

Archives New Zealand
Public Records Act Audit Findings Report

University of Auckland
16/11/2012

CONFIDENTIAL



Te Rua Mahara o te Kāwanatanga

ARCHIVES
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Contents

This report summarises the findings of your Public Records Act 2005 audit. The report is set out as follows:

SUMMARY

A visual representation of your recordkeeping capabilities.

VALIDATED RATINGS

The findings for the 50 areas/questions covered by the audit.

BUSINESS RISK

An overview of the business risks associated with recordkeeping.

STORAGE INSPECTION REPORT

The findings of the onsite physical storage inspection.

How to read your report

The first four pages summarise your ratings (which were determined by validating your self-assessment through an independent audit). This summary covers eight areas of recordkeeping.

Areas of Recordkeeping	
General Business Activities (Management Activities) <ol style="list-style-type: none">1. Planning2. Resourcing3. Training4. Reporting	Specific Recordkeeping Practice (Operational Requirements) <ol style="list-style-type: none">5. Creation and Capture6. Retrievability and Security7. Maintenance and Storage8. Disposal and Transfer

Stages of Achievement
<ol style="list-style-type: none">1. Initiation – needs identified, evidence of planning i.e. solutions examined, systems designed2. Establishment – evidence of practical application3. Extending Capability – evidence of good practice, including regular review, monitoring and continuous improvement

Understanding the ratings

Legend



absent

aware

actioned

embedded

No evidence of management understanding. No systematic approach

Some management understanding. Uncoordinated, incomplete approaches providing inconsistent results

Managed approach

Effective management of records is fully integrated and practicing continuous improvement

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.	Coordinated planning, documentation and review of resourcing requirements for the management of record is evident.	
Capability	Succession planning and resourcing is part of business plans.	Coordinated planning, documentation and review of resourcing requirements for the management of record is evident.	

Training

Stage	Description	Achievement	
Initiation	Training needs analysis undertaken.	Uncoordinated, ad hoc, incomplete processes for identifying training requirements for the management of records.	
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.	Uncoordinated, ad hoc, incomplete processes for identifying training requirements for the management of records.	

Reporting




Stage	Description	Achievement	
Initiation	Reporting requirements identified.	Coordinated planning, documentation and review of reporting requirements for the management of records is evident.	
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.	Coordinated planning, documentation and review of reporting requirements for the management of records is evident.	

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.	Uncoordinated, ad hoc, incomplete systems and/or controls for the creation and capture of records.	
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.	The existence of coordinated systems and/or controls for the retrievability and security of records is evident.	
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.	Uncoordinated, ad hoc, incomplete systems and/or controls for the maintenance and storage of records.	
Capability	Systems and controls are actively monitored and reviewed.	The existence of coordinated systems and/or controls for the maintenance and storage of records is evident.	

Disposal & Transfer

Stage	Description	Achievement	
Initiation	Development of disposal authorities and implementation plans initiated.	The existence of coordinated systems and/or controls for the disposal of records is evident.	
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 Recordkeeping is a directive from the Chief Executive to management and staff.	Operational	Evidence supports rating	Completed and up to date	All	Completed
2 Systems used to create and manage records are identified.	Operational	Evidence supports rating	Under way	All	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Policies that include recordkeeping are documented, implemented and regularly reviewed.	Operational	Evidence supports rating	Under way	All	Completed
2 Procedures that include recordkeeping have been documented, implemented and regularly reviewed, including procedures for proving recordkeeping data (metadata) is captured.	Operational	Evidence supports rating	Under way	All	Plans in place
3 Business-critical records are identified and	Operational	Evidence supports rating	Under way	All	Plans in place

Audit Findings Report of University of Auckland
Year 2012/2013

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		managed.			
4	Operational	Evidence supports rating	Under way	All	Plans in place
5	Operational	Evidence supports rating	Under way	All	Plans in place

