



Oranga Tamariki

Ministry for Children

Public Records Act 2005 Audit Report

Prepared for Te Rua Mahara o te Kāwanatanga

Archives New Zealand



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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 (Archives) and Ministry for Children (Oranga Tamariki). It was prepared at the direction of Archives 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 Archives 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 Archives.

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 Oranga Tamariki and Archives, 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 line with the guidelines of the Archives Information Management (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 Archives and Oranga Tamariki. 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. These procedures are designed to identify control weaknesses but cannot be relied upon to identify all weaknesses.

2. Executive Summary

MINISTRY FOR CHILDREN | ORANGA TAMARIKI

Ministry for Children (Oranga Tamariki) is responsible for the support and wellbeing of children at risk of significant harm. Oranga Tamariki also works to support young people who may have offended or are at risk of doing so.

Oranga Tamariki was established as a new agency on 1 April 2017. Functions relating to children in care and the provision of other services for the tamariki of Aotearoa New Zealand including social work, family violence prevention, and life skill programmes were transferred from the Ministry of Social Development (MSD).

In August 2021, Cabinet agreed to a Future Direction Action Plan (the Plan) covering the next 2 to 5 years. The Plan has a strong focus on localised co-design partnerships with hapū, iwi, and Māori for tamariki in need. The partnerships will enable resourcing and decision making to be tailored to the region. The principles within the Plan are focused on creating and maintaining an environment that is inclusive, restorative, and relational.

The five key areas of the Plan are:

1. Organisational Blueprint
2. People and Culture
3. Relationships, Partnering and Decision-making
4. Social Work Practice
5. Data, Insights and Evidence.

Oranga Tamariki has over 5000 full-time employees (FTEs) and operates 71 offices across New Zealand with its National Office in Wellington. Oranga Tamariki considers the majority of information they manage to be high-risk or high-value given it is primarily related to people. Some examples include:

- Records relating to services provided to:
 - Tamariki, rangatahi, whānau and families
 - Care and protection services
 - Adoptions
 - Children with disabilities
 - Youth justice
- Case files for tamariki and rangatahi under care and protection services
- Research publications and monitoring reports.

The Deputy Chief Executive for People, Culture, and Enabling Services is the Executive Sponsor (ES) responsible for overseeing and implementing information management (IM) across Oranga Tamariki including compliance with the Public Records Act 2005. The ES is a new addition to the Senior Leadership Team (SLT) having recently joined Oranga Tamariki and is well supported by Head Data and Information.

The IM team, which is part of the Data and Information group at Oranga Tamariki has eight FTE focusing on information management policies, guidance and advice.

SUMMARY OF FINDINGS

We assessed IM maturity for Oranga Tamariki against the five maturity levels set out in Archives’ IM Maturity Assessment model. These results are summarised below:

Maturity Level and Number of Findings

Beginning	6
Progressing	9
Managing	5
Maturing	-
Optimising	-

3. Introduction

BACKGROUND

Archives provides 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 to improve business efficiency, accountability and government decision-making. This ensures that there is enhanced public trust and confidence in the 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 Archives' monitoring and reporting on the current state of public sector IM. This is a key component 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 was completed in March 2023.

OBJECTIVE

The objective of the audit is to identify IM strengths and weaknesses within the public office and prioritising the 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 Oranga Tamariki IM practices against Archives' IM Maturity Assessment model. The IM Maturity Assessment aligns with the PRA and Archives mandatory information and records management standard (the Standard). Topics 17 and 19 of the Archives 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). Oranga Tamariki maturity level for each topic area is highlighted under each of the respective areas. The ratings given were based on Oranga Tamariki staff responses to questions during online interviews and the supporting documents provided pre-audit.

Archives provided Deloitte with the framework which includes the specified audit plan, areas of focus for the PRA audits, and administrative support. Deloitte completed the onsite audit and audit report, which Archives reviewed before it was released to Oranga Tamariki. Archives is responsible for following up on the report's recommendations with Oranga Tamariki.

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.

The feedback from Oranga Tamariki 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.

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 Archives	•				

Note: Topics 17 and 19 of the Archives 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

Oranga Tamariki does not have a current IM strategy. A draft strategy was developed in 2021 but did not progress due to resourcing constraints. While there is no plan to finalise the draft strategy at present, Oranga Tamariki has acknowledged that it should be revisited to ensure alignment with the Oranga Tamariki Future Direction Plan.

