




General Business Activities - Summary

Planning

Stage	Description	Achievement	
Initiation	Policy and planning initiated.	Coordinated planning, documentation and review of the management of records is evident.	
Establishment	Policy and plans are being implemented.	Coordinated planning, documentation and review of the management of records is evident.	
Capability	Policy and plans are regularly reviewed and updated.	Coordinated planning, documentation and review of the management of records is evident.	

Resourcing

Stage	Description	Achievement	
Initiation	Resourcing requirements for recordkeeping identified.	Effective management of resourcing requirements is fully integrated with strategic and operational activities.	
Establishment	Resourcing for recordkeeping established.	Effective management of resourcing requirements is fully integrated with strategic and operational activities.	
Capability	Succession planning and resourcing is part of business plans.	Effective management of resourcing requirements is fully integrated with strategic and operational activities.	

Training

Stage	Description	Achievement	
Initiation	Training needs analysis undertaken.	Effective management of training programme is fully integrated with strategic and operational activities.	
Establishment	Training programme established.	Coordinated planning, documentation and review of training requirements for the management of records is evident.	
Capability	Training programme actively monitored, reviewed and updated.	Coordinated planning, documentation and review of training requirements for the management of records is evident.	

Reporting




Stage	Description	Achievement	
Initiation	Reporting requirements identified.	Effective management of reporting programme is fully integrated with strategic and operational activities.	
Establishment	Basic operational reporting established.	Coordinated planning, documentation and review of reporting requirements for the management of records is evident.	
Capability	Recordkeeping is part of organisational risk and reporting framework.	Effective management of reporting programme is fully integrated with strategic and operational activities.	

Legend




	absent
	aware
	actioned
	embedded

Specific Recordkeeping Practice - Summary




Creation & Capture

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	The existence of coordinated systems and/or controls for the creation and capture of records is evident.	
Establishment	Systems and controls are implemented.	The existence of coordinated systems and/or controls for the creation and capture of records is evident.	
Capability	Systems and controls are actively monitored and reviewed.	The existence of coordinated systems and/or controls for the creation and capture of records is evident.	




Retrievability & Security

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	Effective systems and/or controls for the retrievability and security of records is fully integrated within operational activities.	
Establishment	Systems and controls are implemented.	The existence of coordinated systems and/or controls for the retrievability and security of records is evident.	
Capability	Systems and controls are actively monitored and reviewed.	The existence of coordinated systems and/or controls for the retrievability and security of records is evident.	





Maintenance & Storage

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	The existence of coordinated systems and/or controls for the maintenance and storage of records is evident.	
Establishment	Systems and controls are implemented.	The existence of coordinated systems and/or controls for the maintenance and storage of records is evident.	
Capability	Systems and controls are actively monitored and reviewed.	Effective systems and/or controls for the maintenance and storage of records is fully integrated within operational activities.	

Disposal & Transfer

Stage	Description	Achievement	
Initiation	Development of disposal authorities and implementation plans initiated.	Effective systems and/or controls for the disposal of records is fully integrated within operational activities.	
Establishment	Authorised disposal authorities and implementation plans established.	The existence of coordinated systems and/or controls for the disposal of records is evident.	
Capability	Disposal of records actively managed.	The existence of coordinated systems and/or controls for the disposal of records is evident.	

