



13 February 2023

[REDACTED]

[REDACTED]

Thank you for your request of 11 January 2023, made under the Official Information Act 1982. You requested:

- 1) *I would like to request a list of any: advisory, governance, ethics, or other boards, committees, groups, panels, or other mechanisms that provide advice on the policy for and use of artificial intelligence, data science, algorithms, automation, digital technologies, innovation, emerging technologies, or similar areas managed or contracted by IRD, whether they are comprised of internal employees or external members, and*
- 2) *a list of the members (with affiliations) of each group. Contact details are not required.*

We contacted you on 9 February 2023 to clarify your request. You advised that you are interested in understanding which groups monitor and decide on the use of artificial intelligence (AI), automation and other digital technologies (not including operating systems), and the roles within these groups. You also requested information on whether the members of these groups are internal or external.

The following internal functions and groups have collective responsibilities to review, discuss and make recommendations in relation to AI and algorithmic design decisions and deployments:

- Data Information Governance Authority (governance forum)
- Technology Architecture and Innovation Capability
- Centre for Enterprise Data, Analytics (functional group)
- Technical Design Authority (authorising group)
- Analytics and Reporting Working Group (governance forum)

The information you have requested is provided in the Appendix, outlining the information governance hierarchy at Inland Revenue and a list of the members within the above groups. All members are employees of Inland Revenue except where stated.

Inland Revenue practitioners also participate and contributes to cross agency groups and forums within Stats NZ where there is a primary stewardship responsibility across the data system for the use of ethical AI.

Publishing of OIA response

Please note that Inland Revenue regularly publishes responses to requests that may be of interest to the wider public on its website. We consider that this response is of public interest so will publish this response in due course. Your personal details, or any information that would identify you, will be removed before it is published.

Thank you for your request. I trust that the information provided is of assistance to you.

Ngā mihi

[REDACTED]

Tina MacLean

Intelligence Leader – Data

www.ird.govt.nz

Ref: 23OIA1703

Appendix**Data Information Governance Authority**

Role	Membership capacity
Deputy Commissioner, Enterprise Services	Voting member (chair)
Chief Tax Counsel, Tax Counsel Office	Voting member
Deputy Commissioner, Enterprise Design & Integrity	Voting member
Deputy Commissioner, Customer & Compliance Services - Business	Voting member
Deputy Commissioner, Policy & Regulatory Stewardship	Voting member
Privacy Officer, Enterprise Design & Integrity	Voting member
Enterprise Leader, Strategic Architecture, Enterprise Design & Integrity	Voting member
Chief Information Security Officer	Voting member

Technology Architecture and Innovation Capability

Role	Membership capacity
Project Team Leader	Advisory member
Architect (L3)	Advisory member
Architect (L2)	Advisory member
External Consultant	Advisory member

Centre for Enterprise Data Analytics

Role	Membership capacity
Intelligence Leader – Analytics and Data Science	Advisory member
Domain Principal	Advisory member
Domain Principal	Advisory member
Domain Lead (L1)	Advisory member

Technical Design Authority

Role	Membership capacity
Domain Lead Technology Architecture	Voting member (Chair)
Security Architect (external consultant)	Voting member (Deputy chair)
Domain Lead (Technology)	Voting member
Enterprise Leader	Voting member
Solution Architect (external consultant)	Technology services membership
Service Leader	Technology services membership
Service Integration and Delivery Manager (L2)	Technology services membership
Service Integration and Delivery Manager (L2)	Technology services membership
Service Integration and Delivery Manager (L2)	Technology services membership
Project Team Leader	Technology services membership
Service Integration and Delivery Manager (L2)	Technology services membership
Domain Lead (L1)	Technology services membership

Role	Membership capacity
Service Leader	Technology services membership
Architect (L2)	Technology services membership
Enterprise Leader	Project specific non-voting member
Project Manager	Project specific non-voting member
Project Programme Director	Project specific non-voting member
Domain Principal	Non-voting membership
Intelligence Leader – Outcome	Non-voting membership
Domain Lead	Non-voting membership
Service Owner	Non-voting membership
Data Strategy (external)	Non-voting membership
CISO Representative (external)	Non-voting membership

