results in an excessive amount of technical analysis for both us and the transferring organisation. So, we also want to look at standardising our requirements around metadata and technical specifications for digital transfer. There'll be no change to our position on file formats; we'll continue to accept information with archival value in any digital format.

Eventually, we want to be in a position where we can enable rapid, continuing transfer for digital information that becomes final soon after creation and is identified for transfer to Archives New Zealand. This has already been trialled successfully in Australia.

1. As per s21 of the Public Records Act 2005

Activities

- Introduce disposal implementation plans

- Set technical requirements for digital transfer

- Set policy to normalise early transfer of digital public archives

- Develop the technical conditions and requirements for continuing transfer

Complementary activities

We want to develop education offerings that will help organisations sentence digital information, conduct risk-based disposal on digital holdings and prepare for digital transfer. For more information, see the *Understand IM* theme.

We also want to transform disposal and set a disposal standard to facilitate implementation of disposal decisions. This is where we'll look at setting requirements for disposal implementation plans, retention periods and digital transfer. For more information, see the *Set Up IM* theme.

Finally, we want to use the data we collect about organisations holdings through monitoring and information asset registers to improve the transfer pipeline and actively enforce transfer of information at 25 years, provided organisations no longer use it.[1] For more information, see the *Be Supported* theme.

What does this mean for me?

Senior decision-makers

- I'll be expected to support IM staff to make preservation and transfer happen.

- I'll be expected to update Archives New Zealand on my organisation's progress with implementing disposal decisions.

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 protect information over time, right up until point of transfer or destruction.

- I'll know how to get routine disposal of information happening and I'll be supported by senior decision-makers.

- I'll know how to prepare for digital transfer to Archives New Zealand.

- My organisation may be required to prepare a disposal implementation plan, as a condition for receiving disposal authorisation or signing-up to an existing authority.

People outside the public sector

- I'll see an increase in the quantity of digital archives available at Archives New Zealand.