



Museum of New Zealand Te Papa Tongarewa
Public Records Act 2005 Audit Report

Prepared for Te Rua Mahara o te Kāwanatanga | Archives
New Zealand

January 2024



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1. Disclaimers

USE OF REPORT

This report has been prepared in accordance with the Consultancy Order Services dated 1 December 2020 and variation dated 23 September 2021. We have prepared this report solely for Te Rua Mahara o te Kāwanatanga Archives New Zealand (Te Rua Mahara) and the Museum of New Zealand Te Papa Tongarewa (Te Papa). It was prepared at the direction of Te Rua Mahara and may not include all procedures deemed necessary for the purposes of the reader. The report should be read in conjunction with the disclaimers as set out in the Statement of Responsibility section. We accept or assume no duty, responsibility, or liability to any other party in connection with the report or this engagement, including, without limitation, liability for negligence in relation to the factual findings expressed or implied in this report.

INDEPENDENCE

Deloitte is independent of Te Rua Mahara in accordance with the independence requirements of the Public Records Act 2005. We also adhere to the independence requirements of the New Zealand Auditing and Assurance Standards Board's Professional and Ethical Standard 1 (Revised): Code of Ethics for Assurance Practitioners. Other than this audit programme, we have no relationship with or interests in Te Rua Mahara.

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 Te Papa and Te Rua Mahara, and both have 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 Information Management (IM) Maturity Assessment of Te Rua Mahara.

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 Te Rua Mahara and Te Papa. 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 Te Rua Mahara. These procedures are designed to identify control weaknesses but cannot be relied upon to identify all weaknesses.

2. Executive Summary

MUSEUM OF NEW ZEALAND | TE PAPA TONGAREWA

The Museum of New Zealand Te Papa Tongarewa (Te Papa) is a Crown entity and New Zealand’s national museum owned by the New Zealand Government, and provides services to the public. It is responsible for preserving, presenting, and interpreting New Zealand’s cultural, historical, and natural heritage. The Board at Te Papa is appointed by the Minister for Arts, Culture and Heritage.

The core functions of Te Papa include:

- Collecting, conserving, and exhibiting works of art and items relating to history and the natural environment.
- Conducting research relating to its collection artifacts and associated areas of interest.
- Providing education and information about the museum and its exhibitions or collections.
- Co-operating and assisting other New Zealand museums in establishing a national service and in providing appropriate support to other institutions and organisations.

Te Papa employs approximately 400 full-time employees (FTEs) and contractors, and the head office is located in Wellington.

Te Papa has two subsidiaries: Mahuki Tahi Limited and the Te Papa Foundation. Mahuki Tahi Limited is no longer a functioning subsidiary, though Te Papa still maintains their records in their systems. The Te Papa Foundation is a registered charity supporting Te Papa and is fully integrated into its digital systems.

Te Papa holds high-risk/high-value records, including but not limited to:

- Research performed by staff at Te Papa particularly in ethnology.
- Historical records Te Papa holds that date back to 1865.
- Collections records created as part of the acquisition processes at Te Papa.
- Records relating to the delivery of community services to assist iwi and community groups in collecting and preserving their historical documents and information.

The Chief Executive is the Executive Sponsor (ES) at Te Papa and has been in the role for nearly 4 years. At the time of the audit the IM team had 2.6 FTEs due to two vacant positions / FTEs (1 manager role, 1 senior advisor role). If fully staffed the IM team comprises of 4.4 FTEs.

SUMMARY OF FINDINGS

We assessed IM maturity at Te Papa against the five maturity levels of the IM Maturity Assessment issued by Te Rua Mahara and the results are summarised below:

Maturity Level and Number of Findings

Beginning	8
Progressing	12
Managing	-
Maturing	-
Optimising	-

3. Introduction

BACKGROUND

Te Rua Mahara provides IM leadership across the public sector. This is achieved through monitoring public offices' 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 Public Records Act 2005 (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 Te Rua Mahara monitoring and reporting on the state of public sector IM. It is one of the key components of their Monitoring Framework, which also includes a biennial survey of public sector IM and the IM Maturity Assessment.