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Compliance	Evidence supports rating	Under way	All	Plans in place
2	Strategic	Evidence supports rating	Under way	All	Plans in place
3	Operational	Auckland University has comprehensive Disaster Recovery Plans and/or Business Continuity Plans in place for electronic data. It is the responsibility of departmental IT divisions to regularly test and review these. Auckland University has conducted a risk based assessment of hard-copy storage areas at the University, and Disaster Recovery Plans and/or Business Continuity Plans are in	Under way	All	Plans in place

Audit Findings Report of University of Auckland
Year 2012/2013

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		<p>place for the highest risk areas. Where there are plans in place, these plans are reviewed. There are plans in place to conduct practical disaster recovery training sessions on site for University records staff, and to also send staff on Tryptich Disaster Recovery Course (when available). There are plans underway to complete DR/BC plans for all hard copy storage areas</p>			

Resourcing

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Management of records is assigned to a position in order to meet recordkeeping requirements.	Strategic	Evidence supports rating	Completed and up to date	All	Completed
2 All staff are aware of the recordkeeping requirements of the organisation.	Compliance	Evidence supports rating	Completed and up to date	All	Completed

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Staff assigned to recordkeeping have been given the appropriate records management training.	Operational	Evidence supports rating	Under way	All	Completed

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Resourcing and development of staff assigned to recordkeeping is documented and implemented.	Operational	Evidence supports rating	Under way	Most	Completed

Audit Findings Report of University of Auckland

Year 2012/2013

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
2 Annual budget planning considers resourcing and improvement for the recordkeeping requirements within the organisation.	Operational	Evidence supports rating	Under way	Some	Completed

Training

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 An analysis of training needs and skills of staff assigned to recordkeeping has been conducted.	Operational	Evidence supports rating	Under way	Some	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Staff training is carried out by skilled trainers.	Operational	Evidence supports rating	Completed and up to date	All	Completed
2 A training plan which includes recordkeeping is implemented and maintained.	Operational	Evidence supports rating	Under way	All	Completed
3 Staff receive recordkeeping training in: <ul style="list-style-type: none"> • policies, procedures and practices • organisation specific tools and systems • relevant legislation and standards. 	Operational	Evidence supports rating	Under way	Most	Plans in place

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to
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Audit Findings Report of University of Auckland
Year 2012/2013

						Progress
1	Staff recordkeeping training and skills are regularly reviewed.	Operational	Evidence supports rating	Under way	Most	Plans in place
2	Staff are trained to protect and salvage records in an emergency.	Operational	Evidence supports rating	Under way	Some	Plans in place

Reporting

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 An internal monitoring and compliance programme that includes recordkeeping is developed and implemented.	Reporting	Evidence supports rating	Under way	All	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Monitoring of recordkeeping compliance is documented and reported.	Reporting	Evidence supports rating	Under way	All	Plans in place
2 Managers are accountable for recordkeeping requirements being met and ensuring performance levels are reported.	Reporting	Evidence supports rating	Completed and up to date	All	Completed
3 Creation and capture of records is routinely monitored and corrective action taken.	Compliance	Evidence supports rating	Under way	All	Plans in place

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 A systematic assessment of recordkeeping	Operational	Evidence supports rating	Under way	Most	Plans in place

Audit Findings Report of University of Auckland
Year 2012/2013

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
capability is undertaken.					

Specific Recordkeeping Practice

Creation and capture

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Recordkeeping requirements are identified in business processes and functions.	Compliance	Evidence supports rating	Under way	All	Plans in place
2 Records of all business activities are managed within the appropriate systems.	Compliance	Evidence supports rating	Under way	All	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Physical and digital records are captured routinely, documented and organised according to the organisation's business requirements.	Compliance	Evidence supports rating	Under way	All	Plans in place
2 Decisions around the application of recordkeeping data has been documented.	Operational	Evidence supports rating	Approved - but not yet started	Most	Plans in place
3 Recordkeeping data describing the context, content and structure of records is documented, communicated, maintained	Operational	Evidence supports rating	Under way	Most	Plans in place

Audit Findings Report of University of Auckland
 Year 2012/2013

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
and reviewed.					

