

5 July 2024

s9(2)(a)

Tālofa lava s9(2)(a)

RESPONSE TO AN OFFICIAL INFORMATION ACT REQUEST (REF: DOIA073-2023/24)

On 6 June 2024, you contacted the Ministry for Pacific Peoples (the Ministry) requesting under the Official Information Act 1982 (OIA), information in relation to your research on digital leadership competencies in the public sector. I have outlined your specific requests and my responses to each below.

1. *Your agency's digital (IT or ICT strategy)*
2. *Your agency's technology strategy (if separate from your digital strategy)*
3. *Your agency's data or information strategy (if separate from your digital strategy).*

Enclosed are the Ministry's Information Strategy and Digital Strategy consisting of three separate documents, including the Technology Strategy (refer **Appendix 1**).

The Information and Digital strategies cover a 3-year period from 2022-2025, at which point the Ministry will refresh its strategies early next year.

4. *A documented report that demonstrates progress on your digital/technology/data strategy implementation*

I can confirm that the Ministry does not hold such a report. I am therefore refusing this part of your request under section 18(e) of the Act as this information does not exist.

In line with standard OIA practice, the Ministry proactively publishes some of its responses to OIA requests. As such, this letter may be published on the Ministry for Pacific Peoples' website. Your personal details will be removed, and the Ministry will not publish any information that would identify you or your organisation.

Should you wish to discuss this response with us, please feel free to contact the Ministry at: oi_requests@mpp.govt.nz.

If you are dissatisfied with this response, you have the right, under section 28(3) of the OIA, to seek an investigation and review by the Ombudsman. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

la manuia

A handwritten signature in blue ink, consisting of several overlapping, sweeping strokes that form a cursive, somewhat abstract shape.

Danilo Coelho de Almeida
Deputy Secretary,
Corporate Services and Support Services

Appendix 1: List of documents for release

| # | Date | Document details | Decision on release |
|---|------------|--|---------------------|
| 1 | April 2022 | Digital Strategy and Roadmap 2022-2025 – Background and Strategic Context | Released in full. |
| 2 | April 2022 | Digital Strategy and Roadmap 2022-2025 – Technology Strategy and Roadmap | Released in full. |
| 3 | April 2022 | Digital Strategy and Roadmap 2022-2025 – IT Capabilities | Released in full. |
| 4 | April 2022 | Information Management Strategy and Roadmap 2022-2025 | Released in full. |



DIGITAL STRATEGY AND ROADMAP

PART 1 - BACKGROUND AND STRATEGIC CONTEXT

2022 - 2025

RELEASED UNDER THE OFFICIAL INFORMATION ACT 1

INTRODUCTION

The Ministry for Pacific Peoples (The Ministry) is the voice of Pacific people in government, and our voice comes from the community. The Ministry's role includes:

1. **Research and intelligence** gathering by:
 - a. Commissioning, under-taking, and bringing together Pacific-relevant research
 - b. Commission and undertake evaluations of Pacific targeted programmes
 - c. Gather intelligence from Pacific Communities
 - d. Identify future issues and opportunities to improving Pacific wellbeing
2. We provide evidence-based **advice** across government on policies and interventions that affect Pacific peoples, and the key issues and opportunities to improving the long-term wellbeing of Pacific peoples.
3. We provide **Leadership** by:
 - a. Leading the Government's Pacific Wellbeing Strategy
 - b. Leading the Government's Pacific Employment Action Plan
 - c. Leading the Government's Pacific Language Strategy
 - d. Chair the Lalanga Fou Deputy Chief Executive group
 - e. Collaborate with other government agencies on actions to improve the wellbeing of New Zealanders
 - f. Monitor Pacific wellbeing
 - g. Influence the development of Pacific capability across government
 - h. Lead or participate in cross-government action to improve system-wide understanding and responsiveness on matters of diversity and equity
4. **Operational Delivery** by:
 - a. Delivering tailored interventions that work for Pacific peoples
 - b. Partnering with others to pilot innovative programmes and models of working prior to embedding in mainstream delivery
 - c. Delivering events in partnership with Pacific communities
 - d. Providing Pacific scholarships and awards
 - e. Delivering information to key stakeholders on the key findings from our research and intelligence gathering activities, and the contribution Pacific peoples make to New Zealand
 - f. Delivering a Pacific nominations service.

To conduct its role the Ministry works with other government agencies, Pacific organisations and community groups, and the policy and research community.

PACIFIC AOTEAROA LALANGA FOU REPORT

The Lalanga Fou report was launched at the Pacific Aotearoa summit in November 2018. As an output of this report the Ministry's vision has been defined as:

*"Pacific values are our anchor, with each generation weaving the foundations for the next to stand on. Pacific communities are innovative leaders within Aotearoa, the Pacific region and the world. **We are confident in our endeavours, we are thriving, resilient, and prosperous Pacific Aotearoa**".*

Through the Lalanga Fou engagements with the wider Pacific communities four goals have been identified to achieve the Pacific Aotearoa vision:

Goal 1: Thriving pacific languages, culture, and identities

Goal 2: Prosperous Pacific communities

Goal 3: Resilient and Healthy Pacific peoples

Goal 4: Confident, thriving, and resilient Pacific young people.

The Ministry's mission is to "enrich Aotearoa with thriving Pacific communities"

BACKGROUND AND STRATEGIC CONTEXT

There are a number of drivers that make a Digital Transformation Strategy and Roadmap important for the Ministry today and moving forward.

GROWTH IN THE MINISTRY

Since 2019 the Ministry has almost tripled in size from approximately fifty staff to a position where in FY2022 there is likely to be in excess of 130 staff. This growth has primarily been driven by the increase in funding to deliver initiatives aimed at achieving the goals identified in the Lalanga Fou Report. These initiatives include:

1. The Tupu Aotearoa programme which is focused on delivering learning and work opportunities to the Pacific community
2. The Pacific Housing initiative which is focused on improving the quality and quantity of housing available to the Pacific community.
3. The Pacific Youth Awards which recognize outstanding young Pacific people in our community
4. Nomination Services which are targeted at improving the number of Pacific people as organization or company board members
5. Dawn Raids funding
6. Community Outreach Funding
7. The Toloa Secondary School Scholarship
8. Toloa Tertiary Scholarship
9. Toloa Capability Fund
10. Toloa Substantial Provider fund
11. Pacific Aotearoa Regional Enterprise Fund
12. Youth Language Fund
13. Provider Language Fund
14. Community COVID-19 Fund

While the number of staff and the workload of the Ministry has significantly increased it is fair to say that the supporting processes and IT systems have not kept pace with this growth. IT systems are not integrated which leads to business processes being manual and labour intensive e.g. there is no automation or integration between our current FMIS and grants management. The current state of information technology does not support the Ministry's digital aspirations.

STRATEGIC INTENTIONS 2019 – 2024

In the Strategic Intentions 2019-2024 document it has been identified that to enable the Ministry to deliver on the strategic intentions then we must improve our internal capabilities. This will require the Ministry to improve its internal capabilities in the areas of supporting systems, processes, and technologies to effectively deliver on our strategy.

The short to medium term priorities were identified as:

1. Ensure we have systems and processes in place to capture and manage data and information that will support monitoring and reporting on the impact of our work
2. Implement a new financial operating model
3. Embed newly updated HR processes
4. Strengthen other core business processes
5. Invest in enabling technology and planning tools to support us in our work.

This strategy and roadmap provide the WHY, WHAT, and HOW for point five and contributes to the delivery of the other priorities.

EXTERNAL INFLUENCES

GOVERNMENT MANDATES AND REGULATORY COMPLIANCE

As a government agency there are a number of mandates that we are obliged to follow unless there are exceptionally good reasons not to, and a number of regulations that as a government agency that we must comply with. These include:

“Cloud First” IT Strategy – while this strategy is currently under review there is unlikely to be any notable change to this strategy from the GCDO. All IT systems and applications are now available via the “Cloud” (The Internet), and unless there are specific reasons why an organization cannot utilize a Cloud service (normally due to data sovereignty issues) then organisations should consume Cloud Services.

The Ministry is already a consumer of Cloud services such as O365, and at this stage there is no obvious reason the Ministry cannot continue to consume more Cloud services subject to the appropriate due diligence of the services.

Public Records Act 2005 (PRA2005) – the Ministry must comply with the PRA2005 and currently we are unable to do this. The Information Management Strategy and Roadmap 2022-2025 covers in more detail what we need to do to comply, but this strategy will touch on our approach to modernizing Vaka Puna.

Protective Security Requirements – The Ministry must comply with the government’s Protective Security Requirements which includes an IT or Cyber Security component. We have very recently conducted a self-assessment against the PSR and while the results are yet to be officially presented to Tautua, it has identified that we are not compliant in many areas. Due to the significance of these findings and the importance of keeping the Ministry and its staff safe, a separate strategy will cover our approach to improve our level of compliance.

Government Digital Public Service Strategy – The Government Chief Digital Officer (GCDO) has created an over-arching strategy for a “Digital Public Service.” This strategy provides government organisations with a set of “guide rails” for the development of their own digital strategies.

Government Data Strategy and Roadmap – Statistics NZ have recently released a Government Data Strategy and Roadmap. In the future the Ministry may be mandated to implement components of this strategy and roadmap e.g. Data Standards.

CURRENT STATE OF INFORMATION TECHNOLOGY AT THE MINISTRY CONSULTATION

In order to gain an overall view of the current state of IT at the Ministry, initial conversations have occurred with people across the Ministry, and also our major IT suppliers. The paragraphs below summarise the main themes of conversations.

At this stage what we have not done is consulted with the Pacific community in terms of what they are expecting from the Ministry in terms of digital services. However, as we progress towards gathering requirements for new systems and services we should seek input from the community on how they want to interact with the Ministry.

Vaka Puna

Vaka Puna is used as our Enterprise Content Management System and also our Intranet. In almost all conversations Vaka Puna was raised as an issue particularly around its useability i.e. storing documents, finding documents, accessibility etc. In terms of its use as an Intranet general feedback was again that it is not easy to use and does not really operate as a modern Intranet should.

A separate Information Management Strategy and Roadmap has been created to address the broader challenges that the Ministry has around Information Management and Compliance with the Public Records Act 2005.

Grants Management

Grants are managed and issue from different areas of the Ministry and all areas reported similar challenges.

1. There is no visibility of what grants an organization or individual may have applied for or receive from another area of the Ministry i.e. there is no sharing of data or information between teams.
2. Currently grants are typically managed using spreadsheets. Processing is pre-dominantly manual with no automation, and no integration exists with the finance system. Anecdotally staff are spending 70%-80% of their time processing and managing grants.
3. It is not easy to produce reporting to show how the grants are being managed, and whether they are delivering the intended benefits.
4. Some work was conducted last year on the Fluxx Grants Management System but this was placed on hold until we have a defined strategy. There was mixed feedback on whether the system was going to deliver any major benefits.

Contracts Management

Sometimes funding and grants are provided to organisations to deliver services on behalf of the Ministry e.g. Housing in the form of contracts. Currently the process of tracking and reporting on the performance of the suppliers against the contracts is a manual process and time consuming. Currently contracts are typically managed using spreadsheets.