Analytics and Reporting Working Group

Role	Membership capacity
Intelligence Lead, Centre for Enterprise Data and Analytics	Chair
Technical Lead, Data Analytics Practise Development & Delivery	Advisory member
Technical Lead, Data Analytics Practise Development & Delivery	Advisory member
Technical Lead, Data Analytics Practise Development & Delivery	Advisory member
Technical Lead, Data Analytics Practise Development & Delivery	Advisory member
Strategy Specialist, Strategic Architecture	Advisory member
Service Owner, Data Analytics Practice Development and Delivery	Advisory member
Service Integration & Delivery Manager, Centre for Enterprise Data & Analytics	Advisory member
Privacy Officer	Advisory member
PD&D Performance Service Owner	Advisory member
Group Lead, Information Sharing	Advisory member
Group Lead, Customer Interaction	Advisory member
Domain Principle, Marketing & Communications - Marketing	Advisory member
Data Governance and Strategy Lead	Advisory member
Analyst, Talent & People Analytics	Advisory member
Forecasting & Analysis Manager	Standing guest
Service Owner, Talent & People Analytics	Voting member
Service Leader, International Revenue Strategy	Voting member
Service Leader, Compliance, Strategy and Innovation	Voting member
Domain Principal, Governance & Policy, Centre for Enterprise Data & Analytics	Voting member

Role	Membership capacity
Domain Lead, Planning Design & Delivery - Operation Support	Voting member
Domain Lead, Marketing and Communications	Voting member
Domain Lead, Intelligence & Insight	Voting member
Domain Lead, Performance & Reporting	Voting member

Generic Governance Document Hierarchy

Why

Tier 1 –
Policies

Policies

Explain 'WHY' we are going to do what we say we are going to do.

- Setting the strategic direction for the organisation.
- Define the professional and ethical expectations of the organisation's employees
- **Policies** take precedence over all other documents and apply to all.
- **Principles** are statements of self-evident truth contained in Policies
- **Policies** provide high level guidance on what should happen

What

Tier 2 –
Frameworks
& Standards

Frameworks & Standards

- Define 'WHAT' we are going to do.
- **Frameworks** present a mandated approach to a business problem. Frameworks include Policies. & other documents.
- **Standards** include **mandatory requirements** which apply across the enterprise
- **Standards** articulate the technical 'business rules' which govern what should happen – identifying minimum operating requirements in a prescriptive manner
- **Standards** may include relevant **Design Principles**
- **Charters** recognise the delegation of authority, responsibilities and decision rights of governance groups

How

Tier 3 –
Strategies & Plans,
Specifications & Roadmaps,
Procedures & Process Maps
Models

Tier 3 Documents

This tier tell the business 'HOW' to do something. Tier 3 documents may apply to specific business functions or areas