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Critical business systems/applications have been identified and mapped to recordkeeping data.	Strategic	Evidence supports rating	Approved - but not yet started	All	Plans in place
2 The business classification structure is routinely reviewed for relevance.	Strategic	Evidence supports rating	Under way	All	Plans in place
3 Disposal authorities are linked to the business classifications structure to enable record sentencing at the time of creation.	Strategic	Evidence supports rating	Under way	All	Plans in place

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 appropriate systems.	Operational	Evidence supports rating	Under way	All	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Recordkeeping systems and storage facilities for physical records are protected from unauthorised access, destruction, theft, fire, flood, earthquake, volcanic eruption and vermin.	Strategic	Plans are underway for all hardcopy recordkeeping systems and storage facilities for physical records to be protected from unauthorised access, destruction, theft, fire, flood, earthquake, volcanic eruption and vermin. The Auditor checked building warrants of fitness in assessed buildings - all were in place. The auditor checked the storage of governance records (please refer to Storage Standard Checklists relating to areas that include governance records).	Under way	All	Plans in place

Audit Findings Report of University of Auckland
Year 2012/2013

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
2 Sensitive and restricted records are identified, documented and controlled.	Compliance	Evidence supports rating	Under way	All	Completed
3 Access to sensitive and restricted records is provided in accordance with the: - Official Information Act - Privacy Act - Security in Government Sector (SIGS) Manual - Technical Specifications for the Electronic Recordkeeping Metadata Standard	Compliance	Evidence supports rating	Completed and up to date	All	Completed
4 Records 25 years of age or older are covered by an Access Authority.	Strategic	Evidence supports rating	Completed and up to date	All	Completed

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 The ability to locate records is monitored and routinely audited.	Operational	Evidence supports rating	Under way	Most	Plans in place

Maintenance and storage

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 All records and recordkeeping data are managed so they cannot be altered, deleted or disposed of without permission.	Operational	Evidence supports rating	Under way	All	Plans in place
2 A risk-based assessment of records storage has been undertaken to ensure records are stored appropriately.	Strategic	The auditor viewed evidence confirming the the records manager undertook a risk-based assessment of known archival storage areas in 2008 and evidence to confirm that the Legacy Records Project is underway (for example, recent work to protect Commerce A Basement from flooding).	Under way	Most	Plans in place

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	Evidence supports rating	Under way	Some	Plans in place

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 There is a plan for the storage of physical archival value records that meets the requirements of the storage standard.	Strategic	Evidence supports rating	Under way	All	Plans in place

Disposal and transfer

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Core functional records and associated recordkeeping data (metadata) have been appraised and disposal authorities agreed.	Compliance	Evidence supports rating	Under way	Most	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Classes or groups of records have disposal authorities applied.	Compliance	Evidence supports rating	Under way	All	Plans in place
2 Disposal procedures are implemented and reviewed.	Compliance	Evidence supports rating	Under way	All	Plans in place
3 All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement.	Compliance	Evidence supports rating	Completed and up to date	All	Completed

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Regular and efficient disposal of the	Operational	Evidence supports rating	Under way	Some	Plans in place

Audit Findings Report of University of Auckland
Year 2012/2013

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
organisation's records is planned and documented.					
2 All necessary and practical steps have been taken to ensure the destruction of records is complete.	Compliance	Evidence supports rating	Completed and up to date	All	Completed

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

Storage Standard Checklist for Field Audit

Client: Auckland University – HR Records SRO:Libby Nichol.... Date:16/11/12.....

This checklist is a tool for managing risks to records in storage. It can be used to assess compliance with the standard. Where a requirement is not met, an organisation must assess and treat the storage risks involved over time.