Some work has been conducted and a "Tupu Database" has been created. This system is used to manage and report on Tupu funding and suppliers, and is an interim solution until a more strategic long-term solution can be provided.

Community Engagement and Interactions

Currently when our regional partnership managers interact with the community they manually take notes of the meetings, and these notes are then transferred a spreadsheet which is being used as a Customer Relationship Management (CRM) tool. Access to the spreadsheet is limited and any meaningful reporting is difficult.

There was also feedback that the devices currently used by the Regional Partners may not be meeting their requirements.

Financial Management System (FMIS)

The existing FMIS system is based upon SAP Business One which is the small organization version of the product. While this provides the very basics of a FMIS system it does lack capability in the area of budget management and forecasting – it is extremely limited and based upon spreadsheets and access data bases, and little reporting.

The FACT\Ferret software is used for approval workflow however there is limited integration \ automation with SAP Business One (records have to be replicated in both SAP and FACT\Ferret).

There is no\limited integration and automation between FMIS and other systems, and for example grants payments is reliant upon manual processes.

HR Systems (HRIS)

We have a number of systems that are used to deliver components of a full HRIS.

1. Job Adder for recruitment
2. HR Onboard which is used for things such as offer letters.
3. Ask Your Teams is a cloud-based staff survey tool
4. Datacom Easipay is used for payroll services.

Components missing include an Online Learning and Tracking tool, Personal Development and Performance, and a self-service portal for managers and staff.

Business Intelligence (BI) and Reporting

BI and Reporting is conducted across the Ministry by different teams, using different tools and processes. Reporting is manual i.e. someone needs to produce a report rather than standard reports being generated at fixed intervals e.g. monthly. Tools used include PowerBI and Qualtrics.

SO, WHAT ARE THE UNDERLYING TECHNOLOGY ISSUES?

When you look at the issues and challenges that have been identified across the Ministry there are a number of root causes that can be identified.

NO CENTRALISED DATA WAREHOUSE OR INFORMATION STORAGE

No centralized data warehouse and information storage leads too:

1. Limited visibility
2. Duplication of data and information
3. Poor data quality
4. Limited and inconsistent reporting capabilities

INTEGRATION

There is no integration between applications which leads to manual processes and workarounds being implemented.

STRATEGY

There has been no over-arching, coherent, and communicated technology strategy to provide the guide rails and principles for the deployment of modern technology. As an example, one of our design principles going forwards needs to be that any system\solution we implement must import\export data to a centralized data warehouse so it can be viewed and reported on across the Ministry.

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INFORMATION TECHNOLOGY FUTURE STATE

VISION FOR INFORMATION MANAGEMENT AT THE MINISTRY

The vision for Information Technology at the Ministry is:

1. Where IT engages with the wider Ministry to understand their challenges and requirements.
2. We have technology solutions that meet the Ministry's needs and used in a consistent way across the organization.
3. We have a centralized repository where data and information are held.
4. Systems are integrated and processes are automated.
5. Data and information are easily found and readily accessible to those who need access to it
6. Our people receive consistent level of experience and support regardless of physical location
7. We have fit for purpose IT strategy and governance that enables the Ministry to meet its objectives and does not constrain agility and innovation.
8. We understand the costs of IT and the value it adds to the Ministry.
9. We have the right people at the right time, doing the right things
10. We have fit for purpose security controls that do not constrain agility and innovation
11. We are using "Commercial of the Shelf" (COTS) products and services and pragmatically changing our business processes to deliver business solutions

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DIGITAL STRATEGY AND ROADMAP

PART 2 – TECHNOLOGY STRATEGY AND ROADMAP

2022 - 2025

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INTRODUCTION

CURRENT STATE OF INFORMATION TECHNOLOGY AT THE MINISTRY

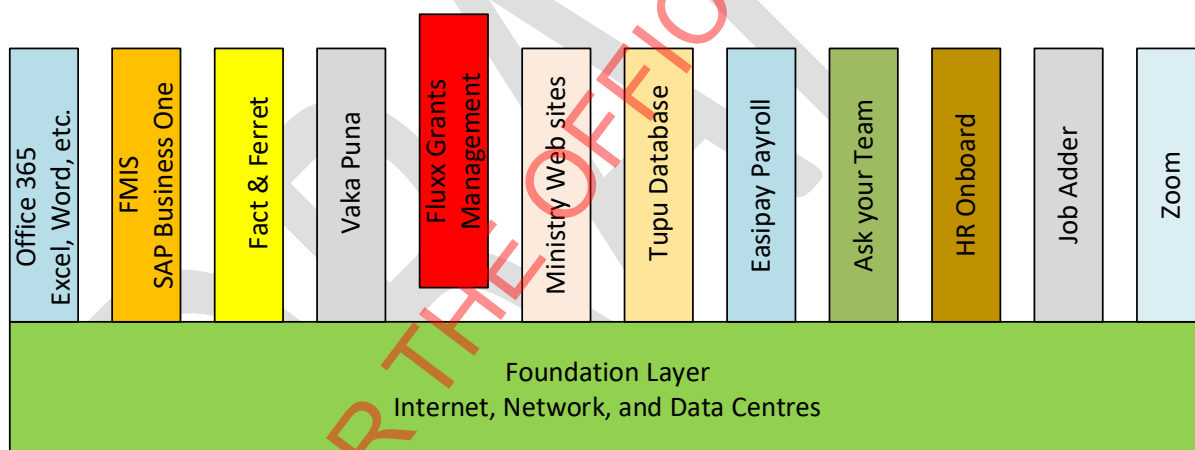
In order to explain the current state of the Information Technology at the Ministry we have separated the technology into the following components.

1. Foundational Infrastructure
2. Applications.

FOUNDATIONAL INFRASTRUCTURE

The current state of IT systems as the Ministry can best be described as a loosely coupled set of systems and applications using common network infrastructure. There is little to no process automation between these systems and applications and “integration” is carried out using predominantly manual processes.

The diagram below provides a representation of the current state.



Network connectivity

The Ministry’s IT network was changed last year and is now provided by 2-Degrees. The network that was implemented provides us with a level of “future-proofing” and while some capacity increases may be required there should be no need for a major change to our network.

Data Centre Infrastructure

Currently The Ministry utilizes data centre infrastructure supplied by Datacom in Hamilton. The data centre is connected to the MPP network via a dedicated 2 Degrees connection.

The servers\applications that are housed in the data centre are:

1. The Vaka Puna server hardware is located at the Hamilton Data Centre. Vaka Puna is supplied to the Ministry by Intergeren so the agreement for the housing of the servers is between Intergeren and Datacom.

2. The servers supporting our current FMIS (SAP and Ferret) are located in the data centre. This includes shared drives where financial information is stored.
3. Miscellaneous services including DNS, Print, DHCP etc.
4. The contract for the housing of these servers is between the Ministry and Datacom

For staff working outside of the MPP offices to access services and applications based in the data centre required the use of a VPN. This means that these users have a different and sometime inconsistent experience compared to staff based in MPP offices.

INTERNET CONNECTIVITY AND CLOUD SERVICES

Internet connectivity for external browsing and access to cloud services is provided by 2 Degrees.

Currently the Ministry consumes a number of cloud-based services. I believe it is fair to say that there has been no strategy and plan around how or what services are consumed, and has been driven by the need to provide a solution at a given point in time e.g. the implementation of Office 365 was driven by the need to provide staff with the ability to work remotely during the recent pandemic lock-downs. The end result is a group of stand-alone applications either used across the whole Ministry or specific business units within the Ministry. There is no integration and automation between these applications which means that processes at the Ministry are pre-dominantly manual.

APPLICATIONS

Microsoft Office 365

Microsoft Office 365 (O365) is used across MPP for basic office productivity applications e.g. MS Word, Excel, etc. O365 is a cloud-based service that is available for use from anywhere where you have a good quality internet connection, and the user experience is consistent regardless of whether you are in a Ministry Office, or an external location. O365 was initially implemented as part of the COVID-19 response plan and allowed Ministry staff to continue to work from home during periods of lockdown.

While O365 is currently only being used for basic office productivity functions and Teams collaboration, there are also a wide range of other Microsoft applications available that may meet the requirements of the Ministry e.g. FMIS, CRM, Grants Management etc. Attempts have been made to evaluate these additional applications but the results were inconclusive.

MPP External Websites

The MPP external website (www.mpp.govt.nz) is currently hosted for the Ministry by Silverstripe using AWS (Amazon Webs Services). Somar Design originally created the mpp.govt.nz website and provide support for the software on a time and materials basis.

In addition to the external website Silverstripe also provide a bespoke application commonly referred too as the "Tupu database". This consists of an external web portal that is used by both external suppliers and Ministry staff to manage and report on Tupu grants.

HR Applications

The People and Capability team utilize a number of cloud-based services in a non-integrated way including.

1. HR Onboard – staff onboarding solutions
2. Job Adder – recruitment applications
3. Ask your team – Survey tool

As these applications are non-integrated there is a heavy reliance on manual processes so a fully integrated suite of HR applications is required.

There is currently no Learning Management System or Performance and Development tools.

Payroll Services

The Easipay payroll application is provided by Datacom. There is no integration or automation between the HR applications or FMIS applications.

Zoom Video Conferencing Service

We currently have a number of Zoom licences that were procured during the early COVID-19 lockdowns to allow external video conferencing with a large number of external parties.

Microsoft Teams is used for internal video conferencing and collaboration and is part of the Office 365 suite of applications.

Fluxx Grants Management Application

In 2021 we started down the path of implementing the Fluxx Grants Management Application however this was placed on hold until a full review of the Ministry's IT systems was carried out. Currently Fluxx is not used and as part of the roadmap of activities created by this strategy we will review whether Fluxx is appropriate for use going forward.

End User Devices

Currently MPP provide their staff with the devices they require to do their jobs. Most people are provided with a Microsoft SurfacePro device, but there are some laptop and MAC devices being used where there is an identified need for the capabilities these devices provide.

When required staff are provided with Samsung mobile phones.

The Ministry currently does not have or support BYOD.

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Some work has been carried out and a "Tupu Database" has been created. This system is essentially used to manage and report on Tupu funding and suppliers, and is an interim solution until a more strategic long term solution can be provided. Silverstripe are involved in developing and supporting the "front end" to this data base.

Community Engagement and Interactions

Currently when our regional partnership managers interact with the community they manually take notes of the meetings, and these notes are then transferred to a spreadsheet which is essentially being used as a Customer Relationship Management (CRM) tool. Access to the spreadsheet is limited and any meaningful reporting is difficult.

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Security

Need info.

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SO WHAT ARE THE UNDERLYING TECHNOLOGY ISSUES?

