



NEW ZEALAND
CUSTOMS SERVICE
TE MANA ĀRAI O AOTEAROA

Information Management Strategy 2021 – 2024

New Zealand Customs Service

Te Mana Ārai o Aotearoa

September 2021 v2.0

What is information?

In the context of strategic information management (IM), information is defined as:

- Information our people need to do their jobs
- Information we need to manage our operations and achieve our strategic outcomes, and
- Information the community, stakeholders and other organisations require.

This considers knowledge and intelligence derived from information and data the New Zealand Customs Service creates and consumes.

This document provides an overview of the current state of information management at Customs and recommendations that will inform the roadmap for developing the required strategic information management capabilities within the organisation.

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1.0 Executive Summary

Effectively managing and using information is fundamental to the New Zealand Customs Service (Customs) operations and attainment of its strategic goals.

Legislation requires Customs information and records management is directed by strategy and policy, and is reviewed

and monitored regularly.¹ The Chief Ombudsman's report recommended a comprehensive information management strategy.²



Customs' Information management maturity is low. There is no organisational view of information with numerous informal, ad hoc and disparate systems in use. Almost all interviewees reported a significant information deficit in terms of the information they require to effectively perform their roles. Several interviewees reported the current situation results in a substantial amount of rework in terms of recreating information due to difficulties in locating information they know exists but cannot find. This situation presents significant risks, constraints, and inefficiencies. These issues are longstanding and have been noted in previous reports.³

When information is managed well and utilised to its maximum potential it can solve difficult problems, create new insights and opportunities, and deliver efficiencies. The Information Management Strategy (IMS) identifies the capabilities required to ensure information management activities will efficiently and effectively contribute to the delivery of organisational outcomes. A key focus of the IMS is in addressing the issues and business needs raised by staff.

This strategy builds on previous work including the Information Management Gap Assessment 2020. With the appointment of an Information Management Advisor in 2020, an IM Gap Assessment was completed which identified several areas for improvement, including the need of establishing an Information Management team to enable substantial change and improve the current state of IM at Customs.

¹ Information and records management standard 2016, minimum compliance requirement 1.1.

² OIA compliance and practice in the New Zealand Customs Service December 2017

³ The 2017 OIA report noted 'During interviews, staff mentioned the difficulty in locating information caused by the lack of policies and procedures around where to store information.'

As part of the development of the IMS, 24 staff were interviewed from April to May 2021, including all Customs' tier 2 and 3 managers, as well as other staff highly involved in IM activities. Customs staff who were interviewed have unanimously recognised the need to address the current state of information management given the adverse impact it has on their roles.

1.1 High Level Findings – Current State

This section details the high-level findings derived through an assessment of the current state and through interviews conducted with a range of senior staff. This includes an assessment of relevant documentation.



- Significant risks related to information management exist, particularly in respect to the fragmentation of information (information can be found in multiple locations) and the rapid roll out of new technology which does not fully capture peoples' requirements.
- Numerous informal, ad hoc, and disparate systems exist, and current document management systems do not meet people's requirements. This makes extracting value out of information difficult.
- People cannot readily find information they need to perform their roles. People spend a significant amount of time trying to find information and when they do, they are not sure if it is correct or can be relied on. This includes unnecessary re-work.
- There is a heavy reliance on people who have significant institutional knowledge who may know where specific information is located or have specific information in their heads. This represents substantial key person risk.
- There is no organisational view of information or common ways of describing information that Customs deals with. For example, there is no single view of external stakeholders.
- There are no data custodians.⁴
- Staff interviewed reported a number of issues with current document management solutions.

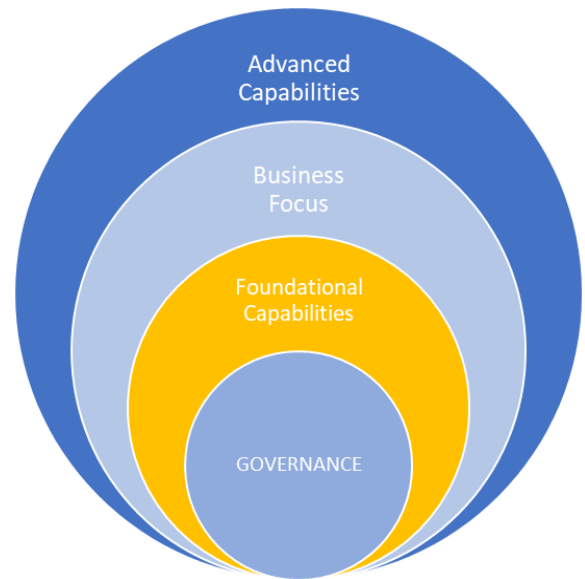
⁴ Under the New Zealand Data and Information Management Principles, agency data custodians should implement recommended practices to support well managed data.

2.0 Summary Recommendations

This section is a summary of the recommendations discussed in detail in sections 7 and 8.