The Chief Archivist has commissioned Deloitte to undertake these audits of certain public offices and this audit of Te Papa was completed in November 2023.

OBJECTIVE

The objective of the audit is to identify IM strengths and weaknesses within the public office, prioritising areas that need attention and recommending improvements. These audits assist organisations to improve their IM maturity and to work more efficiently and effectively.

SCOPE

Deloitte has undertaken an independent point-in-time assessment of the IM practices at Te Papa against the IM Maturity Assessment. The IM Maturity Assessment aligns with Te Papa and the mandatory Information and records management standard (the Standard) issued by Te Rua Mahara. Topics 17 and 19 of the IM Maturity Assessment are only applicable to local authorities and have therefore been excluded for the purposes of this audit.

The IM Maturity Assessment classifies the maturity of IM practices from "Beginning" (least mature) to "Optimising" (highest maturity level). The maturity level of Te Papa for each topic area is highlighted under each of the respective areas. Ratings were based on Te Papa staff responses to questions during in-person interviews and the supporting documents provided pre-audit.

Te Rua Mahara 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 Te Rua Mahara reviewed before being released to Te Papa. Te Rua Mahara is responsible for following up on the report's recommendations with Te Papa.

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 in focus groups. As such, this audit does not relate to an Audit as defined under professional assurance standards.

The feedback from Te Papa to this report is set out in Section 6.

Note: As Te Papa's collections are "special collections" the majority of the documentary or manuscripts collection items they hold would not be considered public records under the PRA.

4. Information Management Maturity Summary

This section lists the IM Maturity level for each of the assessed topic areas. For further context refer to the relevant topic area in Section 5.

Assessed Maturity Level						
No.	Topic	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 Te Rua Mahara	•				

Note: Topics 17 and 19 of the 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, our 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.	Beginning
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OBSERVATIONS

There is no IM Strategy at Te Papa and no current work program to develop one, the ES is aware one is required.

RECOMMENDATION

Develop an IM Strategy that aligns with business needs and strategic direction.

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.	Progressing
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OBSERVATIONS

Te Papa has an out-of-date Records Management Policy (the Policy) that was approved in 2013. In 2020 a draft Policy was developed but not sent to Senior Leadership Team (SLT) for review.

The out-of-date Policy outlines key IM related processes such as storing, managing, and saving accurate records. The Policy references the PRA, Official Information Act, Privacy Act and Employment Relations Act and internal policies such as the Code of Conduct. However, references to the Acts are historical and do not reflect changes made since 2013. The Policy also references systems no longer used.

RECOMMENDATION

Review the draft IM Policy to ensure it is still fit for purpose before approval.

Topic 3: Governance Arrangements and Executive Sponsor

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

Beginning

OBSERVATIONS

Te Papa does not have a governance group that covers IM.

The IM team reports on IM training, information related to the main electronic document and records management system (EDRMS) called Pou Mataaho, digital storage usage and service desk tickets. The reports are sent to the Head of Collection Access who will then report to the ES based on the severity of the issue.

The ES is aware of their oversight and monitoring role and advised they attended monthly meetings with ES's from the Department of Internal Affairs and other organisations where IM is discussed. The IM team noted that the ES is supportive and champions IM at Te Papa.

RECOMMENDATION

Consider whether a separate IM governance group is appropriate or if IM can be incorporated into an existing governance group and develop a Terms of Reference.

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 are inconsistently assigned responsibility for IM. While some understand their individual and team's responsibilities, others were less clear. The IM training module, Code of Conduct and the Policy are key components for employees understanding of their IM responsibilities. However, the employees follow the IM expectations of the business owner which can contradict the IM responsibilities outlined in Te Papa policies and processes. The siloed IM practices have led to inconsistent naming conventions and file structures.

Staff stated they often save information to their local hard drive before uploading to Pou Mataaho. Staff were aware this was not in line with the guidelines at Te Papa for storing information.

RECOMMENDATION

Ensure the IM Policy includes clear assigned responsibilities for business owners for managing information and that business managers understand these.