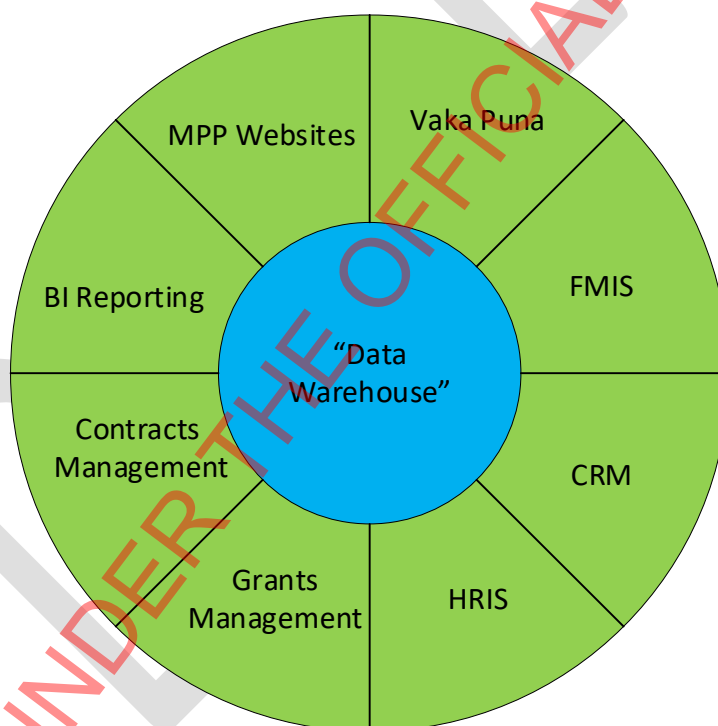
When you look at the issues and challenges that have been identified across the Ministry in the Background and Strategic Context Document there are a number of root causes that can be identified.

NO CENTRALISED DATA WAREHOUSE OR INFORMATION STORAGE

Currently data bases are created across different teams and are specific to the applications\team using them. No centralized data warehouse and information storage leads too:

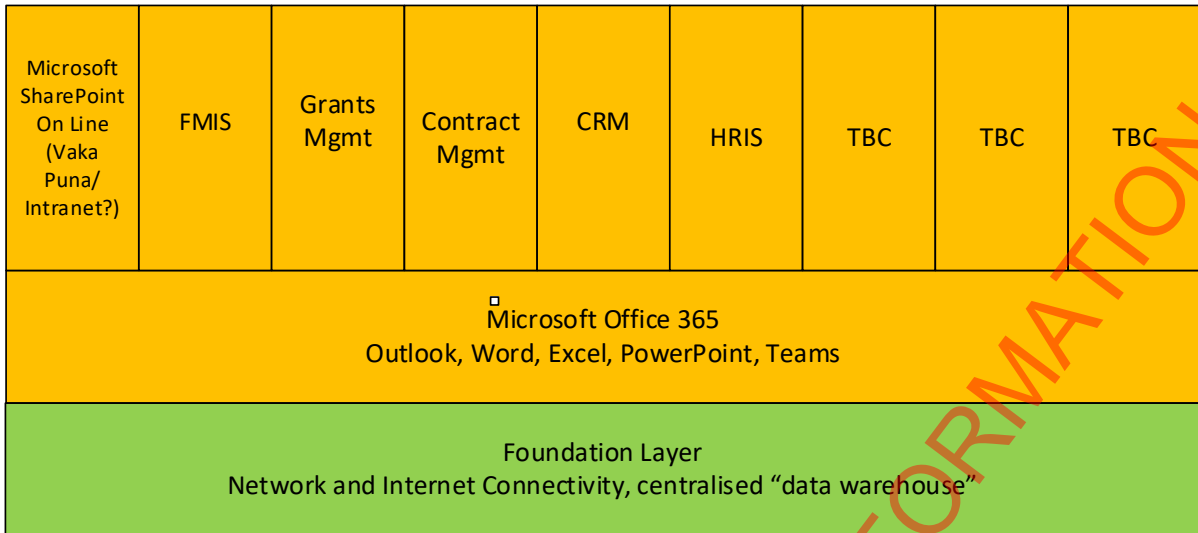
1. Limited visibility
2. Duplication of data and information
3. Poor data quality
4. Limited and inconsistent reporting capabilities

The diagram below represents our target state which is a centralized “data warehouse where all data bases are stored, and available for use by the appropriate applications.



INTEGRATION

There is no integration between applications which leads to manual processes and work-arounds being implemented. Going forward we need to ensure that all applications are integrated to ensure manual processes are either eliminated or kept to a minimum. As an example, our FMIS, Contracts Management, Grants Management and CRM all need to be integrated.



STRATEGY

There has been no over-arching, coherent, and communicated technology strategy to provide the guide rails and principles for the deployment of new technology. As an example, one of our design principles going forwards needs to be that any system/solution we implement must import/export data to a centralized data warehouse so it can be viewed and reported on across the Ministry.

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6. Our people receive consistent level of experience and support regardless of physical location
7. We have fit for purpose IT strategy and governance that enables the Ministry to meet its objectives, and does not constrain agility and innovation.
8. We understand the costs of IT and the value it adds to the Ministry.
9. We have the right people at the right time, doing the right things.
10. We have fit for purpose security controls that don't constrain agility and innovation.
11. We are using "Commercial of the Shelf" (COTS) products and services and pragmatically changing our business processes to deliver business solutions.

INFORMATION TECHNOLOGY DESIGN APPROACH AND PRINCIPLES

When looking to implement new technologies into the Ministry we need to have a defined method by which we do this. As part of the programme of work this strategy we will define this process, but there are two key points that need to be noted in this strategy.

Requirements Gathering

It is critical to the success of any IT solution delivery that the underlying business issues and requirements are clearly understood and documented so that:

1. We can design and procure the right technology to deliver a solution
2. We can correctly define and control the scope of the delivery project
3. We can define and measure success criteria.

Without clear requirements projects often fail because the wrong solution is delivered, the scope of a project creeps and timeframes extend, and you can't measure whether the solution has delivered the benefits expected.

Design Principles

Design principles are an essential component of design governance and provide the "guard rails" against which technology solutions are assessed for suitability. A fit for purpose design governance process will be defined as part of the roadmap, but the Design Principles form part of the IT strategy.

Design Principle 1 – Re-use, before we buy, before we build.

What this principle is essentially saying is that if we already have a solution to a problem in one area of the Ministry e.g CRM, and another area of the Ministry also needs a CRM, then we should re-use the same solution. We will also look to see what we can re-use from other government agencies –

the chances are that another organization already has a solution that we can re-use. Re-use ensures that we don't get into a situation where we have multiple systems doing the same thing which ultimately increases costs and becomes unmanageable.

If we don't currently have a solution to meet the Ministry's requirements, then we will look to buy a commercially available (COTS) product to meet the requirements. The benefit of buying COTS products is that we do not need to bear the cost of development, building infrastructure, support, ongoing maintenance and development etc. and we can get it quickly. The downside of purchasing a COTS solution is that they don't always meet 100% of your requirements, so we need to be prepared to compromise and adapt processes if required.

If a COTS product isn't available or there is a significant gap between our requirements and what a COTS solution can deliver, only then will we look to build something bespoke for ourselves.

Design Principle 2 – Cloud First.....where appropriate

There is current a government "Cloud First" Strategy which basically directs government organisations to consume Cloud IT services when ever they can. The Ministry should align to this strategy as well so any new technology solutions will be cloud based unless there is a specific reason that they cannot be.

Design Principle 3 – Consider the Total Cost of Ownership (TCO)

When evaluating the cost of a solution we need to consider all component costs, not just the initial cost. TCO can include but is not limited too:

1. Implementation costs including training, change, comms, etc
2. Monthly or annual recurring costs
3. Ongoing support and training costs
4. Spares
5. Staff costs.

By understanding our TCO we can make better long term investment decisions.

Design Principle 4 – Integration and Automation

Solutions must be capable of easily integrating into our existing Microsoft Office 365 environment, and enable process automation.

Design Principle 5 – Standards based technology

Any technology solution we implement needs to adhere to generally accepted industry standards and not based upon proprietary technology or standards. By adopting standards-based technology we will avoid vendor "lock in".

Design Principle 6 – Data must be exportable

Any technology solution must provide the ability for any data generated to be exported to a central repository and reports generated using the Ministry's chosen toolset(s).

Design Principle 7 – Secure by design

Protecting the Ministry's, our clients, and the Pacific communities data and information will be at the forefront of any solutions we implement. Security will not be an after-thought.

ROADMAP FOR CHANGE

PRIORITY SYSTEMS AND APPLICATIONS

Based upon the feedback received during the current state interviews across the organization, the following systems and applications have been identified as being priority, and changes to these will have the greatest positive impact to not only the Ministry, but more importantly to Pacific communities in New Zealand.

1. FMIS
2. Grants Management
3. CRM
4. Contracts Management
5. Vaka Puna Replacement

There is a strong preference that we find a single supplier for all systems and either Microsoft or SAP could potentially do this.

FMIS

FMIS will be the first system that will be addressed as this is the simplest system to approach initially because:

1. We have relatively simple requirements for an FMIS.
2. It is a pre-dominantly internal system only used by the Ministry's staff i.e. the change management we need to wrap around this will be internal facing and will little to no impact on the Ministry's clients and the Pacific Community.

A procurement exercise has already commenced for an upgraded\replacement system, and once this has been completed we will be able to define a time line for delivery of the new system.

Grants Management System

Implementing a Grants Management System will be a more complex project especially from a process transformation. This system will essentially consist of:

1. A client facing interface that allows people and organisations to apply for grants
2. A Ministry facing interface that allows grants to be processed, approved, paid, managed, and reported on.

This project will impact our clients and the Pacific communities in New Zealand as it will change the way in which they apply and manage the grants that they apply for. We will need to ensure that we engage appropriately to ensure that we simplify the application process rather than make it more complex.

Our approach to this project would be:

1. We hold a number of requirements gathering workshops with internal Ministry staff who will use the new system.
2. We hold workshops and consultation with Pacific communities in New Zealand to gain feedback on the current grant application process and how this can be improved.
3. Once we clearly understand the requirements we will carry out a procurement process for the system, which will also define the implementation timelines.

CRM

Like Grants Management implementing a CRM will be significant from a process change perspective and will touch all areas of the Ministry and will potentially change the way the Ministry works and interacts with its clients and Pacific Communities in NZ.

We will follow a similar approach to Grants Management in terms of requirements gathering followed by a procurement exercise.

Contracts Management

We will address Contracts Management at this stage as the Grants Management System may well address the requirements and challenges we are currently experiencing in this area. If we have significant gaps between what we can achieve with a Grants Management system and what we need to do for contracts management, then we will look to implement a separate Contract Management System.

Data Warehouse\Vaka Puna

The approach to replacing/upgrading Vaka Puna will be defined once the Data and Information Manager is engaged.

RESOURCE REQUIREMENTS

THE DIGITAL TRANSFORMATION PROGRAMME TEAM

In order to carry out the proposed digital transformation in a short timeframe (18-24 months for the systems noted above) we will need to carry out parallel activities, although some sequencing will need to occur during the implementation phases. The team that we will pull together to perform this transformation will initially be called the "Digital Transformation Team."

The percentage figures represent the estimated amount of time each person will need to commit to the programme

The proposed initial team who will carry out this transformation in conjunction with other areas of the Ministry will be:

Transitional Director IT (100%)– Will provide strategic leadership and direction for the "Digital Transformation Programme"

Digital Transformation Project Manager (100%)– will run the day to day activities across multiple streams of work including project\programme reporting.