RECOMMENDATION

Finalise the IM draft strategy aligning it with the Future Direction Plan and Archives’ guidance.

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.	Managing
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OBSERVATIONS

The current Records Management Policy (the Policy) was revised and approved in December 2021. The current Policy includes:

- A high-level overview of Oranga Tamariki roles and responsibilities for all staff
- Key IM principles for keeping effective records including creating and maintaining full and accurate information
- References to Oranga Tamariki IM Guidelines, Code of Conduct and the Privacy policy.

Oranga Tamariki also has in place specific practice standards and guidance for recordkeeping.

The Policy is currently being updated and will become the IM Policy and will be supported by guiding principles that reflect how data and information is managed in the Oranga Tamariki context. The Policy will also align with the requirements of the PRA as well as Oranga Tamariki privacy and information security policies.

Te Pae (Oranga Tamariki intranet) is the central repository for all policies and standards. Most staff interviewed were not aware of the Policy but were confident they could find it on Te Pae.

RECOMMENDATION

Finalise the draft IM Policy and communicate this to staff and contractors.

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.

Managing

OBSERVATIONS

The ES is a member of two governance boards Rato Pūnaha and Te Riu. Te Riu is the Oranga Tamariki leadership team board. Rato Pūnaha (Systems Enablement Committee) provides governance of the information and performance systems, infrastructure and resources required to ensure that the sector is supported. This ensures that Oranga Tamariki is well-positioned to deliver on its strategic outcomes and oversees a portfolio of actions from the Future Direction Plan (FDP).

The ES is aware of the responsibilities around the monitoring and oversight of IM initiatives and acknowledged the importance of increasing their involvement in this area.

Weekly IM highlights are reported up to the ES via the Head of Data and Information for determining whether any further actions are required.

RECOMMENDATION

The ES consistently fulfils their oversights and monitoring role.

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

Staff interviewed advised that they were not aware of a formal document outlining IM responsibilities and obligations, despite the Policy providing this information. It was also noted that there was varying knowledge on IM processes and guidelines across different business units. For example, the Privacy team has a clear understanding of the PRA and Privacy Act, which is largely due to the nature of their work. However, most teams were unaware of their IM responsibilities for creating and maintaining information.

The IM team provides ad-hoc support through specific requests rather than a formalised training program. Therefore, there is inconsistent understanding of IM roles and responsibilities across business owners.

RECOMMENDATION

Assign and document IM responsibilities to business owners to uplift IM understanding across business units.

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.

Progressing

OBSERVATIONS

The Memorandum of Understanding (MoU) between Oranga Tamariki and MSD sets out the requirements on transferring information between the two organisations and roles and responsibilities.

Multiple government agencies including Oranga Tamariki, MSD and New Zealand Police are signatories to the Information Sharing Agreement for Improving Public Services for Vulnerable Children (the Agreement). The Agreement facilitates information sharing to improve public services and includes:

- References to the PRA and the Privacy Act 2020
- IM related obligations for each organisation including appropriate storage requirements, access to shared information, and the management of security breaches.

The IM team noted that ensuring PRA alignment across all contracts is challenging due to existing contracts with NGOs that pre-date the PRA. There are no plans to re-assess current old contracts to ensure PRA compliance, however Oranga Tamariki Legal, the Māori, Partnerships and Communities teams and the IM teams are developing IM guidance for contracts going forward.

RECOMMENDATION

Ensure that all contracts for outsourced functions, social services provided and collaborative agreements where public records are created and maintained reference roles and responsibilities under the PRA.

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

OBSERVATIONS

Oranga Tamariki acknowledges that it creates and maintains information of importance to Māori. A work programme is in place that is focused on improving information sharing with hapū, iwi, and Māori partners.

Given the vast amount of data and information regarding the safety and care of tamariki and rangatahi, Oranga Tamariki has drafted data and information management principles that recognise that data and information is taonga and that Oranga Tamariki has a role in managing this in a way that upholds the mana of tamariki. These principles have been tested with a number of stakeholders.