Legend

	absent
	aware
	actioned
	embedded

General Business Activities

Planning

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 A governance framework has been established in which the recordkeeping function will operate from Chief Executive to Executive Management to recordkeeping and other staff.	Operational	<p>Victoria University's recordkeeping governance structure is based on a delegation and escalation model. The Vice Chancellor has final responsibility for all policy and compliance including recordkeeping. The VC delegates operational recordkeeping responsibilities to the records manager, who escalates matters as necessary, through his manager and the Recordkeeping Steering Committee.</p> <p>Victoria University is a large and complex information environment characterised by multiple recordkeeping systems in both physical and electronic form. Metadata is managed using a devolved model. The Records</p>	Completed and up to date	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Manager's role is to provide tools, policies and education to business units, and to be a source of good practice. The Records Manager is taking a central role in the development of Victoria's EDRMS project.			
2 A profile of systems within the recordkeeping framework exists (i.e. systems which create and maintain records).	Operational	A profile of all electronic systems exists. A profile of all paper systems has been created as part of Victoria University's Records Survey Project - this is almost complete. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Records Management policies are documented and implemented.	Operational	Recordkeeping policy is current and all actions in current policy are implemented. RATING CHANGE: Progress changed to 'completed and	Completed and up to date	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		up to date'. Intentions to Progress changed to 'completed'.			
2	Operational	Recordkeeping procedures have been documented based on recordkeeping policy. Whole-of-lifecycle procedures are available on Victoria University Intranet. Guidance on classification schema is currently in development. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place
3	Operational	The identification and management of vital records at Victoria University is currently in progress as part of a broader Records Survey Project. This project is a one year long major project that involves a detailed analysis of each business unit's records and recordkeeping environment. Each survey results in a Finding Aid. A list of each unit's vital records is one of the outputs of the consultation process. This list includes details of where copies are held and their format. Once all units have completed the Records Survey,	Under way	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		<p>and all vital records have been identified, a Vital Records Programme will be implemented.</p> <p>RATING CHANGE: Coverage changed to 'all'.</p>			
<p>4 A disaster recovery plan for records is implemented.</p>	<p>Operational</p>	<p>Disaster Recovery planning for electronic records is managed by ITS. Disaster Recovery for physical records is in progress and is part of the current recordkeeping operational plan. Offsite storage has recently been consolidated to one provider to allow better management of offsite records. Victoria University's third party offsite storage provider has a comprehensive disaster recovery plan in place.</p> <p>RATING CHANGE: Coverage changed to 'all'.</p>	<p>Under way</p>	<p>All</p>	<p>Plans in place</p>
<p>5 New, redeveloped or replaced business specific systems are designed to deliver the capability to meet recordkeeping principles.</p>	<p>Operational</p>	<p>Records Manager works closely with BAs and Enterprise Architect to ensure systems are designed to deliver the capability to meet recordkeeping principles.</p> <p>RATING CHANGE: Progress changed to 'completed -</p>	<p>Completed - some out of date</p>	<p>All</p>	<p>Plans in place</p>

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		some out of date'. Coverage changed to 'all'.			
6 An approved recordkeeping plan is regularly reviewed by senior management.	Operational	Findings support ratings.	Completed and up to date	All	Completed

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Regular reviews of recordkeeping policy and updates are evident.	Operational	Findings support ratings.	Completed and up to date	All	Completed
2 Regular reviews of recordkeeping procedures and updates are evident.	Operational	Recordkeeping practices and procedures are reviewed and updates to procedures, where appropriate, are evident. A current major Records Survey Project is in progress. Guidance on Classification Scheme application is planned. RATING CHANGE: Coverage changed to 'all'.	Completed - some out of date	All	Plans in place
3 Risk management planning considers recordkeeping risks and mitigation strategies including legislation and standards requirements.	Compliance	As part of the Victoria University business planning project, every manager will have the requirement to reference recordkeeping in their operational plan.	Under way	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		RATING CHANGE: Coverage changed to 'all'.			
4 The business/strategic plan references recordkeeping outputs and outcomes.	Strategic	The Victoria University recordkeeping strategy is linked to the wider business strategy and goes through an approval process with senior management. The ITS Strategy also includes reference to recordkeeping. Plans are in place to develop an Information Management Strategy and integrate recordkeeping into the business planning life cycle.	Completed - some out of date	Most	Plans in place
		RATING CHANGE: Progress changed to 'completed - some out of date'.			
5 The disaster recovery plan is regularly tested and reviewed.	Operational	A Disaster Recovery planning programme is underway and will be applied organisation wide.	Under way	All	Plans in place
		RATING CHANGE: Coverage changed to 'all'.			

