



Landcorp Farming Limited |
Pāmu Farms of New Zealand
Public Records Act 2005 Audit Report

Prepared for Archives New Zealand
July 2022



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1. Disclaimers

Use of Report

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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 Pāmu 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 Pāmu 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

Landcorp Farming Limited | Pāmu Farms of New Zealand

Pāmu is a State-Owned Enterprise established in 1987 and has a nationwide portfolio of farms that produce milk, beef, lamb, wool, venison, wood and more. They are a recognised leader, not only in New Zealand’s agricultural sector but, around the world where their farming practices are studied and emulated.

Pāmu has approximately 680 staff and its head office is in Wellington and provides information management services to its three subsidiaries:

- Landcorp Estates Limited
- Landcorp Pastoral Limited
- Landcorp Holdings Limited.

Examples of high-value / high-risk information that Pāmu holds includes Board papers and supporting documentation, animal welfare reports, research information, completed purchase agreements of the state-owned portfolios, health and safety of the farming environment including stock, records regarding Iwi partnerships, and published information on research and guidance.

Summary of Findings

We assessed Pāmu information management (IM) 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	13	6	1	-	-

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 Pāmu'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). Pāmu's maturity level for each topic area assessed is highlighted under each of the respective areas. Ratings were based on Pāmu'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 Pāmu's. Archives NZ is responsible for following up on the report's recommendations with Pāmu.

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.

Pāmu'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

Pāmu does not have a current IM Strategy (IS) or IM implementation plan. However, an IM project named 'Data Strategy project' is underway, which includes developing a formal IS and IM Policy (Policy).

Pāmu's current Data Strategy aligns with its current organisational strategy. The strategy states that their data is a big business asset for them and are aiming to build more IM capability, use data to help progress their organisational mission, hold more governance meetings, and champion expectations within their teams.

The Executive Sponsor (ES) noted they intend to use findings and recommendations from this PRA audit to assist with developing the IS and Policy.

Recommendation

1. Ensure that as part of the Data Strategy project, an IS and detailed IM work programme and implementation plan are developed.

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.

Beginning

Observations

Pāmu does not have an official Policy; instead, there is a 'Corporate Services – Policy and Procedures' guidance document. This has not been updated since Pāmu's recent transition to a new document management system, the Microsoft 365 application, with most information stored on Sharepoint. Pāmu refers to this deskfile document as their outdated Policy, however, it is more closely aligned as a procedure/guidance document. This guidance document details many administrative processes. This includes IM procedures and guidance on IM practices such as, processes for archiving information within their old systems, managing board papers and disposing of physical information.

Pāmu's Data Strategy project team plans to develop the Policy to include IM roles and responsibilities within the new document management system. In addition, it will outline the disposal and retention requirements from the general disposal authorities (GDAs).

Recommendation

1. Develop the Policy to align with the PRA requirements and update the 'Corporate Services – Policy and Procedures' document.

Topic 3: Governance arrangements and Executive Sponsor

The Executive Sponsor (ES) has strategic and executive responsibility for overseeing the management of information in a public sector organisation.

Beginning

Observations

Pāmu does not have a separate governance group that covers IM, the Senior Leadership Team (SLT) fulfils this role, as required. If there are any major IM projects or concerns, the ES and SLT's IM expertise are brought in. There is no regular reporting of IM activities to SLT.

Recommendation

1. Establish an IM governance group or report IM matters to an already established 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.

Beginning

Observations

Business owners have a limited understanding of their individual and team's responsibilities for managing information. IM requirements are not formally integrated into business processes and activities. There is an outdated procedural document, 'Corporate Services – Policy and Procedures', outlining some IM processes. However, there no enterprise-wide IM approach and each business unit (BU) have their own processes and activities. These processes include the use of multiple systems being used including email, SharePoint, physical document storage and local, physical drives. These individual BU approaches and use of different systems contribute to IM inconsistencies across the Pāmu.

Recommendation

1. Formally assign responsibility for managing information to information owners in the Policy.

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.

Beginning

Observations

Pāmu has service contracts with outsourced IT service providers. The sighted contracts refer to confidentiality, data ownership, intellectual property, and requirements governed by New Zealand law, including the PRA. Pāmu provided information sharing agreements with He Waka Eke Noa, Microsoft 365 and Farm IQ Systems Limited. All included clauses around confidential information and information ownership, consistent with Archives NZ requirements. There are no clauses around specific roles and responsibilities in the any of the provided contracts.

