



Public Records Audit Report for Manaaki Whenua - Landcare Research

Prepared for Archives
New Zealand

November 2022



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Independence

We are independent of Archives New Zealand in accordance with the independence requirements of the Public Records Act 2005.

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1. Executive summary

Manaaki Whenua Landcare Research New Zealand (Manaaki Whenua) is the Crown Research Institute for New Zealand's land environment. Manaaki Whenua creates high value public records including scientific papers, the setup of initiatives to realise the commercial value of research projects, science projects, governance monitoring and reporting records. Manaaki Whenua was established as an independent organisation in 1992 after Crown Research Institutes were established. Manaaki Whenua has approximately 473 staff.

Manaaki Whenua recently implemented SharePoint and this is the primary system used to store digital corporate information. Manaaki Whenua also uses OneDrive and shared drives to manage large datasets and restricted information. Manaaki Whenua has several databases and reference collections which are of significant national importance. These are managed by the collections curator.

At the time of this audit, Manaaki Whenua had two skilled Information Management staff: a Records Coordinator and Knowledge Services Manager. Together, this is equivalent to 1 FTE focussed on information management.

Records are maintained electronically and physically, with the majority of physical information stored at a third party storage provider.

Manaaki Whenua's information management maturity is summarised below. Further detail on each of the maturity assessments can be found in sections 4 and 5 of this report.

Beginning	2
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Optimising	0



2. Introduction

KPMG was commissioned by Archives New Zealand to undertake an independent audit of Manaaki Whenua under section 33 of the Public Records Act 2005 (PRA). The audit took place in October 2022.

Manaaki Whenua's information management (IM) practices were audited against the PRA and the requirements in the [Information and records management standard](#) (the Standard) as set out in Archives New Zealand's Information Management Maturity Assessment.

Archives New Zealand provides the framework and specifies the audit plan and areas of focus for auditors. Archives New Zealand also provides administrative support for the auditors as they undertake the independent component of the audit process. The auditors are primarily responsible for the onsite audit, assessing against the standard, and writing the audit report. Archives New Zealand is responsible for following up on the report's recommendations with your organisation.

3. This audit

This audit covers all public records held by Manaaki Whenua including both physical and digital information.

The audit involved reviews of selected documentation and interviews with selected staff, including the Executive Sponsor, Information Management staff, the Information Technology team, and a sample of other staff members from various areas of Manaaki Whenua. The Executive Sponsor is the Senior Responsible Officer for the audit.

The audit reviewed Manaaki Whenua's information management practices against the PRA and the requirements in the Standard and provides an assessment of current state maturity. As part of this audit, we completed systems assessments over Manaaki Whenua's key systems that act as repositories for public records. Where recommendations have been made, these are intended to strengthen the current state of maturity or to assist with moving to the next level of maturity. The summary of maturity ratings can be found at Section 4, with detailed findings and recommendations following in Section 5. Manaaki Whenua has reviewed the draft report, and a summary of their comments can be found in Section 6.

4. Maturity Assessment

This section lists all assessed maturity levels by topic area in a table format, refer to Appendix 1 for an accessible description of the table. For further context about how each maturity level assessment has been made, refer to the relevant topic area in the report in Section 5.

Category	No.	Topic	Maturity				
			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		●			
	10	Creation and capture of information		●			
	11	High-value / high-risk information		●			
	12	IM requirements built into technology systems		●			
	13	Integrity of information		●			
	14	Information maintenance and accessibility		●			
	15	Business continuity and recovery		●			
	16	Appropriate storage arrangements		●			
	18	Information access, use and sharing		●			
	20	Current organisation-specific disposal authorities			●		
	21	Implementation of disposal decisions		●			
	22	Transfer to Archives New Zealand	●				

Please note: Topics 17 and 19 in the Information Management Maturity Assessment are applicable to local authorities only and have therefore not been assessed.

5. Audit findings by category and topic



Governance

The management of information is a discipline that needs to be owned from the 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, our government and New Zealanders.