2.1 Information Management Strategy Activities

Below are the IMS recommendations that will inform the activities and specific deliverables in our roadmap, which will be prioritised into the IMS Roadmap Stages.



2.1.1 Review the scope, structure and organisational placement for IM roles

This activity will review the scope, structure, placement, and alignment of all information management related roles along with an assessment of required skills and resources.

Key Deliverable: IM Operating Model

2.1.2 Ensure there is a whole of organisation approach to IM initiatives

This activity will ensure there is a Customs' wide approach to information management initiatives, and they are contributing to an organisational view of information which is clearly linked to strategic outcomes.

Key Deliverables: IM Policies, IM Framework, M365 Governance Group, Embed IM into Projects, IM page in the Longroom, IM Guidance Development & Comms Campaign

2.2.3 Ensure the requirements for all information management initiatives understood

This activity will ensure the business problems and drivers for all IM initiatives are understood and will be addressed. This includes understanding dependencies and business requirements are captured and incorporated into solutions.

Key Deliverable: IM & M365 Business Case

2.2.4 Information Audit and Key Processes

This activity will provide a clear picture of where data is located on specific topics, who data custodians are, who we disclose the information to, how data can be utilised to provide services and deliver new insights, and what high value and high risk data we hold and areas of duplication. This includes identifying both official and unofficial information repositories and information that is of importance to Māori.

Key Deliverable: Information Asset Register

2.2.5 Implement Archives New Zealand Audit Recommendations

Customs will be audited by Archives NZ between September and October 2021. There is an expectation that public offices uses the identified recommendations from the audit to create an action plan for their organisation. This work item would see the Information Management team reviewing the audit results and devising a plan to address the actions. Depending upon the size and nature of the recommendations, a business case may need to be created for funding and resourcing. This may be combined with other IM needs and plans into a larger business case.

Key Deliverable: Archives NZ Post-Audit Action Plan

2.2.6 Implement a continuous improvement programme

This involves establishing a continuous improvement programme with a focus on business improvements which address information management risks and needs. Using Customs IM Maturity Assessment Tool based on Archives NZ framework and following the Information and Records Management Standard (IRMS) implementation guide, this work will identify opportunities and needs that can be implemented relatively quickly. Meeting these lower-level needs can increase productivity while delivering tangible results.

Key Deliverable: Custom's IM Maturity Assessment Tool and Self-Monitoring Activities

2.2.7 Consolidate, Standardise and Simplify (CSS)

The focus of this activity is to reduce the number of systems in use by Customs and ensure that only authoritative systems are in place.

Key Deliverable: IM & M365 Business Case



2.2.8 Disposal Authority Implementation

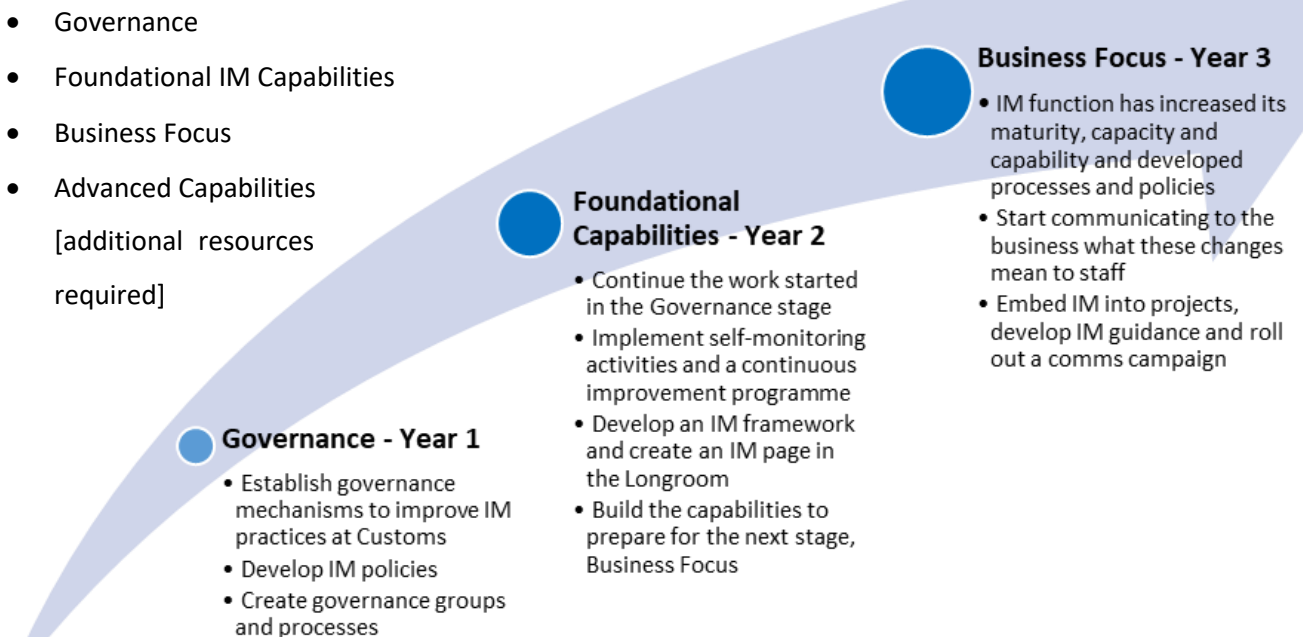
The Custom's specific Disposal Authority (DA), which includes a Retention and Disposal Schedule and an Appraisal Report is currently expired, which means Customs cannot dispose of those types of records. The IMUP work programme created a very initial draft of the DA which requires refining.

