

# Situation Report # 1

Situation Report: AIMS System and Privacy Incidents			
To	Hoani Lambert, Incident Controller	SitRep#	#1
Date	17 November 2022	Time	1715hrs
Period covering	0900hrs Thursday 17 November – 1700hrs Thursday 17 November		
Prepared by	9(2)(a) Intelligence Function. Mobile: 9(2)(a)		
Approved by	9(2)(a) Incident Deputy-Controller. 9(2)(a)		
Distributed to	Te Tari Taiwhenua Executive Leadership Team, Archives New Zealand Leadership Team, Office of the Chief Executive		

## Point of contact:

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Response Objectives
<p>The current objectives of our IMT are to:</p> <ol style="list-style-type: none"> <li>1. Support Archives to resolve the current issues with the AIMS system</li> <li>2. Oversee a control review of the Archives operation</li> <li>3. Develop a long-term plan to ensure a resilient operational system in time for the receipt of the Royal Commission into Abuse in State Care resources</li> <li>4. Ensure we have integrated communications to support public information and maintain the trust and confidence in Archives and the Department.</li> </ol>
Summary of event
<p><b>Background information on AIMS system and issues</b></p> <ul style="list-style-type: none"> <li>• The Archival Integrated Management System (AIMS) went live on 10 February 2022. The objective of the system was to bring together data from four online systems into one collections search system, simplifying the experience and making it easier for staff and customers to access the collections.</li> <li>• Several significant issues with the system have been identified since the system went live</li> </ul>

by staff and customers. This has included slowness, a lack of booking functionality and an external user design that makes accessing archival records difficult. The level of user experience in place now is well below what was in place before the roll out of AIMS.

- An initial IMT was established on 21 April 2022 to provide support to Archives, address the Collections issues and identify options for a longer-term approach to managing and resolving issues with AIMS. This IMT was stood down on 17 May 2022 with the establishment of an AIMS transition team to support longer-term planning and the rollout of next steps.
- The transition team has been supporting the delivery of the necessary releases (updates), vendor engagement and development of an AIMS Phase 2 business case.
- The business case seeks internal funding to deliver the priority enhancements to the Collections System, with an additional focus on business process design, training, change and stakeholder engagement and communications. This business case continues to be managed out of Te Ara Tahi as a programme of work.

#### **AIMS and Collections search – releases, synching issues, identified privacy breaches**

- As part of the initial AIMS project, three releases were planned for the Collections platform. These releases will deliver critical functionality and bug fixes that will improve the user experience.
- The first release was due to go live on 30 June 2022 but because of continued delays by the vendor this release has not yet gone live. The releases continue to be managed by the AIMS Phase 2 Transition Team and are set to be handed over to Archives in early December 2022 for testing and subsequent release.
- In the period since AIMS was launched in February 2022 significant synching and functionality issues have been identified that have led to three privacy issues requiring the Collections Search function to be taken down:
  - 3-5 August for 3 days
  - 14-21 October for 8 Days
  - 11 November – ongoing
- In the first two instances, a series of records had been marked as restricted access in the Collections Staff area of AIMS, but this was not updated on the public-facing Collections Search. There was no public viewing of restricted material as this had not been digitised.
- A short-term internal IMT was stood up to manage the first privacy issue. This IMT was active for a period of 3 days and was stood-down following confirmation that restricted material was not accessed by the public.
- The latest outage has been in response to the discovery that the title and description of records within a series of family proceeding records could be viewed on Collections Search. The titles and descriptions use personal information and so this metadata is restricted. These records should therefore not have been visible to the public at all.
- Collections Search remains unavailable to the public and will do so until Archives are certain that no other records are affected. The response to this issue remains live.

#### ***Privacy issues with Royal Commission records***

- On 19 September 2022, Archives New Zealand discovered that Royal Commission Records were marked as open access on Collections Search, when they should have been marked as Restricted.
- This issue resulted from a data input error and is not related to the above AIMS issues.
- Two members of the public accessed files containing sensitive health information which