TOPIC 1 – IM Strategy

Beginning

Summary of findings

Manaaki Whenua does not have an information management strategy in place to provide strategic direction and support over information management activities.

Manaaki Whenua has recently formed a Digital Leadership Group (DLG) to provide central governance for data and digital, including information management. The DLG have identified the development of a data and digital strategy, including information management, as a key priority. However, this work has not yet started. The Executive Sponsor advised that there is strong support from the Board for this work to be undertaken.

Recommendation

Develop an information management strategy following Archives New Zealand's guidance. This does not have to be a stand-alone strategy and can be incorporated into Manaaki Whenua's wider data and digital strategic plan. However, it should clearly articulate information management objectives.

TOPIC 2 – IM policy and processes

Progressing

Summary of findings

Manaaki Whenua has an Information and Records Management Policy (the policy) that was approved in December 2020 by the General Manager of Corporate Services. Information Management staff plan to review this policy in November 2022, in line with the documented review date. The policy includes roles and responsibilities of staff and contractors within the organisation and is linked to other Manaaki Whenua policies such as the Research Data Management Policy and the Code of Conduct. The policy outlines legislation relevant to information management, including the PRA and the Standard.

Discussions in focus groups found that staff were aware of the policy and were confident they could source it on the intranet. The policy is communicated to staff and contractors through induction training.

Information management processes vary across Manaaki Whenua depending on the team's function. Some teams have information management processes documented, but these are limited. For example, staff interviewed from the Contracts team indicated they have standard operating procedures outlining what metadata they should capture when managing contracts in SharePoint.

Recommendation

Provide guidance on good practice in relation to information management processes for both digital and physical information. Communicate these processes to all staff and contractors.

TOPIC 3 – Governance arrangements and Executive Sponsor

Managing

Summary of findings

Manaaki Whenua recently formed the DLG which provides central governance for data and digital, including information management. It includes a subset of the Senior Leadership Team (SLT) including the Executive Sponsor and the Informatics Team Leader (a Tier 3 manager).

The Knowledge Services Manager provides monthly reporting to the Executive Sponsor and the Executive Sponsor raises this to the DLG on an as-needed basis.

The Executive Sponsor has been in the role for seven months. Interviews suggested that they are aware of their responsibilities and provide appropriate support and advocacy for information management matters. However, due to the limited time in the role and the lack of an information management strategy, the Executive Sponsor has not yet been able to provide active direction for improved information management practices.

Recommendation

In connection with Topic 1 – *IM Strategy*, the Executive Sponsor should promote the need for the information management strategy and actively develop it in consultation with information management staff. In line with this, senior management should actively provide direction on information management across all facets of the organisation

TOPIC 4 – IM integration into business processes

Progressing

Summary of findings

Information management responsibilities for staff are outlined in the policy, but this does not specify roles and responsibilities for business owners. Manaaki Whenua acknowledged this and plan to include roles and responsibilities for business owners in the policy when reviewing it in December 2022. General information management responsibilities are outlined in new and updated job descriptions and all performance appraisals.

Requirements for managing information have been integrated into business processes and activities managed in SharePoint. For example, retention requirements from the Disposal Authority have been built into SharePoint to ensure information is retained for as long as needed for business purposes. The collection curators manage the research databases and collections. This includes responsibility for the management of information, such as oversight of those who have access to edit the databases.

Recommendation

As part of the policy review in December 2022 document information management responsibilities for business owners at Manaaki Whenua.

TOPIC 5 – Outsourced functions and collaborative arrangements **Progressing**

Summary of findings

Manaaki Whenua holds a significant number of contracts for research projects, partnerships and collaborative agreements. Of the six contracts reviewed as part of this audit, all included requirements for managing information and outlined the public records status of records held. Most also included information management roles and responsibilities and requirements for the creation, management, portability and security of the information.

Manaaki Whenua completes some monitoring of contracted parties. For example, information management staff identified that at the end of a contract, if they do not receive all required information, they will request the missing information from the contracted party. However, staff noted monitoring is difficult due to the large number of contracts held, and there is no structured process for doing this.

