File bundle
2014-0808
02 - Client
Engagement

From:	Akesa Alefosio
To:	Andrew Bridgeman
Cc:	"Bolger, Eamonn"; "Clifton, Bronwen"
Subject:	NOTIFICATION OF PUBLIC RECORDS ACT AUDIT
Date:	Friday, 20 June 2014 12:44:00 p.m.
Attachments:	image001.png Notification Letter for Ministry of Justice.pdf
Importance:	High

Dear Mr Bridgman

On behalf of Marilyn Little Chief Archivist and General Manager, please find attached the formal notification letter for the Public Records Act Audit of Ministry of Justice which has been scheduled in the 2014/2015 financial year.

Kind Regards,

Akesa Alefosio | Programme Coordinator
Archives New Zealand Te Rua Mahara o te Kawanatanga
10 Mulgrave Street | PO Box 12-050, Wellington 6011, New Zealand |
www.archives.govt.nz
Direct Dial: +64 4 894 6027 | Extn: 9327| www.archives.govt.nz

Archives New Zealand is part of the Department of Internal Affairs

PO Box 12 050, Wellington 6144, New Zealand
T 04 499 5595 E audit.advice@dia.govt.nz
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INTERNAL AFFAIRS

Te Tari Taiwhenua

20 June 2014

Mr Andrew Bridgman
Secretary for Justice and Chief Executive
Ministry of Justice

s 9(2)(a)

Dear Mr Bridgman

NOTIFICATION OF PUBLIC RECORDS ACT 2005 AUDIT

I am writing to formally advise you that the Ministry of Justice has been scheduled for a Public Records Act 2005 audit in the 2014/2015 financial year.

The audit is being undertaken in accordance with section 33 of the Public Records Act. Participation in audits is a requirement of the Act. The results of the audit will be reported to Parliament under section 35 of the Act.

The objectives of the Public Records Act audit are:

- to provide an independent opinion of your organisation's implementation of the mandatory standards issued under the Act, including the level of awareness in your organisation of recordkeeping responsibilities;
- to report on your organisation's recordkeeping direction, capability and practices; and
- to provide awareness of the significant business risks that your organisation may be exposed to as a result of inadequate recordkeeping practices.

This notification is intended to provide your organisation with sufficient lead-time to identify opportunities to coordinate the Public Records Act audit activities with your existing work programme.

To allow for the smooth running of the audit process I ask that you nominate two key contact people to be Senior Responsible Officers (SRO) for the audit of your organisation.

The SRO is accountable for the agency's participation in the audit and the sign-off of any management representations. Ideally the SRO will be knowledgeable about your whole organisation's information management and recordkeeping systems (both digital and where applicable paper-based). In practice, the hands-on activities are frequently best delegated.

Ref: 2014/0807

The audit does not include a detailed examination of every aspect of your recordkeeping environment. It gives an assessment of your current recordkeeping environment for both physical and digital records and all core business systems based on survey and operational information. A report detailing the audit findings, results of the physical storage inspection and a letter from me summarising the findings and recommendations will be forwarded to both you and your nominated SROs as soon as practicable after the completion of your audit.

Included with this letter, for your reference, is a link to the Public Records Act and nomination forms for your SROs. I ask that these are completed and returned by **3 July 2014** by email to audit.advice@dia.govt.nz

Once your nomination forms have been received we will contact your SROs to arrange a management briefing on the audit process, agree key timings and discuss the treatment of any specific issues or concerns. A letter of engagement will then be issued documenting the terms of the audit.

The Archives New Zealand Audit and Monitoring team have had various meetings to discuss the best approach to the auditing of Ministry of Justice and the various Courts and Tribunals, liaising directly with Eamonn Bolger and Brownyn Clifton. I have decided that we will complete a total of 15 separate audits as follows.

These Courts would each be separately audited:

- Supreme Court
- Court of Appeal
- High Court
- District Court
- Family Court
- Youth Court
- Māori Land Court
- Coroners Court
- Tenancy Tribunal
- Disputes Tribunal
- Waitangi Tribunal
- Employment Court
- Environment Court

The Ministry of Justice audit will include the Ministry and all non-judicial authorities supported or administered by the Ministry.

A separate audit will also be conducted of all judicial authorities supported and administered by the Ministry.

This approach reflects the varying records management practice and systems across the Courts. It will provide audit findings specific to each Court rather than a generalised finding for whole Court system which would be of limited usefulness. We have requested the nomination of two SROs on the understanding that one will be responsible for the audits of the Courts and the other will be responsible for the audits of the Ministry and the non-judicial authorities, and the judicial authorities.

Additional information about the audit is available from our website: www.archives.govt.nz/advice/public-records-act-2005-audit-programme

A copy of the Public Records Act 2005 is available from:
http://www.legislation.govt.nz/act/public/2005/0040/latest/DLM345529.html

Please do not hesitate to contact us if you have any queries.

Specific enquires can also be directed to:

Rebecca Smart
Senior Audit Advisor, Audit and Monitoring
Archives New Zealand
Department of Internal Affairs
(04) 894 6075
Rebecca.Smart@dia.govt.nz

Yours sincerely

Marilyn Little
Chief Archivist and General Manager
Archives New Zealand

Public Records Act Audit Programme
Nomination Form
Senior Responsible Officer (SRO)

The Senior Responsible Officer (SRO) is accountable for the agency's participation in the audit and the sign-off of any management representations. Ideally the SRO will be knowledgeable about your whole organisation's information management and recordkeeping systems (both digital and where applicable paper based), but in practice the hands-on activities are frequently best delegated.

Please return the completed nomination form and email to audit.advice@dia.govt.nz by **3 July 2014.**

Please do not hesitate to contact me if you wish to discuss any aspect of the audit process.

Rebecca Smart
Senior Audit Advisor, Audit and Monitoring
Archives New Zealand
Department of Internal Affairs
(04) 894 6075
Rebecca.Smart@dia.govt.nz

PUBLIC OFFICE DETAILS

Name of Public Office:	Courts

Senior Responsible Officer (SRO) DETAILS

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

NOMINATION ENDORSEMENT

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

Name (Printed): _____

Signature: _____   DATE: ___ / ___ / ___

Public Records Act Audit Programme
Nomination Form
Senior Responsible Officer (SRO)

The Senior Responsible Officer (SRO) is accountable for the agency's participation in the audit and the sign-off of any management representations. Ideally the SRO will be knowledgeable about your whole organisation's information management and recordkeeping systems (both digital and where applicable paper based), but in practice the hands-on activities are frequently best delegated.

Please return the completed nomination form and email to audit.advice@dia.govt.nz by **3 July 2014.**

Please do not hesitate to contact me if you wish to discuss any aspect of the audit process.

Rebecca Smart
Senior Audit Advisor, Audit and Monitoring
Archives New Zealand
Department of Internal Affairs
(04) 894 6075
Rebecca.Smart@dia.govt.nz

PUBLIC OFFICE DETAILS

Name of Public Office:	Ministry of Justice and Non-Judicial Authorities / Judicial Authorities

Senior Responsible Officer (SRO) DETAILS

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

NOMINATION ENDORSEMENT

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

Name (Printed): _____

Signature: _____   DATE: ___ / ___ / ___

ADMIN USE ONLY	
Date received:	
Objective reference:	
Sector:	

From:	Rebecca Smart
To:	"Bolger, Eamonn"
Cc:	"joanne koreman"; "Clifton, Bronwen"; Moana Te Whaiti
Subject:	RE: PRA audit of Ministry of Justice
Date:	Wednesday, 8 January 2014 11:42:37 a.m.
Attachments:	image001.png

Hi Eamonn,

Thank you for your phone call, it was very timely and I think now is a great time to meet and discuss how we approach the audit. Moana Te Whaiti (Audit Advisor) and myself will be the attending this meeting, we are available any day from 9-4pm apart from 16th Jan, so just the best time that suits you.

Warm regards

Rebecca Smart | Senior Audit Advisor
Archives New Zealand Te Rua Mahara o te Kawanatanga
Direct Dial: +64 4 894 6075 | Extn: 9375| www.archives.govt.nz

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-

From: Bolger, Eamonn ████████████████████   s 9(2)(a)
Sent: Wednesday, 8 January 2014 11:25 a.m.
To: Audit Advice
Cc: Joanne Koreman; Clifton, Bronwen
Subject: PRA audit of Ministry of Justice

It was good to talk to you again and that you remembered our previous meeting! As discussed, I would like to arrange a meeting with relevant audit staff with the following Ministry staff attending:
Joanne Koreman - Senior Information Adviser
Bronwen Clifton - Manager Information and Documents Management Manager
me - with responsibility for court records

We are especially keen to discuss the best approach to the audit process. As mentioned one option may be to complete two audits; one of the Ministry itself and the other covering all court and tribunal records. Apart from being more manageable from a practical perspective, such an approach would be consistent with the separate accountabilities under the PRA for court records.

If you could signal some dates and times that suit you I will make an appointment.

regards

MINISTRY OF
JUSTICE
Tāhū o te Ture

Eamonn Bolger
Senior Adviser, Court Records| Judicial Libraries
DDI: +64 4 494 9716 | Ext 50716
www.justice.govt.nz

From:	Rebecca Smart
To:	Bronwen Clifton; Eamonn Bolger; Joanne Koreman
Subject:	Public Records Act Audit Information
Date:	Wednesday, 22 January 2014 11:07:00 a.m.
Attachments:	Client Self-Assessment Application Explanation 2013-2014.ppt
	CSAA working spreadsheet - 2013-2014.xls
	Examples of Recordkeeping Evidence for Client Self Assessment.doc
	Client Overview of Audit Programme Power Point Presentation 2013-2014.ppt
	image003.png

Hi Bronwen and Eamonn,

Thank you for our meeting on Friday, I think the approach you have suggested will work well.

As discussed during our meeting here is the current years information, however as I mentioned the question will change to reflect the new standard which was approved at the end of last year.

Any further questions please let me know.

Warm regards

Rebecca Smart | Senior Audit Advisor
Archives New Zealand Te Rua Mahara o te Kawanatanga
Direct Dial: +64 4 894 6075 | Extn: 9375| www.archives.govt.nz

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-

Client Self-Assessment Application

Includes: Features & functions, Ratings explanations and How to read your report

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Te Tari Taiwhenua

Features and functions

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Navigational Buttons

Navigational Buttons

Contextual Information

Contextual Information

Save Buttons:
Previous
Save & Exit
Next

Add/View attachments

General business activity

1 Planning
  1 Initiation
  2 Establishment
  3 Extending capability
2 Resourcing
3 Training
4 Reporting

Specific recordkeeping practice

5 Creation and capture
6 Retrievability and security
7 Maintenance and storage
8 Disposal and transfer

Print & Complete

Planning

Recordkeeping functions and activities are defined and have a planned outlook

Questions: 1 2 3

Q 1.3.1 (Extending capability)

Recordkeeping risks are included in risk management planning.

Risk of not doing this:
Compliance - Explain ...

Progress
- None
- Approved - but not yet started
- Under way
- Completed - some out of date
- Completed and up to date

Coverage
- None
- Some
- Most
- All

Intentions to Progress
- None
- Undecided
- Plans in place
- Completed

Please describe / provide evidence

Examples of evidence:
- Risk Management plan
- Disaster Recovery and/or
- Business Continuity plan
- Audit Reports/Q...

See More ...

Add/View Attachments

‹ Previous   Save & Exit   Next ›

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Q 1.2.5 (Establishment)

Core business systems are designed ensuring recordkeeping principles are met.

Risk of not doing this:
Operational - Explain

Contextual Information

Risks   close

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

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

Reporting

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

Reputation

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

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

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Questions: 1 2 3 4 5

Q 1.2.5 (Establishment)

Core business systems are designed ensuring recordkeeping principles are met.

Risk of not doing this:
Operational - Explain

Progress
- C None
- C Approved - but not yet started
- ⦿ Under way
- C Completed - some out of date
- C Completed and up to date

Coverage
- C None
- C Some
- ⦿ Most
- C All

Intentions to Progress
- C None
- C Undecided
- ⦿ Plans in place
- C Completed

Examples of evidence:
Documentation is mapped to the relevant mandatory standards.
Functional specifications include:
- *recordkeeping requirements*

Project plans include:
- *- record management requirements*

Please describe / provide evidence

Examples of evidence:
Documentation is mapped to the relevant recordkeeping mandatory standards.
Functional specificat...

