

5th February 2013

Professor Stuart McCutcheon
Vice-Chancellor
University of Auckland
Private Bag 92019
AUCKLAND 1142



Dear Prof McCutcheon

PUBLIC RECORDS ACT AUDIT OF UNIVERSITY OF AUCKLAND

The attached report provides the findings of the recent audit of the recordkeeping practices of University of Auckland 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, four mandatory standards prescribing good recordkeeping practice have been issued:

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

Recordkeeping Capability Development

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

The audit found University of Auckland has mature recordkeeping capability in the following areas:

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

The areas in which recordkeeping capability was developing, but not quite fully mature, were:

- Training

Physical Storage Inspection

The audit included 5 physical storage inspections of paper records stored in the Research Projects Contracts storage space, Historical Student/Academic Records room, Governance Records room, Human Resources records and Commerce A Basement.

A summary of the findings were:

- Disaster Recovery plans are not in place for all records storage spaces. Work is underway to rectify this.
- The emergency kit and procedures clearly displayed in the Commerce A Basement.
- The recent introduction of rubber floor protection to prevent flooding in the Commerce A Basement.
- Procedures for the control of records are documented and maintained at all locations

Compliance with Public Records Act 2005

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

Overall the awareness of requirements is good, there is evidence of work being done in the records management area showing positive steps for improvement and University of Auckland has a sound basis for good ongoing records management.

Some of these positive steps include

- A well thought-out and documented records management framework and programme
- A risk-based assessment of hard-copy storage areas at the university has been conducted, and disaster recovery plans are in place for the highest risk areas
- Training sessions for all staff on records management basics and university archives

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

University of Auckland'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.

Recommendations for Capability Development

Accordingly, I do not see the need to make any specific recommendations for capability development.

I note that plans are in place to progress the overall management of records, some of these plans include:

- Legacy Records Project is currently underway
- Draft Information Management Strategy which includes recordkeeping principles
- Development of draft electronic document management guidelines
- Development of a University-wide metadata schema

I encourage you to have your staff contact Patrick Power, Manager Recordkeeping Capability and Denise Williams, Manager Disposal and Acquisition 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



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

Enclosed: Audit Findings Report including Storage Standard checklist