The Oranga Tamariki Te Koto Tūmoana framework (the Framework) provides direction on working with Māori. The Framework describes the key principles for practitioners and leaders to improve their bi-cultural practices, cultural competency, and building integrity into their work. A key focus of the Framework is empowering and supporting whānau through the active integration of the use Te Reo Māori in cases. The use of this Framework will increase the amount of Te Reo Māori information Oranga Tamariki collects.

Oranga Tamariki IM team is aware they will need to ensure IM practices and processes for handling information are appropriate.

RECOMMENDATION

Formally identify information of importance to Māori and ensure it is stored appropriately and is accessible within the case management system.

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 monitoring of compliance around IM policies, processes, or PRA requirements at Oranga Tamariki. The IM team advised that they are reactive and rely on staff being self-aware and reporting any IM policy breaches. The only monitoring that occurs is on internal IM initiatives or self-reported breaches.

The IM team does not utilise any third-party legislative compliance tools to identify or manage its legislative compliance requirements with respect to the PRA.

RECOMMENDATION

Develop and agree the IM activity to be monitored and reported on for compliance with the IM policies and PRA obligations.

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
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OBSERVATIONS

The IM team is comprised of eight full time employees that works closely with both the Privacy and the Legal Services teams. Collectively, the teams work together to ensure comprehensive responses to IM related inquiries. Staff interviewed noted that the IM team was generally accessible and responsive to IM requests, provides advice into business process and system changes and has a good understanding of Oranga Tamariki needs and requirements.

Oranga Tamariki does not have an allocation of budget for IM staff to undertake professional development courses. The IM team, however, makes use of the existing public sector and other professional networks.

There is also no current plan for resourcing requirements to meet IM needs in the future.

RECOMMENDATION

Develop a plan to ensure the future resourcing in the IM team is appropriate for business needs.

Topic 9: IM Roles and Responsibilities

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

IM roles and responsibilities are not documented in all job descriptions though are included in some individual staff performance and development plans. Staff were not aware of their documented responsibilities for IM but are aware of the importance of creating and capturing information to ensure its findability. During interviews all staff acknowledged that they treat information created about tamariki and whānau with respect and integrity.

Training is provided on a reactive basis when requested and there are plans to develop an IM training module.

RECOMMENDATIONS

Ensure that IM roles and responsibilities are included in job descriptions and consistently included in all performance and development plans.

Develop and implement mandatory training modules on IM.

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 are not aware of their documented IM roles and responsibilities for the information they capture and create. However, staff understand that it is important to create and capture full and accurate information based on the sensitivity of the information Oranga Tamariki deals with. Staff also have access to practice standards which outline accurate recordkeeping and case recording practices for frontline staff. Frontline staff interviewed referenced their compliance with the practice standards.

The use of personal drives and devices is prohibited unless the Security team has approved. Staff noted that all information created or captured is stored in the relevant business information system such as SharePoint, CYRAS (case management system) or TRIM (physical records management system). The IM team is aware that staff do not always add emails to SharePoint and acknowledged that an improved process and training is required to ensure that all relevant information is captured in the appropriate system.

RECOMMENDATION

Identify information usability, reliability, and trust issues and address them.

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.

Progressing

OBSERVATIONS

Oranga Tamariki has an information asset register that was established in 2018, which has not been updated since it was created. A service catalogue of Oranga Tamariki systems is maintained which includes information relating to systems such as application name, business service criticality, business owner and information classification.

Plans are in place to create a new register of all information repositories and their associated characteristics such as purpose, coverage, format and value.

The IM team is responsible for managing queries regarding physical records categorised as high-value/high-risk (for example, fragile adoption card records) as well as ensuring that the information is appropriately

transferred to the designated Oranga Tamariki staff or making digitised copies available. A more detailed description of this process can be found in topic 16.

The Technical and Channels Team ensures digitised copies obtained from the external storage provider are appropriately captured and stored.

RECOMMENDATION

Ensure the new register captures all information repositories and their key characteristics including, purpose, coverage, format, value and retention period.

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.

Managing

OBSERVATIONS

SharePoint, TRIM and CYRAS systems meet Archives minimum metadata requirements.

The IM team is involved at the beginning of each new system change. A standard template is used to capture non-functional requirements which also includes IM requirements and references the PRA. Non-functional requirements are used to identify how the system should operate and the controls are in place for users. The Technical and Channels Team completes a system readiness assessment, which includes exit strategies if the new system implementation does not work, and information recovery is required.