See More …

📎 Add/View Attachments

◂ Previous   Save & Exit   Next ▸

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Ratings – How do they work?

For every question, the Clients need to rate their agency on Progress / Coverage / Intentions to progress by clicking on one of the ratings below each heading. A rating must be selected under each heading as these are mandatory fields.

Progress
- ⦿ None
- ○ Approved - but not yet started
- ○ Under way
- ○ Completed - some out of date
- ○ Completed and up to date

Coverage
- ⦿ None
- ○ Some
- ○ Most
- ○ All

Intentions to Progress
- ⦿ None
- ○ Undecided
- ○ Plans in place
- ○ Completed

Progress		Coverage		Intentions to Progress	
None	No work initiated	None	Work covers no part of the organisation	None	Work is not planned to be progressed
Approved – not yet started	Work approved/signed off but not yet started	Some	Work covers some parts/areas/offices/types of records	Undecided	Undecided as where to go with this work
Underway	Work in progress	Most	Work covers most parts/areas/offices/types of records	Plans in place	Plans in place to address/implement work e.g. strategy/business/project/work plans
Completed – some out of date	Work completed but needs reviewing and updating	All	Work covers the whole organisation including all parts/areas/offices/types of records	Completed	All work progress is completed.
Completed and up to date	Work completed and implemented				

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Here are some examples to help with rating your questions:

Example 1

All the records (over 25 years of age) have already been transferred to Archives New Zealand. However, all records are being managed according to the requirements in the storage standard.

The rating would be: - Completed and up to date, All, Completed

Q 7.3.1   (Extending capability)

There is a plan for the storage of physical archival value records that meets the requirements of the storage standard.

Risk of not doing this:
Strategic - Explain …

Progress
- ○ None
- ○ Approved - but not yet started
- ○ Under way
- ○ Completed - some out of date
- ◉ Completed and up to date

Coverage
- ○ None
- ○ Some
- ○ Most
- ◉ All

Intentions to Progress
- ○ None
- ○ Undecided
- ○ Plans in place
- ◉ Completed

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Example 2

The organisation does not hold any records that are over 25 years of age. All records are either already transferred (or the agency is too young) then a deferral agreement is not required.

The rating for this would be None, None and None.

Q 8.2.3 (Establishment)

All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement.

Risk of not doing this:
Compliance - Explain …

Progress
- ◉ None
- ○ Approved - but not yet started
- ○ Under way
- ○ Completed - some out of date
- ○ Completed and up to date

Coverage
- ◉ None
- ○ Some
- ○ Most
- ○ All

Intentions to Progress
- ◉ None
- ○ Undecided
- ○ Plans in place
- ○ Completed

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Attaching evidence

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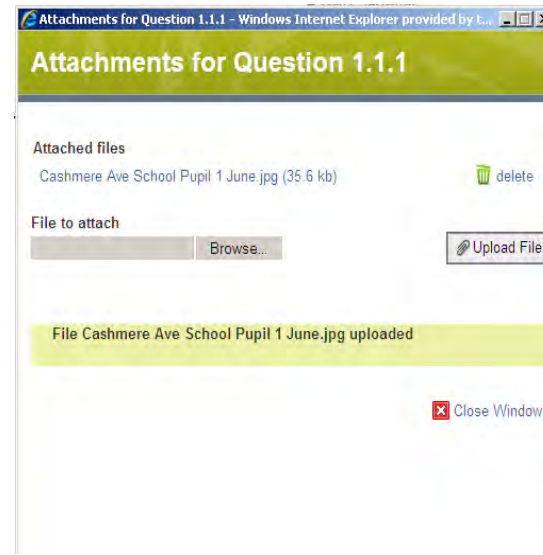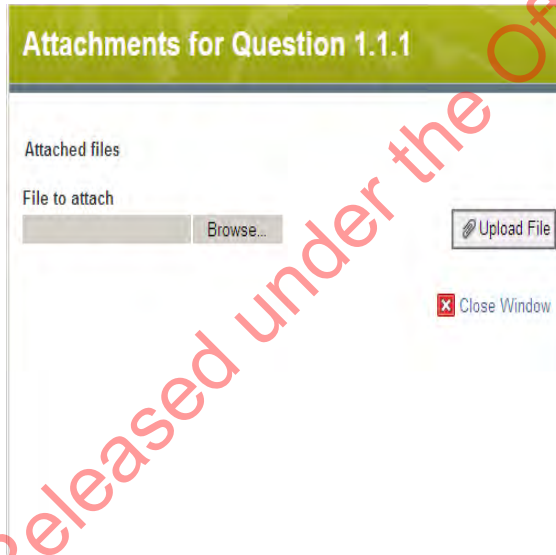
Completing the self-assessment

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As a final step, click the 'Assessment Complete' button to submit your self-assessment.

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Public Records Act 2005 — Audit Self-Assessment

archives NEW ZEALAND

General business activity

1 Planning
2 Resourcing
3 Training
4 Reporting

Specific recordkeeping practice

5 Creation and capture
6 Retrievability and security
7 Maintenance and storage
8 Disposal and transfer

Print & Complete

Print & Complete

Thank you for undertaking this self assessment.

📄 **Print a report of all questions and answers**

If you do not select 'Print' you will not have any record of your completed self-assessment

What Next?

- If you are a "Registered Audit Client" your answers and evidence provided will be validated and used as part of the development of the audit plan.
- The audit plan will be the basis for conducting additional validation and onsite audit.

Exit

1. Prints a full report on all questions and answers
2. Prints a summary of capability maturity – a 'scorecard, a gap analysis'

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How to read your report

The first four pages summarise your ratings. This summary covers eight areas of recordkeeping and three stages of achievement.

Areas of Recordkeeping	
General Business Activities (Management Activities) 1. Planning 2. Resourcing 3. Training 4. Reporting	**Specific Recordkeeping Practice (Operational Requirements)** 5. Creation and Capture 6. Retrievability and Security 7. Maintenance and Storage 8. Disposal and Transfer

Stages of Achievement
1. **Initiation** – needs identified, evidence of planning i.e. solutions examined, systems designed 2. **Establishment** – evidence of practical application 3. **Extending Capability** – evidence of good practice, including regular review, monitoring and continuous improvement

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Understanding the ratings

Legend

		Description
	absent	No evidence of management understanding. No systematic approach to recordkeeping requirements. Unpredictable outcomes.
	aware	Awareness of the need for and basic implementation of recordkeeping requirements. Uncoordinated, incomplete approaches providing inconsistent outcomes/results.
	actioned	Evidence of a managed approach to recordkeeping.
	embedded	Effective management of records is fully integrated and practicing continuous improvement.

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General Business Activities - Summary

Planning

Stage	Description	Achievement	
Initiation	Policy and planning initiated.	Uncoordinated, ad hoc, incomplete processes for the management of records.	
Establishment	Policy and plans are being implemented.	Uncoordinated, ad hoc, incomplete processes for the management of records.	
Capability	Policy and plans are regularly reviewed and updated.	Uncoordinated, ad hoc, incomplete processes for the management of records.	

Resourcing

Stage	Description	Achievement	
Initiation	Resourcing requirements for recordkeeping identified.	Uncoordinated, ad hoc, incomplete processes for identifying resourcing requirements for the management of records.	
Establishment	Resourcing for recordkeeping established.	Uncoordinated, ad hoc, incomplete processes for identifying resourcing requirements for the management of records.	
Capability	Succession planning and resourcing is part of business plans.	No evidence of a strategic approach to the resourcing requirements for the management of records.	

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Client Self Assessment of Wendy - Testing 02
Year 2011/2012

Completed: 18/10/2011

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.	Uncoordinated, ad hoc, incomplete processes for identifying training requirements for the management of records.	
Capability	Training programme actively monitored, reviewed and updated.	No evidence of a strategic approach to the training requirements for the management of records.	

Reporting

Stage	Description	Achievement	
Initiation	Reporting requirements identified.	No evidence of a strategic approach to the reporting requirements undertaken.	
Establishment	Basic operational reporting established.	No evidence of a strategic approach to the reporting requirements undertaken.	
Capability	Recordkeeping is part of organisational risk and reporting framework.	Uncoordinated, ad hoc, incomplete processes for identifying reporting requirements for the management of records.	

Legend

	absent
	aware
	actioned
	embedded

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Specific Recordkeeping Practice - Summary

Creation & Capture

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	Uncoordinated, ad hoc, incomplete systems and/or controls for the creation and capture of records.	
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.	Uncoordinated, ad hoc, incomplete systems and/or controls for the creation and capture of records.	

Retrievability & Security

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	Uncoordinated, ad hoc, incomplete systems and/or controls for the retrievability and security of records.	
Establishment	Systems and controls are implemented.	Uncoordinated, ad hoc, incomplete systems and/or controls for the retrievability and security of records.	
Capability	Systems and controls are actively monitored and reviewed.	Uncoordinated, ad hoc, incomplete systems and/or controls for the retrievability and security of records.	

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Client Self Assessment of Wendy - Testing 02
Year 2011/2012

Maintenance & Storage

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	Uncoordinated, ad hoc, incomplete systems and/or controls for the maintenance and storage of records.	
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.	Uncoordinated, ad hoc, incomplete systems and/or controls for the maintenance and storage of records.	

Disposal & Transfer

Stage	Description	Achievement	
Initiation	Development of disposal authorities and implementation plans initiated.	No evidence of a disposal process in place.	
Establishment	Authorised disposal authorities and implementation plans established.	No evidence of a disposal process in place.	
Capability	Disposal of records actively managed.	Uncoordinated, ad hoc, incomplete processes in place for the disposal of records.	

Legend

- absent
- aware
- actioned
- embedded

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General Business Activities

Planning

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Recordkeeping is a directive from the Chief Executive to management and staff.	Operational	Note to self: Review policy.	Approved - but not yet started	Some	Plans in place	CSAA - French.ppt
2	Systems used to create and manage records are identified.	Operational		Under way	Some	Plans in place	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records Management policies are documented and implemented.	Operational		Approved - but not yet started	Some	Undecided	
2	Recordkeeping processes have been documented and implemented, including procedures for proving recordkeeping data (metadata) is captured.	Operational		Under way	Some	Plans in place	
3	Business-critical records are identified and managed.	Operational		Under way	Some	Plans in place	
4	A Disaster Recovery Plan and/or Business	Operational		Approved - but	Some	Plans in place	

Department of Internal Affairs

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
Continuity Plan includes the management of records.			not yet started			
5 Core business systems are designed ensuring recordkeeping principles are met.	Operational		Under way	Some	None	

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Records Management policy and recordkeeping processes are regularly reviewed by senior management.	Operational		Under way	Some	Plans in place	
2 Recordkeeping risks are included in risk management planning.	Compliance		Approved - but not yet started	None	Plans in place	
3 Organisational strategy/business plan includes recordkeeping objectives.	Strategic		Approved - but not yet started	Some	Undecided	
4 The Disaster Recovery Plan and/or Business Continuity Plan is regularly tested and reviewed.	Operational		Completed - some out of date	Some	Plans in place	

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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

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2.3.1	Resourcing and the development of staff assigned to recordkeeping is documented and implemented.	CM R4				
2.3.2	Annual Budget planning considers resourcing and improvements for recordkeeping requirements within the organisation	CM R4				
Training - Staff are trained to achieve recordkeeping requirements						
3.1.1	An analysis of training needs and skills of staff assigned to recordkeeping has been conducted.	CM R9 DS R9				
3.2.1	Staff training is carried out by skilled trainers.	CM R9				
3.2.2	A training plan which includes recordkeeping is implemented and maintained.	CM R9				
3.2.3	Staff receive regular recordkeeping training in: - policies, procedures and practices - organisation specific tools and systems - relevant legislation and standards.	CM R9 DS R9				
3.3.1	Staff recordkeeping training and skills are regularly reviewed.	CM R9				
3.3.2	Staff are trained to protect and salvage records in an emergency.	SS R15				
Reporting - The effectiveness of recordkeeping practices are monitored						
4.1.1	A internal monitoring and compliance programme that includes recordkeeping is developed and implemented.	CM R5 DS R8				
4.2.1	Monitoring of recordkeeping compliance is documented and reported.	CM R5 DS R8				
4.2.2	Managers are accountable for recordkeeping requirements being met and ensuring performance levels are reported.	CM R5				
4.2.3	Creation and capture of records is routinely monitored and corrective action taken.	CM R5				
4.3.1	A systematic assessment of recordkeeping capability is undertaken.	CM R5				
Creation and Capture - Business activities and decisions are appropriately recorded						
5.1.1	Recordkeeping requirements are identified in business processes and functions.	CM R6				
5.1.2	Records of all business activities are managed within the appropriate systems.	CM R7 CM R16				