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
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OBSERVATIONS

The requirements for IM are included in some contracts and Memorandum of Understanding (MOU). Two arrangements between Te Papa and international Museums were sighted and stated both parties will cooperate in the collection, conservation and exhibition of artefacts and public education. However, arrangements did not include the IM roles and responsibilities.

Te Papa has a contracts register, however, there is no regular monitoring over contracts in place to ensure IM requirements are met.

RECOMMENDATION

Include requirements for managing IM in contracts for outsourced functions and collaborative agreements.

Topic 6: Te 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.	Progressing
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OBSERVATIONS

Te Papa has long standing partnerships with iwi and Māori which are maintained through the Ngā Manu Atarau team. During the development of the draft Disposal Authority (DA), Te Papa engaged with iwi whose information they hold to identify what information retention periods should be set on their records.

IM implications of Te Tiriti o Waitangi settlement are acknowledged but not well understood. Furthermore, Te Papa is currently in the process of identifying information of importance to Māori and designing processes for stakeholders to access this Information.

RECOMMENDATION

Ensure all information of importance to Māori has been identified and documented.

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

Te Papa uses a third-party legislative compliance tool to annually monitor compliance with the PRA. The results are reported to the ES.

The IM team relies on self-reporting of any breaches of the Policy as compliance is not monitored. When a breach is identified, this is raised to the Head of Collections Access and dealt with on a case-by-case basis.

RECOMMENDATION

Develop a process to regularly monitor IM against the PRA, standards, 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

Organisations should have IM staff or access to appropriate expertise to support their IM programme.

Progressing

OBSERVATIONS

At the time of the audit, the team comprised: 2.6 FTEs (1 archivist, 1 IM advisor 0.6 IM analyst). The team had two vacancies: a manager role (covered partially by the Senior Librarian acting in the role) and a senior advisor IM role. When the vacancies will be filled-in, the team will comprise of 4.4 FTEs. A strong technology background is required for the Senior IM Advisor to enable the team to provide IM guidance to the IT team during system design and implementation.

Due to current vacancies, the IM team reactively responds to business needs and their current work programme reflects current capacity. For example, there is a backlog of filing and categorising physical information that is retained in boxes at two separate physical storage sites at Te Papa.

The IM team has access to professional development opportunities. However, they do not regularly undertake training due to the lack of capacity. Staff reported that the IM team provides useful support to staff and is a well regarded and trustworthy source of IM advice at Te Papa.

RECOMMENDATION

Assess the IM capacity and capability requirements for BAU and to address the Strategy and plan to address the identified need.

Topic 9: IM Roles and Responsibilities

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

Progressing

OBSERVATIONS

IM responsibilities are inconsistently included in job descriptions and professional development plans. There is an induction programme for all staff that includes explaining IM roles and responsibilities, a mandatory IM training module, and a one-on-one training session with an IM team member. This involves teaching new staff operational IM processes such as search and document saving techniques.

Each team at Te Papa has a Super User, who has additional access privileges to create new folders in Pou Mataaho. The IM team provides additional training to each Super User, developing IM Champions in different business units at Te Papa.

The IM team runs quarterly drop-in sessions where Te Papa staff can ask questions about new systems and processes, or more general IM processes. However, the IM team and staff interviewed noted that there is low attendance during these sessions.

There is no refresher training provided, due to capacity restraints in the IM team. Staff indicated they would benefit from periodic refresher training on search techniques, good practice naming conventions and other key IM process, which could be covered off in the drop-in sessions.

RECOMMENDATION

Assess the current training processes for effectiveness and consider improvements to address identified need.

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

Most staff are aware of their responsibilities to create full and accurate records. Some managers are updating their folder structures in Pou Mataaho and reminding staff of their IM responsibilities; however, this is ad-hoc and based on their discretion.

Appropriate metadata is captured in Pou Mataaho automatically. Additionally, staff have the ability to input additional metadata such as document descriptions and naming conventions to increase findability of their documents.

The IM and IT teams actively discourage the use of shared network drives, but they are still used. Furthermore, the use of uncontrolled environments such as DropBox, Google Docs, and personal USB drives are used. While these are discouraged by the IM and IT teams, some business units at Te Papa require the use of these systems to collaborate with external parties.