Recommendation

Develop a process to monitor the compliance of contracted parties in relation to their information management requirements.

TOPIC 6 – Te Tiriti of Waitangi

Managing

Summary of findings

In 2021 Manaaki Whenua made a formal commitment to upholding the principles of Te Tiriti o Waitangi across all aspects of the organisation, including information management. Manaaki Whenua uses Vision Mātaranga ratings to identify information that is of importance to Māori and has applied this classification across all records. Manaaki Whenua holds several physical collections that the Ministry of Business, Innovation and Employment defined as nationally significant. Manaaki Whenua has prioritised these Nationally Significant Collections and Databases as an area of information management that is especially relevant and of priority to Māori.

Manaaki Whenua has also established the Te Tiriti Partnership Group (TPPG) that is working to develop a roadmap for the collections and databases. Manaaki Whenua are working with iwi

and hapū to explore how to connect them with data that is of importance to them. Manaaki Whenua is planning to build on the learning from the collections and databases work and use this to inform its wider information management practices to ensure they give effect to Te Tiriti.

Manaaki Whenua is also engaging with iwi representatives to discuss Māori data sovereignty and determine whether transfer to Archives New Zealand is the correct course of action, given where the information comes from and that it is of importance to Māori.

Recommendation

Continue the engagement with Māori to agree on the process for managing information that is of importance to them.

Once this is complete, analyse and document information management implications for new agreements with, and agreements that are of importance to, Māori.

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 own internal policies and processes.

TOPIC 7 – Self-monitoring

Progressing

Summary of findings

Information Management staff conduct some monitoring of compliance with their policy. For example, staff monitor how much information is saved to SharePoint compared to OneDrive, what information is deleted and whether staff are creating their own libraries.

Information management requirements from the PRA, the Standard and other relevant legislation are identified and documented in their policy. However, there is no targeted monitoring of compliance with this legislation.

Information management staff self-identified they have not had instances of non-compliance, and that actions to address this would be determined based on the severity of the situation.

Recommendation

Develop a regular information management monitoring programme on compliance with the PRA, the Standard and other relevant legislation.



Capability

Information underpins everything our 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

Progressing

Summary of findings

Manaaki Whenua has a Knowledge Services Manager and Records Coordinator, equivalent to one full time FTE for information management, and support from a temporary SharePoint resource. Staff identified they do not have sufficient information management capacity to drive improvements in information management. For further improvement to be made, Manaaki Whenua has identified a full time SharePoint resource is required, and additional resources to build an information asset register.

Manaaki Whenua has identified capability gaps in its information management team, for example data management and technical system expertise for SharePoint.

The Executive Sponsor recognises the capacity and capability gaps in the information management team at Manaaki Whenua and is working to address these. This includes the development of a new senior role to bring a strategic view of data and information management at Manaaki Whenua.

Professional development opportunities are accessible to information management staff, with up to three days of performance development available each year. Staff identified they have good opportunities to complete performance development activities as and when they want to, for example attending workshops run by Crown Research Institute data experts.

Recommendation

Formally review the capacity of information management staff against Manaaki Whenua's business needs and develop a plan to recruit additional information management staff as needed.

TOPIC 9 – IM roles and responsibilities

Progressing

Summary of findings

Staff interviewed are aware of their information management responsibilities. Responsibilities for staff are outlined in new job descriptions. As job descriptions reach the review date, they

are updated to include information management responsibilities. As of 1 July 2022, information management requirements are also included in all performance appraisals. Information management is not referenced in the code of conduct.

Information management responsibilities are communicated to all staff and contractors through a tailored induction. This covers the PRA and how this applies to staff, SharePoint and OneDrive obligations, shared drives, naming conventions, destruction and what systems staff should not use – e.g. external hard drives, Drop Box and Google Docs. This induction differs for science and support staff; for example, science staff also receive an overview of the Research Data Management Policy. This training is not provided for short term/temporary staff, for example summer interns, as it is expected teams will cover this.