For this work to advance in a timely manner, additional resourcing would be required.

Key Deliverables: New Disposal Authority Approved and Disposal Authority Implementation Business Case

2.2 Information Management Strategy Implementation

The IMS stages outlined below will inform the order of priority of our activities and how we will progress our IM maturity through our work programme. The following stages represent the focus areas for each phase of the IMS:



3.0 Information Management Strategy – Purpose

The information management strategy provides a framework for planning, managing and coordinating the effective and efficient use of information, in partnership with business plans.

The IMS is concerned with the effective creation, utilisation, communication, management and availability of information. It provides a framework for Customs to identify, assess and shape information management initiatives and projects which will support Customs’ business needs and legal obligations.

The IMS is vital to enable effective information management. Effective information management in turn is critical for the success of Customs strategic outcomes.

The IMS establishes what components are required to ensure the robust management of information. Coordinated projects and relevant IM policies result from and are outcomes of IMS adoption and will ensure a planned implementation of the strategy.

The IMS will inform the information requirements for all projects. It will ensure IM outcomes acquire and maintain the appropriate project data, including timeframes, costs, and resources.

A robust IMS is required to ensure critical information is available when necessary and fit for purpose. It ensures coordination of different data and that this collection is efficient and cost effective.

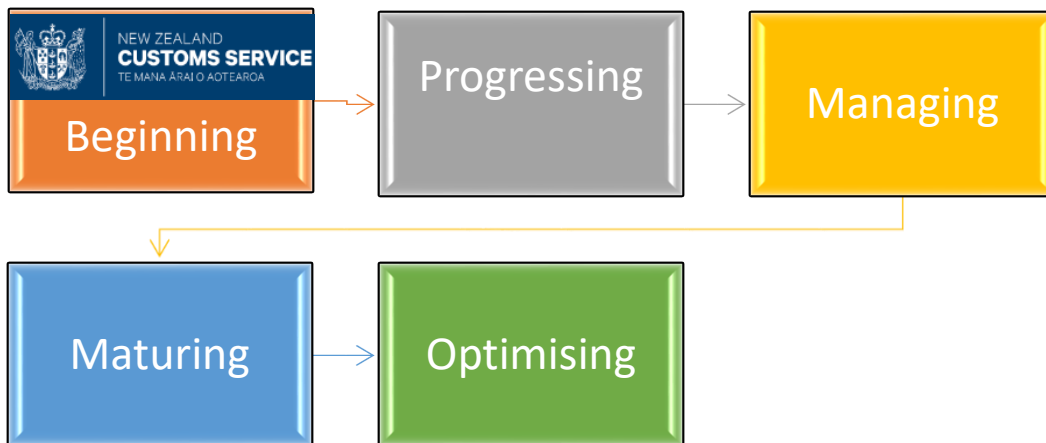
4.0 Current State

The current state of information management maturity is low. This presents a significant opportunity for Customs to leverage information as a key strategic asset to solve problems and create new insights and opportunities.

An analysis of Customs’ IM strengths, weaknesses, opportunities and threats is provided below as part of the current state analysis.

This analysis was informed by an internal maturity self-assessment which utilised the Archives New Zealand Information Management Maturity Assessment tool. This assessment indicated that Customs is at a beginning level of IM maturity. This was supported by staff interviews and previous reports.





4.1 SWOT Analysis

The statements in the analysis noted below are derived from interviews conducted with a range of senior staff and informed by the previous Chief Ombudsman report and an IM maturity self-assessment.⁵

4.1.1 Strengths

- There is recognition of the importance of information management
- There is an information management executive sponsor on the Customs Executive Board (CEB)
- There is a strong recognition that the current situation needs to be addressed and this will have a number of associated business benefits

4.1.2 Weaknesses

- The current information management environment is fragmented, siloed and ad hoc, creating a significant information deficit
- There is a lack of information management training and guidance for staff
- The state of low information management maturity has existed for a long time which adds to the complexity in addressing it
- There is a significant reliance on knowledge in people's heads
- The IM function does not have the required capability and capacity to serve Customs adequately

⁵ OIA compliance and practice in the New Zealand Customs Service December 2017; Interim update on OIA compliance and practice in the New Zealand Customs Service, 17 Nov 2020