<p>could cause harm to individuals named in those files. Archives New Zealand took immediate action to rectify the privacy breach and determined it was an isolated incident.</p> <ul style="list-style-type: none"> <li>• In consultation with Te Whatu Ora, who are the controlling public office for the records, a public notification of the privacy breach is planned for early December. An internal Archives IMT was established to support with the response and will remain in place until after the public notification.</li> </ul>
<b>AIMS System and Privacy Incidents IMT Update</b>
<ul style="list-style-type: none"> <li>• Given the ongoing issues identified with AIMS, and the two live responses to the privacy issues identified, an IMT has been established to support Archives with the broader response. This IMT will likely remain in place until December 2022 following the scheduled release that is designed to address the synching issue.</li> <li>• There are currently two live media requests. These are being managed out of the comms BAU function of the Department with support from the IMT and Archives.</li> <li>• A written statement by the Chief Archivist has been provided to a query from Phil Pennington (RNZ reporter) and talking points are also being provided to the Minister's Office at their request in relation to this query.</li> <li>• A follow-up response to the second media request has been sent, with one outstanding question being followed up internally before a final response is made.</li> <li>• An integrated communications plan is being developed to ensure consistency of messaging and the response to the issues identified across AIMS incidents.</li> <li>• The Archives Digital Team have identified that there are currently a backlog of 179 tickets that need to be addressed in relation to Collections search. We have met with the (Acting) Director Digital to discuss the procurement of resourcing to support the Archives Digital Team in the short-term to address issues.</li> <li>• Auckland and Wellington Archival staff have been experiencing an increase in customer complaints over the phone because of the outage. We will be meeting with both the Auckland and Wellington regional archivists to design a solution to support kaimahi deal with these complaints. Solutions could include bringing in contact centre capability or redirecting the complaints process.</li> </ul>
<b>Actions carried out to date</b>
<ul style="list-style-type: none"> <li>• Incident Management Team (IMT) established; resources secured; roles and responsibilities confirmed</li> <li>• Established daily meeting and reporting rhythm</li> <li>• Met with Archives Leadership Team to confirm IMT objectives and scope of the response</li> <li>• Developed approach to Ministerial engagement</li> <li>• Developed a draft immediate response plan</li> <li>• Developed an internal communications plan to support the response</li> <li>• Sent communications to Archives kaimahi and an update to be provided on 1840</li> <li>• Developed a written statement in response to media queries</li> <li>• Completed SitRep</li> </ul>
<b>Resources in place</b>
Incident Controller, Deputy Controller, Response Manager, Operations, Intelligence, Public Information Management/Comms, Planning, Logistics, Technical Advisors: Legal, Privacy

Resources required	
<ul style="list-style-type: none"> <li>• TSS technical advisor</li> <li>• HR/Wellbeing technical advisor</li> <li>• Other resource needs may be identified as response continues</li> </ul>	
Risks and Issues	
<b>Risks</b>	<ul style="list-style-type: none"> <li>• Public confidence in Archives New Zealand and its ability to fulfil its mandate to make archives accessible to the public.</li> <li>• Trust and confidence from the authorising environment</li> <li>• Ongoing media requests and scrutiny of Archives response to these issues to date</li> <li>• Wellbeing of staff who are dealing with the system as part of their business-as-usual functions</li> </ul>
<b>Issues</b>	<ul style="list-style-type: none"> <li>• Ongoing impact to customers and end users due to Collections Search being unavailable – focus on clear comms and a timely resolution</li> </ul>
Intended actions	
<ul style="list-style-type: none"> <li>• Briefing to the Minister of Internal Affairs providing an update on the current state. Due midday 18 November 2022</li> <li>• Archive Operations to meet within the next week: <ul style="list-style-type: none"> <li>○ (Acting) Director Digital to discuss the procurement of resourcing to support the Archives Digital Team in the short term</li> <li>○ Auckland and Wellington Regional Archivists to develop an interim solution to support Archives kaitiaki with customer complaints and calls</li> </ul> </li> <li>• Undertake a risk assessment of the nature of the records that have been exposed through the 11 November incident, to determine a timeframe for Collections system to be put back online</li> <li>• Development of a long-term response plan from 8 December to mid-2023</li> <li>• Development of an integrated Strategic Communications Plan</li> <li>• Development of a workforce plan to support the Archives Digital Team</li> </ul>	
Next step due at:	1700 hrs 18 November 2022

## Outages of Collections Search since February 2022

Affected System	Start Date and Time	End Date and Time	Resolve Time Hours:Minutes
Public	21/02/2022 9:45	21/02/2022 10:27	0:42:00
Public	6/04/2022 10:53	7/04/2022 9:00	22:07:00
Public	6/04/2022 10:53	7/04/2022 12:30	25:37:00
Public	25/05/2022 15:30	25/05/2022 18:05	2:35:00
Public	20/05/2022 13:37	20/05/2022 14:00	0:23:00
Public	17/05/2022 11:29	18/05/2022 9:47	22:18:00
Public	16/05/2022 11:55	17/05/2022 19:54	31:59:00
Public	14/06/2022 14:08	17/06/2022 10:25	68:17:00
Public	3/08/2022 10:00	5/08/2022 23:30	61:30:00
Public	13/10/2022 10:30	21/10/2022 23:00	204:30:00
Public	11/11/2022 15:00	22/11/2022 17:13	266:13:00

**Public Outages**  
**Hours:Minutes**

706:11:00

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