The ES has acknowledged that IM related clauses may not always be present in all contracts but they check the contracts and agreements, as they are renewed to ensure inclusion and consistency.

There is no regular monitoring over contracts to ensure compliance with the PRA.

Recommendations

1. Ensure relevant IM requirements, including roles and responsibilities, are included in all contracts where public records are created.
2. Develop a regular monitoring process to ensure suppliers are compliant with IM requirements.

Topic 6: The 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.

Beginning

Observations

IM implications within the Treaty of Waitangi settlement agreements and other agreements with Māori are not known at Pāmu or its farms they manage. Information of importance to Māori has not been identified.

Pāmu is currently developing a Māori Strategy, which aims to develop strong te reo and tikanga competencies. This includes intergrating the Taiao Primary Sector Strategy and its four outcomes: Whenua, Wai, Āuarangi and Koiora. Pāmu aims to recruit a Māori Strategy Adviser to add strategic Te Ao Māori perspective to Pāmu's strategies and policies.

Recommendation

1. Identify information of importance to Māori, this may be included as a category within the Information Asset Register (IAR) or similar.

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 Policy, and current processes outlined in Pāmu's deskfile document are not regularly monitored. There is ad hoc monitoring of IM from an information security perspective such as, reporting on access controls and permissions to the Head of Technology.

Recommendation

1. Agree areas of IM to be monitored and develop a monitoring and reporting process that covers compliance with the PRA standards and with the Policy when it is developed.

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.

Progressing

Observations

Pāmu does not have a dedicated IM team. The ES is the General Counsel and they do not currently have any IM staff. They are aware they need more IM staff but will specifically identify their needs within their Data Strategy project.

The ES is aware of the limited IM capability and capacity within Pāmu and that they require more IM staff. Like many other organisations, Pāmu has had difficulties recruiting with the current tight labour market conditions. As part of the Data Strategy project, they plan to specifically identify their capacity requirements to provide sufficient IM support to the organisation.

Recommendation

1. Complete an IM capacity assessment and address the identified capacity requirements.

Topic 9: IM Roles and Responsibilities

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

Beginning

Observations

Pāmu staff have a high-level awareness of their IM responsibilities, such as retention requirements.

Roles and responsibilities for IM are not documented in job descriptions, development plans or Pāmu's Code of Conduct. Staff interviewed were unaware of their individual IM obligations. They were also unaware that key documents such as, the 'Corporate Services – Policy and Procedures' exists.

Staff are aware of the IM procedures that must be undertaken in their role, with this knowledge being obtained informally from existing staff in each business units. Ongoing refresher training, alongside Policy and IS documents are required to increase maturity.

Recommendation

1. Develop a training plan once IS and Policy have been developed to ensure all staff understand their IM requirements.

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

Staff at Pāmu have some awareness of their obligations to create and capture full and accurate records through informal inductions from other staff.

Pāmu staff can find their own information and records with ease but occasionally encounter difficulty when searching for information managed by other teams. Generally, if another area created the required information the subject owner or the business unit manager would be approached for assistance.

Last year Pāmu removed local servers and implemented SharePoint for digital storage, and developed standard file structures, naming conventions and some file management processes. However, these have not been well communicated to the wider organisation and therefore, IM processes remain variable for each business unit.

Based on interviews, staff advised information is saved on their local desktops or emails, and they will upload multiple documents to SharePoint all at once. However, there are no formal guidelines stating that emails of importance must be saved in SharePoint. Also, staff advised that the use of local drives was discouraged as part of the SharePoint roll out but not prevented.

Pāmu has inconsistencies in the creation and maintenance of information, due to the use of different systems and lack of control and oversight. These inconsistencies are heightened by farm managers in their respective locations, as there is no oversight or visibility of the processes they use.

Recommendations

1. As a part of the IM policy, develop a formalised file saving structure and guidelines.
2. Plan to decommission local drives to ensure staff use SharePoint and reduce the need to monitor multiple environments.

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

Pāmu has not formally identified any high-value / high-risk information assets it holds or developed an inventory.

Recommendation

1. Identify information of high-value / high-risk in conjunction with developing 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 your organisation's business systems.