4.1.3 Opportunities

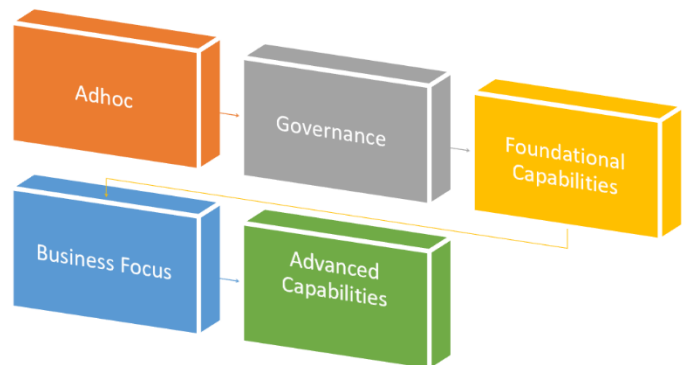
- There are a number of opportunities to improve information management for specific business processes and activities
- A number of the current workstreams provide opportunities to realise efficiency gains
- There is an opportunity to consolidate, standardise and simplify the current IM environment
- Implementing foundational IM capabilities will deliver efficiency gains while providing the foundation for advanced IM capabilities

4.1.4 Threats

- There are a number of unknown risks created by the fragmented nature of the current information management (M) environment. This is exacerbated by a low level of IM maturity
- Loss of knowledge when staff leave, especially long-standing staff
- Current IM initiatives may not be fully informed by business requirements which increases the chance of failure

5.0 Future State

The IMS stages and activities will implement the governance and foundational capabilities to move Customs from the current ad hoc environment to one where IM has a strong business focus which addresses the needs identified in the current state assessment. This work will provide the foundation for advanced IM capabilities.



5.1 Vision

The Digital by Design vision for information management at Customs supports a number of business goals. These goals represent the needs that have been expressed by staff and underpin effective information management.

Customs Information Management Strategy

- Vision -



INFORMATION IS:
DIGITALLY MANAGED BY DESIGN
In a SAFE, SECURE ENVIRONMENT.
COLLECTED ONCE.
EASY TO FIND,
ACCESSIBLE,
USED to its MAXIMUM POTENTIAL,
IN A MINIMUM OF SYSTEMS,
MANAGED AS A STRATEGIC ASSET, SEAMLESSLY and RELIABLY.

5.2 Information Management Principles

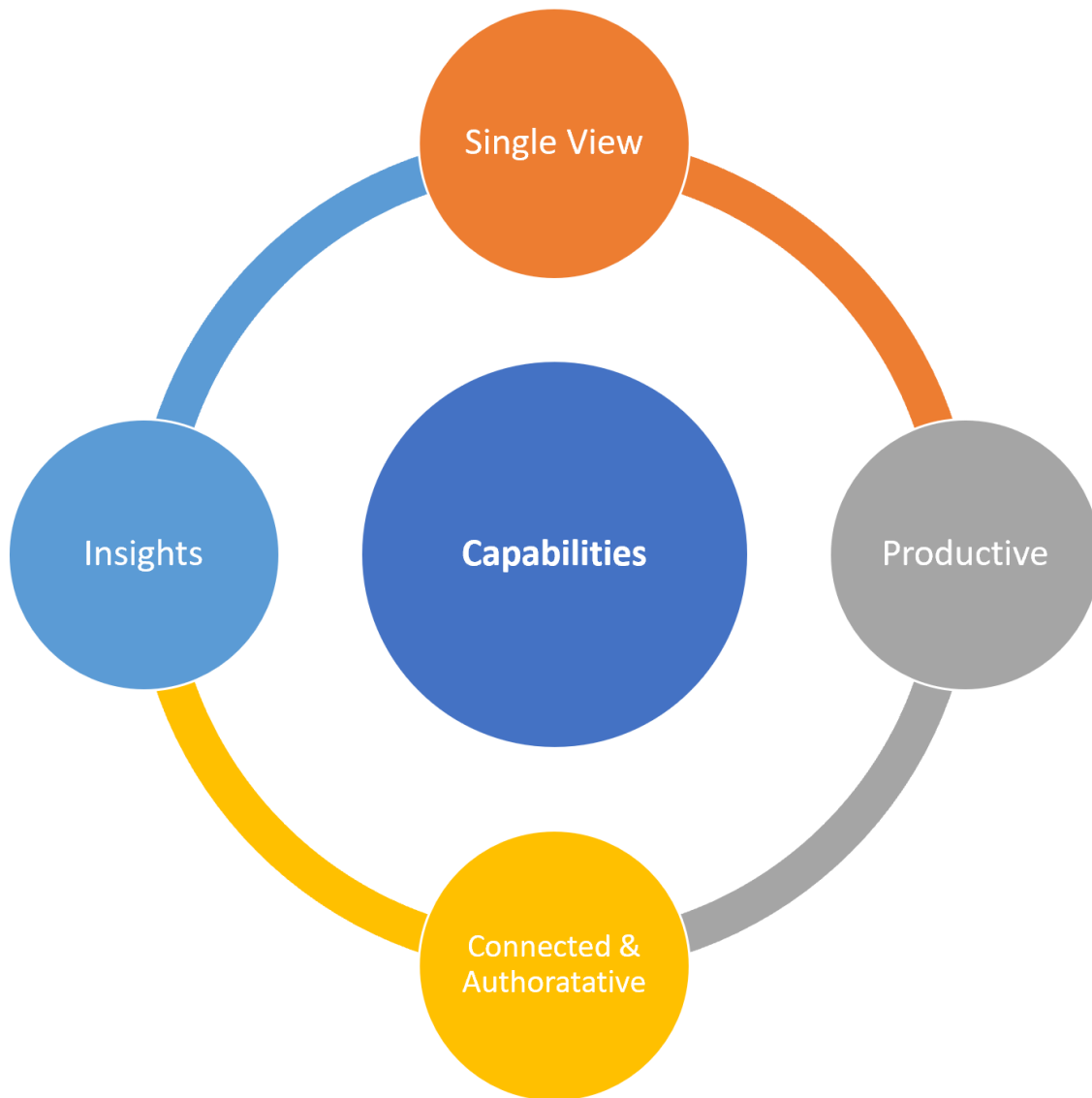
Information management principles, based on best practice, underpin information governance, and inform the effective management of information in the context of Customs. The principles are enduring over time and help ensure business areas across Customs are aligned in their use and management of information.