Two e-learning modules are available on the Electronic Learning Management System, and training is provided for business units by the Records Coordinator on an as-requested basis. Staff members interviewed noted that training was delivered on an as-needed basis but felt information management staff were responsive to their needs and their training requirements. There is no plan to develop ongoing organisation-wide information management training due to capacity issues.

Recommendation

Assess the ongoing information management training requirements for the organisation and plan to meet these.

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

Progressing

Summary of findings

Staff and contractors are aware of their obligation to create full and accurate records. This is reinforced through new starter induction training and performance appraisals.

Information is routinely created and captured as part of business functions and activities. Staff interviewed noted the different types of information created as part of different business functions and activities. For example, teams such as the Contracts, Health and Safety, People and Culture and Operations team primarily use SharePoint to capture and record their information, while science staff primarily use databases. SharePoint and Manaaki Whenua's research databases meet the minimum metadata requirements of Archives New Zealand.

Although SharePoint is a controlled environment, focus groups noted they also use alternate environments to manage information, for example OneDrive and shared drives. Some

monitoring is done of these uncontrolled environments. For example, information management staff monitor the amount of information being saved to OneDrive rather than SharePoint. Staff also noted the complexity of working with research data, and the inability to use SharePoint to manage some of this due to file size and file type.

Some information usability, reliability and trust issues have been identified, for example information being stored on 8-inch floppy disks which cannot be read due to a lack of equipment with the functionality to do so. Manaaki Whenua is working with Archives to address this.

Recommendations

Develop and implement an approach to address information usability, reliability and trust issues identified from monitoring.

Ensure information is managed in controlled environments to ensure its accessibility and reliability across the organisation.

TOPIC 11 – High-value / high-risk information

Progressing

Summary of findings

Information management staff have a good understanding of the information assets held by Manaaki Whenua and what constitutes high-value or high-risk information, over both corporate information and information held in the research databases. This is largely guided by the organisation-specific Disposal Authority. There is an inventory of information held in physical systems, however Manaaki Whenua do not have a formal information asset register. Information management staff previously tried to develop this asset register, but this was not completed due to capacity constraints.

Recommendation

Develop and maintain an information asset register covering both digital and physical records, with a focus on high-value and high-risk information, including scientific information held in research databases and corporate information. Risks to high-value and high-risk information, and measures in place to mitigate against such risks, should also be documented.

Management

Management of information should be designed into systems to ensure its ongoing management and access over time, including following a business disruption event. 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.



Summary of findings

Information management staff are not consistently involved in designing, configuring and implementing new business systems and decommissioning old systems. Information management staff were heavily involved in the recent migration to SharePoint and were confident that they would be involved in the design and configuration of new systems moving forward due to the Executive Sponsor having oversight of significant business change and understanding the importance of information management expertise being involved.

Information technology staff spoken to indicated that most systems have system documentation and high-level architectural plans available.

SharePoint captures the minimum metadata requirements set out by Archives New Zealand.

Recommendation

Document standardised information management requirements for new and upgraded business systems.

Summary of findings

Discussions with staff identified some localised information management practices across business units. For example, staff in the Contracts team and Chief Executive's office use metadata, filing practices and standard operating procedures to help manage information. However, these conventions are not consistently followed within all business units. The capability for organising and applying metadata to information depends on the systems used to create and manage that information. For example, research scientists indicated an inability to use SharePoint to store data such as satellite imagery due to the file size. Staff may use systems such as standalone drives to store this, and these do not have sufficient capability to capture metadata.

Staff interviewed noted variable experiences when trying to find and retrieve information. Staff said information used regularly is easy to locate and access, but other information can be difficult to find. It was noted this may require conversations with relevant people to locate the information. When information is found, if it is stored in an unstructured library, there is less confidence that information is comprehensive and complete.

Recommendation

Identify the integrity issues that staff have around finding, retrieving and using information across the organisation and develop a plan to address these.

Summary of findings

Some strategies are in place to manage and maintain physical records through business and system changes. For example, the Records Coordinator maintains a list and location register of physical information stored with a third-party storage provider.