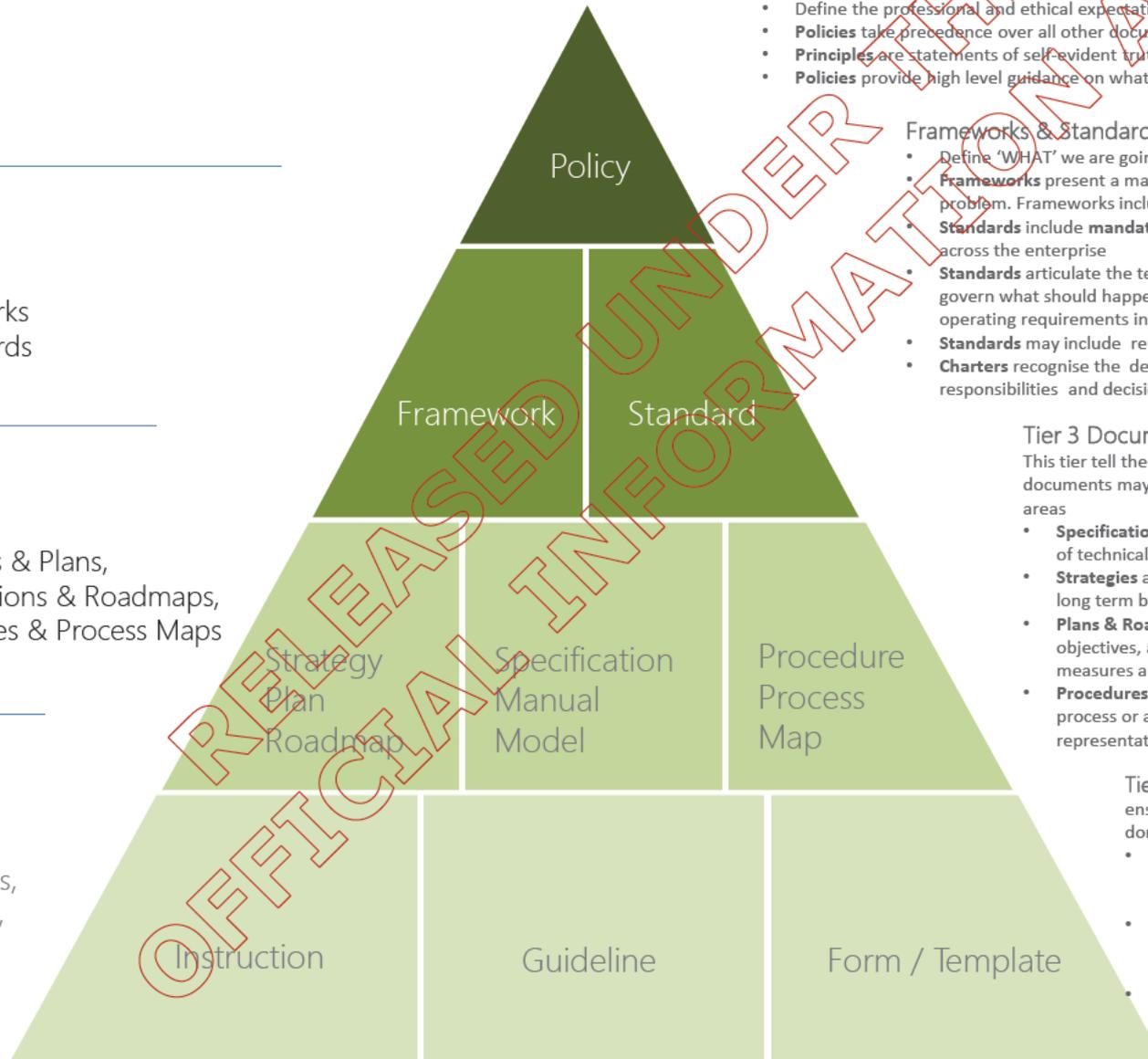
- **Specifications** expand a Standard into an explicit set of technical requirements.
- **Strategies** are created to articulate and achieve long term business objectives
- **Plans & Roadmaps** contain a specific set of objectives, actions, time frames, performance measures and deliverables.
- **Procedures** identify steps or tasks in a business process or activity. Process Maps are the graphical representation of a process

With

Tier 4 –
Instructions,
Guidelines,
Forms &
Templates

Tier 4 Documents are the tools we work with to ensure the things in Tier 1-3 documents can be done.

- **Instructions** include a specific set of steps which must be followed to complete a procedure
- **Guidelines** are less formal and provide a set of recommendations which may represent best practice.
- **Forms and Templates** are used to capture or format information for further use..