Progressing

Observations

Pāmu obtains third party IM expertise when implementing and upgrading technology systems. Commissioning and decommissioning of systems is usually delivered under a project or programme, which undergoes an approval process. The ES is a member of a project steering committee, providing oversight over projects and IM advice, as required. Pāmu has a project and programme procedure outlining roles and responsibilities and documentation requirements. However, incorporating IM considerations, are not formalised in their project procedure but is considered in an ad hoc manner.

The recent migration from an onsite server to SharePoint included IM requirements and verifying the integrity of information throughout the migration. SharePoint meets Archives NZ's minimum metadata requirements.

Recommendation

1. Develop and document standardised IM requirements for new and upgraded business 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 some localised IM practices to ensure information is reliable and trustworthy, however each business team uses a mixture of digital record keeping such as email, local drive storage, SharePoint, and physical records. Accompanied with no oversight, there is a risk that records are not being appropriately captured across all the IM storage processes. However, staff make efforts to ensure that final documents are saved or filed in the appropriate locations.

Staff noted variable experiences in finding and retrieving information. This also included issues around naming conventions and filing structures with staff often relying on, and using their own, business unit method.

Recommendation

1. Develop consistent naming conventions, filing structures, taxonomy, and ontology in consultation with business units.

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.

Beginning

Observations

Accessibility to physical information is ensured long-term through ongoing storage of information. Physical information is transferred and stored at an approved third-party physical storage provider and in Pāmu's Wellington office in the basement and a secure storage room in the main office.

Pāmu's onsite information storage is compliant with Archives NZ's requirements and all information held is captured in a register.

Digital information remains accessible and maintained over time through access control and metadata continuity. Security processes and continuous updates of systems ensure digital information is accessible over time.

There is no formalised strategy which identifies how to preserve physical information through business or system changes. Preservation needs for information have not been identified.

Recommendation

1. Identify risks to ongoing accessibility of digital information.

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

Pāmu has a current Business Continuity Plan (BCP) that is appropriate to the size and complexity of the organisation. The BCP identifies Pāmu's critical functions and some critical information but does not state any requirements for regular testing. However, the BCP was last tested in 2020 with no reported exceptions.

There is no formal plan for the restoration of physical information.

Recommendation

1. Ensure the BCP identifies all critical information.

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.

Managing

Observations

A large portion of Pāmu's physical information is kept with a third-party storage provider due to limited storage space at its office and the convenience of the third-party overseeing disposal requirements. Physical information kept onsite is stored in secure storage rooms and labelled ensuring it remains accessible. The storage is in an office environment, which includes fire safety, flood mitigation and access control. Only three staff members have access to these rooms.

Digital storage is managed through third-party providers and is stored at data centres in Sydney and Melbourne. All digital information has restricted access to the appropriate roles.

Requirements for information security and protections are built into the contracts. There are daily backups taken of SharePoint.

There has been a reported instance of employees storing physical documentation at home due to limited space. This represents a risk to Pāmu's information, as it may not be stored in a safe environment.

Recommendations

1. Ensure that staff understand Pāmu's storage processes.
2. Ensure that any information held at employee's homes is listed and arrange for it to be returned to Pāmu's office or third party storage provider.

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 can 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

Pāmu applies access controls for both physical and digital information. Access controls are in place across all digital systems, including restricting access to folders within Microsoft 365 or other business systems such as Farm IQ. Respective business unit managers manage access and permission controls.

Some staff reported functional issues with finding information because of inconsistent naming conventions, version control and taxonomy. Staff can generally find information their own business unit creates, but run into issues when accessing information within other business units. Based on interviews, if staff are unable to locate the information, then they would approach the subject owner. Within each business unit, there are ad hoc undocumented and inconsistent IM processes.

IT has recently developed naming conventions and file structure guidelines following the transfer to Microsoft 365. However, staff reported that these are not well known nor being used consistently across Pāmu. Each business unit has created their own ad hoc IM processes.

Pāmu recently updated their security systems to multi-factor authentication to prevent unauthorised access. Information protection and security processes are not tested regularly.

Pāmu does not have IM processes established for incoming and outgoing information and data shared with external parties.

Recommendations

1. Ensure IM processes are applied to incoming and outgoing information and data shared with external parties.
2. In collaboration with staff, reassess the established naming conventions and file structure guidelines to ensure they are fit for purpose.

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

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

Pāmu does not have a current organisation specific disposal authority (DA).