Resourcing

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Recordkeeping roles and related support resources are defined in order to meet core information management requirements.	Strategic	Recordkeeping roles at Victoria are defined in order to meet core information management requirements. RATING CHANGE: Coverage changed to 'all'. Intentions to Progress changed to 'completed'.	Completed and up to date	All	Completed
2 Responsibility for creating and managing records is assigned and communicated to individual staff.	Compliance	Responsibility for creating and managing records is assigned and communicated to individual staff through the recordkeeping policy, intranet guidance, induction process and the current major Records Survey Project which covers all business units. RATING CHANGE: Coverage changed to 'all'. Intentions to Progress changed to 'completed'.	Completed and up to date	All	Completed

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Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Qualified and/or experienced or skilled recordkeeping practitioners have been appointed for all defined roles.	Operational	<p>Qualified and/or experienced or skilled recordkeeping practitioners have been appointed for all defined roles. Victoria University has instituted an informal training role that is filled by a student of the Records Management degree programme. These informal staff members, who are being trained on the job, also attend professional development events.</p> <p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.</p>	Completed and up to date	All	Completed

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 A proactive human resource management programme is in place to maintain and develop recordkeeping personnel capacity.	Operational	The Records Manager meets with the Performance Manager on a two-weekly basis. The RM's Performance	Completed and up to date	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		<p>Development Career Plan includes all areas of recordkeeping and includes courses as appropriate. Progress against the plan is monitored every two weeks.</p> <p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.</p>			
2 Future budget and personnel requirements to sustain improvements in the recordkeeping programme is considered.	Operational	<p>Victoria University's planning and budget cycle involves allocating budgets for new projects, including recordkeeping projects. Recordkeeping operational plans provide details of budget allocated to projects.</p> <p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.</p>	Completed and up to date	All	Completed

Training

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 An analysis of management needs and skills of recordkeeping staff consistent with their respective roles and responsibilities has been conducted.	Operational	An analysis of management needs and skills of recordkeeping staff, consistent with their respective roles and responsibilities, is built into the performance planning process. All training needs are aligned with the recordkeeping strategic plan and monitored on a two-weekly basis. RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.	Completed and up to date	All	Completed

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 The responsibility for defining the recordkeeping requirements is assigned to the records manager or equivalent position.	Operational	The responsibility for defining the recordkeeping requirements is assigned to the Records Manager.	Completed and up to date	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress	
<p>RATING CHANGE: Intentions to Progress changed to 'completed'.</p>						
2	Staff training is assigned to the appropriate trainer by the Records Manager (or equivalent).	Operational	Staff training is assigned by the Records Manager to the appropriate trainer: inductions devolved to Business Unit Managers include recordkeeping responsibilities, specialist training conducted by Records Manager and other training outsourced by the Records Manager to specialist providers where appropriate (Disaster Recovery Training).	Completed and up to date	All	Completed
<p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.</p>						
3	A recordkeeping training plan is implemented and maintained.	Operational	Training is embedded into all recordkeeping projects, and a training plan is included in the recordkeeping operational plan, with workstream initiatives over a three year period. Staff inductions that include recordkeeping responsibilities are in	Completed - some out of date	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		<p>place for every contractor and permanent staff member and are the responsibility of the Business Unit Manager. Inductions are monitored through a completion checklist. Plans are in place to develop a Strategic Capability Plan.</p> <p>RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.</p>			
<p>4 Staff receive recordkeeping training in:</p> <ul style="list-style-type: none"> • policies, procedures and practices • organisation specific tools and systems • relevant legislation and standards. 	Operational	<p>Training is embedded into all recordkeeping projects, and a training plan is included in the recordkeeping operational plan, with workstream initiatives over a three year period. Staff inductions that include recordkeeping responsibilities are in place for every contractor and permanent staff member and are the responsibility of the Business Unit Manager. Inductions are monitored through a completion checklist. Plans are in place to develop a Strategic Capability Plan.</p> <p>RATING CHANGE: Progress changed to 'completed - some out of date'.</p>	Completed - some out of date	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Coverage changed to 'all'.			