5.2.1	Physical and digital records are captured routinely, documented and organised according to the organisation's business requirements.	CM R8 CM R14 CM R15 CM R17				
5.2.2	Decisions around the application of recordkeeping data have been documented (Refer - Electronic Recordkeeping Metadata Standard - Requirement 8/9).	MD R8 MD R9				
5.2.3	Recordkeeping data describing the context, content and structure of records is documented, communicated, maintained and reviewed.	MD R4				
5.3.1	Critical business systems/applications have been identified and mapped to recordkeeping data.	MD R5				
5.3.2	The business classification structure is routinely reviewed for relevance.	CM R5				
5.3.3	Disposal authorities are linked to the business classifications structure to enable record sentencing at the time of creation.	CM R20 DS R5				
Retrievability and Security - Records are secure and can be used when required						
6.1.1	Accessibility, usability, retrievability and retention of records is managed within the appropriate systems.	CM R12 CM R18				
6.2.1	Recordkeeping systems and storage facilities for physical records are protected from unauthorised access, destruction, theft, fire, flood, earthquake, volcanic eruption and vermin.	SS R13 SS R16 SS R18 SS R19				
6.2.2	Sensitive and restricted records are identified, documented and controlled.	SS R17 DS R10				
6.2.3	Access to sensitive and restricted records is provided in accordance with the: - Official Information Act - Privacy Act	PRA S43				
6.2.4	Records 25 years of age or older are covered by an Access Authority	PRA S43				
6.3.1	The ability to locate records is monitored and routinely audited.	CM R5 CM R12				
Maintenance and Storage - Records are maintained in a manner consistent with their format and value						
7.1.1	All records and recordkeeping data are managed so they cannot be altered, deleted or disposed of without permission.	CM R10 CM R11 DS R8				
7.1.2	A risk-based assessment of records storage has been undertaken to ensure records are stored appropriately.	SS P2 SS P5 SS P6				
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs.	SS CHKLIST DS R6				

7.3.1	There is a plan for the storage of physical archival value records that meets the requirements of the storage standard.	SS CHKLIST				
Disposal and Transfer - Records are only retained for as long as required and disposed of appropriately						
8.1.1	Core functional records and associated recordkeeping data (metadata) have been appraised and disposal authorities agreed.	CM R18 MD R13 MD R14 MD R15 DS P1				
8.2.1	Classes or groups of records have disposal authorities applied.	CM R20 DS R5				
8.2.2	Disposal procedures are implemented and reviewed.	CM R20 DS R4				
8.2.3	All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement.	PRA S22				
8.3.1	Regular and efficient disposal of the organisation's records is planned and documented.	CM R20 DS R5 DS R7				
8.3.2	All necessary and practical steps have been taken to ensure the destruction of records is complete.	DS R11				

	Version 6: July 2012					
CM	Create and Maintain Standard e.g. CM R5 - Create and Maintain Standard Requirement 5					
MD	Electronic Recordkeeping Metadata Standard e.g. MD R13 - Electronic Recordkeeping Metadata Standard Requirement 13					
SS	Storage Standard e.g. SS P2 - Storage Standard Principle 2					
DS	Disposal Standard e.g. DS R11 - Disposal Standard Requirement 11					
RXX	Requirement (then number) e.g. CM R20 - Create and Maintain Standard Requirement 20					
PXX	Principle (then number) e.g. SS P2 - Storage Standard Principle 2					
CHKLIST	Checklist - SS CHKLIST - Storage Standard Checklist					
SXX	Section (then number) e.g. PRA S22 - Public Records Act 2005 Section 22					
PRA	Public Records Act 2005					

Examples of Recordkeeping Evidence for Client Self-Assessment for 2013-2014 Year	
Examples of Key Recordkeeping Documents:	**Resourcing**
	Job/position descriptions
Planning	Strategy/work plan that includes recordkeeping
Strategy/framework that includes recordkeeping	Policy with a recordkeeping component
Policy with a recordkeeping component	Processes/procedures that incorporate recordkeeping
Policy which identifies responsibilities	Organisation Chart
Organisation chart	Business Plan
IT System List	Communications Plan/Policy
System Survey	Training Plan/Training Register or Training Surveys
Disaster Recovery Plan	Performance agreements/plans
Business Continuity Plan	Induction programme
Classification structure list or file plan	Delegation process
Processes or procedures that incorporate recordkeeping	Code of conduct
Business Process mapping	Key Performance Indicators (KPIs)
Business critical records or systems identified	Human resources procedures
Mapping to related policies (eg IT Security)	Career planning/development
Role of metadata	Budget Planning
Rules for point of capture	Goals/performance measures
Metadata process/rules for changing metadata	
Unique ID, doc name, author, date etc	
Official Information Act/Privacy Act response timeframes	**Training**
Information Technology/Information Management Policy	Training analysis
Communications Plan	Human Resources needs analysis
Training/Induction programme	Certificates of training attended
Procedure Manuals	List of trainers/service providers
Training Materials	Training plan/training register or training surveys
Workflow models	Course feedback
Staff guidance notes	Additional/refresher training
Audit reports/reviews	Monitoring and review schedule
Quality Management Reviews	
Corrective Action records	**Reporting**
Business critical records list	Quality Management reviews
Vital records list	Internal Audit Reports/reviews
Storage contracts	Corrective action records
Document Control/Version Control procedures	Monitoring and review schedule
Information strategy	Legal Compliance register
Risk Management Plan/Risk Framework	Strategy/plan/framework that includes recordkeeping/information management
Knowledge Management	Management reports/minutes
Information Management Capabilities	Report distribution list
Activity Plan/Action Plan	External Audit Reports/Reviews
Monitoring and review schedule	Accountability matrix
Testing reports	Job/Positions Descriptions

Key Performance Indicators (KPI's)	Business Continuity Plan or Disaster Recovery Plan
Compliance monitoring reports	File Location/transit cards
Metadata quality reports	Risk Management Plan
	Building Warrant of Fitness
Creation and Capture	Storage Contracts
Classification structure/file lists/file plans	Critical/Vital records list
Business activity process mapping	Retention Disposal Schedule/Disposal Authority
External contracts	Security/access policy/procedures
Risk/assessments/reports	Storage requirements
Information Management reviews	Audit reports/Quality Management reviews
Appraisal reports/disposal authorities	Corrective Action records
Functional mapping analysis	Access status classification
Processes/procedures that include recordkeeping	Official Information Act/Privacy Act timeframes
Classification structure/file list/file plans	General Information requests
Core records identification	
Vital records list/register	**Maintenance and Storage**
IT list of all systems	Processes/procedures that include recordkeeping
Policy with a recordkeeping component	Access controls that include recordkeeping
Business processes/procedures	Metadata schema/list
Metadata schema/list	Access and loan policy
Technical specifications (digital)	File tracking (paper)
Functional specifications	File location/transit cards
Information Management policy	Security procedures
Metadata procedures/processes	Audit logs
Metadata schema/list – applications	Risk assessment
Metadata schema/list – systems	Storage standard plan/checklist/contracts/reports or reviews
Change control process	Building Warrant of Fitness
Communications policy	Corrective Action reports
Monitoring and review schedule	Appraisal processes or reports
Information Management Policy	Classification structure/file list/file plan
Business Continuity Plan or Disaster Recovery Plan	Security access procedure
Version/Document Control	
Mapping plans/documentation	**Disposal and Transfer**
Information Management Strategic Plan (ISSP)	Disposal authority/register/schedule/policy or procedure
Disposal Authorities	Deferral agreement
Retention and Disposal Schedule	List of records over 25 years old
	Transfer agreements
	Monitoring and review schedule
Retrievability and Security	Classification structure/file list/file plan
Business processes that include recordkeeping	Evidence lists of disposed records
Classification structure/file list/file plan	
Metadata schema/list	**Please note:**
Monitoring and review schedule	*If a document can be used as evidence for more than one question, please only attach once. For additional questions, please reference the document and the section/page number if applicable in the text box.*
Audit reports	
Quality Management reviews	
Correction action reports	

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INTERNAL AFFAIRS

Te Tari Taiwhenua

Public Records Act 2005 Audit Programme Overview for [Organisation]

Public Records Act 2005

Public Records Act Promotes:

- o Democratic accountability (Crown to the Public)

- o Management accountability (Agencies to the Crown)

- o Collective memory and historical heritage

- o Good management

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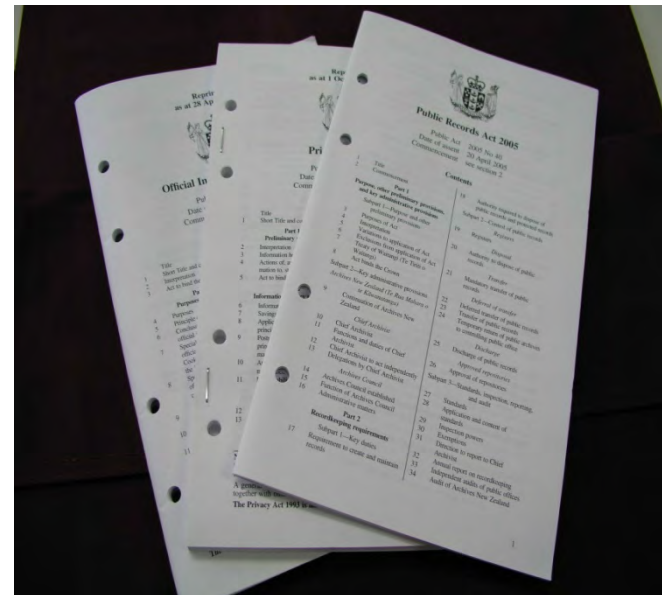
What are the important requirements of the Act?

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

S27   *Comply with standards* issued by the Chief Archivist:
- Create and Maintain Recordkeeping Standard
- Electronic Recordkeeping Metadata Standard
- Storage Standard
- Disposal Standard

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Public Records Act Audit Myths

✕ "I need to prepare my organisation for the audits"

✕ "The audits only look at physical records and not electronic"

✕ "We need a separate recordkeeping programme"

✕ "We are going to fail because we haven't bought an EDRMS"

✕ "The audits won't work for my special kind of records"

✕ "When my organisation is named and shamed in the Ministers Report I'll be able to get funding for the management of my records"

✕ "Auditors should be recordkeeping and information management professionals"

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Audit Lifecycle

1. Planning
2. Client Notification
3. Senior Responsible Officer Visit
4. Audit Engagement Letter
5. Client Self-assessment
6. Desktop Review
7. Onsite Audit
8. Audit Reports

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Audit Process

Planning – We schedule and begin to plan your audit.

Client Notification – We notify your Chief Executive and request a nomination for a Senior Responsible Officer (SRO), who will be key contact throughout the audit process.

Senior Responsible Officer Visit – We meet with your nominated SRO to outline the audit process, agree scope and timeframes, and identify what documentation can be supplied to the auditors.

Audit Engagement Letter – We confirm the audit timeframes in writing to your SRO.

Client Self-assessment – We issue a key-code for the self-assessment application, and brief you on the application's use. You complete the self-assessment within the agreed timeframes.

Desktop Review – We review the alignment of your self-assessment's ratings with the documentary evidence provided.

Onsite Audit – Independent auditors conduct onsite investigations to validate your self-assessment.

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Audit Self-Assessment Application Structure

- The Audit Application covers eight recordkeeping functional areas

  Management: Planning - Resourcing - Training – Reporting

  Operational: Create / Capture - Retrievability / Security
  Maintain / Storage - Disposal / Transfer

- The Audit Application has 3 capability assessment levels for each functional area

  Initiation – needs identified and solutions examined, evidence of planning, systems designed or redesigned.

  Establishment – evidence of practical application

  Improving capability – evidence of good practice, including regular review and monitoring.