Physical records are held in a number of formats, for example lab books and floppy disks. Most physical information is stored with a third-party storage provider, enhancing the security of the information. Other physical information is stored in secure onsite storage, the key to which is held by the Records Coordinator.

Controlled information management systems such as SharePoint are used to manage and maintain digital information. To maintain digital information through previous business system changes Manaaki Whenua utilise migration plans.

Staff noted that they intend to copy CDs to ensure continuity of this information, but due to capacity issues do not currently do this.

Technology obsolescence risks are identified by the Records Coordinator maintaining an 'Asset and Systems' register which details at a high level the systems staff are using, and includes obsolescence risks to systems. Due to capacity issues, no plans have been developed to address these.

Recommendation

Identify preservation needs for physical information stored in onsite storage and implement plans to address these.

Summary of findings

Manaaki Whenua has a Business Continuity Plan (BCP) and a Crisis Management Plan, both of which were approved in September 2022. The BCP provides an overview of the Information Technology team's responsibilities during a period of business disruption, particularly to establish a detailed plan for system restoration. The BCP does not specify which systems and information are critical for business operations. It describes what a record is but does not outline the actions required for the restoration of physical or digital information.

Manaaki Whenua completes an annual crisis management and business continuity exercise to test the core plan. This runs through two detailed scenarios but focuses on how the business would respond to an event rather than running a detailed restoration of systems.

Manaaki Whenua undertakes backups of digital information daily and stores this information at two data centres – in Auckland and Christchurch – and in the cloud. These backups are retained

for different periods of time depending on the type of information it is, determined by internal policies. Manaaki Whenua restore backups monthly to ensure they are working as intended.

Recommendation

Review the BCP and Crisis Management Plan in line with the development of the Information Asset Register to identify critical information and systems.

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

Progressing

Summary of findings

Manaaki Whenua has some protection and security controls to protect physical information against unauthorised loss or destruction, both onsite and with a third-party provider. Manaaki Whenua uses secure onsite storage access to which is only granted to information management staff. However, the sheds do not have sprinklers and some boxes are stored on the floor.

There is protection and security in place for digital information against unauthorised access, loss or destruction. Digital information is backed up daily and stored on two servers, located in Christchurch and Auckland, and in the cloud. There is only a soft delete option on SharePoint and research databases to ensure information is backed up, and access controls restrict unauthorised personnel from accessing records. The different levels of access controls have been documented, however there is not a comprehensive list of which staff members have different levels of access.

While SharePoint is widely used across Manaaki Whenua, staff still use systems such as OneDrive and shared drives, which have protection and security issues.

Recommendations

Regularly test the physical and digital storage environments to ensure protection and security is effective and appropriate. Report the findings to the Digital Leadership Group.

Review the storage environment for physical information to ensure it is fit for purpose.

Access



Ongoing access to and use of information enables staff to do their work and the public to hold government accountable. To facilitate this, public offices need mechanisms for finding and using this information efficiently. Information and/or data sharing between public offices and with external organisations should be documented in specific information sharing agreements.

TOPIC 18 – Information access, use and sharing

Progressing

Summary of findings

Minimum metadata requirements are built into SharePoint to facilitate consistent management and information discovery. Minimum metadata is built into research databases, but staff noted it is difficult to locate information unless you know specifically what you are looking for.

Access controls for SharePoint are restricted to business units, and access must be requested from the group owner and granted from information technology staff. Staff also identified that if they do not have access to a library, information stored in this library will not be displayed as a search result, and that this can make it difficult to determine what information does and does not exist. Staff identified they receive training on the use of metadata and SharePoint, but some identified difficulties in accessing information. No ongoing or advanced training on the use of metadata or search techniques is available for staff. Physical information onsite is accessible by a key which the Records Coordinator holds.