Digital Transformation Business Analyst(100%) – is a critical member of the team and will work collaboratively with the wider Ministry to ensure that we capture all the issues and requirements prior to procuring any new technology or systems.

Data and Information Manager (50%) – will work with the Transformation team to ensure that the data and information requirements for any new systems are considered and included in any implementations.

Procurement Specialist (25%) – A procurement specialist will be required during the procurement phases of the programme.

Communication and Transformation(25%) – we will require support during different phases of the project from a communication and transformation perspective.

IT Security (25%) The new systems we implement will need to be accredited and certified prior to going into production. This resource will most likely be brought in as needed.

OTHER MINISTRY RESOURCE

While “IT” can this programme of work the reality is that this digital transformation cannot occur without the full commitment and input from all areas of the Ministry. At a high level we will need resource to:

1. Participate in requirements gathering workshops prior to procurement activities
2. Potentially review supplier responses to procurement documents
3. Potentially participate in governance group meetings
4. Participate in end user testing of new systems
5. Assisting the programme team with collaborating with the Pacific communities and individuals who will be affected by the transformation.

DIGITAL TRANSFORMATION STRATEGY AND
ROADMAP

PART 3 – IT CAPABILITIES

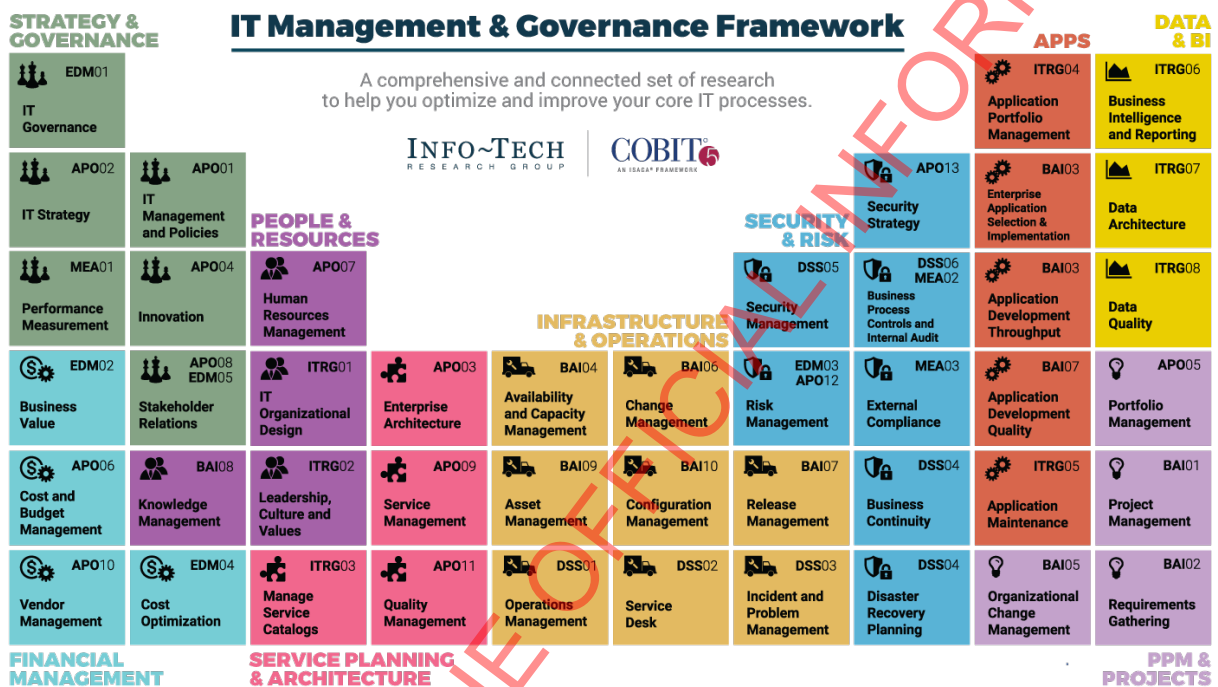
2022 - 2025

RELEASED UNDER THE OFFICIAL INFORMATION ACT 3

INTRODUCTION

Now that we have a technology strategy and roadmap that will enable us to transform the Ministry into a “digital” Ministry we now need to look at the capabilities that we will need to initially enable this transformation, and then operate the systems and technology that enable us to be a digital Ministry.

There are a number of different “IT Capability Models” available which could be used, but we have chosen the model below as it is one of the simpler models available.



As can be seen from the figure capabilities are grouped together into nine key areas and then within each area there are a number of specific capabilities that need to be considered. As part of this document we have looked at the current state of these capabilities within the Ministry, and we have then considered what we need to do for each capability going forward to support and operate a digital transformation at the Ministry.

It should be noted that a capability does not necessarily have to be a physical person although this is one option. A capability could also be a process or system, or a combination of things that enables the Ministry to deliver the capability.

CURRENT STATE OF INFORMATION TECHNOLOGY CAPABILITIES

IT OPERATIONS

IT Operations covers a number of areas as noted below. Currently ITNZ provides a majority of these services to the Ministry.

Operations Management

Currently there is a vacant IT Operations Manager role. The purpose of this role was to manage and be accountable for the delivery of IT services to the Ministry. They were the link between the wider Ministry and our IT service providers.

Availability and Capacity Management

Currently there is no proactive availability or capacity management conducted. While this has not been an issue in the past the Ministry needs to ensure that it does not become an issue as the Ministry continues to grow.

Asset Register

ITNZ maintain an IT asset register for the Ministry using a simple Excel spreadsheet. This has worked well in the past for us but again we need to ensure that this does not become an issue in the future as the Ministry continues to grow.

IT Change and Release Management

There is currently no formal change or release management processes or policies. When required ITNZ manage any IT changes or software releases for the Ministry.

Configuration Management

Currently ITNZ conduct configuration management of user devices and servers.

Incident and Problem Management

Incident and problem management is pre-dominantly conducted by ITNZ with input and oversight from the IT Operations Manager.

Service Desk

Currently ITNZ provide the IT service desk for the Ministry. They act as the first point of call for any IT related issues and requests, and deal with third party suppliers on behalf of the Ministry for issues and problems.

STRATEGY AND GOVERNANCE

IT Governance

There are no formal IT governance groups or processes at the Ministry. While this may not have been an issue in the past when Cloud based services were less abundant, there is a need to review and implement some fit for purpose IT governance for an organization the size of the Ministry.

IT Strategy

There is no current IT strategy or roadmap for the Ministry and this series of document will address this. There have been previous attempts to put together strategies and roadmaps but these have been partially implemented at best.

Performance Measurement

There are currently no performance measurements in place for the Ministry's IT services. There are performance targets\service level agreements in some of our supplier contracts but we do not proactively monitor whether these are being met.

IT Management and Policies

There are currently some IT Policies such as an IT Acceptable Use Policy available at the Ministry. However, it is not clear whether these policies have been formally approved at the Ministry and have not been reviewed for a number of years.

Innovation

There is no formal approach to IT innovation at the Ministry. It is arguable whether there should be a formal approach to IT innovation at the Ministry given they are a small organization. If a formal approach is required then it should be focused on how we innovatively use modern technology to deliver the Ministry's objectives, rather than designing and building innovative technical solutions.

Stakeholder Relations

There is no structured approach to how "IT" interacts and engages with the wider Ministry. Currently engagement is based upon people knowing to contact "Sean from ITNZ", the Transitional Director IT, or the Deputy Secretary Corporate Services. While this may have been satisfactory when the Ministry was much smaller, a more structured approach is now required.

IT FINANCIAL MANAGEMENT

Business Value

Currently "IT" is viewed and reported as a cost to the Ministry and there is no measurement or reporting of the value that IT provides to the Ministry. It is difficult to objectively measure the value that IT adds to a business but this is potentially something that should be looked at in the future.

Cost and Budget Management

Currently the Transitional Director IT maintains oversight of the costs associated with IT. The oversight is limited to reviewing a monthly PowerBI report generated by the Finance team which is based upon invoices received payments paid.

Cost Optimisation

Currently there is no IT cost optimization activities conducted. This may be a worthwhile activity but we need to be careful that the cost of the time and effort required to carry this out actually results in a financial benefit to the Ministry.

Vendor Management

There are a number of components to vendor management including relationship, performance, contractual, and financial. It is fair to say that currently we manage some areas better than others, and there is no structure to the way we manage our IT vendors, and roles and responsibilities are not clear.

PEOPLE AND RESOURCES

Human Resources Management

The "IT Department" at the Ministry is very small and currently consists of the following roles:

Transitional Director IT – twelve-month fixed term

IT Operation Manager – Vacant

Senior Information Advisor - Vacant

If additional resources are required then these are typically contracted in.

IT Organisational Design

The IT organizational design needs to be driven by the IT strategy. As part of this strategy what we need to do is review the current roles and ensure that we have the right capacity and capabilities in place to deliver the strategy and roadmap, rather than limiting our strategy to the roles we currently have.

Leadership, Culture, and Values

It is hard to comment on the leadership of the IT team in the past but going forward strong leadership will be key to implementing this strategy. In terms of culture and values these are very clearly articulated in the Ministry and need to be "lived" by the IT team going forward.

Knowledge Management

While there are folders available on Vaka Puna for IT related information the reality is that the information is out of date. Finding up to date information is very difficult and may well have been lost when people have left the Ministry. This issue is not related specifically to IT information and knowledge and the Information Management Strategy looks to address this issue across all areas of the Ministry.

SERVICE PLANNING AND ARCHITECTURE

This area focuses on the services that IT provides to the wider Ministry. If we think of this in terms of the WHY, WHAT, and HOW for the IT team, then the services represent the WHAT, this strategy provides the WHY, and the roadmap provides the HOW we will achieve the strategy.

Manage Service Catalogue, Service Management, and Quality Management

There is currently no "service catalogue" which provides the Ministry with details on the services provided by IT. While this was not really necessary when the organization was small, with the growth

in the Ministry there would be value in having a simple catalogue that detailed the services IT provides.

As we have no defined services currently there is no service or quality management as such.

Enterprise Architecture

Enterprise Architecture is the methodology by which an organization plans and arranges IT infrastructure and services. The component are analysis, design, planning, and implementation. Enterprise Architecture provides a set of principles which guides the development of IT solutions to deliver business outcomes. Currently there is no Enterprise Architecture or principles defined at the Ministry.

SECURITY AND RISK

Each year the Ministry is required to perform a self-assessment of the compliance with the governments Protect Security Requirements (PSR). This year we engaged an external consultant to conduct this assessment for us and it identified that our compliance with the PSR is very low which represents a significant risk for the Ministry. The PSR assessment looks at all capability areas covered in the above model.

Due to the importance of, and level of risk associated with non-compliance against the PSR a separate strategy and roadmap will be created to address the findings and recommendations made as part of the assessment, and this strategy and roadmap will cover the Security and Risk capabilities shown in this model.

APPLICATION DEVELOPMENT AND MANAGEMENT

The Ministry does not have inhouse resources who develop new\bespoke applications for the Ministry.