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Desktop Review – What is it?

A desktop review is undertaken at Archives NZ by subject management experts.

- The desktop review is a review of documentation to determine whether or not there is sufficient evidence to support a client's self-assessment ratings

- It also determines any additional evidence that will be sought to validate question responses – this becomes the audit plan for the onsite audit.

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Onsite Audits

- Archives New Zealand use external audit providers. These are: KPMG, Ernst & Young, Rob Allman Consulting and Terrace Consulting.

- The audit focus questions are developed from the desktop review. Onsite audits are guided from the these questions (these are sent to the Senior Responsible Officer before the audit commences).

- At times, some staff may need to be interviewed for more information or further clarification.

- Onsite audits are booked for 2-3 days, depending on the size of your organisation but may only take 1-2 day.

- Onsite audits always include a physical storage inspection of the site being audited. Additional sites of your organisation may also include a physical storage inspection.

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Risks to your Business from poor recordkeeping

Compliance
1. Failure to meet legislative and regulatory requirements
2. Unlawful disposal of records
3. Inability to provide assurance of legislative compliance
4. Inability to produce records or provide evidence

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

Reporting
11. Inability to provide reliable evidence summarising activities or undertakings
12. Reduced capability to demonstrate good performance
13. Misleading the minister or other key stakeholders

Reputation
14. Embarrassment to the chief executive, minister, the government and individuals
15. Damage to reputation, loss of credibility, lowered public confidence

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

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Audit Opportunities

- Your audit is a value-adding activity for your organisation.

- Value is provided through:

  - Reports, which discuss three key management concerns: Risk, Capability and Maturity
  - Provides a gap analysis of recordkeeping capability within your organisation
  - Archives New Zealand's support of a capability and compliance self-assessment application

- No cost, low-impact

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For further information

Archives New Zealand has a legislated mandate to provide leadership and support for the improvement of recordkeeping and archival activities in central and local government, and in the community. This is exercised through a range of interventions that are presently distributed across different parts of the organisation depending on the target audience.

The structure concentrates these activities in the Client Capability Group thereby creating greater flexibility for delivering services where they are most needed and providing greater economy of scale.

Client Capability
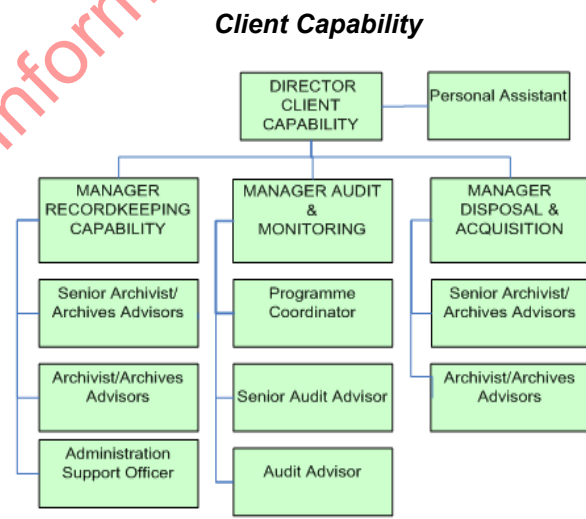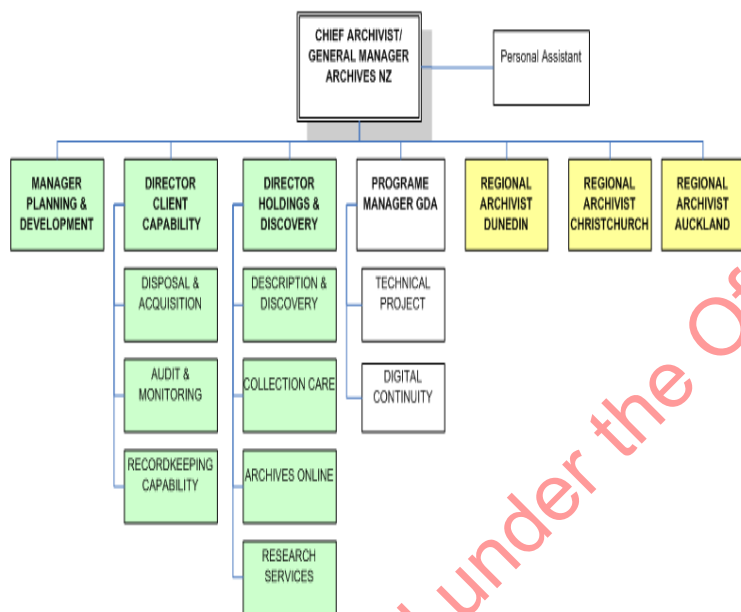
Visit Archives New Zealand website for more information: http://archives.govt.nz/public-records-act-2005-audit-programme

Or contact: Wendy Stokes, Manager, Audit and Monitoring wendy.stokes@dia.govt.nz Or audit.advice@dia.govt.nz

Department of Internal Affairs

From:	Rebecca Smart
To:	"Clifton, Bronwen"
Cc:	Audit Advice
Subject:	Ministry of Justice - rating changes
Date:	Friday, 10 April 2015 11:38:51 a.m.
Attachments:	image003.png
	MoJ - Rating changes.xls

Hi Bronwen

As requested on the phone this morning, please a find attached a copy of the rating changes made during the onsite audit with Rob Allman.

If you have any further questions please do not hesitate to contact me.

Warm regards

Rebecca Smart | Senior Audit Advisor
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No.	Question	Risk	Progress	Coverage	Intentions to Progress	Evidence	Rating changes
	Ministry of Justice - Rating changes						
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Operational	Under way	All	Completed	Recordkeeping and information security policies are endorsed and promulgated by the CEO Information security policy (MOJNJ 30) Records Management Policy (MOJNJ 16) MOJ Code of Conduct (MOJNJ 47)	Progress changed to Completed and up to date
1.1.2	Systems used to create and maintain records are identified and documented	Operational	Under way	Some	Plans in place	Recordkeeping system documentation is maintained and regularly reviewed IMS Desk File (MOJNJ 03)	No change
1.2.1	Strategic/business plans include records management objectives and risks	Strategic	Under way	All	Completed	Information management and recordkeeping are included in key MOJ strategies☐ Business Strategy (MOJNJ 078), Privacy Strategy (MOJNJ 02), IM Information Strategy (MOJNJ 05), Justice Information Strategy (MOJNJ06) ISSP (MOJNJ 17)	Progress was changed to completed and up to date
1.2.2	Procedures that include records management have been documented and are in use	Operational	Under way	Most	Plans in place	Records management procedures and guidelines are documented and published on the intranet for use by all staff. RM guidelines naming conventions (MOJNJ 21), RM guidelines Creating Records (MOJNJ 22), RM guidelines managing records in shared drives (MOJNJ23), RM guidelines managing email (MOJNJ24) Metadata standards (MOJNJ 19) Metadata chema (MOJNJ 20)	Progress was changed to completed - some out of date. Coverage was changed to All Intentions to progress was changed to Completed.
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	Operational	Under way	Most	Completed	RM policies are published on the intranet and regularly reviewed/updated as necessary☐ Policy schedule (MOJN12)	Progress was changed to completed - some out of date.
2.2.1	Staff assigned to records management have been given appropriate training	Operational	Completed and up to date	All	Completed	Training is delivered online and available to all staff. Specific onsite training for business units is delivered on an as required basis by IDM staff Training module (MOJNJ 15)	no change
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	Operational	Completed and up to date	All	Completed	Development is monitored and regularly reviewed as a part of the PDP process☐ Representative PDP for Senior Information advisor (MOJNJ 11)	no change

4.1.1	Monitoring of records management compliance is documented	Reporting	Completed and up to date	All	Completed	Legislative compliance is documented and monitored on a quarterly basis Legislative compliance statement (MOJNJ 83)	no change
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	Reporting	Completed and up to date	All	Completed	See 3.2.1 Policy expiry and renewal document (MOJNJ 12)	no change
5.1.1	Records management requirements are identified in business processes and functions	Compliance	None	None	None	Currently lack the records management maturity and tools to achieve this	Progress was changed to underway. Coverage was changed to Most. Intentions to progress was changed to plans in place.
5.2.1	Records are captured routinely, documented and organised according to the organisation's business requirements	Compliance	Under way	Some	Plans in place	Official Ministry hard copy and Jukebox records are compliant but shared drives are not	Progress was changed to Completed - some out of date. Coverage was changed to all. Intentions to progress was changed to completed.
5.3.3	Disposal authorities are mapped to systems that create and maintain records	Strategic	Under way	Some	Undecided	Disposal authorities are linked to the business classification structure in Jukebox for electronic and hard copy. Not in shared or other drives☐ see 5.3.1	Progress was changed to Completed - some out of date. Coverage was changed to all. Intentions to progress was changed to completed.
6.2.2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification	Compliance	Under way	Some	Plans in place	IDM and other business systems systems do not have required functionality for comprehensive management of security clearances in relation to access	no change
8.2.2	All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement	Compliance	Under way	Some	Completed	The Ministry of Justice has one current Deferral of Transfer (DT) in place. This is DT33 and it covers Adoption registers and case files. 2014/15 work programme includes work on new authorities see Archway	Progress was changed to Completed - some out of date.

From:	Rebecca Smart
To:	"Clifton, Bronwen"
Cc:	Polly Martin
Subject:	Timeline for Final Report
Date:	Wednesday, 22 April 2015 9:44:10 a.m.
Attachments:	image001.png

Hi Bronwyn

Thank you for your phone call this morning, just to confirm the Ministry's final audit report will be sent to the Secretary of Justice plus the SRO via email on Friday 24 April 2015.

Warm regards

Rebecca Smart | Senior Audit Advisor
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From:	Rebecca Smart
To:	"Clifton, Bronwen"
Subject:	Non-Judicial Authorities - Rating Changes
Date:	Monday, 4 May 2015 12:37:11 p.m.
Attachments:	image003.png
	Non-Judicial Authorities - Rating Changes.xls

Hi Bronwen

Please find attached the spreadsheet for the rating changes sorry about the delay.

Cheers
Bex

Rebecca Smart | Senior Audit Advisor
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No.	Question	Risk	Progress	Coverage	Intentions to Progress	Evidence	Audit Findings Uploaded to CSAA
	Non-Judicial Authorities - Rating changes						
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Operational	Under way	All	None	Recordkeeping policies are endorsed and promulgated by the CEO☐ records management policy (MOJNJ 16)	RATING CHANGES Progress changed from `Under way' to `Completed and up to date' Intentions to Progress changed from `None' to `Completed'
1.1.2	Systems used to create and maintain records are identified and documented	Operational	Under way	Some	Completed	Records are largely managed in TCM (documented by ICT), and shared drives, the management of which is documented in manuals and desk files TCM screenshots (MOJNJ 58)	RATING CHANGES Progress changed from `Under way' to `Completed and up to date' Coverage changed from `Some' to `All'
1.1.3	Policies that include records management are documented and in use	Operational	None	All	None	No formal policy documents covering records management are in use, but there is some coverage in day-to day administration documentation LAT procedure manual (MOJNJ 59) PSPLA refund procedure (MOJNJ 60) PSPLA CM processes (MOJNJ 61) PSPLA Procedure Manual (MOJNJ 62) PSPLA annual return procedure manual (MOJNJ 64) RA procedure manual (MOJNJ 65)	RATING CHANGES Progress changed from `None' to `Completed - some out of date' Intentions to Progress changed from `None' to `Plans in place'
1.2.1	Strategic/business plans include records management objectives and risks	Strategic	Under way	None	None	The tribunals Unit business continuity plan covers risk around paper records, other risk and strategic planning documentation is maintained in ICT	RATING CHANGES Coverage changed from `None' to `Most' Intentions to Progress changed from `None' to `Plans in place'
1.2.2	Procedures that include records management have been documented and are in use	Operational	Under way	Some	Completed	Desk files and manuals for non-judicial tribunals include procedures around records management SAA desk file (MOJNJ 67) ACC Case Manager's manual (MOJNJ 70) WHT Manual (MOJNJ 71) PSPLA Tribunal Manual (MOJNJ 63) SSAA Case Manager Manual (MOJNJ 66)	RATING CHANGES Coverage changed from `Some' to `Most' Intentions to Progress changed from `Completed' to `Undecided'
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	Operational	Under way	Most	Completed	Monitored and reviewed on an adhoc, as required basis	RATING CHANGES Coverage changed from `Most' to `Some' Intentions to Progress changed from `Completed' to `Plans in place'
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	Compliance	Under way	Some	Completed	ICT Risk Register ICT Risk Register (MOJNJ 73)	RATING CHANGES Coverage changed from `Some' to `Most' Intentions to Progress changed from `Completed' to `Plans in place'
2.1.1	Records management is resourced appropriately	Strategic	Completed and up to date	Most	Completed	Records management responsibilities are documented in job descriptions and letters of expectation for operational and administrative staffLetter of expectation Support Officer, Tribunals (MOJNJ 72)	No change
2.1.2	Responsibility for records management is assigned	Compliance	Completed and up to date	All	Completed	see 2.1.1	No change
2.2.1	Staff assigned to records management have been given appropriate training	Operational	Completed and up to date	Most	Completed	On-the-job training is given to staff with recordkeeping responsibilities, and the MOJ training module is available, although it is relatively new and there is scope for more structured training Training module (MOJNJ 15)	No change
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	Operational	Completed and up to date	All	Completed	Development of staff with recordkeeping responsibilities is regularly monitored and reviewed as a part of each staff member's PDP	RATING CHANGES Progress changed from `Completed and up to date' to `Under way' Coverage changed from `All' to `Most' Intentions to Progress changed from `Completed' to `Plans in place'