The last data migration was when Oranga Tamariki moved its email system to the cloud-based MS exchange. The IM team was involved at each stage of the migration and ensured that information was retained and stored appropriately. This included involvement in the pre- and post-implementation checks to ensure information was migrated successfully.

IM staff interviewed stated that due to the moratorium on the disposal of information related to the Royal Commission of Inquiry (the Inquiry), some systems do not have disposal requirements built into them. The IM team is waiting for the completion of the Inquiry and redress work to identify how and what information should be disposed of.

RECOMMENDATION

Plan towards building requirements around information disposal and retention into systems where possible.

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

Staff interviewed referenced that within their teams, they could generally find the information that they required. However, the use of Oranga Tamariki SharePoint is restricted by individual teams in which the locating and accessing of information across business units is difficult. As a result, experiences are variable when locating or retrieving information across the business due to file structure inconsistencies.

Staff were largely confident in their ability to find the relevant policies and procedures on Te Pae to provide further guidance.

IM staff interviewed noted that processes and controls were relatively light in terms of ensuring that the information is reliable and trustworthy. Moreover, it was acknowledged that the duplication of information was likely occurring, due to inconsistencies in following IM good practice.

RECOMMENDATION

Ensure IM practices are in place and monitored so that information is reliable and trustworthy.

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.

Managing

OBSERVATIONS

Oranga Tamariki has strategies in place to manage and maintain physical information during business and system changes. Physical information is maintained off-site with a storage provider. The processes around retrieving, distributing, and returning physical information to the external storage provider are established, and staff have awareness of these protocols (refer to topic 16 for more information on these protocols).

There are additional policies for managing and maintaining Oranga Tamariki digital information. Policies and processes around technology obsolescence and the systems identified to be at risk will be addressed through an action plan. Technical and Channels Team, with input from the IM teams, is developing the action plan. The proposed plan will focus specifically on replacing, updating, or merging legacy systems.

Oranga Tamariki does not have a documented digital continuity strategy. The Technical and Channels Team and support staff form a relatively small IT department which outsources most of its operations to third parties.

RECOMMENDATION

Identify preservation and digital continuity needs for digital information and plan to address these.

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.

Managing

OBSERVATIONS

The Business Continuity Policy (BCP) outlines the key roles and responsibilities as well as the procedures and guidance relating to safeguarding the continuity of services. The BCP Policy was last updated in December 2020 and is due for review in December 2023.

The IM and Technical and Channels Teams provide support on an as-needed basis to assist with the development of a team's continuity plan. This support includes identifying critical processes and information required to ensure that the team remains operational in the event of any business disruption. The Technical and Channels Team had to ensure access to information during the COVID-19 pandemic response to ensure Oranga Tamariki staff were able to access the information required to perform their role.

RECOMMENDATION

Ensure that each individual team's BCP process complies with Oranga Tamariki overarching policy around business continuity and the latter is regularly reviewed.

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

As previously noted, physical information is stored off-site with a provider. Some physical information is kept on-site in lockable rooms or secure tambours with documents labelled to ensure accessibility. Each team is responsible for handling and storing their own documents. Staff advised that occasionally case files are left on their desk when not in use, instead of the provided tambours or returning the files to the storage provider.

TRIM operates on role-based access permissions where staff were assigned one of the six available roles:

- Administrator
- Records Manager
- Records co-ordinator
- Knowledge Worker
- Contributor
- Inquiry users.

Each TRIM role governs how the user can interact with records and whether they are able to delete, modify, and create records. The roles are tightly controlled with few users having the ability to delete records (Administrator and Records Manager).

The National Office has identified the hazards that may impact the on-site storage environment which includes ensuring that the building is secure and maintained to minimise risks. Protection and security processes are regularly tested by the building owner. Oranga Tamariki has robust policies and procedures around the retrieval, handling, and storage of physical information. Key components around these policies and procedures set out the following guidelines:

- Two employees in the Customer information Requests (CIR) team have responsibility for physical information preservation to minimise the risk of deterioration
- All physical information is stored primarily with an external storage provider unless a request is made to the CIR team who handle the Official Information Act requests or Privacy Act requests.
- An index of the documents stored offsite is filed in the TRIM system
- Requirement for staff to return the information retrieved to storage once it is no longer in use.