Web development has been outsourced to a third-party organization called Somar Web Development who conduct work on mpp.govt.nz website.

We have also engaged with Silverstripe to develop a bespoke "application" which is used to manage grants provided as part of the Tupu Aotearoa Programme

DATA AND BUSINESS INTELLIGENCE

Business Intelligence and Reporting

There is currently a Business Planning and Performance team at the Ministry, and this team also covers Business Intelligence. There is also business intelligence being conducted in other areas of the Ministry and there does not appear to be a "joined up" approach.

There is some use of PowerBI in the Ministry particularly in the Service Delivery area which most of the capability currently sits.

Data Architecture

There is no data architecture at the Ministry. However, we have recently received the Government Data Strategy and Roadmap and we will be looking to use this to provide some direction in this area.

Data Quality

There is no structured approach to ensuring that our data is of good quality and reliable. There is anecdotal evidence that some data is held in multiple locations and with no cross referencing or removal of duplication i.e. there is no “single source of truth” for our data.

PROGRAMME AND PROJECT MANAGEMENT

Organisational Change Management

There is no organizational change management function at the Ministry and nothing specifically around IT.

Portfolio and Project Management

Within the IT area there is no portfolio or project management capability. Across the wider Ministry Project Management capabilities do exist.

Requirements Gathering

There is no formal requirements gathering approach or capability available within the Ministry. From an IT perspective gathering business requirements is a critical step in the implementation of any new IT system. Historically I believe that this has not occurred and has resulted in a number of IT solutions that do not meet business needs and not used.

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FUTURE STATE OF INFORMATION TECHNOLOGY CAPABILITIES

THE CHALLENGE

The challenge for the Ministry is deciding the following:

1. Do we need all of these capabilities?
2. If we do not need them all, then what do we need?
3. If we need a capability, how do we provide the capability in the short and long term?

What we need to consider when trying to decide the best approach are:

4. Organisation size – while the Ministry has experience significant growth over the last few years they are still a small organization and a large IT department cannot be justified.
5. Accountability and Responsibility – You can outsource responsibility for the delivery of a capability to a third-party organization, but you cannot outsource the accountability for delivery. What this means is that someone in the Ministry needs to be accountable for the delivery of a capability. As an example, we may decide to outsource the responsibility of creating certain parts of our IT strategy to a third-party organization, but we still need to remain accountable for the strategy. If we outsource accountability then there is a high risk that the third-party organisation creates a strategy and roadmap that best suits their commercial interests, rather than the best interests of the Ministry.
6. Alignment with the Ministry's strategic intentions – the Ministry's strategic intention have been clearly articulated and need to be considered when looking at how we source capabilities. We need to ensure that we do not build internal capabilities that do not enable delivery of the strategic intentions.
7. Alignment with the Ministry's core capabilities – We need to ensure that any insourced capabilities we build align to and add value to the Ministry's core capabilities. As an example, one of the Ministry's core capabilities is research and evaluation and providing advice across government and wider from a Pacific Peoples perspective. In order to do this, there is a strong reliance on data, information, and Business Intelligence so there is a strong case to build Data and BI capabilities internally. Conversely, one of our core capabilities is not developing and managing software applications so this is not an area where we would look to build insourced capabilities.

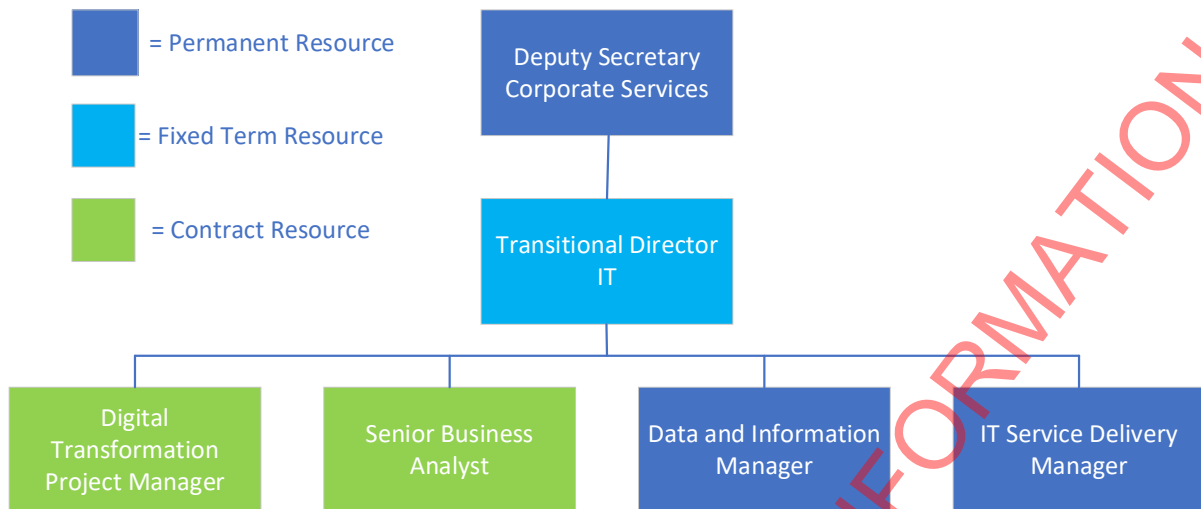
DIGITAL TRANSFORMATION TEAM STRUCTURE

The figure below proposes an interim Digital Transformation Team structure that will be responsible for performing the transformation from the current state to the future state and delivering some of the capabilities. The following capabilities have been excluded in this document.

APPS – Strategically the Ministry should not be developing its own applications. The reality is that a vast majority of our requirements can be met by procuring existing, “commercially of the shelf” (COTS) products. If we cannot find a product that meets our requirements 100% then we should look at changing business processes rather than developing bespoke applications.

Security and Risk – This will be covered in a separate strategy and roadmap document which will focus specifically on security, risk, and assurance.

Portfolio Management – At this stage we have no requirement for Portfolio Management.



Transitional Director IT (Fixed Term, Full time)

This role will be accountable for the following capabilities.

- IT Governance
- IT Strategy and Enterprise Architecture
- Performance Measurement (if required)
- IT Management and Policies
- Innovation
- Strategic Stakeholder relations
- Business value
- Cost and budget management
- Strategic vendor management
- HR Management and leadership of the IT team.

Data and Information Manager (Permanent, Full time)

This role will be accountable for providing the following capabilities:

- Development of strategies for Data, Information, and Business Intelligence
- Information and Knowledge Management
- Business Intelligence and Reporting
- Data Architecture
- Data Quality

Service Delivery Manager (Permanent, Full time)

This role will be accountable for providing the following capabilities:

- Operational, day to day management of vendors
- Cost optimization
- Manage service catalogue
- Service Management

- Quality Management
- Availability and capacity management
- Asset Management
- Operations Management
- Change Management
- Configuration Management
- Service Desk
- Release Management
- Incident and Problem Management

Business Analyst (initial 6-month contract, full time)

This role will be accountable for providing the following capabilities:

- Requirements gathering
- Process development and documentation

Project Manager (Initial 6-month contract, full time)

This role will be accountable for providing the following capabilities:

- Project Management.

CAPABILITY SOURCING

There are three ways that we can source the capabilities that each role is accountable to deliver.

Insource – We provide this capability internally typically using permanent resources.

Outsource – We look to procure the capability from a third-party supplier or organization

Co-Source – We provide this capability using a combination of internal resource and third-party capabilities.

At a high level we intend to source the following groups of capabilities as follows, however the reality is that at some point we may well need to reach out for assistance in all areas.

Strategy and Governance

We will insource these capabilities but will reach out for assistance across government to leverage work conducted by other organisations.

Financial Management

We will insource however we need to evaluate whether establishing and measuring “Business Value” will provide any benefit to the Ministry. You would typically measure business value in a situation where “IT” is funded by individual business units who want to know that IT is providing good value for money. Currently IT is centrally funded at the Ministry and any changes to this are beyond the scope of this strategy.

People and Resources

This will be insourced and we will leverage existing internal capabilities.

Service Planning and Architecture

These capabilities will be co-sourced and at times we will need to reach out for assistance for capabilities such as Enterprise Architecture.

Infrastructure and Operations

These capabilities are currently outsourced and provided by ITNZ. The plan is to continue to outsource these capabilities however we will need to conduct a formal procurement process as the ITNZ contract is ending its term and has been renewed twice already. Government procurement rules state that we must now go to market to secure these capabilities.

Security and Risk

These capabilities will be covered in a separate strategy document.

Application Development

The Ministry does not currently have any inhouse application development capabilities. Strategically this is not a set of capabilities that we should be investing in – one of our principles is “re-use, buy, then build” i.e. we should look to re-use or purchase existing solutions and products to resolve business issues, and only as a last resort we should look to build something ourselves.

In the unlikely event that we do need to build something, then we will look to purchase i.e. outsource these capabilities.

Data and BI

These are critical capabilities to the Ministry and we need to insource as much of this capability as we can.

BI and Reporting – This is a capability that we should look to build internally and create a centralized “centre of excellence” that can support the whole Ministry.

Data Architecture – We will need to look at procuring this resource as required. There will be some initial work required in this area to create the architecture, but once in place it only needs to be reviewed and updated periodically.

Data Quality – Initially we may need to procure some assistance to improve our data quality, but once improved then it becomes an issue for the whole Ministry to maintain the quality.

PPM and Projects

We will look to outsource these capabilities as and when we need them i.e. if there is a project we need to conduct then we will look to contract in the required resources and capabilities.

Information
Management
Strategy and
Roadmap

2022 – 2025

RELEASED UNDER THE OFFICIAL INFORMATION ACT 4

BACKGROUND AND STRATEGIC CONTEXT

There are a number of drivers that make an Information Management Strategy and Roadmap important for the Ministry today and moving forward.

PUBLIC RECORDS ACT 2005 (PRA)

Public Records Act Audit 2021

In March 2021 Archives NZ commissioned an independent audit of the Ministry under section 33 of the PRA. The Ministry's Information Management (IM) Practices were audited against the PRA and the requirements set out in the Information and Records Management Standard by Archives NZ. The audit covers all public records held by the Ministry in both physical and digital formats.

The audit carried out by KPMG takes the form of a maturity assessment across eight category areas, covering 21 topics. The maturity level for each topic area is assessed in a range from:

Beginning ->Progressing->Managing->Maturing->Optimising

The results of the audit highlighted that the Ministry was rated at "beginning" for all topic areas except Business Continuity and Recovery where it was rated as "progressing". In summary, the Ministry is not currently compliant with the Public Records Act.

While "IT" can lead the change required to enable the Ministry to become compliant with the PRA, the issue needs to be owned by the whole organization. Without the full commitment of Tautua then we will not achieve the change required.

Ultimately it is a business decision around the level of maturity that the Ministry wishes to achieve and maintain, but as a minimum the Ministry should be looking to achieve a maturity rating of "managing" to meet the requirements of the PRA.

The Chief Archivist's Annual Report of the State of Government Recordkeeping 2020\2021

The Chief Archivist's Annual Report covers a number of topics including graphs showing the maturity level across government by category and topic, and then shows the distribution of maturity levels by public office including the Ministry (page 19 of the report).