2.3.2	Budget planning considers resourcing and improvements for records management	Strategic	Under way	All	Completed	Budget planning includes staff with recordkeeping responsibilities as well as offsite storage management and maintenance	RATING CHANGE Progress changed from `Under way' to `Completed and up to date'
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	Operational	Under way	Some	Completed	Recordkeeping responsibilities are documented in procedures and manuals and well understood by the staff who use them	RATING CHANGES Progress changed from `Under way' to `Completed - some out of date' Coverage changed from `Some' to `All' Intentions to Progress changed from `Completed' to `Plans in place'
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	Operational	Under way	Some	Plans in place	Staff receive training as required, including through procedure manuals and desk files. See 1.2.2	No change
3.3.1	Records management training needs for all staff is monitored and regularly reviewed	Operational	Under way	Some	Plans in place	Records management training needs are monitored through the performance management process, and the MOJ training module is available, although it is relatively new and there is scope for more structured training Training Module (MOJNJ 15)	No change
4.1.1	Monitoring of records management compliance is documented	Reporting	None	None	None	Records management compliance monitoring is mainly confined to the larger tribunals	RATING CHANGES Progress changed from `None' to `Under way' Coverage changed from `None' to `Most' Intentions to Progress changed from `None' to `Plans in place'
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	Reporting	Under way	Some	Plans in place	Records management procedures and process monitoring is mainly confined to the larger tribunals	No change
4.3.1	The effectiveness of the records management capability of the organisation is regularly assessed	Reporting	None	None	None	There is no formal assessment of records management capability.	No change
5.1.1	Records management requirements are identified in business processes and functions	Compliance	Under way	Some	Undecided	Records management requirements are incorporated into desk files and procedure manuals Legal Complaints Review Officer 1.2 part 2 (MOJN 74) Legal Complaints Review Officer 1.0 (MOJNJ 75) Legal Complaints Review Officer 1.3 Part 3 (MOJNJ 76) Legal Complaints Review Officer 1.1 (MOJNJ 77)	No change
5.1.2	Records of all business activities are managed within the appropriate systems	Compliance	Under way	Some	Plans in place	TCM and JAX are systems that are used to appropriately manage records of business activities	No change
5.2.1	Records are captured routinely, documented and organised according to the organisation's business requirements	Compliance	Completed and up to date	All	Completed	Records are routinely captured and organised, in appropriate case management systems and through print and fileTCM screenshots (MOJNJ 58)	No change
5.2.2	Records management data is assigned, documented and is in use	Operational	Under way	Some	Plans in place	Records management data is captured in the TCM system, which also includes the ability to audit dataTCM screenshots (MOJNJ 58)	No change
5.3.1	Records management data is maintained, monitored and reviewed	Operational	Under way	Some	Plans in place	see 5.2.2	No change
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	Strategic	Under way	Some	Plans in place	TCM is regularly monitored and reviewed where necessary (for example, where business requirements change or system functionality is upgraded)	No change

5.3.3	Disposal authorities are mapped to systems that create and maintain records	Strategic	None	None	None	Disposal authorities are applied manually in the absence of technical functionality to apply disposition	RATING CHANGES Progress changed from `None' to `Under way' Coverage changed from `None' to `Some' Intentions to Progress changed from `None' to `Plans in place'
6.1.1	Access to and use of records is managed within the appropriate systems	Operational	Under way	Most	Plans in place	Electronic and physical access is appropriately managed, physical security for paper files is in place.	RATING CHANGE Coverage changed from `Most' to `All'
6.2.1	Sensitive and restricted records are identified, documented and controlled	Compliance	Under way	All	Completed	Case file procedures are used to identify and manage sensitive and restricted records	RATING CHANGES Progress changed from `Under way' to `Completed - some out of date' Intentions to Progress changed from `Completed' to `Plans in place'
6.2.2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification	Compliance	Under way	All	Completed	see 6.1.1	RATING CHANGES Progress changed from `Under way' to `Completed - some out of date' Intentions to Progress changed from `Completed' to `Plans in place'
6.2.3	Records 25 years of age or older are covered by an Access Authority	Compliance	None	None	None	Not applicable (no records over 25 years)	No Change
6.3.1	The ability to locate and use records is monitored and routinely audited	Operational	Under way	All	Completed	Ability to locate records in TCM, and records stored offsite is routinely monitored as a part of business as usual	Intentions to Progress changed from `Completed' to `Plans in place'
7.1.1	All records are managed so they cannot be altered, deleted or disposed of without permission	Operational	Completed and up to date	All	Completed	Hardcopy and electronic (TCM) records cannot be altered, deleted, or disposed of inappropriately	RATING CHANGES Progress changed from `Completed and up to date' to `Completed - some out of date' Coverage changed from `All' to `Most' Intentions to Progress changed from `Completed' to `Plans in place'
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Compliance	Under way	All	Completed	Onsite storage is regularly assessed for appropriateness, offsite storage standards are managed as a part of the contract with offsite storage provider MOJNJ33 Online storage standards compliance	RATING CHANGES Progress changed from 'Underway' to 'Completed and up to date'
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs	Strategic	Under way	All	Completed	Highly sensitive records are stored securely.	RATING CHANGES Progress changed from 'Underway' to 'Completed and up to date'
7.2.2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	Operational	Completed and up to date	All	Completed	Covered in the BCP Tribunals Business Continuity Plan (MOJN J53)	RATING CHANGES Progress changed from 'Completed and up to date' to 'Completed - some out of date' Coverage changed from 'All' to 'Some' Intentions to Progress changed from 'Completed' to 'Plans in place'
7.3.1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	Operational	Completed and up to date	All	Completed	The BCP is updated as required□ Tribunals Unit Business Continuity Plan (MOJNJ 53)	RATING CHANGES Progress changed from `Completed and up to date' to `Under way' Coverage changed from `All' to `Some' Intentions to Progress changed from `Completed' to `Plans in place'
7.3.2	Storage arrangements for records are monitored and regularly reviewed	Strategic	Completed and up to date	All	Completed	see 7.1.2	No change
8.1.1	Records have been appraised and disposal authorities agreed	Compliance	Completed and up to date	All	Completed	In place DA 415 Tribunals Unit Disposal Authority (MOJNJ 54)	No change

8.1.2	Regular and efficient disposal of the organisation's records is planned and documented	Operational	Completed and up to date	All	Completed	records are routinely disposed of in accordance with the schedule□ letter of expectation (MOJNJ 72)	RATING CHANGES Progress changed from `Completed and up to date' to `Under way' Intentions to Progress changed from `Completed' to `Plans in place'
8.2.1	Disposal procedures and processes are implemented and in use regularly	Compliance	Under way	Some	Plans in place	see 8.1.2	RATING CHANGE Coverage changed from `Some' to `Most'
8.2.2	All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement	Compliance	Under way	All	Completed	No records over 25 years of age	RATING CHANGES Progress changed from `Under way' to `None' Coverage changed from `All' to `None' Intentions to Progress changed from `Completed' to `None'
8.3.1	Records management data about disposal of records is retained for as long as required	Operational	Completed and up to date	All	Completed	managed in spreadsheets	No change
8.3.2	Disposal procedures and processes are monitored and reviewed	Operational	Completed and up to date	All	Completed	managed in spreadsheets	RATING CHANGES Progress changed from `Completed and up to date' to `Under way' Intentions to Progress changed from `Completed' to `Plans in place'

File bundle 2014-1604
03 - Senior Responsible
Officer Visit

From:	Akesa Alefosio
To:	"Singh, Jasvinder"
Cc:	"Clifton, Bronwen"
Subject:	RE: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting
Date:	Wednesday, 30 July 2014 3:41:18 p.m.
Attachments:	image001.png
	image002.jpg

Hi Sarah,

Thank you for your email.

I will send out a meeting invite shortly for the 7th of August 11am-12pm for Jas and Bronwen.

Can you please confirm a room for us to meet at your office, if it's easier I can schedule the meeting here at Archives NZ.

You let me know what works.

Thank you

Akesa

Kind Regards,

Akesa Alefosio | Programme Coordinator
Archives New Zealand Te Rua Mahara o te Kawanatanga
10 Mulgrave Street | PO Box 12-050, Wellington 6011, New Zealand | www.archives.govt.nz
Direct Dial: +64 4 894 6027 | Extn: 9327| www.archives.govt.nz

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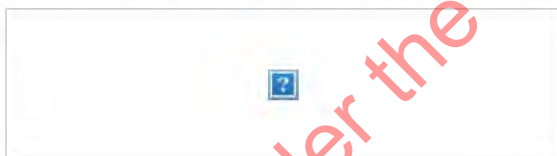
From: Singh, Jasvinder ███████████████████████   s 9(2)(a)
Sent: Wednesday, 30 July 2014 3:22 p.m.
To: Akesa Alefosio
Cc: Singh, Jasvinder
Subject: RE: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

Good afternoon Akesa

Jas would like to meet with you separately from Paula and will have Bronwen Clifton (Manager Information and Records Management) present.

I can offer the following dates/times:

7/8 - 11-12 pm or 3.30-5pm
8/8 - 1-3pm
11/8 - 1-2pm or 3-5pm
12/8 - 11am-2pm
14/8 1-2.30pm or after 3.30pm
15/8 12.30-1pm

If you have any queries please feel free to contact me.

Regards
Sarah

Sarah Collins
Executive Support to General Manager | Communications Services
DDI: +64 4 918 8821 | Ext 58821 | Mob███████████ s 9(2)(a)
www.justice.govt.nz

From: Akesa Alefosio [mailto:Akesa.Alefosio@dia.govt.nz]
Sent: Wednesday, 30 July 2014 11:53 a.m.
To: Singh, Jasvinder; Tesoriero, Paula
Cc: Audit Advice
Subject: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting
Importance: High

Hi Jasvinder and Paula,

Thank you for returning the completed Senior Responsible Officer (SRO) nomination form.

We would like to set a date for you to meet with our Senior Audit Advisor and Audit Advisor at your office to provide you with an overview of the audit process, agree key timings and discuss the treatment of any specific issues or concerns.

We are looking at the weeks commencing below
04/08/14 to 08/08/14
11/08/14 to 15/08/14

Can you please provide tentative dates that you will be available and any additional people that will be attending the meeting. Once confirmed, I will send you an outlook calendar meeting invite.

Our standard meeting agenda is:

1. Overview of process
2. Scope of audit
3. Timings
4. Conduct of Audit
5. Contacts
6. Online Client Self-assessment application familiarisation.

Please do not hesitate to contact me if you have any questions.