Staff interviewed advised that sometimes information was kept longer than necessary and was sometimes stored on individuals' desks instead of being locked away at the end of the day.

RECOMMENDATION

Ensure that physical and digital information is appropriately stored and managed.

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
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OBSERVATIONS

Staff focus groups had variable experiences with accessing information. While some teams had no issues, some frontline workers are unable to record information, and others reported minor instances where access controls were inadequate. If staff require additional privileges, they will contact the relevant business administrator to get these resolved. Some staff reported that they found it difficult to find information which is largely attributable to different business units developing their own IM processes with respect to SharePoint. Some staff reported adding metadata to information to improve its findability while others noted that minimum metadata requirements are already captured.

Many staff have not received training on metadata and search techniques targeted at Oranga Tamariki systems. However, most felt capable and confident in searching for information using the available metadata.

RECOMMENDATION

Ensure that staff have the appropriate access permissions to perform their roles.

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 (or have a deferral of transfer) and be determined as either “open access” or “restricted access”.

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

Oranga Tamariki does not have an organisation-specific disposal authority (DA). The outcomes of the Royal Commission of Inquiry (‘the Inquiry’) into Historical Abuse in State Care will help inform the development of a DA.

RECOMMENDATION

Once the outcome of the Inquiry is known, develop an organisation-specific DA considering the requirements of the Crown’s redress work and in consultation with other public offices also involved with the Inquiry.

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

Oranga Tamariki generally has a culture of information retention. Other than deleting duplicate and facilitative documents, information is largely retained. Without a core organisation-specific DA, disposal can only be carried out under General Disposal Authorities (GDAs).

There is a destruction register to allow for oversight of disposal activity. The register captures the date of creation and disposal, location, format, and relevant business activity. The register also states the relevant GDA governing the disposal.

Oranga Tamariki complies with the moratorium on disposal of any information relevant to the Inquiry. The disposal moratorium was issued as a general notice under Section 20 of the PRA. For this reason, any destruction of records is under advice from the IM team.

There is a Data and Information Retention guide (the Guide), which outlines the protocols for the disposal of information based on the functions it relates to. In cases where the Guide recommends the use of a GDA, Oranga Tamariki staff are advised to consult with the IM team before applying.

While guidance is available, staff focus groups had varied views regarding when and where to seek guidance on the types of information for disposal.

RECOMMENDATION

When the general notice under Section 20 of the PRA is lifted, ensure processes for disposal under the GDAs are communicated to staff.

Topic 22: Transfer to Archives

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

Beginning

OBSERVATIONS

There have been no recent transfers of physical and digital information to Archives and no deferral of transfer agreement exists.

RECOMMENDATION

Once the general notice under Section 20 of the PRA is lifted and the organisation-specific DA has been approved prepare relevant information for transfer.

6. Summary of Feedback

Oranga Tamariki acknowledges the recommendations following the audit of our information management practices and appreciates the opportunity to make comment.

Our Information Management (IM) function is one part of a broader Data and Information team. Together the team continues to work collaboratively with kaimahi across Oranga Tamariki and colleagues who lead and shape frontline practise to support and improve information and recordkeeping practices.

The Future Direction Action Plan and the Chief Social Workers Practice Review recordkeeping recommendations will continue to drive much of our work. Our IM team feeds into this providing specific Public Records Act advice for projects and policy work across the organisation.

At an operational level the IM team is focussed on improving access to existing training and guidance resources for our kaimahi. This includes planning for an information management training module that will complement existing privacy and information security training modules, practice guidance and provide the mechanism for communicating revised information management principles and policy. The team is also actively involved in work to ensure our information systems and the data and information held is managed appropriately.

As this report notes, developing an agency specific Disposal Authority while the Royal Commission of Inquiry is in progress is deferred to ensure any redress implications for recordkeeping are understood.

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E te rangatira e Chappie, tēnā koe

Public Records Act 2005 Audit Recommendations

This letter contains my recommendations related to the recent independent audit of the Oranga Tamariki Ministry for Children (Oranga Tamariki) 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) 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 our mandatory Information and records management standard. Oranga Tamariki's IM practice is assessed as mostly at Progressing maturity level. For a large organisation with significant high-value and high-risk information, improvement in IM practice is expected.