RECOMMENDATION

Limit the availability of uncontrolled systems and monitor remaining use.

Topic 11: High-Value/High-Risk Information

Staff and contractors should be aware of their responsibility to manage information. Every public office and local authority must create and maintain full and accurate information documenting its activities.

Beginning

OBSERVATIONS

Due to the nature of information that Te Papa holds; they consider all information to be high-value/high-risk. However, Te Papa does not have an Information Asset Register (IAR).

Emu and Pou Mataaho have text fields where a record identifier is entered, the identifier can be used to trace the same document between the two systems linking the physical and digital records location. This function is inconsistently used by staff.

Physical information that is at risk of deterioration is currently in a digitisation work programme to ensure that it remains accessible.

RECOMMENDATION

Develop an IAR that identifies physical and digital high-value/high-risk information assets at Te Papa.

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 of your organisation’s business systems.	Beginning
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OBSERVATIONS

IM expertise is inconsistently included in the design and configuration decisions for most new and upgraded business systems. The IT team lead the process for new system requirements and the IM team are sometimes included at the end of the process.

System documentation is available for some systems, but the level of detail varies. Te Papa uses software-as-a-service (SaaS) for all their core systems apart from EMu and rely on the vendor to have accurate documentation and training material available for their products.

RECOMMENDATION

Ensure that IM expertise is involved in design and configuration decisions 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
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OBSERVATIONS

Staff and contractors are aware information should be created and managed to ensure it is easily findable and usable. Staff reported Pou Mataaho retains the created and last modified dates, which makes it easy to identify the most up-to-date document. However, there are localised practices for the file taxonomy and naming conventions at Te Papa that are the biggest barriers for the retrieval of information from other business units. Staff also reported that the search function is not intuitive and often leads to them spending more time than expected searching for documents in Pou Mataaho.

RECOMMENDATION

Identify the issues with staff reliably finding information in Pou Mataaho and address the issues so information is more easily found.

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.

Progressing

OBSERVATIONS

Staff interviewed reported that they generally have the appropriate level of access. If additional access is required, the process is straight forward and requires a service desk ticket to be raised including a reason for it. The IM team will then assess if the access is required.

The process for accessing physical information is well-defined and requires staff to log a request to the IM team to retrieve the physical record. If the box has not been previously retrieved and requires additional sorting and categorising the IM team do this and assign a unique ID and classify the information. Once completed, the information will be released to the staff member. The IM team tracks all loaned information until it is returned.

Physical records that are holding information in unsupported formats such as VHS tapes, and paper records that are deemed an immediate risk of deterioration are currently being reformatted to ensure they remain accessible. However, resourcing restraints have meant the programme is taking longer than anticipated.

The IT team outsources most of their technology systems to vendors. Using vendors and SaaS platforms helps to mitigate the technology obsolesces risks.

RECOMMENDATION

Ensure that preservation of material at risk is included in the IM Strategy and workplan and the associated resource is assessed and prioritised.

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

The business continuity plan (BCP) was last reviewed in 2021 and contains clear roles and responsibilities for recovery of digital systems during a business disruption event. The BCP further categorises systems through a matrix that assesses the business impact of the system being not available and the urgency required to re-store the system. All the systems at Te Papa are categorised into different tiers. This has provided a clear matrix determining which systems are critical and the order of recovery.

The BCP does not include the recovery of physical information.

RECOMMENDATION

Update the BCP to include the recovery of key physical 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.

Progressing

OBSERVATIONS

Te Papa has over 3500 boxes of physical records stored with their third-party provider.

Te Papa also stores records in boxes at the museum in its own separate physical storage site. The IM team stated that the boxes often have more records in them compared to what is recorded on the label. Therefore, the IM team intends to go through and re-categorise the boxes. The IM team does not have a documented process for the recovery of the physical information during disaster recovery.

All physical information is held in the appropriate conditions with temperature, pest, and fire control systems in place. The physical information controlled by the IM team has the appropriate security processes in place to prohibit unauthorised personnel from accessing it. The IM team controls the access to physical storage at the museum including the two separate physical storage sites.