Generic Decision Rights Framework

Information Governance

Why

Tier 1 – Executive Committees

Authority - DIRECT / ADDRESS / ARBITRATE

Delegated Authority – Strategic Decisions

Membership - CXOs /DCs

What

Tier 2 – Governance Councils & Design

Authority – DECIDE / PRIORITISE

Delegated Authority – Tactical Decisions

Membership - Heads of Departments/Groups

How

Tier 3 – Working Groups

Authority – DEFINE / DEVELOP / COMMIT

Delegated Authority - Operational Decisions

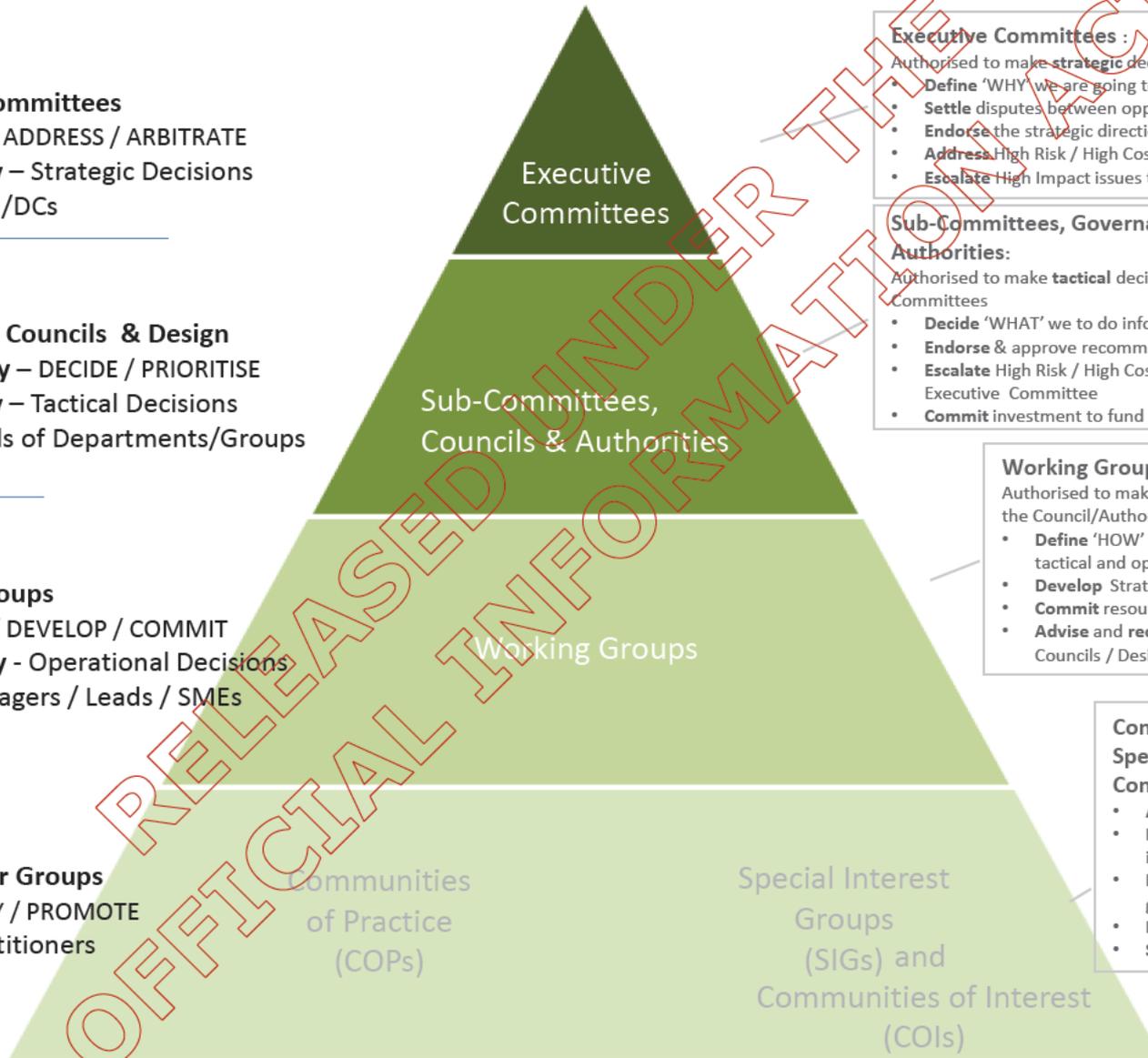
Membership – Managers / Leads / SMEs

With

Tier 4 – Stakeholder Groups

Authority – IDENTIFY / PROMOTE

Membership - Practitioners



Executive Committees :

Authorised to make **strategic** decisions on behalf of the business.