Identification and Control <i>(Applies to all records and archives)</i>	YES	NO	Comments
Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.	✓		There are two records storage areas in the HR division; Lundias in the working area, where working files are kept, and a storage room where closed files are stored for one year before transfer to offsite storage. There is currently a slight backlog but plans are in place to address this, and procedures are in place to ensure it won't occur in the future.
Records are identified and registered in a system which controls and allows efficient retrieval.	✓		Last name/ Year terminated Hardcopy system mirrors the electronic HR system - Peoplesoft
Records are arranged in a meaningful sequence to be easily located and retrieved.	✓		
Procedures are in place for retrieving, handling and re-shelving of records (including returning records to offsite storage).	✓		Files stay onsite, and any removed are recorded in an 'offsite book'
Inactive records of archival value must be identified so that they can be stored appropriately.	✓		
Facilities <i>(Applies to Inactive records and archives)</i>			
Records not in active use are stored in a dedicated storage area.	✓		
Storage areas allow ongoing access to the records by authorised users.	✓		Key control

	YES	NO	Comments
Records are stored in locations which reflect the characteristics of their format and their retention period.	✓		
The building in which records are stored comply with the New Zealand Building Code that applied at the time of construction and associated codes and standards, and is appropriate for use in storing records. (Building Warrant of fitness)	✓		Viewed. Expires 20/5/2013
The building in which records are stored must have adequate drainage systems to prevent flooding.	✓		
The storage area must be insulated from the climate outside.	✓		
Storage areas must be protected against internal hazards.	✓		
A building maintenance programme must be in place.	✓		
Protection against Disaster <i>(Applies to all records and archives)</i>			
Disaster management programmes are established and maintained to minimise risks.	✓		
Records are located as far as possible from natural and man-made hazards.	✓		
Disaster management plans and procedures are in place, kept current and known to staff.	✓		
Staff who are responsible for records are trained in emergency procedures to protect and salvage the records	✓		

	YES	NO	Comments
There is a comprehensive fire protection system and equipment for the building, in compliance with the New Zealand Building code.	✓		
Security <i>(Applies to inactive records and archives)</i>			
Records are secure against theft, vandalism, misuse, or inadvertent release.	✓		
Records which contain sensitive or classified information are identified and protected.	✓		Swipe card access to HR area. Locked storage room. Personal files of Executive Staff have extra protection and are held in executive HR area. There is a secure process in place for these.
Access to records storage are controlled and restricted to authorised staff.	✓		
Storage areas are intruder resistant and have an intruder alarm system.	✓		
Shelving and Packaging <i>(Applies to inactive records and archives)</i>			
Records are protected through appropriate packaging and shelving or storage equipment.	✓		
Records are to be stored using shelving or equipment appropriate to the format and size of the items.	✓		
Inactive records of archival value are packaged in containers which are clean, in good condition and appropriate to the format and retention period of the records.	✓		

Environmental Control (Applies to inactive records and archives)	YES	NO	Comments
Records are stored in environmental conditions which will ensure they are preserved for as long as they are required.		x	Closed HR records are retained on site for only one year before being transferred to longer term storage offsite – this is not a long term storage area
Records must be stored away from light	✓		
Magnetic media must be stored away from magnetic fields	✓		
Storage areas must be kept clean.	✓		
Records of short-term value must be stored in conditions which ensure preservation until they are no longer required.	✓		
Inactive records of archival value must be stored in conditions where the relative humidity is never above 60% or below 30%.		x	NB Interim only storage (see above)
Inactive records of archival value must be stored in conditions where the temperature is never above 25 degrees centigrade.		x	NB Interim only storage (see above)
Archives must be stored in conditions where the relative humidity does not fluctuate by more than 10% in a 24 hour period, or 20% in a year.		x	NB Interim only storage (see above)
Archives must be stored in conditions where the temperature does not fluctuate by more than 4 degrees centigrade over a 24 hour period, or 10 degrees centigrade over a year.		x	NB Interim only storage (see above)
Environmental conditions for records of archival value must be regularly monitored and records of monitoring must be kept.		x	NB Interim only storage (see above)

Storage Standard Checklist for Field Audit

Client: **Auckland University –Commerce A**..... SRO:**Libby Nichol**.... Date:**16/11/12**.....