Digital information is appropriately controlled using access privileges in Pou Mataaho. Deleted documents are only 'soft deleted' where they enter the Pou Mataaho recycle bin. At present, the recycle bin has never been purged, resulting in every record entered in Pou Mataaho since its inception in 2011 being retained.

RECOMMENDATION

Identify hazards for physical information storage and ensure these are mitigated or managed including disaster recovery.

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 are able to 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.

Progressing

OBSERVATIONS

There is no organisation-wide taxonomy or ontology, instead there are localised practices that drive how each team designs their file structures in Pou Mataaho. Staff interviewed stated that when looking for information from other teams, they rely on knowing who the right person in another team is to ask for the location of information instead of finding it themselves. Newer staff reported the reliance on knowing who to ask as a barrier when accessing information.

As mentioned in Topic 14, access controls are well defined with the majority of staff stating they had the correct level of access to information required for their duties.

Information sharing with external parties happens through multiple means such as Google Docs, unencrypted USBs and DropBox.

RECOMMENDATION

Identify issues with the taxonomy and plan to improve for consistency across the organisation.

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 Te Rua Mahara (or have a deferral of transfer) and be determined as either open access or restricted

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

Te Papa does not have a current and approved organisation-specific DA. Te Papa is a complex organisation managing information from a variety of stakeholders, and there are many aspects to consider. The IM team is currently working through the approval of their DA with Te Rua Mahara.

RECOMMENDATION

Finalise the DA with Te Rua Mahara.

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.

Progressing

OBSERVATIONS

Te Papa recently piloted a programme deleting old physical financial receipts under the General Disposal Authorities (GDAs). Staff stated that there is a culture of over-retention and are not comfortable deleting documents unless it is a duplicated document in their own team's Pou Mataaho file.

The destruction of physical information under the GDAs is secure, complete, and irreversible as this service is administered by a third party which provides a certificate once the information is destroyed.

In 2018 while Te Papa was moving Pou Mataaho to a cloud-based server, the project team identified 600 files had been infected with a virus. A program was run to identify all infected files on the system and they were then deleted. An audit report was produced that showed all infected files had been purged from the system in May 2018 before the system upgrade went live. These files were general drafts, templates and old contracts that were not of significance.

RECOMMENDATION

Develop a disposal plan to be applied when the DA is approved.

Topic 22: Transfer to Te Rua Mahara

Information of archival value, both physical or digital, should be regularly transferred to Te Rua Mahara or a deferral of transfer should be put in place.

Beginning

OBSERVATIONS

Te Papa has both digital and physical information older than 25 years. Te Papa has an outdated Deferral Agreement with Te Rua Mahara that expired in 2022. However, it has not be renewed as the IM team has prioritised obtaining the DA approval from Te Rua Mahara first.

RECOMMENDATION

Once the DA is approved, assess the need to renew the Deferral Agreement with Te Rua Mahara.

6. Summary of Feedback

The report is a fair representation of the current state of Records Management at Te Papa and drops down on key things we have identified and areas of improvement once the team is re-established.

We also note key recommendations as initiatives we have had to pause due to lack of resources and capacity within the team. We see these audit recommendations as being a key to our future planning and see it as a validation of the recent restructure of the team to focus on IM.

We did expect to see more reference to Office 365 (as a pain point) in the recommendations based on the Chief Archivist's comments in this space. Thank you for the clarification on that point.



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28 March 2024

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E te rangatira e Courtney, tēnā koe

Nei rā te mihi ki a koe, ki a koutou o te whare ataahua rirerire nā. Ahakoa ngā piki me ngā heke, ka whai tāua i te ara tika, ka huaki ai ngā tatau ō o tātou pātaka, rua, whare rānei. Kia whai te tihi o ngā maunga, kia purea ai te hau a Tāwhirimātea.

Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Museum of New Zealand Te Papa Tongarewa (Te Papa) completed 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

Te Rua Mahara o te Kāwanatanga Archives New Zealand (Te Rua Mahara) acknowledges that this process and our mandate from the PRA to regulate public sector information management (IM) is not new to Te Papa. 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 continue to deliver 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.