Kind Regards,

Akesa Alefosio | Programme Coordinator
Archives New Zealand Te Rua Mahara o te Kawanatanga
10 Mulgrave Street | PO Box 12-050, Wellington 6011, New Zealand | www.archives.govt.nz
Direct Dial: +64 4 894 6027 | Extn: 9327| www.archives.govt.nz

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File bundle 2014-1614 04 - Audit Confirmation

Hi Jasvinder/Bronwen,

Please find attached the Terms of Audit Engagement letter between Ministry of Justice and Archives New Zealand.   Could you please sign the attached letter as an acceptance of these terms and return a copy to Archives New Zealand (via audit.advice@dia.govt.nz) by **12 September 2014.**

If you have any queries please don't hesitate to make contact with us.

Warm regards

Rebecca Smart | Senior Audit Advisor
Archives New Zealand Te Rua Mahara o te Kawanatanga
Direct Dial: +64 4 894 6075 | Extn: 9375| www.archives.govt.nz
s 9(2)(a)   Mobile:
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Te Tari Taiwhenua
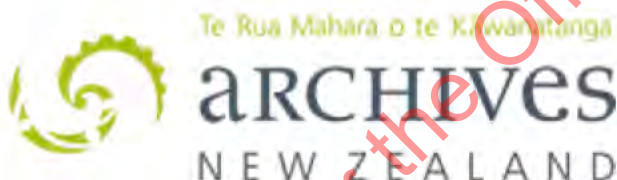
1 September 2014

Jasvinder Singh
General Manager Communications Services
Ministry of Justice

s 9(2)(a)

Dear Ms Singh

PUBLIC RECORDS ACT 2005 AUDIT OF THE MINISTRY OF JUSTICE AND NON-JUDICIAL AUTHORITIES

Further to your meeting on 11 August 2014 with Rebecca Smart, the attachment to this letter formally records the terms of the audit engagement.

To confirm your acceptance of these terms, please sign and email a copy of the attachment to **audit.advice@dia.govt.nz** by 12 September 2014.

If any further information is required, or you wish to discuss the terms of engagement, please do not hesitate to contact us.

Additional information about the audit is available from our website:
www.archives.govt.nz/advice/public-records-act-2005-audit-programme

Yours sincerely

Antony Moss
Director Client Capability
Archives New Zealand
antony.moss@dia.govt.nz

Ref: 2014/1614

PO Box 12 050, Wellington 6144, New Zealand
T 04 499 5595   E audit.advice@dia.govt.nz
www.archives.govt.nz

INTERNAL AFFAIRS

Te Tari Taiwhenua

Attachment: Terms of Audit Engagement with Ministry of Justice and Non-Judicial Authorities

Objectives of the Public Records Act audit

The objectives of the Public Records Act audit are:

- to provide an independent opinion of your organisation's implementation of the mandatory standards issued under the Public Records Act 2005 including the level of awareness your recordkeeping responsibilities
- to report on your organisation's recordkeeping direction, capability and practices
- to provide awareness of the significant business risks that your organisation may be exposed to as a result of inadequate recordkeeping practices.

The audit does not include a detailed examination of every aspect of your recordkeeping environment; it reflects an assessment of your current recordkeeping environment for all records and all core business systems.

Conduct of audits

The audit is being conducted under s33 of the Public Records Act 2005, which requires the Chief Archivist to commission and meet the cost of independent audits of the recordkeeping practices of public offices.

Audits will be carried out in accordance with the Public Records Act Auditing Standards and Procedures.

The criteria for audits are the provisions of the Public Records Act 2005 and the requirements of the mandatory standard issued by the Chief Archivist under s27 of the Act.

The key stages of the audit process are:

- The completion of your self-assessment and provision of documents of evidence.
- Our desktop review of your self-assessment and accompanying documents for the development of the audit plan.
- Validation and clarification of responses given in your self-assessment through an onsite audit comprising of:
    - physical inspection of records storage and systems;
    - examination of additional documentation;
    - Interviews with staff (if required).
- Issuing of a consolidated Audit Findings Report, together with the physical storage inspection report and a letter from the Chief Archivist.

Entity Profile

The audit of your organisation will be of the entity as at the date shown below for the completion of the self-assessment.
The scope of the audit will include all constituent business units as described in your Statement of Intent and other public communications.

Documents made available to auditors

To assist with the planning and execution of your audits, you have agreed to make available to the audit team key documents of evidence. These will be identified in the first instance through the audit self-assessment application.

Scope of Audit

Onsite Audit Client Details:	Ministry of Justice and Non-Judicial Authorities
Scope:	All records, series and collections, including recordkeeping capability in core business systems, that the Ministry of Justice and Non-Judicial Authorities are responsible for managing.
Physical Storage Inspection:	Physical storage inspection to be conducted at the following location(s): Level 3, 19 Aitken Street, Wellington
Out of Scope:	Not applicable
Known issues with no plans in place to address	Not applicable

Other issues

The management of issues raised during our meeting is set out below:

Issues Raised	Agreed Treatment
None identified	

Timings and Contacts

The key timings for the audits are:

Completion of Self-Assessments	28 November 2014
Desktop Review (Archives New Zealand)	December 2014 – January 2015
Onsite Audit	February 2015
Auditor Assigned	Rob Allman Consulting

To facilitate the conduct of the audits, the Ministry of Justice and Non-Judicial Authorities and Archives New Zealand will use the following staff:

Contacts – *Ministry of Justice and Non-Judicial Authorities*

Senior Responsible Officer (SRO)	Jasvinder Singh
Back-up in the event of SRO non-availability	Bronwen Clifton

Contacts - Archives New Zealand:

Senior Audit Advisor, Audit & Monitoring	Rebecca Smart rebecca.smart@dia.govt.nz
Audit Advisor, Audit & Monitoring	Moana Te Whaiti moana.tewhaiti@dia.govt.nz
Portfolio Manager, Disposal & Acquisition	Lisa Austin lisa.austin@dia.govt.nz

Reports arising from the audit

Reports arising from the audit are:

- Client Self-assessment Report (upon completion of your self-assessment)
- Audit Findings Report (including physical storage inspection report and Chief Archivist's letter)
- Chief Archivist's report to the Minister on the audits conducted within this financial year. Note: under s35(c) of the Public Records Act 2005 the Minister is required to present this to the House of Representatives.

Recommendations for action

The Chief Archivist's letter accompanying the Audit Findings Report will, if appropriate, make recommendations.

Retention of recordkeeping documents sighted during the audit

The audit self-assessment requires the attachment of electronic files. The completed self-assessment, and associated files, will be retained by Archives New Zealand for reference in your next scheduled audit.

Archives New Zealand will not return hard copy recordkeeping documents provided. These will be sentenced under GDA7 Class 1.7 as these were documents provided to the Audit and Monitoring Team for reference purposes.

Acknowledgement of the terms of engagement

Please acknowledge receipt of this letter and confirm acceptability of the terms of the audit engagement by signing this attachment and emailing a copy to **audit.advice@dia.govt.nz** by **12 September 2014.**

The terms of this engagement are acknowledged and confirmed as accepted by:

Name: Jasvinder Singh

Title: General Manager Communication Services

Organisation: Ministry of Justice

_____   __ /__ /__

Signed   Date

From:	Clifton, Bronwen
To:	Rebecca Smart
Subject:	New SRO for Ministry of Justice Audit
Date:	Monday, 22 September 2014 2:00:35 p.m.

Hi Rebecca,

I wanted to notify you that from 6th October 2014 my team will be reporting to the Chief Information Officer Tina Sutton.

Tina will become the SRO for the Ministry of Justice and non-judicial authorities public records act audit.

Cheers,

Bronwen

Bronwen Clifton
Manager | Information and Document Management
DDI: +64 4 495 5913 | Ext 64913
www.justice.govt.nz

From:	Koreman, Joanne
To:	Rebecca Smart
Cc:	Bolger, Eamonn; Clifton, Bronwen
Subject:	Ministry of Justice PRA audit - updated judicial/non-judicial list
Date:	Tuesday, 14 October 2014 9:03:31 a.m.
Attachments:	PRA Agency updated list and contacts 20141310JK - Edited (13 Oct) (2).xlsx
	ATT00001.txt

Hello Rebecca,

We have had some more discussion with our Tribunals unit and consequently updated our list of which tribunals are judicial and which not (attached).

Do you need to be formally notified of these changes by our new SRO (Tina Sutton)?

regards
Joanne

Joanne Koreman
Senior Information Advisor | Information Management Services
Justice Centre | Level 3 | 19 Aitken Street | SX10088 | Wellington +64 4 918 8960
www.justice.govt.nz

Courts and Tribunals agency name	Judicial head?	Ministry Manager	Head of Bench
Supreme Court	judicial body		
Court of Appeal	judicial body		
High Court	judicial body		
District Court	judicial body		
Family Court	judicial body		
Youth Court	judicial body		
Maori Land Court	judicial body	Julie Tangaere	Chief Judge Isaac
Tenancy Tribunal	judicial body	Steve Donkin	Melissa Poole
Disputes Tribunal	judicial body	Steve Donkin	Anne Darroch
Waitangi Tribunal	judicial body	Julie Tangaere	Chief Judge Isaac
Employment Court	judicial body	Wayne Newall / Harry Johnson	Judge Colgan
Environment Court	judicial body	Wayne Newall / Harry Johnson	Judge Newhook
Abortion Advisory Committee	non judicial (Medical practitioner)	Matthew Langworthy	Dame Linda Hollaway
Accident Compensation Appeal Authority	non judicial (Barrister)	Matthew Langworthy	David Plunkett
Accident Compensation Appeals District Courts Registry	judicial body	Matthew Langworthy	Chief District Court Judge / Judge Powell/ Judge Henare
Alcohol Regulatory and Licensing Authority	judicial body	Matthew Langworthy	Judge Hole
Birdlings Flat Land Commissioner	non judicial (Barrister)	Matthew Langworthy	About to be disestablished through CATES- no active cases
Copyright Tribunal	non judicial (Barrister)	Matthew Langworthy	Suzie Frankell
Criminal Justice Assistance Reimbursement Scheme	non judicial	Matthew Langworthy	Judge Kendall
Customs Appeal Authority	non judicial	Matthew Langworthy	Grant Pearson
Human Rights Review Tribunal	non judicial	Matthew Langworthy	Rodger Haines
Immigration Advisers Complaints and Disciplinary Authority	non judicial	Matthew Langworthy	Grant Pearson
Immigration and Protection Tribunal	judicial body	Jessie Henderson	Judge Spiller
International Education Appeal Authority	non judicial	Matthew Langworthy	About to be disestablished by Min of Education ... Dr Ian McAndrew
Land Valuation Tribunal	judicial body	Mark Wager	Chief District Court Judge / individual judges around NZ have warrants
Lawyers and Conveyances Disciplinary Tribunal	non judicial	Mark Wager	Judge Clarkson
Legal Aid Tribunal	non judicial	Matthew Langworthy	David Plunkett
Legal Complaints Review Officer	Non judicial	Mark Wager	Rex Maidment
Licensing Authority of Secondhand Dealers and Pawnbrokers	Non judicial	Matthew Langworthy	Stevan Cole
Motor Vehicle Disputes Tribunal	Non judicial	Mark Wager	Christopher Cornwell / Nicola Wills (two chairs)
Private Security Personnel Licensing Authority	Barrister or solicitor non judicial	Matthew Langworthy	Roger Gill
Real Estate Agents Disiciplinary Tribunal	Barrister or solicitor non judicial	Matthew Langworthy	Judge Barber
Review Authority	Barrister or solicitor non judicial	Matthew Langworthy	Judge Kendall
Social Security Appeal Authority	Non judicial	Matthew Langworthy	Marilyn Wallace
Student Allowance Appeal Authority	Barrister or solicitor non judicial	Matthew Langworthy	Neil Cameron
Taxation Review Authority	judicial body	Matthew Langworthy	Judge Sinclair
Trans-Tasman Occupations Tribunal	judicial body	Matthew Langworthy	Judge Sinclair
Victims Special Claims Tribunal	judicial body	Matthew Langworthy	Judge Blackie
Weathertight Homes Tribunal	non judicial	Mark Wager	Trish McConnell

File bundle 2014- 1861
07 - Onsite Audit

From:	Rebecca Smart
To:	"Clifton, Bronwen"
Subject:	Non-Judicial Authorities - Documentation Request
Date:	Wednesday, 1 April 2015 10:59:18 a.m.
Attachments:	Non-Judicial Authorities - Documentation Request.docx

Hi Bronwen

As discussed on the phone, a two hour meeting between Maria, Rob, you and I would be beneficial to ensure we've covered all aspects of the audit plan. I have just gone through the audit plan and identified what extra evidence will be required, so please find attached that request.
I look forward to hearing from in regards to the times available to meet.