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Recordkeeping training and skills are regularly reviewed.	Operational	Review of recordkeeping training is an area for future focus - plans are in place to implement a Strategic Capability Plan that will encompass the monitoring and review of training. RATING CHANGE: Coverage changed to 'all'.	Approved - but not yet started	All	Plans in place
2 Assigned staff are trained in emergency procedures to protect and salvage records.	Operational	The Records Manager and Special Collections Librarian have both attended specialist disaster recovery training. Plans are in place to train one staff member for each key physical storage area. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place

Reporting

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Monitoring and reporting of recordkeeping requirements are defined and documented.	Reporting	Detailed reporting against the recordkeeping operational plan occurs at Recordkeeping Steering Group meetings on a quarterly basis. The operational plan identifies and documents recordkeeping monitoring requirements. Physical records are monitored through control sheets on the door of every storage room. A self assessment against the PRA occurs every six months. RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.	Completed and up to date	All	Completed
2 Monitoring and reporting of recordkeeping practices is assigned to the records manager (or equivalent).	Reporting	Findings support ratings.	Completed and up to date	All	Completed

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Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Reviews of recordkeeping practices are undertaken and reported to senior management.	Reporting	<p>Reviews of recordkeeping practices are undertaken and reported to senior management on a quarterly basis.</p> <p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.</p>	Completed and up to date	All	Completed
2 Recordkeeping monitoring reports are distributed to line managers and actioned.	Reporting	<p>Recordkeeping at Victoria University takes place within a devolved structure. Business Unit Managers take responsibility for the day to day management of their records. The Records Manager's role is policy development, awareness raising and education. Currently Business Unit Managers do not report on recordkeeping practices on a regular basis, however a major Recordkeeping Survey Project is currently underway. This survey allows the Records Manager to understand the level of maturity and characteristics of each business unit. Actions resulting from the survey are</p>	Completed - some out of date	Most	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		developed and agreed with line managers. Plans are in place for an EDRMS - this will allow a more granular level of reporting.			
		RATING CHANGE: Coverage changed to 'most'.			
3 Managers are accountable for recordkeeping objectives being met and ensuring performance levels are reported.	Reporting	The recordkeeping policy includes a delegation model that holds managers accountable for recordkeeping objectives being met and reporting performance levels. Plans are in place to build these requirements into the recordkeeping life cycle. Plans are in place to develop a Training and Capability Plan that will also address this. These plans are university wide.	Under way	All	Plans in place
		RATING CHANGE: Progress changed to 'under way'. Coverage changed to 'all'.			
4 Creation and capture of records (including associated metadata assigned manually) is routinely monitored and corrective action taken.	Compliance	Plans are in place to institute an EDRMS that will allow the monitoring of the creation and capture of records.	Under way	All	Plans in place
		RATING CHANGE: Coverage changed to 'all'.			

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Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 The public office undertakes a systematic assessment of their recordkeeping capability.	Operational	Findings support ratings.	Completed and up to date	All	Completed

Specific Recordkeeping Practice

Creation and capture

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Business processes and functions are reviewed and analysed to map recordkeeping requirements.	Compliance	The Records Manager is training Business Analysts to ensure business processes and functions include recordkeeping requirements. Critical systems have been mapped to recordkeeping requirements. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place
2 Records of all business activities are systematically and consistently created in a records management system.	Compliance	Records of all business activities are systematically and consistently created in a wide range of records management systems that include structured and unstructured electronic systems and hard copy systems. An organisation wide records survey has identified all systems.	Completed and up to date	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'.			

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Physical and electronic records are captured routinely in a way which meets the public office's business requirements.	Compliance	Plans are in place to institute an EDRMS that will capture records consistently and create greater consistency around version control and naming conventions for documents. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place
2 Decisions around the application of minimum point of capture and process metadata have been documented.	Operational	All critical business systems have been mapped to the metadata standard. Plans are in place to ensure all new systems are designed with recordkeeping requirements taken into account. RATING CHANGE:	Completed - some out of date	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Progress changed to 'completed - some out of date'. Coverage changed to 'all'.			
3	Operational	An organisation wide classification scheme has been developed. The schema has been verified as part of the Records Survey Project. Organisation wide consultation will be undertaken. RATING CHANGE: Coverage changed to 'all'.	Under way	All	Plans in place
4	Operational	All records are organised according to classification schemes in various recordkeeping systems. Plans are in place to consolidate these into an EDRMS system where appropriate. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Strategic	Critical business systems/applications	Completed and up	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
been identified and mapped to the recordkeeping metadata schema.		<p>have been identified and mapped to the recordkeeping metadata schema in a recent "Metadata Standard Mapping" exercise.</p> <p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.</p>	to date		
2 The business classification scheme is routinely reviewed for relevance.	Strategic	<p>An organisation wide classification scheme has been developed. The schema has been verified as part of the Records Survey Project. Organisation wide consultation will be undertaken.</p> <p>RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.</p>	Completed - some out of date	All	Plans in place
3 Disposal authorities linked to the business classification scheme to enable record sentencing at time of creation.	Strategic	<p>All disposal authorities have been linked to the business classification scheme.</p> <p>RATING CHANGE: Progress changed to 'completed and up to date'.</p>	Completed and up to date	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Coverage changed to 'all'. Intentions to Progress changed to 'completed'.			