Of the 28 organisations shown in the report the Ministry currently ranks as the least mature of all the organisations, and we are doing very little (progressing) to raise our maturity level.

Why we should be concerned about the audit results and Chief Archivist's report

It's a fair question to ask "so what?" of the results of the audit and "why should we care?".

The reason we should be concerned is that as a Ministry we have to meet the requirements of the PRA and there is a significant risk that an event will occur where we will be unable to meet the PRA or find it extremely difficult to meet the requirements of the PRA.

Additionally, do we want to be known as the Ministry with the lowest Information Management maturity ranking across government?

The impacts of not being able to meet the requirements of the PRA are:

1. The Ministry's reputation across government and publicly will suffer
2. We will lose the confidence of the Pacific community that we can manage and protect the information that they have worked to provide us with.

GROWTH IN THE MINISTRY

Since 2019 the Ministry has almost tripled in size from approximately 50 staff to a position where in FY2022 there is likely to be in excess of 150 staff. The reality is that the systems, processes, policies that served us well for 50 staff are now struggling to cater for 150 staff, and Information Management is one area that needs urgent attention. If we fail to address our Information Management challenges then we will struggle to carry out our core role as a Ministry particularly in the areas of Research and Intelligence Gathering, and Advice which are both based upon having managed, trusted, and reliable data and information.

STRATEGIC INTENTIONS 2019 – 2024

In the Strategic Intentions 2019-2024 document it has been identified that to enable the Ministry to deliver on the strategic intentions then we must improve our internal capabilities.

A short to medium term priority was identified to “ensure we have systems and processes in place to capture and manage data and information that will support monitoring and reporting on the impact of our work.”

This strategy and roadmap provide the WHY, WHAT, and HOW this priority will be achieved for Information Management.

CURRENT STATE OF INFORMATION MANAGEMENT AT THE MINISTRY

ARCHIVES NZ AUDIT FINDINGS

The results of the Archives NZ audit of March 2021 provides an accurate assessment of the current state of the Ministry's Information Management.

The audit carried out a maturity assessment based upon IM categories of:

1. Governance
2. Self-monitoring
3. Capability
4. Creation
5. Management
6. Storage
7. Access
8. Disposal

Within each category there are then a number of different topics. Not all topics are relevant to the Ministry and where not evaluated as part of the audit and are excluded from this document.

Definitions of each category are below.

Appendix 1 provides the results of the audit in a table format.

Category 1 – Governance

The management of information is a discipline that's needs to be owned from the top down within a public office. The topics covered in the Governance category are those that need senior-level vision and support to ensure that government information is managed to ensure effective business outcomes for the public office, our government and New Zealand.

Category 2 – 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 standards as well as their own internal policies and processes.

Category 3 – Capability

Information underpins everything our public offices do and impacts all functions and all staff within public offices. Effective management of information required 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.

Category 4 – 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 practices.

Category 5 – Management

Management of information should be designed into systems to ensure ongoing management and access over time, including following a business disruption event. Information must be reliable, trustworthy and complete and managed to ensure it is easy to find, retrieve and use, as well as protected and secure.

Category 6 – 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.

Category 7 – Access

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

Category 8 – Disposal

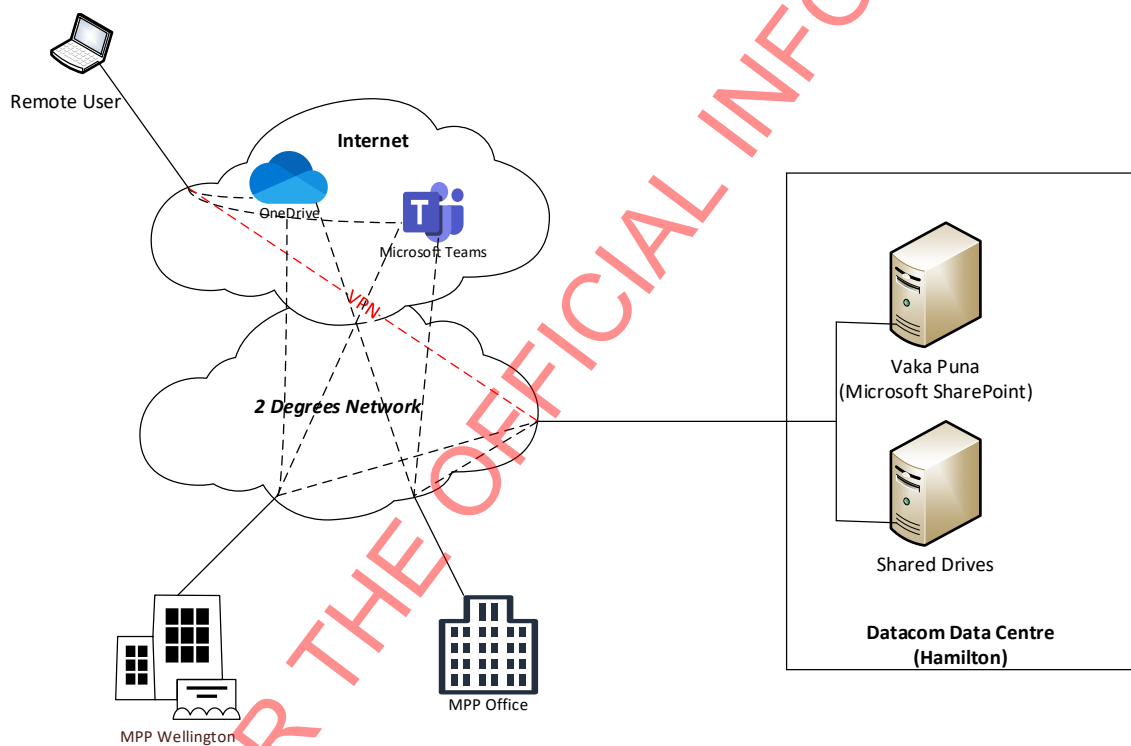
Disposal activity must be authorised by the Chief Archivist under the Public Records Act. Public offices should have their own specific disposal authority as well as actively use the General Disposal Authorities for disposal of general or more ephemeral information. Disposal should be carried out routinely. Information of archival value, both physical and digital, should be regularly transferred to Archives NZ and be determined as either “open access” or “restricted access”

CONTENT MANAGEMENT SYSTEM (VAKA PUNA)

Vaka Puna is currently supplied to the Ministry by InterGen using a multi-tenanted (shared) platform called Cohesion. Cohesion is built using Microsoft SharePoint which is an Enterprise Content Management System. Cohesion is physically located in a Datacom data-centre located in Hamilton. Accessing Vaka Puna remotely requires the use of a Virtual Private Network (VPN). On the face of it, there is no technical reason why the functions and features of SharePoint will not meet the Ministry’s requirements and allow us to meet the requirements of the Public Records Act. However, Vaka Puna is not widely used within the Ministry and anecdotally this is because staff find it easier to use OneDrive, Microsoft Teams, shared drives, and personal drives.

1. Microsoft One Drive – The Ministry is a user of Microsoft Office 365 which provides use with our office productivity suite e.g., email, MZ Word, Excel etc. As part of the Office suite, we also get One Drive which provides the ability to store information on a per user basis i.e., only that user has access to that information.
2. Microsoft Teams – Information is stored in Microsoft Teams as it provides the capability to more easily share and collaborate on information.
3. Shared Drives – Some teams within the Ministry are using shared drives to store information
4. Personal Drives – Anecdotally people are also using personal drives and USB drives to store information.

The diagram below provides an overview of the current state of our information management (Content Management) environment.



As can be seen our environment is complex and even in an organization the size of the Ministry it makes managing our information virtually impossible and is a major contributor towards our non-compliance with the PRA, and this is reflected in the results of the audit.

INFORMATION MANAGEMENT RESOURCE AND CAPABILITY

At the time of writing this strategy and roadmap the Senior Advisor Information Management role is vacant, and as such there is no specialist information management resource available at the Ministry. While this is obviously a concern it is also an opportunity as part of the strategy and roadmap to re-assess the capabilities required to support the Ministry's Information Management requirements in the future.

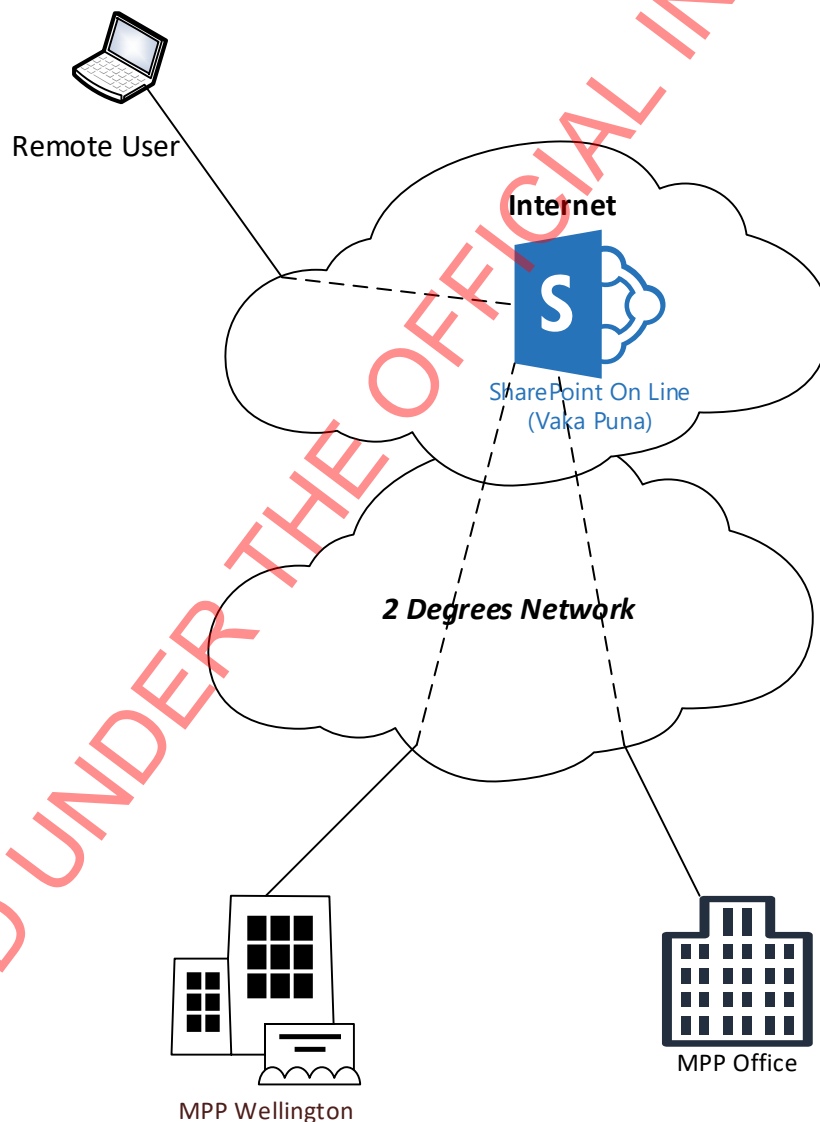
INFORMATION MANAGEMENT FUTURE STATE

VISION FOR INFORMATION MANAGEMENT AT THE MINISTRY

The vision for Information Management at the Ministry is an environment where:

1. Information is treated as an asset at the Ministry.
2. Everyone at the Ministry is using Vaka Puna (or its replacement) in a consistent manner.
3. Everyone is clear on their responsibilities as they relate to Information Management.
4. We are compliant with the Public Records Act
5. Results of Archives NZ audits show that our Information Management maturity is rated as “managing” across all audit topic areas.

