

28 SEP 2011



Te Rua Mahara o te Kāwanatanga

ARCHIVES

NEW ZEALAND

23rd September 2011

Professor Pat Walsh
Vice-Chancellor
Victoria University of Wellington
PO Box 600
WELLINGTON 6140

Dear Professor Walsh

PUBLIC RECORDS ACT AUDIT OF VICTORIA UNIVERSITY OF WELLINGTON

The attached report provides the findings of the recent audit of the recordkeeping practices of Victoria University of Wellington undertaken in accordance with section 33 of the Public Records Act 2005.

The objectives of the Public Records Act (PRA) audits are to:

- provide an independent review of your organisation's recordkeeping capability development;
- assess compliance with the requirements of the Public Records Act 2005 and, if necessary,
- identify the business risks to which your organisation may be exposed as a result of any poor recordkeeping practice.

Circulation of Report

To ensure that the maximum value is gained from the audit process, I encourage you to circulate the PRA Audit Findings Report to your managers with accountability for information management, records management, legal compliance reporting, risk management and business performance improvement.

Public Records Act 2005 requirements covered in your audit

The Public Records Act requires public offices to:

- s17 Create and maintain full and accurate records of their affairs;
- s17 Maintain public records in an accessible form, so as to be able to be used for subsequent reference;
- s18 Ensure that they have appropriate authority to dispose of public records;
- s21 Transfer possession and control of public records that have been in existence for 25 years, and
- s27 Comply with standards issued by the Chief Archivist

Under s27 of the Act, three mandatory standards prescribing good recordkeeping practice have been issued:

- *Create and Maintain Recordkeeping Standard*
- *Electronic Recordkeeping Metadata Standard*
- *Storage Standard*

Recordkeeping Capability Development

The recordkeeping audits assess organisational maturity against eight (8) recordkeeping capability areas. These are:

Planning
Resourcing
Training
Reporting
Creation and Capture
Retrievability and Security
Maintenance and Storage
Disposal and Transfer

The audit found Victoria University of Wellington has maturing recordkeeping capability in all of these areas.

Compliance with Public Records Act 2005

The audit found that Victoria University of Wellington has made good progress with developing its recordkeeping capability, and is aware of its requirements and responsibilities under the Public Records Act.

Recommendations for Capability Development

Overall the awareness of requirements is good, the existence of coordinated recordkeeping systems and/or controls is evident and there is evidence of work being done in the records management area showing positive steps and Victoria University of Wellington has a sound basis for good ongoing records management.

Some of these positive steps included the records storage project, records survey and records disaster management programme currently underway and recently completed projects relating to the implementation of the general disposal authority, a recordkeeping governance framework and the scanning project.

The documentation seen during the audit gives confidence to the recordkeeping ability of your organisation.

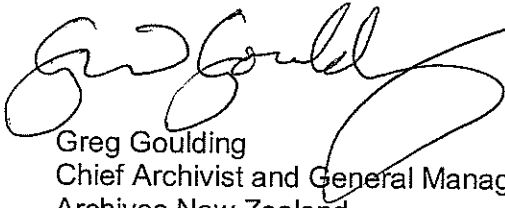
Victoria University of Wellington's stakeholders can therefore have a measure of assurance that its recordkeeping is consistent with good practice, and contributing to broader organisational, governmental and societal goals.

I am pleased to see the high level of commitment to good recordkeeping demonstrated by the Victoria University of Wellington. Accordingly, I do not see the need to make any specific recommendations for capability development.

I note that plans are in place in a number of areas in your recordkeeping programme and I encourage you to contact the Government Recordkeeping Programme's, Advisors to examine, as and when appropriate, opportunities for improvements in these areas.

If you have any questions regarding the audit and its findings, please do not hesitate to contact me.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Greg Goulding', with a long, sweeping horizontal line extending to the right across the page.

Greg Goulding
Chief Archivist and General Manager
Archives New Zealand
Department of Internal Affairs

Ref: 2010/7515

Enclosed: Audit Findings Report