This checklist is a tool for managing risks to records in storage. It can be used to assess compliance with the standard. Where a requirement is not met, an organisation must assess and treat the storage risks involved over time.

Identification and Control <i>(Applies to all records and archives)</i>	YES	NO	Comments
Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.	✓		Historical VC records, including material as old as 1883. These records are closed, but still occasionally needed. Records include Governance papers, meeting minutes since 1843, Academic records, Committee Meeting Minutes, Reviews, Correspondence from 1883.
Records are identified and registered in a system which controls and allows efficient retrieval.	✓		Archivists Toolkit
Records are arranged in a meaningful sequence to be easily located and retrieved.	✓		
Procedures are in place for retrieving, handling and re-shelving of records (including returning records to offsite storage).	✓		Files stay onsite. If removed, there is a log book where usage and return is recorded, and a "material in use" place holder, as well as a label to affix to the item so it is clear where and when it is to be returned.
Inactive records of archival value must be identified so that they can be stored appropriately.	✓		
Facilities <i>(Applies to Inactive records and archives)</i>			
Records not in active use are stored in a dedicated storage area.	✓		
Storage areas allow ongoing access to the records by authorised users.	✓		Key control

	YES	NO	Comments
Records are stored in locations which reflect the characteristics of their format and their retention period.	✓		
The building in which records are stored comply with the New Zealand Building Code that applied at the time of construction and associated codes and standards, and is appropriate for use in storing records. (Building Warrant of fitness)	✓		Viewed. Expires 23 Sept 2013
The building in which records are stored must have adequate drainage systems to prevent flooding.	✓		Recent work to seal the bottom joint in the wall with rubber to further prevent flooding risk.
The storage area must be insulated from the climate outside.	✓		
Storage areas must be protected against internal hazards.		x	There are water pipes flowing through the room. Although they are not high pressure pipes, this still constitutes a risk.
A building maintenance programme must be in place.	✓		
Protection against Disaster <i>(Applies to all records and archives)</i>			
Disaster management programmes are established and maintained to minimise risks.	✓		Excellent salvage kit.
Records are located as far as possible from natural and man-made hazards.	✓		
Disaster management plans and procedures are in place, kept current and known to staff.	✓		
Staff who are responsible for records are trained in emergency procedures to protect and salvage the records	✓		

	YES	NO	Comments
There is a comprehensive fire protection system and equipment for the building, in compliance with the New Zealand Building code.	✓		
Security <i>(Applies to inactive records and archives)</i>			
Records are secure against theft, vandalism, misuse, or inadvertent release.	✓		These records are all highly confidential. Processes include the presence of a security guard at all times if anyone apart from the two authorised users are in the storage area. Eg security guard present with all tradespeople who access.
Records which contain sensitive or classified information are identified and protected.	✓		Locked storage room. Only two people have access. Extra security on historical HR records – padlocked, need two people to access.
Access to records storage are controlled and restricted to authorised staff.	✓		Only two people have access.
Storage areas are intruder resistant and have an intruder alarm system.	✓		Extra security on historical HR records – padlocked, need two people to access.
Shelving and Packaging <i>(Applies to inactive records and archives)</i>			
Records are protected through appropriate packaging and shelving or storage equipment.	✓		Boxed paper files
Records are to be stored using shelving or equipment appropriate to the format and size of the items.	✓		
Inactive records of archival value are packaged in containers which are clean, in good condition and appropriate to the format and retention period of the records.	✓		