- **Define** 'WHY' we are going to do things.
- **Settle** disputes between opposing or conflicting parties.
- **Endorse** the strategic direction for the organisation.
- **Address** High Risk / High Cost issues
- **Escalate** High Impact issues to the Minister/Commissioner

Sub-Committees, Governance Councils & Design Authorities:

Authorised to make **tactical** decisions on behalf of the Executive Committees

- **Decide** 'WHAT' we to do informed by our strategic direction.
- **Endorse** & approve recommendations from Working Groups.
- **Escalate** High Risk / High Cost issues to the relevant Executive Committee
- **Commit** investment to fund the programme activities

Working Groups:

Authorised to make **operational** decisions on behalf of the Council/Authority

- **Define** 'HOW' we are going to do things. From a tactical and operational perspective.
- **Develop** Strategies and other Tier3 documents
- **Commit** resources to **Implement** change
- **Advise** and **recommend** to the Governance Councils / Design Authority for ratification.

Communities of Practice & Special Interest Groups / Communities of Interest

- **Articulate** business requirements
- **Identify** opportunities for improvement.
- **Provide feedback loop** to working groups
- **Promote** best practices
- **Share** Knowledge and Experience

Strategic decisions are major choices of actions and influence whole or a major parts of the business . They contribute directly to the achievement of common goals and objectives and have long-term implications.

Tactical decisions relate to the implementation of strategic decisions. They involve developing cross-functional plans, structuring workflows and acquisition of resources such as people, materials and money.

Operational decisions relate to day-to-day operations of the enterprise and the commitment of resources to implement tactical decisions. These decisions have a short-term horizon.