The diagram below presents a high-level view of the proposed future state of our content management environment i.e., Vaka Puna.



The key points to note are:

1. All information is stored and managed in SharePoint On Line. One aspect we need to consider is whether we take the opportunity to re-name and relaunch Vaka Puna to try and leave behind some of the negativity of the past.
2. All Ministry staff will access Vaka Puna in the same way i.e., remote users will no longer be required to use a VPN. This will realise some cost savings.
3. We will no longer need the connectivity to the data-centre, or the servers located there. This will result in some cost reductions.

CHANGE ROADMAP

To change from the current state of “beginning” to a future state of “managing” is a multi-year initiative that will require focus and investment not only in technology, but in building Information Management capability within the Ministry. Changing the technology is a relatively simple exercise, however building the right Information Management culture and capabilities is a more difficult exercise.

While the change programme can be led by “IT”, without the full commitment of Tautua and the wider organisation then the required change will not be possible.

There will be a number of one-off activities e.g. development of policies and processes that will require an initial investment to complete. In addition to this there will be a number of ongoing activities that will be required to maintain and improve the level of IM maturity at the Ministry e.g. ongoing staff training and awareness programmes.

| Category | Topic | Current State 2021\22 | IM Maturity FY22\23 | IM Maturity 23\24 | IM Maturity FY2024\25 |
|-----------------------------------|---|-----------------------|---------------------|-------------------|-----------------------|
| Governance | IM Strategy | Beginning | Managing | Managing | Managing |
| | IM Policy and Processes | Beginning | Progressing | Managing | Managing |
| | Governance arrangement and Executive Sponsor | Beginning | Progressing | Managing | Managing |
| | IM Integration into business processes | Beginning | Progressing | Progressing | Managing |
| | Outsourced functions and collaborative arrangements | Beginning | Progressing | Progressing | Managing |
| | Te Tiriti of Waitangi | N\A | N\A | N\A | N\A |
| Self-Monitoring Capability | Self-Monitoring | Beginning | Progressing | Progressing | Managing |
| Creation | Capacity and capability | Beginning | Managing | Managing | Managing |
| | IM roles and responsibilities | Beginning | Progressing | Progressing | Managing |
| Management | Creation and capture of information | Beginning | Progressing | Progressing | Managing |
| | High value/ high risk information | Beginning | Progressing | Managing | Managing |
| Storage | IM requirements built into technology systems | Beginning | Progressing | Managing | Managing |
| | Integrity of information | Beginning | Progressing | Progressing | Managing |
| | Information maintenance and accessibility | Beginning | Progressing | Progressing | Managing |
| | Business continuity and recovery | Progressing | Progressing | Managing | Managing |
| Access | Appropriate storage arrangements | Beginning | Progressing | Managing | Managing |
| Disposal | Information access, use and sharing | Beginning | progressing | Progressing | Managing |
| | Current organisation-specific disposal authorities | Beginning | Progressing | Managing | Managing |
| | Implementation of disposal decisions | Beginning | Progressing | Managing | Managing |
| | Transfer to Archives NZ | Beginning | Progressing | Managing | Managing |

KEY INITIATIVES

As part of the audit carried out a number of recommendations were made that over time will move the Ministry from the current state to the future state. These recommendations have been grouped into the following key initiatives.

1. Strategy Development
2. Governance Framework
3. Capacity and capability
4. IM policies and procedures
5. Information Asset Register

Under each initiative there are a number of pieces of work to deliver the initiative.

| Initiative | Activity |
|----------------------------|---|
| Strategy Development | Develop IM Strategy |
| | Identify additional strategies and create them e.g. Business Intelligence |
| | Develop plan to modernise Vaka Puna |
| Capacity and Capability | Define "change" capability needs |
| | Define "maintain" capability needs |
| | Develop organisational capability uplift strategy\plan |
| Governance Framework | Deliver IM capability training |
| IM Policies and Procedures | Create IM Governance Group |
| | Identify policies and create them |
| | Audit of off-site storage facility |
| Information Asset Register | Identify records 25+ years and transfer to Archives NZ if possible |
| | Identify information assets |
| | Create information Asset register |

Strategy Development

Develop IM Strategy – This document is the result of this activity.

Identify additional strategies and create them – as we progress with improving the Ministries maturity level, we may identify other strategies that need to be developed. As an example, what is our strategy around Reporting Tools?

Develop a plan to modernize Vaka Puna – we will need to develop a plan to modernize Vaka Puna. At this stage it would appear to make sense to use SharePoint Online as our Content Management System

going forward. However, we do need to do some due diligence on this and confirm this is the correct path to take, which is what we will do as part of this work.

Capacity and Capability

Define “change” capability needs - Currently we have a “Senior Advisor Systems and Information” which is more of an administrative role than a leadership role, and arguably one of the main reasons for the poor uptake in the use of Vaka Puna is the lack of an appropriately skilled Information Manager who can lead the development of the IM capabilities at the Ministry. To implement this strategy and deliver on the roadmap of initiatives we need an appropriately skilled resource that can lead the change from current state to future state, and then hand over to a “run” state.

Define our “maintain” capability needs – As part of the change process we will need to identify how we are going to maintain our maturity level once the change has been completed. The options could be that we employ a person to maintain our maturity level, or we outsource the maintenance of our maturity level to a third-party organization.

Develop organizational capability uplift strategy\plan – We will need to develop a strategy and plan to uplift our IM capabilities across the organization. This typically includes targeted communications and development of organization specific training.

Deliver IM capability training – Once training has been developed the training will need to be delivered across the organization at all locations.

Governance Framework

Create IM Governance Group – An IM Governance Group including an executive sponsor will be established with a defined Terms of Reference. Part of the responsibilities of this group will be the review and approval of policies and procedures.

Define Governance Framework – The IM Governance Group will need to decide on a governance framework

IM Policies and Procedures

Identify and create IM policies and procedures – we will need to identify what are the minimum policies and procedures that we need to create. There are a number of “standard” policies and processes across government that we will be able to simply re-use or carry out minor changes too which will save time and cost.

Audit of off-site storage facility – we need to carry out an audit of the information that we are holding at our off-site storage facility, and decide what if any action needs to be taken with the information e.g. destroyed or transferred to Archives NZ.

Transfer records to Archives NZ – As part of the PRA we are required to transfer records older than 25 years to Archives NZ or gain an exception not too. We need to identify what if any records we have of this age and organize the transfer or exception.

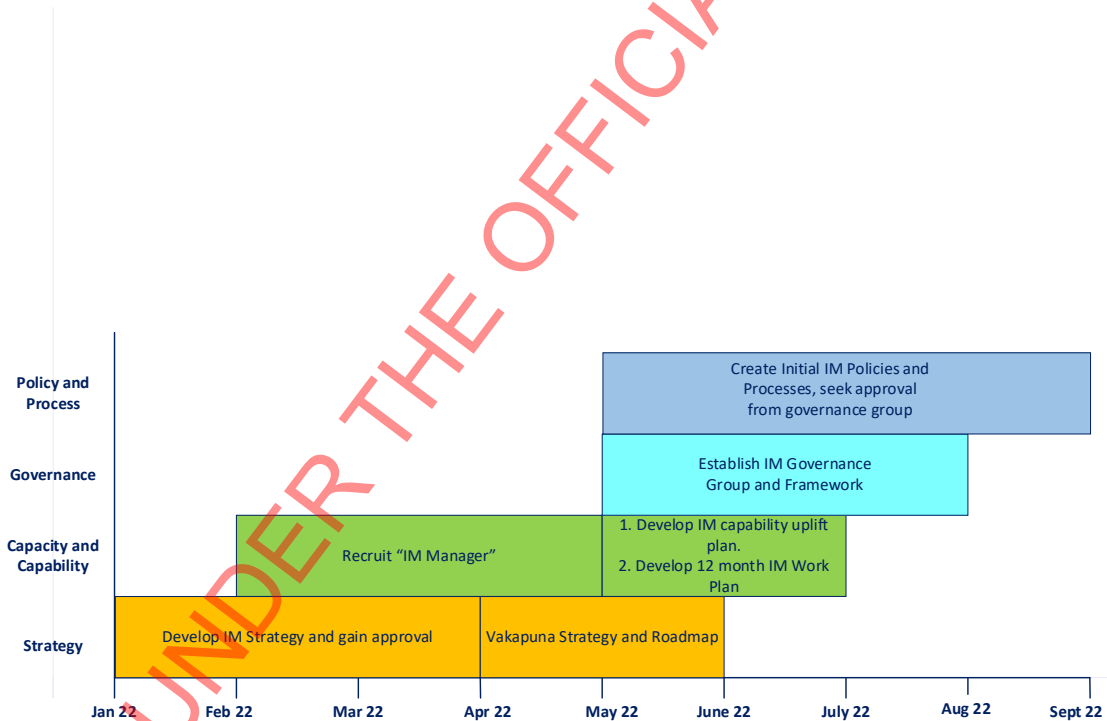
Information Asset Register

Identify Information Assets – As an organization we do not have full visibility of the information that we hold and its value. An exercise needs to be carried out to rectify this.

Create Information Asset Register – Once we know what information we are holding this needs to be recorded in an Information Asset Register of some description. This may require some form of technical solution to be implemented

TIMELINE FOR ACTIVITIES

The intention is that an Information Manager will be engaged on either a contract or fixed term basis to work with the Transitional IT Director and run the different initiative streams. This person will be responsible for putting together the longer-term plan. As such, a timeline has been provided covering the proposed activities over the next 9 months, and the Information Manager will define the plan beyond that. Please note we do not expect any work to be carried out on the Information Asset Register during this time.



RESOURCE REQUIREMENTS AND FUNDING

STRATEGY DEVELOPMENT

At this stage it is envisaged that any strategies will be created as part of the normal work of the Information Manager and the Transitional Director IT. As such there should be no additional cost to the Ministry.

However, any work required to upgrade Vakapuna will be at a cost to the Ministry but at this stage the cost is unknown and at the time of writing this is under investigation.

CAPACITY AND CAPABILITY

Information Manager

To deliver this change programme will require the leadership of a skilled Information Manager. This role does not currently exist within the Ministry and this role would need to be created and recruited either on a fixed term or permanent basis.

Good Information Managers are hard to find in NZ and market rates are well beyond the band 20 salary range where we would expect this role to sit. To overcome this challenge, we will need to look to recruit someone who is looking to progress their career as an Information Manager and look to recruit them at the mid-point of salary band 20 i.e. approximately \$120K.