Kia pono ai te rua Mahara – Enabling trusted government information

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.

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 the mandatory Information and records management standard. The IM practice of Te Papa is assessed as below expectations at 'Beginning' and 'Progressing' maturity with improvement necessary across all topics.

At the time of audit, with vacancies in the IM team or IM staff working on other projects, the organisations' IM is reported as reactive due to low capacity. To help move your IM practice to 'Managing' maturity we will work with you over the next two years during our follow up phase to support your IM improvement. It is important that the SLT and Governance layers of the organisation are involved in supporting the development over that time.

Te Papa is developing the organisation-specific disposal authority for our review. Te Rua Mahara expect that this will enable maturity uplift in all the disposal topics depending on enough resources being available to operationalise.

Prioritised recommendations

The audit report lists 20 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 our 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 an action plan to address the prioritised recommendations. It would be beneficial for our teams to discuss, follow up and 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. We have sent a feedback survey link for the attention of your Executive Sponsor in the accompanying email.

Ehara taku toa i te toa takitahi, engari he toa takimano. Kia whai te hono pai, hei awahi tātou i a tātou ki raro i te maru o te rangimarie me te mauri tau.

Nāku iti noa, nā

A handwritten signature in black ink, appearing to be 'AR' followed by a stylized flourish.

Anahera Morehu
Poumanaaki Chief Archivist
Te Rua Mahara o te Kāwanatanga Archives New Zealand

Cc Executive Sponsor is the Chief Executive.

APPENDIX

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
Governance	1: IM Strategy	<i>Develop an IM strategy that aligns with business needs and strategic direction.</i>	This Strategy is fundamental to Te Papa understanding what is required for IM improvement and planning for and resourcing that work. Information and records management strategy
Governance	2: IM Policy and Processes	<i>Review the draft IM Policy to ensure it is still fit for purpose before approval.</i>	A current Policy that identifies IM roles and responsibilities and is well socialised is a foundation document that will increase awareness of IM requirements across the organisation. An updated Policy will also cover off the recommendation for Topic 4: <i>IM Integration into Business Processes</i> Information and records management policy development
Governance	3: Governance Arrangements and Executive Sponsor	<i>Consider whether a separate IM governance group is appropriate or if IM can be incorporated into an existing governance group and develop a Terms of Reference.</i>	This group would support the Executive Sponsor in their role in championing IM. It is essential that responsibility for IM oversight is taken up by a senior leadership group. Reporting to this group, such as is recommended in Topic 7: <i>Self-Monitoring</i> , will help raise awareness of IM issues and trends.

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
Governance	5: Outsourced Functions and Collaborative Arrangements	<i>Include requirements for managing IM in contracts for outsourced functions and collaborative agreements.</i>	It is important that all parties understand their requirements to manage information and that requirements are monitored.
Governance	6: Te Tiriti o Waitangi	<i>Ensure all information of importance to Māori is identified and documented.</i>	For a national cultural organisation such as Te Papa this is especially important.
Capability	8: Capacity and Capability	<i>Assess the IM capacity and capability requirements for BAU and to address the Strategy and plan to address the identified need.</i>	Consistency of staffing in the IM team is needed to improve IM maturity and to sustain a healthy IM culture across the organisation. This would enable for instance taking more central control of the taxonomy in Pou Mataaho and addressing the recommendation for Topic 18: <i>Information Access, Use and Sharing</i> .
Creation	11: High-Value/High-Risk information	<i>Develop an IAR that identifies physical and digital high-value/high-risk information assets at Te Papa.</i>	This can be done in conjunction with developing the DA and will help prioritise IM.
Disposal	20: Current Organisation-Specific Disposal Authority	<i>Finalise the DA with Te Rua Mahara.</i>	The DA, when completed and approved, will be a catalyst for improvement generally in IM if it is applied to systems and operationalised through the other disposal topics.

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
Disposal	21: Implementation of Disposal Decisions	<i>Develop a disposal plan to be applied when the DA is approved.</i>	This will realise the benefit of the work that has been put into developing the DA and manage the risks of over-retention of information.