Warm regards

Rebecca Smart | Senior Audit Advisor
Archives New Zealand Te Rua Mahara o te Kawanatanga
Direct Dial: +64 4 894 6075 | Extn: 9375| www.archives.govt.nz

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Public Records Act Audit of the Ministry of Justice, Non-Judicial Authorities – Onsite Audit request

Documentation

Referenced in self-assessment

- Documentation that shows the Ministry of Justices' Records Management Policy and Code of Conduct covers all staff employed by the non-judicial authorities.

- Evidence of a metadata policy/schema that is used for the Tribunal case management system

- Documentation around systems used for the management of hard copy files.

- ICT Disaster Recovery Plan that shows information around the TCM

- Complete ICT risk register and evidence that shows how often risks are monitored, reviewed and updated.

- Business Services Manager's job description

- Operational Support person's PDP – Training around records management (forums/Internal MOJ training)

- Budget information that covers staff salaries/off site storage

- Documentation that shows how staff are trained in procedure manuals, i.e. on-the-job induction evidence or checklists. Or emails around their training

- Case file auditing – issues or action log

- Documentation that shows how disposal authorities are mapped to hard copy files, i.e. a file classfication. Disposal Implementation plan

- Monitoring reports of TCM

- Managed spreadsheets around disposal metadata

Not referenced specifically – *we're not sure if the document(s) will exist or not, however, we've included them as if they are available. They will also cut down the time required onsite significantly.*

- Documentation that shows how records are backed up – maybe in Disaster recovery documentation.

- Evidence of off-site storage reports

- Evidence the ICT Disaster Recovery plan has been documented.

- Evidence that shows how often files are assessed to ensure storage arrangements are fit for purpose. E.g emails /memos

- Disposal register, procedures or porcesses.

Systems required access

- TCM

- JAX

- Shared Drives – access controls

File bundle 2014-1880
08 - Audit Report

From:	Denise Williams
To:	Polly Martin
Subject:	FW: PRA Audit MoJ
Date:	Friday, 24 April 2015 7:50:46 a.m.

Please can you make sure this is filed

From: Marilyn Little
Sent: Thursday, 23 April 2015 6:01 p.m.
To: 'tina wakefield'
Cc: Denise Williams
Subject: RE: PRA Audit MoJ

Kia Ora Tina

Good to hear from you. Going well here, thanks. How is it for you?

Appreciate your comments about the Ministry of Justice audit process.   Could well be helpful as the first 5 year cycle comes to an end at 30 June, and we are reviewing the audit process in 15/16.

A bit of background might be useful. In 2010 when the PRA audit programme was developed we determined that the goal of the initial five year audit round was to benchmark how Public offices were implementing the Public Records Act and associated mandatory standards. The audit process itself was designed to be open, transparent and agreed in the terms of engagement - which meant that there was no need for management comment on the report. We've used this process for all of the 186 public offices we have audited to date.   Appreciate that this is not the same process as for other audits such as security or IQA – that's because the intent behind the process introduced in 2010 was that all was agreed upfront in the terms of engagement.

At a meeting dated 11 August 2014, Rebecca Smart, Senior Audit Advisor took the Ministry Senior Responsible Officer for Ministry of Justice, Jasvinder Singh, General Manager Communication Services and Bronwyn Clifton, Manager Information Management Services through the Public Records Act audit process and assigned timelines as part of the terms of engagement. The process was agreed to by all parties concerned and as you know, has been implemented thus far.

Once the Ministry's self-assessment was completed, a desktop review was undertaken to validate the Ministry's self-assessment ratings with the evidence they had provided, where more clarification or validation was required the desktop reviewer asks questions and may/or may not request to see further evidence and suggest rating changes.

During the onsite audit additional evidence/ validation was requested and viewed by our auditor, this provided a basis for the rating changes and as part of the closing meeting process for the onsite audit those rating changes were discussed by the on-site auditor with Bronwyn Clifton on the 27 February 2015 and agreement was obtained for changes to be made.

Whilst I understand the issues you have raised, I would recommend that you await the final report where you will see that your concerns have been addressed in our recommendations as

appropriate. My staff are willing to go through the audit findings and recommendations in May 2015 if required.

Nga mihi
Marilyn

From: "Wakefield, Tina" <██████████████████>
Date: 17 April 2015 9:00:24 am NZST
To: "xxxxxxx.xxxxxx@xxx.xxxx.x" <xxxxxxx.xxxxxx@xxx.xxxx.x>
Subject: PRA Audit MoJ

Kia ora Marilyn

How's things going? I hope this finds you well.

I need to raise a couple of concerns I have wrt the recent of the Ministry's record keeping practices.

The Ministry of Justice Public Records Act Audit has been completed and we are expecting a final report to be sent in late April to our Chief Executive, Andrew Bridgeman. Unlike other audits -e.g. security, IQA etc, I have been involved with it seems we do not get the change to check the report for factual accuracy (we have asked and been declined), nor is there a section for management comment- it just goes directly to the CE.

Some concerns have been raised by staff who were involved with the Audit process.

These concerns relate to the auditor's upgrading of some of our self-assessment ratings.

The email from my staff notes:

"In particular the questions:

- 5.1.1 "Records management requirements are identified in business processes and functions".
  Our original self-assessment rating was that there was no progress, no coverage and no intentions to progress. This is a true reflection of our current environment and system limitations. The auditor has chosen to upgrade this to Progress underway, Coverage to most and Intentions to Progress to plans in place. There is no evidence to support this.

- 5.2.1 "Records are captured routinely, documented and organised according to the organisation's business requirements". The auditor has changed our self-assessment rating to reflect that he believes this is

complete and our intentions to progress from plans in place to completed. As the Ministry saves the majority of its content into a poorly controlled shared drive environment and email system then the auditor's upgrading is unsubstantiated.

- 5.3.3 Disposal authorities are mapped to systems that create and maintain records". The auditor has changed our coverage from some to all yet we know our disposal authorities are not mapped to either shared drives or our email system. There is no evidence to support this upgrade.

The audit of the Ministry's recordkeeping has failed to identify some fundamental and important gaps in our recordkeeping systems and processes. The audit is promoted by Archives New Zealand as a value-adding activity that will provide a gap analysis of our current recordkeeping capability against Public Record Act requirements and standards. The audit however, has failed to accurately identify areas for improvement by overstating the current level of the Ministry's compliance. This in turn will diminish our ability to justify recordkeeping improvements and initiatives to reduce the business risk from poor recordkeeping as Ministry priorities, and in particular investment in ECMS. Additionally I worry about risks to DIA to paint a more rosy picture than is the case. "

Marilyn, I am keen to understand where to from here? Do we just accept the findings and relay our concerns directly to our Chief Executive? I also think there is some reputational risk for DIA here as well.

Thanks,
Tina

Tina Wakefield
Deputy Secretary ICT/ Chief Information Officer
Ministry of Justice
19 Aitken Street
Wellington
DDI: +64 4 4664001
M: ███████████   s 9(2)(a)

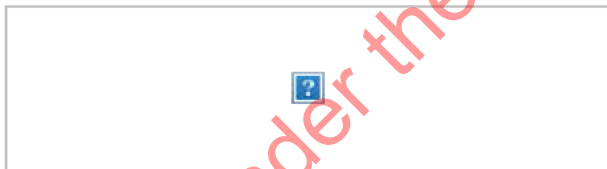|	
From:	Rebecca Smart
To:	Andrew Bridgman
Cc:	Tina Wakefield
Subject:	Public Records Act - Final Audit Findings Report - Ministry of Justice and non-Judicial Authorities
Date:	Tuesday, 28 April 2015 12:15:23 p.m.
Attachments:	Final Audit Report - Ministry of Justice.pdf
	Final Audit Letter - Ministry of Justice.pdf
	Final Audit Letter - Non judicial Authorities.pdf
	Final Audit Report - Non- Judicial Authorities.pdf
	image003.png

Kia ora Mr Bridgman

On behalf of Marilyn Little, Chief Archivist and General Manager, Archives New Zealand, please find attached the audit findings report of recordkeeping practices at the Ministry of Justice and the non-Judicial authorities.

If you have any questions please feel free to contact either the Chief Archivist or myself.

Nga mihi

Rebecca Smart | Senior Audit Advisor
Archives New Zealand Te Rua Mahara o te Kawanatanga
Direct Dial: +64 4 894 6075 | Extn: 9375| www.archives.govt.nz

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INTERNAL AFFAIRS

Te Tari Taiwhenua

24 April 2015

Mr Andrew Bridgman
Secretary for Justice and Chief Executive
Ministry of Justice

███████████████████

Dear Mr Bridgman

PUBLIC RECORDS ACT AUDIT OF THE NON-JUDICIAL AUTHORITIES

The attached Audit Findings Report provides the findings of the recent audit of the recordkeeping practices of the non-Judicial Authorities undertaken in accordance with section 33 of the Public Records Act 2005.

The objectives of the Public Records Act audits are to:

- provide an independent review of your organisation's recordkeeping capability development;
- assess compliance with the requirements of the Public Records Act; 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 Audit Findings Report and this letter to your managers with accountability for information management, records management, legal compliance reporting, risk management and business performance improvement. As noted in our first letter on 20 June 2014 the Audit Findings Report and this letter have been copied to Tina Wakefield, who is your organisation's Senior Responsible Officer for this audit.

Public Records Act requirements covered in your audit

The Public Records Act requires public offices to:

Section 17	create and maintain full and accurate records of their affairs;
Section 17	maintain public records in an accessible form, so as to be able to be used for subsequent reference;
Section 18	ensure that they have appropriate authority to dispose of public records;
Section 21	transfer possession and control of public records that have been in existence for 25 years; and
Section 27	comply with standards issued by the Chief Archivist.

Ref: 2014/1880

Released under the Official Information Act 1982

Under Section 27 of the Public Records Act, a new mandatory standard – *Records Management Standard for the New Zealand Public Sector* - was issued on 1 July 2014. It prescribes good recordkeeping practice for Public Offices (for further information, see http://archives.govt.nz/advice/guidance-and-standards/recordkeeping-standards).

Recordkeeping Capability Development

The recordkeeping audits assess organisational maturity against eight recordkeeping capability activities. Each activity is assessed against the requirements met and a rating for mature, developing or low capability is given. The attached table represents the assessment of capability within the non-Judicial Authorities.

Activities	Capability Assessment
Planning	Developing
Resourcing	Mature
Training	Developing
Reporting	Developing
Creation and capture	Developing
Retrievability and Security	Mature
Maintenance and storage	Mature
Disposal and transfer	Mature

Physical Storage Inspection   s 9(2)(ba)(ii)

The audit included a physical storage inspection of paper records stored at the Tribunals Unit, ███████████████████████. A summary of the findings is:

- Records are identified and controlled within storage areas.
- Disaster recovery plans do not cover paper records but plans are in place to use the Ministry's as a base for the non-Judicial Authorities plan.
- Staff are not trained to protect and salvage records in the case of an emergency.
- Security of records storage areas is managed with procedures in place for Access.

Compliance with Public Records Act

The audit found that the non-Judicial Authorities is making progress with developing its recordkeeping capability.

While there are areas of activity requiring attention, the overall awareness of requirements and responsibilities under the Public Records Act and mandatory standards is developing.

Some of the key findings are:

- The Tribunals Case Management system (TCM) has a clear link to the paper files.
- The Ministry's records management policy covers the non-Judicial Authorities.

- Desk files that cover records are used by some non-Judicial Authorities.
- Training on recordkeeping practices is provided on the job.
- The budget for the offsite storage of records at ██████████ is managed by the Business Services Manager.
- Auditing of case files is informal and some checks are made on the data entry into the Tribunals Case Management system.
- An approved Disposal Authority (DA415) is in place and disposal is underway for paper files.

s 9(2)(ba)
(ii)

The non-Judicial Authorities' stakeholders can therefore have a measure of assurance that its recordkeeping is developing in line with best practice, and contributing to broader organisational and governmental goals.