Information management staff identified that information management processes for incoming and outgoing research data are outlined in contracts with external parties, and that teams have strict protocols around these processes. For example, transfer of soil data from Manaaki Whenua's master database to clients is managed through an app, which requires checks and verification of the information. Staff also noted they have a draft Data Research Policy that will provide guidance on information sharing with external parties, but this will not be completed until after the creation of the Information Management Strategy, as this will guide creation of the policy.

Recommendation

Identify issues for staff in finding information in research databases and develop a plan to remediate these.



Disposal

Disposal activity must be authorised by the Chief Archivist under the Public Records Act. 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 New Zealand (or have a deferral of transfer) and be determined as either “open access” or “restricted access”.

TOPIC 20 – Current organisation-specific disposal authorities

Managing

Summary of findings

Manaaki Whenua has a current and approved organisation-specific Disposal Authority. The Authority was approved in 2009 and reviewed in December 2021. Manaaki Whenua identified gaps in the Disposal Authority for information they hold and sent a request to update the authority to Archives New Zealand to add new classes in October 2021.

Manaaki Whenua do not currently have a formal, regular review cycle to update the Disposal Authority.

Recommendation

Implement a regular review process of the organisation-specific Disposal Authority. Record any required changes to the Disposal Authority for review at the time of renewal.

TOPIC 21 – Implementation of disposal decisions

Progressing

Summary of findings

Processes are in place to ensure information is retained for as long as required for business use and as identified in authorised disposal authorities. Retention requirements for digital information are built into SharePoint and identification tags are used for physical information to ensure it is retained. Disposal of some physical information, including financial, personnel and project information, is completed on an annual basis. Physical information is only disposed of once approved and documented by the relevant business owner. The destruction information is then documented using metadata.

Manaaki Whenua has not yet disposed of any digital information due to capacity constraints.

Recommendation

Develop a plan to ensure disposal actions are routinely carried out for both physical and digital information, and there are adequate resources assigned to complete this.

TOPIC 22 – Transfer to Archives New Zealand

Beginning

Summary of findings

Based on Archives New Zealand's requirements, records older than 25 years should be transferred to Archives New Zealand. Manaaki Whenua has identified some information of archival value that is over 25 years old, such as research data and the accompanying contextual documents.

Some transfer of information to Archives New Zealand has occurred in the past, but not since 2009. Due to capacity constraints at Manaaki Whenua, there is currently no formal plan in place to transfer information to Archives. There is no deferral of transfer agreement in place.

Recommendations

Create a plan to transfer digital information of archival value to Archives New Zealand.

Identify all information over 25 years old of archival value.



6. Summary of feedback

Thank you for the Manaaki Whenua Landcare Research audit report. Manaaki Whenua agrees with the assessment and recommendations in this report. Manaaki Whenua will work with Archives New Zealand on their recommendations to improve and progress our Information Management maturity levels across the organisation.

7. Appendix 1

The table in Section 4, on page 3 lists all assessed maturity levels by topic area in a table format. This table has been listed below for accessibility purposes:

Topic 1, IM Strategy – Beginning

Topic 2, IM Policy – Progressing

Topic 3, Governance arrangements & Executive Sponsor – Managing

Topic 4, IM integration into business processes – Progressing

Topic 5, Outsourced functions and collaborative arrangements – Progressing

Topic 6, Te Tiriti o Waitangi – Managing

Topic 7, Self-monitoring – Progressing

Topic 8, Capability and capacity - Progressing

Topic 9, IM roles and responsibilities - Progressing

Topic 10, Creation and capture of information - Progressing

Topic 11, High-value / high-risk information - Progressing

Topic 12, IM requirements built into technology systems - Progressing

Topic 13, Integrity of information - Progressing

Topic 14, Information maintenance and accessibility - Progressing

Topic 15, Business continuity and recovery – Progressing

Topic 16, Appropriate storage arrangements – Progressing

Topic 18, Information access, use and sharing – Progressing

Topic 20, Current organisation-specific disposal authorities – Managing

Topic 21, Implementation of disposal decisions – Progressing

Topic 22, Transfer to Archives New Zealand – Beginning

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10 May 2023

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Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Manaaki Whenua Landcare Research New Zealand (Manaaki Whenua) completed by KPMG 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

Te Rua Mahara o te Kāwanatanga 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

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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. Manaaki Whenua is operating mostly at the 'Progressing' level and to lift maturity will need to prioritise resourcing of IM.