Retrievability and security

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Accessibility, usability, retrievability and retention of records is managed within the recordkeeping system.	Operational	<p>Accessibility, usability, retrievability and retention of records is managed within the recordkeeping systems used by Victoria University. Physical systems include finding aids, indices and clear labelling. Electronic systems have agreed structures and defined metadata to manage and locate records.</p> <p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.</p>	Completed and up to date	All	Completed

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Recordkeeping systems and storage facilities for physical records are protected	Strategic	Plans to complete protection of physical records and storage facilities	Completed - some out of date	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress	
		<p>from unauthorised access, destruction, theft, fire, flood, earthquake, volcanic eruption and vermin.</p> <p>are almost completed. The development of a Disaster Recovery Programme and the removal of some records from inappropriate storage areas will complete these plans.</p> <p>RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.</p>				
2	Sensitive and restricted records are identified, documented and controlled.	Compliance	All sensitive and restricted records are identified and documented. The implementation of an EDRMS will ensure all sensitive records are also controlled in all cases.	Completed and up to date	Most	Completed
			<p>RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'most'. Intentions to Progress changed to 'completed'.</p>			
3	Access to sensitive and restricted records is provided in accordance with the: <ul style="list-style-type: none"> - Official Information Act - Privacy Act - Security in Government Sector (SIGS) Manual - Technical Specifications for the Electronic 	Compliance	Plans are in place to build sensitive and restricted records into the recordkeeping policy.	Completed - some out of date	All	Plans in place
			<p>RATING CHANGE: Coverage changed to 'all'.</p>			

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress	
Recordkeeping Metadata Standard						
4	The access status of public records over 25 years of age is determined according to Archives New Zealand's Access Standard and registered with Archives New Zealand.	Strategic	Records over 25 years old are identified as part of the Records Survey Project in a "Legacy Records Register". Plans are in place to register these with Archives.	Completed - some out of date	All	Plans in place
<p>RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.</p>						

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress	
1	The ability to locate records is monitored and routinely audited.	Operational	Plans are in place to develop internal Quality Assurance processes around the ability to locate records.	Under way	All	Plans in place
<p>RATING CHANGE: Coverage changed to 'all'.</p>						

Maintenance and storage

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 All records (regardless of format or media and including recordkeeping metadata) are managed so they cannot be altered or deleted without permission.	Operational	Electronic backups effectively ensure that electronic records cannot be altered or deleted. The Shared Drive Security Policy informs staff of their responsibilities. Plans are in place for an EDRMS which will manage this more consistently. Physical storage rooms are managed through an Access Standard. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place
2 Records contain both content and contextual information to ensure that a link to the applicable business activity is maintained.	Strategic	Business systems, shared drives and physical systems all contain contextual information to ensure a link to business activity is maintained. Plans are in place for an EDRMS which will manage this more consistently. RATING CHANGE: Progress changed to 'completed -	Completed - some out of date	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress	
		some out of date'. Coverage changed to 'all'.				
3	A risk-based assessment of records storage has been undertaken to ensure records are stored appropriately.	Strategic	A risk-based assessment of the nine major records storage areas at Victoria University has been undertaken to ensure records are stored appropriately. This assessment identified several areas for improvement. The Records Manager has developed a plan to address these areas and the plan is now in progress.	Completed and up to date	Most	Completed
		RATING CHANGE: Progress changed to 'completed and up to date'. Intentions to progress changed to 'completed'.				