The skills profile of this person will be:

1. They will be an expert in the Information Management field and capable of writing the policies and processes we need and have a clear vision of what needs to be done in order to move the Ministry forward.
2. They will have been part of the change programme such as this at another organization but will not have led the programme. As such they will require support to develop their leadership skills
3. They need to have good inter-personal and communication skills as this role will require them to spend a large amount of their time working with people throughout the Ministry.

Information management capability uplift

Development of the capability uplift plan will be carried out by the Information Manager. This plan will include the creation of training material and then the delivery of this training. It is likely that some of this work will need to be outsourced. We should initially allow \$35K for the development of the training material and delivery of the training, and then \$20K each year for the ongoing delivery of training.

Another critical component to this change programme will be the communications to the wider Ministry and as such will require support from the comms team.

The additional “hidden” cost of the uplift programme will be the resources that will need to be committed by other groups of the Ministry to work with the Information Manager and attend the

training. Without this commitment then we will be unable to uplift the Ministry's Information Management maturity or comply with the Public Records Act.

GOVERNANCE FRAMEWORK

The Governance Group and framework will be established as part of the role of the Information Manager. Again the "hidden" cost will be the commitment of time and resources from the wider Ministry to be part of the governance group.

DEVELOPMENT OF POLICIES AND PROCESSES

Policies and Processes

Development of the policies and processes will be part of the role of the Information Manager. These will need to be created initially and then regularly reviewed. Time will be required from the governance group to review, provide feedback, and then approve.

Audit of off-site storage facility

At this stage we have no idea of how much information is stored at the off-site facility. The initial step of this initiative will be to visit the facility and establish how much information there is, and from this we can estimate the amount of work and cost required to conduct the audit and then transfer the information.

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APPENDIX 1 – ARCHIVES NEW ZEALAND AUDIT RESULTS

| Category | Topic | Current State | Findings | Recommendations |
|------------|---|---------------|---|--|
| Governance | IM Strategy | Beginning | The Ministry does not have a current Information Management Strategy that is approved by the senior leadership team. There is an old (2016) strategy that is no longer applicable and does not reflect the Ministry's current state of information management. | Develop a new Information Management Strategy and Roadmap (this document) that accurately reflects the current state, future state, and roadmap of activities. The new strategy and roadmap should be approved by the senior leadership team. |
| | IM Policy and Processes | Beginning | An IM Policy document was drafted in July 2020 however this is yet to be approved by the senior leadership team. There are no IM processes or procedures documented within the Ministry. As such, staff do not have a consistent awareness of their roles and responsibilities for IM due to the lack of documented guidance (see topic 9 later). The impact of this is that we have an inconsistent approach to IM across the Ministry which is discussed in subsequent topics. | The Ministry's Information Management Policy, its processes, and its procedures should be documented and approved by the senior leadership team and communicated to all staff to ensure consistency. |
| | Governance arrangement and Executive Sponsor | Beginning | The Ministry does not currently have an Information Management Governance Group. While this may have not been necessary when the Ministry was 50 people, there is now a requirement to have a governance group of some description. The Executive Sponsor for the audit (Deputy Secretary Corporate Services) has an awareness of their duties involving IM at the Ministry. However, the reality is that due to the breadth of this role there is no capacity to actively champion information management within the Ministry. | Establish an IM governance group of some description including an Executive Sponsor that can champion IM within the Ministry. |
| | IM Integration into business processes | Beginning | Staff interviewed do not understand their roles and responsibilities for IM as there is no approved and communicated strategy, policies, or processes. The Senior Advisor Information and Records is engaging on an ad hoc basis with business units to provide assistance and advice around integrating IM into business processes. | Provide mandatory training to business owners and users to enhance their understanding of their IM responsibilities. |
| | Outsourced functions and collaborative arrangements | Beginning | Based upon the audit carried out it does not look as if there are any significant outsourced functions or collaborative engagements in place. However, this may not be the case in the future. | Going forward if the Ministry outsources any business functions or enters into a collaborative arrangement that will result in the creation, maintenance, and disposal of Ministry records, then information management requirements should be included in the contract. |
| | Te Tiriti of Waitangi | Beginning | N\A | N\A |

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| Self-Monitoring | Self-Monitoring | Beginning | As there is no information management policy and process documents, the Ministry cannot monitor compliance with internal policies. Additionally, there is no monitoring of compliance against the information management requirements detailed in the PRA, Archives NZ, or other relevant legislation. As a result, the Ministry does not understand whether it is complying with internal policies or meeting the requirements of the PRA or other relevant standards and cannot plan to address any possible non-compliance. | Once IM policies and procedures have been created and approved then implement regular information management monitoring procedures and report findings that provide useful and actionable information to the Executive Sponsor and IM governance group. |
| Capability | Capacity and capability | Beginning | The Executive Sponsor has a wide range of roles and responsibilities assigned to them. However, due to day-to-day demands of their position they do not have the capacity to actively champion information management within the Ministry. As a result, the Executive Sponsor has had to rely heavily on the Senior Advisor Information and Records to champion information management. The Senior Advisor holds one-on-one induction training with some new starters, but these sessions are not mandatory. There are also sporadic training sessions carried out on request. No assessment has been undertaken to establish whether there is sufficient information management resource in the Ministry. However, based upon the overall maturity assessment at the Ministry there are significant capacity requirements that will need to be met to raise the level of maturity to “managing.” | An assessment should be carried out to establish the capacity and capability required to move the Ministry from a maturity level of “beginning” to “managing.” Following this an assessment should be carried out of the capability and capacity to maintain a maturity level of “managing.” |
| | IM roles and responsibilities | Beginning | The Ministry’s staff have limited awareness of their information management responsibilities. This is due to the information policies and procedures not being documented and communicated to staff and contractors. Induction training is offered to all new staff which focuses on using the ECMS (Vaka Puna). However, this training is not mandatory and only approximately 50% of people attend this training. Training is offered sporadically on request after the initial induction training. | Mandatory induction and refresher training should be provided to staff on their roles and responsibilities to create, capture, and store information. |

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| Creation | Creation and capture of information | Beginning | Information at the Ministry is being created and captured in uncontrolled environments. There is no consistency across business units in terms of information procedures, with most staff storing information in personal drives e.g., OneDrive, device hard-drives, and shared drives rather than Vaka Puna. There is no monitoring or over-sight of what is being created and captured in these uncontrolled drives. The end result of this is information is hard to find and not easily accessible, and you don't know whether the information you do receive is reliable or trust-worthy e.g. if I am emailed a document, I do not know whether that document is the latest version or not as the person who sent it to me could have made changes after they sent it to me. | As part of the development of the information management policy and process documents, we need to outline guidance on the creation and capture of information for all staff and contractors. This will ensure staff create and capture information in controlled corporate environments and availability of the use of personal OneDrive environments should be limited. |
| | High value/ high risk information | Beginning | There is a limited understanding of what information may be considered high-value or high-risk across the Ministry. However, there is no formal identification of, or management plan for, high-value or high-risk information the Ministry holds. Without knowing what we hold it is hard to plan how we will manage and protect this information, and there is a risk that information could be lost when someone leaves the organisation if it is not documented within an information asset register. | Define and records what high value\ high-risk information the Ministry holds and record this in an Information Asset Register and develop a longer-term plan to manage this information. |
| Management | IM requirements built into technology systems | Beginning | Today there are no standardised information management requirements when a new system is implemented, or an existing system upgraded. | Create standardised information management requirements for new and upgraded business systems e.g., any information created or gathered as part of implementing and operating a new system should be recorded in Vaka Puna. Additionally, ensure information management requirements are considered throughout the development and improvement of all new and existing business systems. |
| | Integrity of information | Beginning | Most business units are storing information in uncontrolled environments, and there is little metadata (information about the information being stored!), and there is little confidence over the metadata that is stored. As a result, staff have difficulty retrieving and using information because it is not easily searchable in a central location, such as Vaka Puna. Information stored on personal drives such as OneDrive are not easily retrievable and could potentially be lost when that person leaves the Ministry. | As part of the development of IM policy and process documents we need to outline guidance on the creation and capture of information for all staff (see Topic 10). |

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| | Information maintenance and accessibility | Beginning | The Ministry does not currently have a strategy in place to manage and maintain accessibility to physical and digital information during business and system changes. Access to digital information has already been covered under previous topics however risks have also been identified with regards to physical records and information. No staff at the Ministry have access to a register of physical information that is being held by the third-party off-site storage facility. We don't know what is being held, when it was last accessed, or how long it has been there for. | Develop strategies to manage and maintain physical and digital information during business and system change. |
| | Business continuity and recovery | Progressing | The Ministry's BCP as last updated in August 2020 and includes plans for the restoration of physical and digital information. It identifies systems, resources and information that would be needed to be accessed to support business continuity. There is a level of confidence that the current IT service providers (ITNZ) are taking backups of key systems. However, it is not known how long these back-ups are held for or if they are being tested. | Regularly test the BCP and ensure that back-ups can be used to restore information in the timeframes set out in the plan. |
| Storage | Appropriate storage arrangements | Beginning | A third-party off-site storage facility is used to store some physical information, and this facility provides appropriate protection of the information. However, as identified in Topic 14 there are deficiencies over accessibility of this information as there is not register or inventory of what is stored. The main physical information is finance and payroll information, which is organised and filed in locked tambur cabinets, however it has been several years since any physical information has been transferred to the off-site storage facility. Digital information as previously described is stored across various systems including Vaka Puna, OneDrive, shared drives, and personal drives. The risk of information loss is heightened because of this. | Determine and document what physical information is held at the third-party off-site storage facility. Implement processes to mitigate the risk of information loss through the use of un-controlled environments. |
| Access | Information access, use and sharing | Beginning | The metadata captured in Vaka Puna meets most of the requirements of Archives NZ minimum requirements expect that there is no unique identifier for each document. However, most business units do not use Vaka Puna and information is being kept in uncontrolled environments which creates difficulties in accessing information particularly after someone leaves the Ministry. This will also be a significant issue when the Ministry needs to transfer digital information to Archives NZ. | Consistent with Topic 10. |

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| Disposal | Current organisation-specific disposal authorities | Beginning | There is no current and approved Ministry specific disposal authority and has not been once since its establishment in 1990. | The Ministry should prioritise the development of a Ministry specific disposal authority that covers all formats and business functions, as this is a statutory requirement. |
| | Implementation of disposal decisions | Beginning | The Ministry is permitted to dispose of records under the General Disposal Authority (GDA). However, no disposal decisions have been documented and there is no awareness of when the last disposal of information occurred. Also, as information is being stored in uncontrolled environments, information may have been disposed of without approval of Archives NZ. | The Ministry should prioritise the development of an implementation plan to dispose of physical and digital information under the GDA. Once the organisation-specific disposal authority has been approved, extend the implementation plan to cover all other information assets. |
| | Transfer to Archives NZ | Beginning | Based upon Archives NZ requirements records older than 25 years should be transferred. As the Ministry is over 25 years old, we are required to identify if we have information of this age that can be transferred. However, we have not undertaken an assessment to establish whether we have information older than 25 years and whether they should be transferred. | Identify records that are older than 25 years. Following this they should either be transferred to Archives NZ, or a deferral of transfer should be agreed with Archives NZ. |

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