Environmental Control <i>(Applies to inactive records and archives)</i>	YES	NO	Comments
Records are stored in environmental conditions which will ensure they are preserved for as long as they are required.	✓		
Records must be stored away from light	✓		
Magnetic media must be stored away from magnetic fields	n/a		
Storage areas must be kept clean.	✓		
Records of short-term value must be stored in conditions which ensure preservation until they are no longer required.	✓		
Inactive records of archival value must be stored in conditions where the relative humidity is never above 60% or below 30%.		x	Records have been kept for the past four years. Humidity has been above 60% once during this period (Auckland heat wave).
Inactive records of archival value must be stored in conditions where the temperature is never above 25 degrees centigrade.	✓		
Archives must be stored in conditions where the relative humidity does not fluctuate by more than 10% in a 24 hour period, or 20% in a year.	✓		
Archives must be stored in conditions where the temperature does not fluctuate by more than 4 degrees centigrade over a 24 hour period, or 10 degrees centigrade over a year.	✓		
Environmental conditions for records of archival value must be regularly monitored and records of monitoring must be kept.	✓		

Storage Standard Checklist for Field Audit

Client: Auckland University –49 Symonds St..... **SRO:**Libby Nichol.... **Date:**16/11/12.....

This checklist is a tool for managing risks to records in storage. It can be used to assess compliance with the standard. Where a requirement is not met, an organisation must assess and treat the storage risks involved over time.

Identification and Control <i>(Applies to all records and archives)</i>	YES	NO	Comments
Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.	✓		The project contracts team holds active records of research project contracts. Signed originals and important originals of attachments are kept in hardcopy, and electronic versions of all documents are kept in the InfoEd database.
Records are identified and registered in a system which controls and allows efficient retrieval.	✓		
Records are arranged in a meaningful sequence to be easily located and retrieved.	✓		Alpha-numeric system
Procedures are in place for retrieving, handling and re-shelving of records (including returning records to offsite storage).	✓		Retrieval system in place, with 'out' tabs.
Inactive records of archival value must be identified so that they can be stored appropriately.	✓		Inactive records are transferred to Recall
Facilities <i>(Applies to Inactive records and archives)</i>			
Records not in active use are stored in a dedicated storage area.	n/a		Inactive records are sent to Recall
Storage areas allow ongoing access to the records by authorised users.	n/a		

	YES	NO	
Records are stored in locations which reflect the characteristics of their format and their retention period.	n/a		
The building in which records are stored comply with the New Zealand Building Code that applied at the time of construction and associated codes and standards, and is appropriate for use in storing records. (Building Warrant of fitness)	n/a		
The building in which records are stored must have adequate drainage systems to prevent flooding.	n/a		
The storage area must be insulated from the climate outside.	n/a		
Storage areas must be protected against internal hazards.	n/a		
A building maintenance programme must be in place.	n/a		
Protection against Disaster <i>(Applies to all records and archives)</i>			
Disaster management programmes are established and maintained to minimise risks.	✓		
Records are located as far as possible from natural and man-made hazards.	✓		
Disaster management plans and procedures are in place, kept current and known to staff.	✓		
Staff who are responsible for records are trained in emergency procedures to protect and salvage the records	✓		

	YES	NO	Comments
There is a comprehensive fire protection system and equipment for the building, in compliance with the New Zealand Building code.	✓		
Security <i>(Applies to inactive records and archives)</i>			
Records are secure against theft, vandalism, misuse, or inadvertent release.	n/a		Inactive records are transferred to Recall
Records which contain sensitive or classified information are identified and protected.	n/a		
Access to records storage are controlled and restricted to authorised staff.	n/a		
Storage areas are intruder resistant and have an intruder alarm system.	n/a		
Shelving and Packaging <i>(Applies to inactive records and archives)</i>			
Records are protected through appropriate packaging and shelving or storage equipment.	n/a		
Records are to be stored using shelving or equipment appropriate to the format and size of the items.	n/a		
Inactive records of archival value are packaged in containers which are clean, in good condition and appropriate to the format and retention period of the records.	n/a		