It is encouraging to read about the IM improvement work currently underway from Section 6: *Summary of Feedback* in the audit report. For example, planning development of an IM training module will help lift staff awareness and understanding of IM across the organisation. This has not been included as a prioritised recommendation as it is already being planned and we look forward to its progress. Although work on the disposal authority is deferred it is important that its development is started as soon as practicable in line with the Royal Commission of inquiry findings and in consultation with other relevant organisations.

It is acknowledged that as well as operating under the PRA, IM at Oranga Tamariki is governed by practice standards and other requirements set out in the establishment Act. Requirements under the PRA are not in conflict with these other requirements and improvements made to IM under the PRA will help the organisation meet its other IM requirements.

Prioritised recommendations

The audit report lists 21 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.govt.nz 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. We have sent a feedback survey link for the attention of your Executive Sponsor in the accompanying email.

Nāku iti noa, nā



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

Cc Cassandra Anderson, Deputy Chief Executive People Culture and Enabling Services
(Executive Sponsor) caz.anderson@ot.govt.nz

APPENDIX

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
Governance	1: IM Strategy	<i>Finalise the IM draft strategy aligning it with the Future Direction Plan and Archives' guidance.</i>	It is essential to ensure that IM improvement is planned in alignment with the business needs of the organisation. The IM strategy and associated roadmap will also help the organisation understand the required resourcing to implement improvements. Refer to our guidance: Information and records management strategy
Governance	4: IM Integration into Business Processes	<i>Assign and document IM responsibilities to business owners to uplift IM understanding across business units.</i>	Understanding responsibility for IM is essential for everyone in a large organisation. Business owners who understand IM requirements can support their teams and business units under the guidance of specialist IM staff.
Governance	5: Outsourced Functions and Collaborative Arrangements	<i>Ensure all contracts for outsourced functions, social services provided and collaborative agreements where public records are created and maintained reference roles and responsibilities under the PRA.</i>	Oranga Tamariki is responsible for information created under contracts and some of this information may be high-value and/or high-risk. Responsibility for the creation and management of this information should be clearly outlined in contract documentation and monitoring done, as noted in our Outsourcing business guidance.
Governance	6: Te Tiriti o Waitangi	<i>Formally identify information of importance to Māori and ensure it is stored appropriately and is accessible within the case management system.</i>	This is an area where general improvement in the sector is needed. Working with similar government organisations on this may be helpful.

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
Self-Monitoring	7: Self-Monitoring	<i>Develop and agree the IM activity to be monitored and reported on for compliance with the IM policies and PRA obligations.</i>	An IM monitoring plan should be developed for agreed activity to provide insight into IM practice across the organisation. The Executive Sponsor should receive monitoring reports so that issues can be understood and managed or escalated as needed to the governance group. Refer to our Monitoring guidance.
Capability	8: Capacity and Capability	<i>Develop a plan to ensure the future resourcing in the IM team is appropriate for business needs.</i>	Oranga Tamariki needs to understand what level of IM resourcing is needed for BAU and to support IM improvement activities as identified in the IM strategy. Staff development is necessary in the dynamic areas of systems and technology as these impact IM.
Creation	11: High-Value/High-Risk Information	<i>Ensure the new register captures all information repositories and their key characteristics including, purpose, coverage, format, value and retention period.</i>	This planned new register if required could be developed in conjunction with updating the IAR including identification of high-value and high-risk information assets. Ensure that the registers/catalogues cover all information or merge into one for ease of updating as this seems to be an issue currently.
Access	18: information Access, Use and Sharing	<i>Ensure that staff have the appropriate access permissions to perform their roles.</i>	It is important that frontline staff can record information to provide evidence of activity. Consistency across systems is also important and IM should ensure that they have appropriate control and oversight of systems. This includes

Category	Topic Number	Auditor's Recommendation	Comments from Te Rua Mahara
Disposal	20: Current Organisation-Specific Disposal Authorities	<i>Once the outcome of the Inquiry is known, develop an organisation-specific DA considering the requirements of the Crown redress work and in consultation with other public offices also involved with the Inquiry.</i>	This should be included in the IM strategy as work to be scoped and started as soon as the Inquiry is closed.