6.0 Gap Analysis

The gap analysis is derived from understanding the current state and the key drivers that inform the future state for information management in terms of capabilities required to meet business needs.

Capabilities gaps can be summed up into the following key areas:



The stages and activities outlined in this strategy are designed to develop these capabilities and in turn address the issues and business needs derived from the current state analysis. A *single view* capability provides the ability to see information of interest in one view, for example all the interactions with a specific individual. An *insights* capability provides the ability to leverage Customs' information to provide new strategic insights.

Connected and authoritative capability provides the ability to easily link connected information together while authoritative information can be relied on to be correct. The *productive capability* means information management is driving productivity and enabling staff to be effective and efficient.

7.0 Recommendations

The section provides more detail on the summary recommendations provided in section 2.0 of this document. The activities are phased over the next 3 years commencing in 2021 through to 2024.



7.1 Review the scope, structure and organisational placement for IM roles

The current structure has different reporting lines for information management, privacy, and security roles. This makes coordination across these roles difficult and may result in conflicting and overlapping work. There is one information management advisor which is a 6th tier role. While there is an information management executive sponsor at a Deputy Chief Executive level given the criticality of effective information management to Customs the current advisor role is placed at too lower a level to be able to strategically influence the information management function across the organisation.

The scope of the current IM team is focussed on unstructured information and it is unclear if they have responsibility for physical records.⁶ This scope should be expanded to include all information (including structured, unstructured, digital, and paper) to ensure all strategic information management requirements are considered regardless of the type or source of information.

This activity will review the governance arrangements and resourcing for IM to ensure they are appropriate and that the IM function and activities are meeting business needs. This can be done through the development and implementation of an IM Operating Model that meets Customs needs and is placed at the right level in the organisation.

⁶ IM Gap Assessment 2020 states 'Although information management covers records in any format, the focus of this analysis is on unstructured information, more specifically on digital corporate content or document management. This is because the main focus of the IM function is on information as opposed to data management.'

7.2 Ensure there is a whole of organisation approach to IM initiatives

There are a number of IM projects and initiatives that focus on a specific area of the organisation or an information management deliverable without taking a wider view of IM requirements across Customs. This is exacerbating the current situation of siloed systems and multiple information repositories.



This recommendation involves, when additional resources become available, taking a stocktake of all IM related projects and assessing how they are linked in terms of ensuring they will not be creating separate information repositories. There should be one clear picture of all IM projects and how they are contributing to an organisational view of information. There needs to be a clear understanding of how such organisation wide capabilities are going to be delivered and how individual activities will contribute to this.

Aligned to this is the need for business representatives to be involved in activities which will ensure business needs are captured. For example, interviewees expressed the need for an enterprise search functionality, this requirement would be captured if the business was more closely involved. Clear linkages to business outcomes and requirements need to be understood and agreed on. Involving business representatives will help ensure the needs and perspectives of the business are captured and will be delivered rather than just a pure IM outcome.

This can be achieved through a variety of initiatives including, but not limited to the development of IM policies with roles and responsibilities, IM framework, creation of a governance group focused on the preferred enterprise content management system (M365), and embedding IM into projects.

Additionally, work would be undertaken to raise the profile of Information Management at Customs through the use of communications channels such as an Information Management page on The Longroom. This would help ensuring staff are aware of Customs' IM vision as well as their IM responsibilities.