IR IG Decision Rights Framework

Information Governance

Why

Tier 1 – Executive Committees

Authority - DIRECT / ADDRESS / ARBITRATE

Delegated Authority – Strategic Decisions

Membership - CXOs /DCs

What

Tier 2 – Governance & Design Authority Authority

– DECIDE / PRIORITISE

Delegated Authority – Tactical Decisions

Membership - ELT / Heads of Departments/Groups

How

Tier 3 – Working Groups

Authority – DEFINE / DEVELOP / COMMIT

Delegated Authority - Operational Decisions

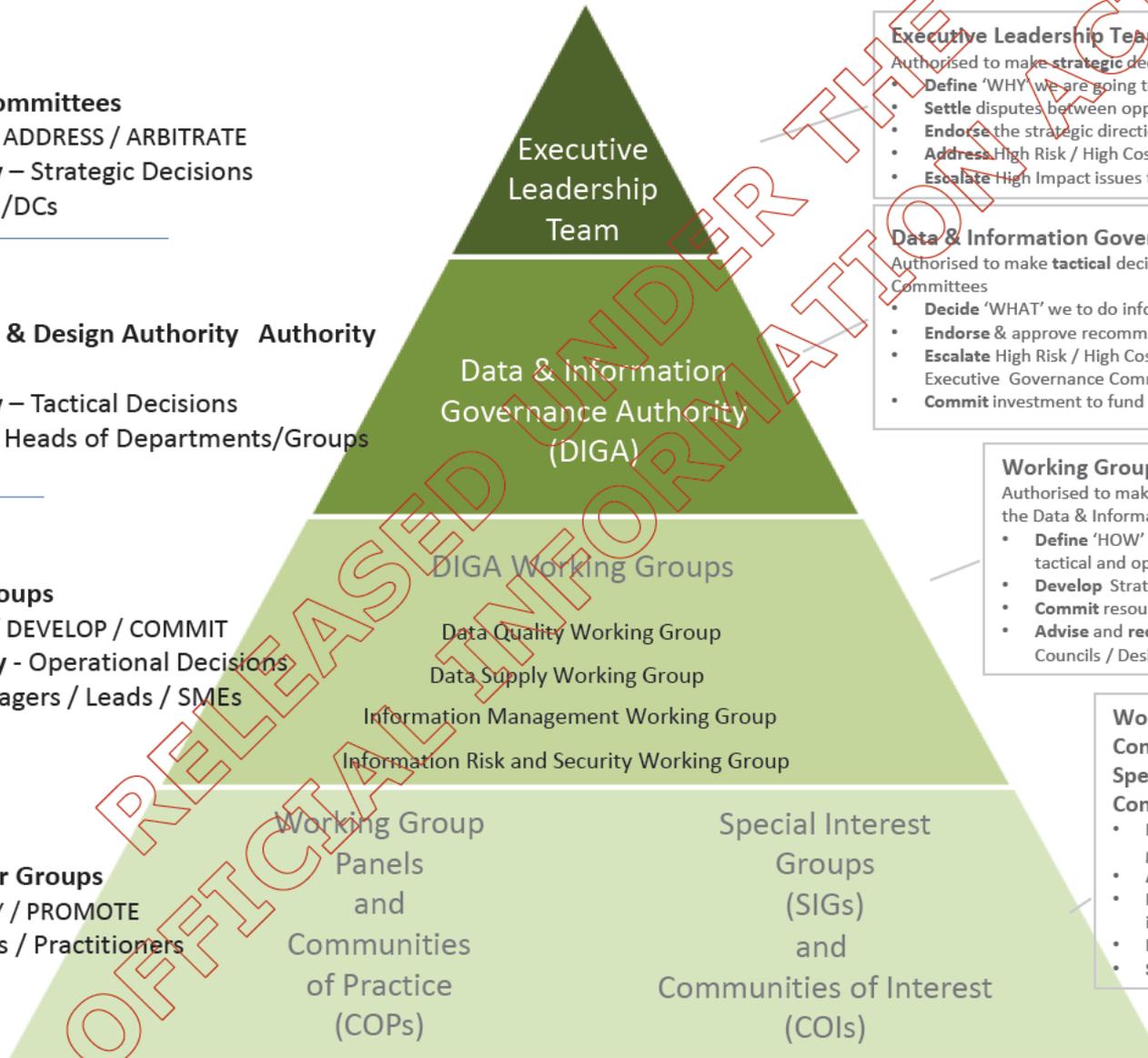
Membership – Managers / Leads / SMEs

With

Tier 4 – Stakeholder Groups

Authority – IDENTIFY / PROMOTE

Membership - SMEs / Practitioners



Executive Leadership Team:

Authorised to make **strategic** decisions on behalf of the business.

- **Define** 'WHY' we are going to do things.
- **Settle** disputes between opposing or conflicting parties.
- **Endorse** the strategic direction for the organisation.
- **Address** High Risk / High Cost issues
- **Escalate** High Impact issues to the Minister/Commissioner

Data & Information Governance Authority:

Authorised to make **tactical** decisions on behalf of the Executive Committees

- **Decide** 'WHAT' we to do informed by our strategic direction.
- **Endorse** & approve recommendations from Working Groups.
- **Escalate** High Risk / High Cost issues to the relevant Executive Governance Committee
- **Commit** investment to fund the programme activities

Working Groups:

Authorised to make **operational** decisions on behalf of the Data & Information Governance Authority

- **Define** 'HOW' we are going to do things. From a tactical and operational perspective.
- **Develop** Strategies and other Tier3 documents
- **Commit** resources to **Implement** change
- **Advise** and **recommend** to the Governance Councils / Design Authority for ratification.

Working Group Panels, Communities of Practice & Special Interest Groups / Communities of Interest

- **Provide feedback loop** to working groups
- **Articulate** business requirements
- **Identify** opportunities for improvement.
- **Promote** best practices
- **Share** Knowledge and Experience

Strategic decisions are major choices of actions and influence whole or a major parts of the business . They contribute directly to the achievement of common goals and objectives and have long-term implications.

Tactical decisions relate to the implementation of strategic decisions. They involve developing cross-functional plans, structuring workflows and acquisition of resources such as people, materials and money.

Operational decisions relate to day-to-day operations of the enterprise and the commitment of resources to implement tactical decisions. These decisions have a short-term horizon.