Recommendation

1. Develop and gain approval for a Pāmu specific DA.

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

Pāmu does not have a current organisation-specific DA, therefore no information has been disposed of under a Pāmu specific DA. Pāmu reported a cultural inclination to retain information and not actively dispose using General Disposal Authorities (GDAs)

Pāmu recently refurbished its office and in preparation staff disposed of some physical documentation in a secure bin. There was some communication to staff informing them of what could be disposed under the GDAs during this period, however, this was not documented.

Recommendations

1. Once the specific DA has been developed, create a disposal implementation plan.
2. Include awareness of disposal requirements in any future training plan.

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

Pāmu has some physical information that is older than 25 years. The last recorded transfer to Archives NZ was in 2009 and nothing since, as Pāmu does not have a current DA and Archives NZ is not currently accepting physical information.

Pāmu has not transferred any digital information to Archives NZ, which it is accepting.

Recommendation

1. When the DA is approved develop a plan to transfer to Archives NZ or agree a deferral of transfer.

6. Summary of feedback

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

Pāmu acknowledges that it is at the “immature” end of the spectrum in its PRA awareness and compliance. Pāmu values the audit – the observations and recommendations will provide some structure and direction as we look to lift our compliance with the PRA.

As noted in the report, Pāmu has recently undertaken a fundamental shift in its record management with migration to SharePoint. The value of data and the insights it brings is now reflected in the Board's strategy and vision to 2030. Pāmu has a project underway to develop a data strategy and anticipates ongoing workstreams arising from finalising that strategy. This will include a focus on developing an IM policy and better IM procedures and improving awareness and consistency.

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20 September 2022

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Tēnā koe Mark

Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Landcorp Farming Limited (Pāmu) 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

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.

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.

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

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. Pāmu is at the beginning of its journey to improve IM maturity. An increase in IM capacity and capability with the support of the Executive Sponsor and senior leadership will enable the organisation to improve. The audit report's Section 6: *Summary of feedback* shows Pāmu's intention to improve awareness and consistency of its IM practice.

Pāmu is currently operating a hybrid IM system. It would be useful for the organisation to understand its use of digital and physical information in its business processes and to work towards increased digital operation now that it has implemented SharePoint.

Prioritised recommendations

The audit report lists 25 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 seven 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 for the release 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



Stephen Clarke
Chief Archivist Kaipupuri Matua
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APPENDIX

Category	Topic Number	Auditor's Recommendation	Archives New Zealand's Comments
Governance	1: IM Strategy	<i>Ensure that as part of the Data Strategy project, an IS and detailed IM work programme and implementation plan are developed.</i>	This is essential to plan for IM improvement and maturity uplift.
Governance	2: IM Policy and Processes	<i>Develop the Policy to align with the PRA requirements and update the 'Corporate Services – Policy and Procedures' document.</i>	A current IM Policy is a foundational document to ensure that roles and requirements are understood across the organisation. This also impacts Topic 4: <i>IM Integration into Business Processes</i> and Topic 9: <i>IM Roles and Responsibilities</i> .
Governance	3: Governance arrangements and Executive Sponsor	<i>Establish an IM governance group or report IM matters to an already established governance group.</i>	This group can provide oversight of the strategy when developed and IM maturity improvement across the organisation with regular reporting to it.
Capability	8: Capacity and Capability	<i>Complete an IM capacity assessment and address the identified capacity requirements.</i>	IM expertise is needed to support the organisation improve its IM maturity and to implement the strategy when developed.
Creation	10: Creation and Capture of Information	<i>Plan to decommission local drives to ensure staff use SharePoint and reduce the need to monitor multiple environments.</i>	Many efficiencies are gained. IM training only needs to cover SharePoint, staff only need to search one repository and work on improving taxonomy and naming conventions can be concentrated on SharePoint.

Category	Topic Number	Auditor's Recommendation	Archives New Zealand's Comments
Creation	11: High-Value/High-Risk	<i>Identify information of high-value/high-risk in conjunction with developing an organisation-specific disposal authority.</i>	Pāmu should develop an information asset register for all information and identify high-value/high-risk information within it. This will help Pāmu prioritise its work and support the recommendation under Topic 20.
Disposal	20: Current Organisation-Specific Disposal Authorities	<i>Develop and gain approval for a Pāmu specific DA.</i>	As noted in Topic 11 above these two activities can be done together. IM expertise will be needed to complete them.