7.3 Ensure the requirements for all information management initiatives understood

It is important that the business requirements driving the current Information Management Maturity Uplift (IMUP) programme of work are well understood. This includes identifying the business drivers and business problems the activities will address. Dependencies for each activity should be well understood along with the return on investment and business benefits that will be delivered.

It is not clear what the business basis for the current programme of work is in terms of engaging upfront with the wider Customs business to ensure it will meet their needs and priorities. This work stream will ensure the terms of reference, scope and business need for each initiative is clearly documented and a business owner is assigned to confirm business benefits will be delivered.

Currently implementation options and costing models are being sought for software in the absence of business and non-functional requirements. This introduces significant risks in terms of any solutions purchased not meeting user requirements and this has been the case with recently introduced document management solutions.

This can be achieved by having the appropriate resources in the IM function to implement a content management solution for the business based on business requirements. A programme management workstream in the IMUP is needed to ensure we can continuously address business needs. The priority activity in this area is the development of the IM & M365 Business Case to ensure we have the right tools and the appropriate capability to deliver the desired outcomes. The IM Operating Model will also support this goal as it would provide additional resources to the IMUP.

7.4 Information Audit and Key Processes

The current Information Management Maturity Uplift (IMUP) programme of work includes the development of an Information Asset Register (IAR), which not only is mandated by Archives NZ, but also provides a picture of the high value and high risk information assets we hold, allowing Customs to mitigate risks and escalate issues when necessary, managing information as assets.



Work has begun on capturing the initial data set to be used for populating the register, which will continue to be refined. The next steps include migrating data to a system called AKA⁷, finalising and embedding process and policies around the various aspects of the ownership of assets and how the register should be maintained. This work will include developing an IAR Governance & Process to be reviewed and approved by senior management.

This activity will provide a clear picture of where data is located on specific topics, who data custodians are, who we disclose the information to, how data can be utilised to provide services and deliver new insights, and what

⁷ <https://mya-k-a.co/>.

high value and high risk data we hold and areas of duplication. This includes identifying both official and unofficial information repositories and information that is of importance to Māori.

This work would also provide information on volumes of paper records both on and offsite, electronic storage repositories both on and off premise and identify the type and volumes of information held.

When additional resources are available, this activity will also include training custodians and stewards in AKA and also on the Information Asset Register's process and roles and responsibilities. For this purpose there will be a need to develop learning materials to deliver to training to the appropriate stakeholders and progress with this work further. This is dependent on an IM Operating Model being approved and additional temporary resources to help us deliver the training programme.

This activity will eventually become part of BAU as the register needs to be reviewed regularly.

7.5 Implement Archives New Zealand Audit recommendations

Customs will be audited by Archives NZ between September and October 2021. Section 33 of the Public Records Act (PRA) confers the audit function on the Chief Archivist. The audit programme is part of Archives NZ leadership role in regulating IM across the government sector under the PRA.

Archives NZ follow-up approach will track improvement actions undertaken by public offices as a result of audit findings. After each audit, there is an expectation that the public office uses the identified recommendations from the audit report and the Chief Archivist audit letter to create an action plan for their organisation. Archives NZ will work with the public office and monitor progress through the activities identified within their action plan⁸.

This work item would see the Information Management team reviewing the audit results and devising a plan to address the actions. Depending upon the size and nature of the recommendations, a business case may need to be created for funding and resourcing. This may be combined with other IM needs and plans into a larger business case.

⁸ <https://archives.govt.nz/manage-information/how-we-regulate/monitoring-and-audit/audit/audit-of-public-office-recordkeeping>

7.6 Implement a continuous improvement programme

This recommendation involves establishing a continuous improvement programme with a focus on business improvements which address information management risks and needs.



A recent example of the benefits of this approach is the Risk at Customs SharePoint site which replaced 30+ excel spreadsheets (which were separately collated and emailed to the Principal Risk Advisor). This is a good example of business process improvements which reduce information management risks while improving information management availability and integrity. Meeting these lower-level needs can increase productivity while delivering tangible improvements.

The IM team will focus on developing the Customs IM Maturity Assessment Tool based on Archives NZ framework and following the Information and Records Management Standard (IRMS) implementation guide. Work started on developing this tool and next steps include having a process to conduct our self-monitoring role and ensure Customs is progressing its maturity and addressing its needs. This work may be combined with any recommendations we received post-Archives NZ audit.

This activity will become BAU.

7.7 Consolidate, Standardise and Simplify (CSS)

Interviewees stated the abundance of informal, ad hoc, and disparate systems which hold both structured and unstructured information make it difficult to know where to file and find information. There needs to be an active programme of work to reduce the number of systems deployed by Customs and ensure that only authoritative systems are in place. An authoritative system is one that contains information which is correct and can be relied on in terms of its integrity and authenticity. This will have ancillary benefits such as reducing the total cost of ownership and reducing complexity for staff.