Environmental Control (Applies to inactive records and archives)	YES	NO	Comments
Records are stored in environmental conditions which will ensure they are preserved for as long as they are required.	n/a		
Records must be stored away from light	n/a		
Magnetic media must be stored away from magnetic fields	n/a		
Storage areas must be kept clean.	n/a		
Records of short-term value must be stored in conditions which ensure preservation until they are no longer required.	n/a		
Inactive records of archival value must be stored in conditions where the relative humidity is never above 60% or below 30%.	n/a		
Inactive records of archival value must be stored in conditions where the temperature is never above 25 degrees centigrade.	n/a		
Archives must be stored in conditions where the relative humidity does not fluctuate by more than 10% in a 24 hour period, or 20% in a year.	n/a		
Archives must be stored in conditions where the temperature does not fluctuate by more than 4 degrees centigrade over a 24 hour period, or 10 degrees centigrade over a year.	n/a		
Environmental conditions for records of archival value must be regularly monitored and records of monitoring must be kept.	n/a		

Storage Standard Checklist for Field Audit

Client: Auckland University –Alfred Nathan House..... **SRO:**Libby Nichol.... **Date:**16/11/12.....

This checklist is a tool for managing risks to records in storage. It can be used to assess compliance with the standard. Where a requirement is not met, an organisation must assess and treat the storage risks involved over time.

Identification and Control <i>(Applies to all records and archives)</i>	YES	NO	Comments – Governance Records Room		Student/Academic Records Room
Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.	✓		Council and Senate minutes, historic deeds.	✓	This room houses early original student academic records that are now all online. Microfilmed copies were made when the records were in transition to online. Originals are kept as in rare cases the online copy can't be read. These microfilms are now damaged 'vinegar syndrome', however this is not a risk to the organisational record as they were copies only.
Records are identified and registered in a system which controls and allows efficient retrieval.	✓		Deeds accessioned and recorded in excel spreadsheet, but not described. OCR digital copy of council records available to executive only on secure shared drive (1980s on)	✓	Alphabetical/by year
Records are arranged in a meaningful sequence to be easily located and retrieved.	✓		Bound volumes by year, Deeds in chronological/numerical order	✓	
Procedures are in place for retrieving, handling and re-shelving of records (including returning records to offsite storage).	✓		Files generally stay onsite. If removed, there is a log book where usage and return is recorded, and a "material in use" place holder, as well as a label to affix to the item so it is clear where and when it is to be returned.	✓	Files generally stay onsite. If removed, there is a log book where usage and return is recorded, and a "material in use" place holder, as well as a label to affix to the item so it is clear where and when it is to be returned.
Inactive records of archival value must be identified so that they can be stored appropriately.	✓			✓	

Facilities <i>(Applies to Inactive records and archives)</i>					
Records not in active use are stored in a dedicated storage area.		x	Some stationery, marketing material and academic gowns also stored in this space.	x	Some stationery also stored in this space.
Storage areas allow ongoing access to the records by authorised users.	✓		Key control	✓	
Records are stored in locations which reflect the characteristics of their format and their retention period.	✓			x	All except microfilm
The building in which records are stored comply with the New Zealand Building Code that applied at the time of construction and associated codes and standards, and is appropriate for use in storing records. (Building Warrant of fitness)	✓		Viewed. Expires 13 April 2013	✓	Viewed. Expires 13 April 2013
The building in which records are stored must have adequate drainage systems to prevent flooding.	✓			✓	
The storage area must be insulated from the climate outside.	✓			✓	
Storage areas must be protected against internal hazards.	✓			✓	
A building maintenance programme must be in place.	✓			✓	
Protection against Disaster <i>(Applies to all records and archives)</i>					
Disaster management programmes are established and maintained to minimise risks.	✓			x	
Records are located as far as possible from	✓			✓	