An organisation of the size and nature of Manaaki Whenua should have enough IM capacity and capability to support the organisation's business needs and IM requirements under the PRA. The report notes that the Executive Sponsor recognises there are IM capacity and capability gaps and that there is work being done to address these. This under-resourcing affects many areas of IM operation but with a current organisation-specific disposal authority the organisation is in a good position to improve.

Prioritised recommendations

The audit report lists 24 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 nine 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 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



Anahera Morehu
Chief Archivist

Te Rua Mahara o te Kāwanatanga Archives New Zealand

Cc Chris McDermott Chief Information Officer (Executive Sponsor),
mcdermottc@landcareresearch.co.nz

APPENDIX

Category	Topic Number	Auditor's Recommendation	Archive's Comments
Governance	1: IM Strategy	<i>Develop an information management strategy following Archives New Zealand's guidance. This does not have to be a stand-alone strategy and can be incorporated into Manaaki Whenua's wider data and digital strategic plan. However, it should clearly articulate information management objectives.</i>	Recently Manaaki Whenua has identified the development of a data and digital strategy including IM as a key priority. This would provide an agreed direction for IM improvement and an understanding of the resourcing needed.
Governance	5: Outsourced functions and collaborative arrangements	<i>Develop a process to monitor the compliance of contracted parties in relation to their information management requirements.</i>	Considering the type and number of contracts that Manaaki Whenua manages it is important that the IM requirements are monitored to ensure they are met.
Governance	6: Te Tiriti o Waitangi	<i>Continue the engagement with Māori to agree the process for managing information that is of importance to them. Once this is complete, analyse and document information management implications for new agreements with, and agreements that are of importance to, Māori.</i>	Any changes proposed to the Manaaki Whenua disposal authority as a result of this work would be subject to the Chief Archivist's approval.
Governance	8: Capacity and Capability	<i>Formally review the capacity of information management staff against Manaaki Whenua's business needs and develop a plan to recruit additional information management staff as needed.</i>	A managed approach to IM requires the support of specialist IM staff. Once the organisation understands the resource requirement it should ensure that enough resource is maintained.
Creation	10: Creation and capture of information	<i>Ensure information is managed in controlled environments to ensure its accessibility and reliability across the organisation.</i>	Alternatives to Shared Drives should be investigated to ensure information is maintained in controlled environments that meet minimum metadata requirements.

Category	Topic Number	Auditor's Recommendation	Archive's Comments
Creation	11: High-value/high-risk information	<i>Develop and maintain an information asset register covering both digital and physical records, with a focus on high-value and high-risk information, including scientific information held in research databases and corporate information. Risks to high-value and high-risk information, and measure in place to mitigate against such risks, should also be documented.</i>	Increased staffing resource will assist in development of an asset register which will assist in prioritising management of the range of information created and maintained by Manaaki Whenua.
Management	13: Integrity of Information	<i>Identify the integrity issues that staff have around finding, retrieving and using information across the organisation and develop a plan to address these.</i>	Understanding the issues is the first step. SharePoint may be part of the solution, alternative systems with different functionality or more staff training on consistent use of systems.
Management	14: Information maintenance and accessibility	<i>Identify preservation needs for physical information stored in onsite storage and implement plans to address these.</i>	Assessment of what is held on older physical formats such as floppy disks will assist the organisation in determining how that information is managed. Considering the potential value of information held by Manaaki Whenua it is important that information is accessible regardless format.
Disposal	22: Transfer to Archives New Zealand	<i>Identify all information over 25 years of archival value.</i>	This will then enable the organisation to classify access status as open or restricted. As noted in the letter above, we look forward to discussing issues relating to transfer of information of importance to Māori. Support for other transfer as applicable could also be discussed.