A critical element of this work stream is to decide on an official system of record for Customs information. This would inform staff where they are expected to store information and address the current situation where information can be located across multiple repositories and staff are unsure where to store information. As part of the current Information Management Maturity Uplift (IMUP) programme of work a scoping paper and

roadmap is being developed for Microsoft 365. This presents an opportunity to help address this issue providing business requirements are captured and addressed.



This activity includes the development of an IM & M365 business case to ensure Customs has the capacity and capability to deliver and continue this work programme as part of BAU – this includes additional resources delivered through an IM Operating Model. This work is highly recommended and can only be delivered with significant investment.

7.8 Disposal Authority Implementation

A key element in effective information and records management is implementing disposal. This ensures an organisation retains information and records for as long as they are required and then, when they are no longer required, disposes of them in an appropriate manner. To implement disposal under the Public Records Act 2005, an organisation is required to have authorisation from the Chief Archivist.

Organisation specific disposal authorities identify the information and records classes that are specific to an organisation, how long they need to be retained and whether they are to be transferred as public archives or destroyed. These authorisations are currently valid for 10 years.⁹

The Custom's specific Disposal Authority (DA), which includes a Retention and Disposal Schedule and an Appraisal Report is currently expired, which means Customs cannot dispose of or transfer to Archives those types of records. The IMUP work programme created an initial draft of the DA which requires refining.

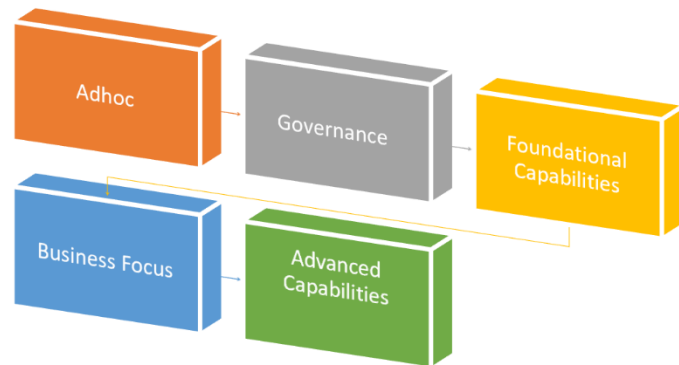
When the IM team has additional resources, either through the IM Operating Model or additional temporary resources, this work can continue to obtain the new DA approval. This is usually a lengthy process and may take up to 1-2 years.

Next steps on this activity include internal and external consultation, several rounds of reviews, final public consultation and approval by the Chief Archivist. Once the DA is approved, then analysis needs to be undertaken to determine how Customs can implement the DA in all systems to meet our PRA obligations. This includes developing a Stage 2 Proposal Business case that would document the time, budget and resourcing required.

⁹ <https://archives.govt.nz/manage-information/how-to-manage-your-information/disposal/disposal-authorisation>

8.0 Information Management Strategy Implementation

The IMS roadmap is a separate document that covers the IMUP workstreams, priorities and dependencies and how the IMS initiatives fit in the IM work programme with current capacity and capability. This document will be presented to CEB for approval and will offer other options of roadmaps to fast track the delivery of the initiatives when business cases/additional funding is approved.



8.1 Information Management Strategy Roadmap Stages

The IMS stages outlined below will inform the order of priority of our activities and how we will progress our IM maturity through our work programme. The following stages represent the focus areas for each phase of the IMS:

- Governance
- Foundational IM Capabilities
- Business Focus
- Advanced Capabilities [additional resources required]

This grouping reflects that having effective governance in place for information management underpins all other IM activities. The phasing and priorities are designed to establish foundational capabilities, based on addressing key risks and immediacy of business needs. Once the governance, foundational IM capabilities, and business focus stages are completed, Customs will be well placed to consider advanced IM capabilities. However, this stage will require additional capacity and capability to be achieved as part of this strategy.