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress	
1	Records are reviewed/appraised and stored in accordance with their value and security needs.	Strategic	Project to ensure all records storage areas comply with Storage Standard is almost complete, needing only the completion of Disaster Recovery Plans and the removal of some final	Completed - some out of date	All	Plans in place

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		records from areas already identified as inappropriate to long term storage. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.			

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 A storage plan must be in place if physical records of archival value over 25 years of age are retained.	Strategic	A Storage Plan is in place. RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.	Completed and up to date	All	Completed
2 Storage plan must meet the requirements of the Storage Standard applicable to archival records and inactive records of archival value.	Strategic	The Storage Plan meets the requirements of the storage standard. RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to	Completed and up to date	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		'completed'.			

Disposal and transfer

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Core functional records and associated metadata are appraised and disposal authorities agreed.	Compliance	Core functional records and associated metadata are appraised and disposal authorities are agreed. Processes cover disposal of records. RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.	Completed and up to date	All	Completed

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Disposal authorities are applied to classes or groups of records within the recordkeeping framework.	Compliance	Disposal authorities are mapped to the classification scheme and applied to physical and electronic records. Currently disposal authorities are applied to electronic records on a manual basis. Reporting on disposal occurs on a quarterly basis.	Completed and up to date	All	Completed

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Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress	
		RATING CHANGE: Progress changed to 'completed and up to date'. Coverage changed to 'all'. Intentions to Progress changed to 'completed'.				
2	Procedures are in place to manage disposal of records when no longer needed for business use as per the authorised retention and disposal schedule.	Compliance	Procedures to manage records disposal are in place and available on the intranet.	Completed and up to date	All	Completed
		RATING CHANGE: Intentions to Progress changed to 'completed'.				
3	Deferral agreements are in place for records over 25 years of age which are still required by the public office.	Compliance	Findings support ratings.	Completed and up to date	All	Completed
4	Minimum recordkeeping metadata as defined in the Electronic Recordkeeping Metadata Standard is retained after disposal action for as long as required.	Compliance	'Records Destruction Authority' forms retain minimum recordkeeping metadata. Plans are in place for an EDRMS which will manage the retention of minimum recordkeeping metadata automatically.	Completed - some out of date	All	Plans in place
		RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.				

Audit Findings Report of Victoria University of Wellington
Year 2010/2011

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 The public office's disposal programme is monitored and reviewed.	Compliance	Monitoring and review occurs on a quarterly basis. RATING CHANGE: Intentions to Progress changed to 'completed'.	Completed and up to date	All	Completed
2 Regular and efficient records disposal occurs as part of the public office's recordkeeping framework.	Operational	Disposal procedures are in place for physical and electronic records. Disposal of electronic records happens manually. This process will be automated - plans are in place to develop an EDRMS system. RATING CHANGE: Progress changed to 'completed - some out of date'. Coverage changed to 'all'.	Completed - some out of date	All	Plans in place

RISKS

Compliance

- Failure to meet legislative and regulatory requirements
- Unlawful disposal of records
- Inability to provide assurance of legislative compliance
- Inability to provide records or provide evidence

Reporting

- Inability to provide reliable evidence summarising activities or undertakings
- Reduced capability to demonstrate good performance
- Misleading the minister or other key stakeholders

Strategic

- Loss of records which support New Zealand's cultural and national identity
- Poor strategic planning and poor decisions made on inaccurate information
- Inability to use organisational information and knowledge to full potential
- Constrained business and information management strategies
- Inability to automate processes and to secure efficiency benefits

Operational

- Inability to transfer data across organisational systems
- Inability to deliver services due to the loss of information
- Inability to retrieve and interpret records in obsolete formats or systems
- Information is inaccessible or unsuitable for the conduct of business
- Inability to provide a record of specific transactions
- Inconsistent, ineffective and inefficient conduct of business

Reputation

- Embarrassment to the chief executive, minister, the government and individuals
- Damage to reputation, loss of credibility, lowered public confidence