8.1.1 Governance [Year 1 – 2021/2022]

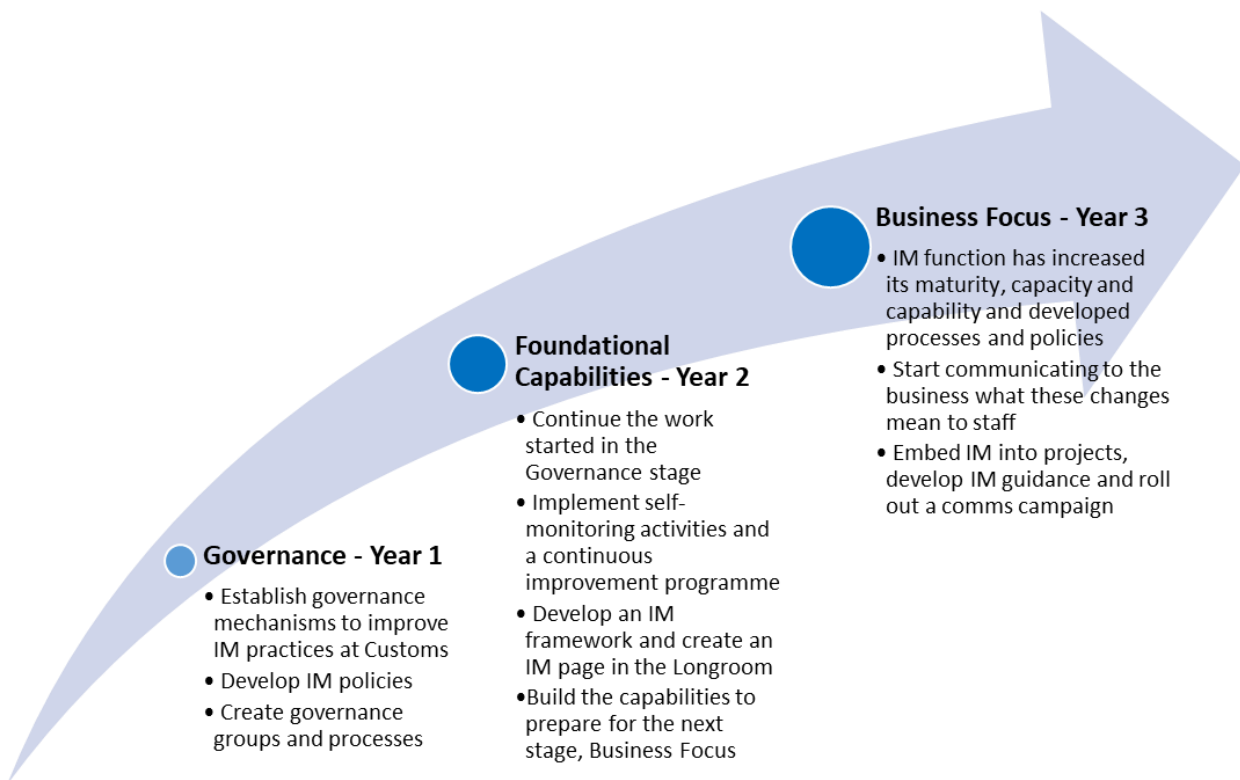
The main focus is establishing governance mechanisms for Customs to improve information management practices across the organisation, including the development of policies, governance groups and processes. This stage will be the main focus of Year 1, although some foundational capabilities may also be initiated. Preparation activities will start in 2021 as soon as this strategy is approved, especially the development of business cases.

8.1.2 Foundational Capabilities [Year 2 - 2023]

This stage will continue the work started in Year 1 and start building the capabilities to prepare for the next stage, Business Focus. This will include implementing self-monitoring activities and a continuous improvement programme, developing an IM framework and creating an IM page in the Longroom.

8.1.3 Business Focus [Year 3 – 2024]

This stage is when the IM function has increased its maturity, capacity and capability, and developed processes and policies. This will enable IM to start communicating to the business what these changes mean to staff. This will include embedding IM into projects, developing IM guidance and rolling out a comms campaign. By the end of Year 3, this strategy will be reviewed and updated where appropriate.



8.1.4 Advanced Capabilities [additional funding required]

This area will only be achieved if the investment opportunities and business cases presented are approved and the IM function has additional capacity and capability. For this area to be achieved in the next 3 years we would need additional investment from Customs, mainly the approval of the IM & M365 Business Case. If the business cases or additional funding is available, other alternative roadmaps that enhance this work programme will be used as described in section 8.3.

8.2 IMUP Workstreams

The above stages and recommended initiatives will be part of the IMUP work programme that currently has the following workstreams:

IM Maturity Uplift Programme workstreams

Programme Management - Development and management of the Information Management Maturity Uplift Programme (IMUP). This includes project management and coordination activities and reporting to the appropriate governance boards, as well as developing business cases.

IM Governance

Governance activities such the development and implementation of policy and strategy, as well as self-monitoring to ensure we comply with the Public Records Act 2005 (PRA 2005).

Records Management

Provide retention and disposal and PRA 2005 advice to the business to ensure Customs meets our legislative requirements. This includes implementing the Information & Records Management Standard (IRMS), liaising with Archives NZ as needed, preparing Customs for the Archives NZ Audits, developing and implementing the Disposal Authority. This workstream will also lead activities to improve how we manage physical records, as well as storage, archiving and legacy content management initiatives.

Information Architecture

Develop information architecture standards and initiatives to improve how we organise, find and manage our information. This includes the maintenance of the Customs taxonomy and how we use metadata to improve findability.

Enterprise Content Management

Provide enterprise content management advice and strategic direction to the organisation and, in collaboration with IS, ensure our tools meet our needs and legislative requirements.

Change Management

Develop and implement change management, comms, and learning plans to ensure staff are on-board with what they need to know and do to follow IM best practices using the chosen enterprise IM enterprise tools. This includes the development of training resources and guidelines for information management.

Supporting the Business (BAU) - Business as usual, reacting to business needs and providing ad-hoc advice and support.