Recommendations for Capability Development

Accordingly, I recommend that the non-Judicial Authorities take steps to:

- train all staff on records management using the Ministry of Justice's online training package;
- develop and document a consistent approach to auditing Case files and identifying issues;
- to draft and implement desk files across all non-Judicial Authorities; and
- develop Disposal processes and procedures for digital records.

I have asked Polly Martin, Manager Advice and Compliance (polly.martin@dia.govt.nz – phone 04 894 6067) and Lisa Austin, Acting Manager Disposal and Acquisition (lisa.austin@dia.govt.nz – phone 04 495 6223) to contact your staff in order to provide advice and support around these recommendations.

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

Yours sincerely

Marilyn Little
Chief Archivist and General Manager
Archives New Zealand

CC: Tina Wakefield
Attached: Audit Findings Report including Storage checklist

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Archives New Zealand

Public Records Act Audit Findings Report

Ministry of Justice - Non-Judicial Authorities

February 2015

CONFIDENTIAL

Te Rua Mahara o te Kāwanatanga

aRCHIVES

NEW ZEALAND

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) 1. Planning 2. Resourcing 3. Training 4. Reporting	**Specific Recordkeeping Practice (Operational Requirements)** 5. Creation and Capture 6. Retrievability and Security 7. Maintenance and Storage 8. Disposal and Transfer

Stages of Achievement
1. **Initiation –** needs identified, evidence of planning i.e. solutions examined, systems designed 2. **Establishment –** evidence of practical application 3. **Extending Capability –** evidence of good practice, including regular review, monitoring and continuous improvement

Released under the Official Information Act 1982

Understanding the ratings

Legend

■				absent	No evidence of management understanding. No systematic approach
■	■			aware	Some management understanding. Uncoordinated, incomplete approaches providing inconsistent results
■	■	■		actioned	Managed approach
■	■	■	■	embedded	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.	Uncoordinated, ad hoc, incomplete processes for the management of records.	
Capability	Policy and plans are regularly reviewed and updated.	Uncoordinated, ad hoc, incomplete processes for the management of records.	

Resourcing

Stage	Description	Achievement	
Initiation	Resourcing requirements for recordkeeping identified.	Coordinated planning, documentation and review of resourcing requirements for the management of record is evident.	
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.	Coordinated planning, documentation and review of training requirements for the management of records is evident.	
Establishment	Training programme established.	Uncoordinated, ad hoc, incomplete processes for identifying training requirements for the management of records.	
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.	Uncoordinated, ad hoc, incomplete processes for identifying reporting requirements for the management of records.	
Capability	Recordkeeping is part of organisational risk and reporting framework.	No evidence of a strategic approach to the reporting requirements undertaken.	

Legend

	absent
	aware
	actioned
	embedded

Specific Recordkeeping Practice - Summary

Creation & Capture

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	Uncoordinated, ad hoc, incomplete systems and/or controls for the creation and capture of records.	
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.	Uncoordinated, ad hoc, incomplete systems and/or controls for the creation and capture of records.	

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.	Uncoordinated, ad hoc, incomplete systems and/or controls for the retrievability and security of records.	
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.	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.	Uncoordinated, ad hoc, incomplete processes in place for the disposal of records.	
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

Released under the Official Information Act 1982

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	The Ministry's records management policy covers the non-Judicial Authorities. All staff sign the Ministry of Justice's Code of Conduct as a condition of employment. In addition, established practices enhance, support and provide direction in relation to the recordkeeping requirements of the non-Judicial Authorities. RATING CHANGES Progress changed from `Under way' to `Completed and up to date' Intentions to Progress changed from `None' to `Completed'	Completed and up to date	All	Completed
2	Systems used to create and maintain records are identified and documented	Operational	Hard copy files are the official record of the non-Judicial Authorities. File creation is either through the Tribunals or the Central Processing	Completed and up to date	All	Completed

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Unit (CPU). Systems are in place to create and manage the records. The Tribunals Unit Case Management system (TCM) has a clear link to the hard copy files. RATING CHANGES Progress changed from `Under way' to `Completed and up to date' Coverage changed from `Some' to `All'			
3 Policies that include records management are documented and in use	Operational	The Ministry's records management policy covers the non-Judicial Authorities. All staff sign the Ministry of Justice's Code of Conduct as a condition of employment. In addition, established practices enhance, support and provide direction in relation to the recordkeeping requirements of the non-Judicial Authorities. Some of the Tribunals have desk files, although it was noted that some of these are out of date. The Tribunals Case Management system (TCM) reference matches the hard copy file numbers. RATING CHANGES Progress changed from `None' to ` Completed - some out of date' Intentions to Progress changed from `	Completed - some out of date	All	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		None' to `Plans in place'			

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Strategic/business plans include records management objectives and risks	Strategic	The Ministry of Justice's Information and Communications Technology (ICT) is responsible for the management of all backup processes for electronic records. This was previously discussed in detail at the Ministry of Justice. It was noted during the audit that many documents are now scanned and stored electronically. RATING CHANGES Coverage changed from `None' to `Most' Intentions to Progress changed from `None' to `Plans in place'	Under way	Most	Plans in place
2 Procedures that include records management have been documented and are in use	Operational	Some Tribunals are now using desk files and these tend to be the newer organisations. The desk files are set up through a project team. It was noted during the audit that there is a move to have desk files across the	Under way	Most	Undecided

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		various Tribunals.			
		RATING CHANGES Coverage changed from `Some' to `Most' Intentions to Progress changed from `Completed' to `Undecided'			

Capability

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Policies and procedures that include records management are monitored and regularly reviewed	Operational	There is an ongoing overview of records by the Judicial Officers who use the files during hearings and the various decision-making processes. Feedback on any issues which are noted is provided through the Jurisdiction managers. RATING CHANGES Coverage changed from `Most' to `Some' Intentions to Progress changed from `Completed' to `Plans in place'	Under way	Some	Plans in place
2	Objectives and risks that include records management are monitored and regularly reviewed	Compliance	The ICT risk register is a dedicated resource which is reviewed on a monthly basis. The top five risks are	Under way	Most	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		seen by the Chief Executive on a monthly basis. The risks are also discussed at the quarterly managers meeting. RATING CHANGES Coverage changed from `Some' to `Most' Intentions to Progress changed from `Completed' to `Plans in place'			

Resourcing

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management is resourced appropriately	Strategic	Evidence provided supports rating.	Completed and up to date	Most	Completed
2	Responsibility for records management is assigned	Compliance	The role of the Business Services Manager was discussed during the onsite audit. While the Business Services Manager has an identified role in the recordkeeping processes, it was clear from the discussion that there is a shared responsibility across all staff for good recordkeeping to occur.	Completed and up to date	All	Completed

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Staff assigned to records management have been given appropriate training	Operational	Evidence provided supports rating.	Completed and up to date	Most	Completed

Capability

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Development of staff assigned to records management is monitored and regularly reviewed	Operational	The Performance Review process was discussed during the onsite audit. The Manager has a monthly meeting with staff and there are quarterly performance review updates, with the main review being held annually. This is a two-way process where training needs can be discussed. While there is no formal recordkeeping training, a clear link has now been established between the non-Judicial Authorities and the Ministry of Justice which should assist in the wider recordkeeping issues and training. RATING CHANGES Progress changed from `Completed and up to date' to `Under way' Coverage changed from `All' to `Most' Intentions to Progress changed from `Completed' to `Plans in place'	Under way	Most	Plans in place
2	Budget planning considers resourcing and improvements for records management	Strategic	The budget process was discussed although actual budgets were not seen during the audit. There is a central pool of money available through the Ministry of Justice. ▮ ▮▮▮▮▮▮▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮▮▮▮▮ is managed by the Business Services	Completed and up to date	All	Completed

s 9(2)(ba)(ii)

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Manager.			
		RATING CHANGE Progress changed from `Under way' to `Completed and up to date'			

Training

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Staff understand their obligations to create and maintain records of the organisations' activities	Operational	A process of on-the-job training is used whereby Jurisdiction Managers train new case managers. RATING CHANGES Progress changed from `Under way' to `Completed - some out of date' Coverage changed from `Some' to `All' Intentions to Progress changed from `Completed' to `Plans in place'	Completed - some out of date	All	Plans in place

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	Operational	A process of on-the-job training is used. There is little records specific training. It was noted that the Support Services team see every record at some stage.	Under way	Some	Plans in place

Capability

Question		Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management training needs for all staff is monitored and regularly reviewed	Operational	Evidence provided supports rating.	Under way	Some	Plans in place

Reporting

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Monitoring of records management compliance is documented	Reporting	Auditing of case files is informal. Some checks are made to check data entry into the Tribunal Case Management System (TCM) and the information which is held on file. All hard copy files are viewed by someone in a responsible position. RATING CHANGES Progress changed from `None' to `Under way' Coverage changed from `None' to `Most' Intentions to Progress changed from `None' to `Plans in place'	Under way	Most	Plans in place

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Policies, procedures and processes that include records management are monitored and regularly reported on	Reporting	Monitoring is informal, however, the Business Services Manager noted that there is a quick response to any	Under way	Some	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		issues which are identified. The Alcohol Authority has a public register which has a monitoring and review process.			

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 The effectiveness of the records management capability of the organisation is regularly assessed	Reporting	Evidence provided supports rating. Recommendation to incorporate elements of the Public Records Act 2005 and the associated mandatory standard within the Ministry's internal audit programme.	None	None	None

Specific Recordkeeping Practice

Creation and capture

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management requirements are identified in business processes and functions	Compliance	Evidence provided supports rating.	Under way	Some	Undecided
2	Records of all business activities are managed within the appropriate systems	Compliance	The Tribunals Case Management (TCM) system and JAX (Ministry's data repository) were not seen in operation during the audit visit. The operation of both TCM and JAX had been assessed in detail during other recent audits in several locations. No issues were identified with either system.	Under way	Some	Plans in place

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records are captured routinely,	Compliance	Evidence provided supports rating.	Completed and up	All	Completed

Released under the Official Information Act 1982

Audit Findings Report of Ministry of Justice - Non-Judicial Authorities

Year 2014/2015

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
documented and organised according to the organisation's business requirements			to date		
2 Records management data is assigned, documented and is in use	Operational	Evidence provided supports rating.	Under way	Some	Plans in place

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Records management data is maintained, monitored and reviewed	Operational	Evidence provided supports rating.	Under way	Some	Plans in place
2 Systems that create and maintain records are monitored and regularly reviewed	Strategic	Evidence provided supports rating.	Under way	Some	Plans in place
3 Disposal authorities are mapped to systems that create and maintain records	Strategic	The non-Judicial Authorities have a Disposal Authority drawn up by SWIM. A spreadsheet is used to match files to the Disposal Authority. Any destruction of records is carried out through On-Line Security. Retention times are currently under review for some of the non-Judicial Authorities (Second-hand dealers, Copyright and PSPCA). RATING CHANGES Progress changed from `None' to `Under way'	Under way	Some	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Coverage changed from `None' to `Some' Intentions to Progress changed from `None' to `Plans in place'			

Retrievability and security

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Access to and use of records is managed within the appropriate systems	Operational	███████████ ███████ ███████████ ███████ ███████	Under way	All	Plans in place

s 9(2)(ba)(ii)

RATING CHANGE
Coverage changed from `Most' to `All'

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Sensitive and restricted records are identified, documented and controlled	Compliance	███████████ ███████████ ███████	Completed - some out of date	All	Plans in place

s 9(2)(ba)(ii)

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		RATING CHANGES Progress changed from `Under way' to `Completed - some out of date' Intentions to Progress changed from `Completed' to `Plans in place'			
2 Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification s 9(2)(ba)(ii)	Compliance	▮▮▮▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮▮ ▮▮▮ RATING CHANGES Progress changed from `Under way' to `Completed - some out of date' Intentions to Progress changed from `Completed' to `Plans in place'	Completed - some out of date	All	Plans in place
3 Records 25 years of age or older are covered by an Access Authority	Compliance	Evidence provided supports rating.	None	None	None

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 The ability to locate and use records is monitored and routinely audited	Operational	The Tribunals Case Management (TCM) system was not seen in operation at the non-Judicial	Under way	All	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
	s 9(2)(ba)(ii)	Authorities. The operation of TCM has been assessed in detail during other recent audits in several locations. It was noted during the audit that audit trails exist for TCM but not for shared drives. Files can be tracked and there is an identified point of contact for the movement of records between ███████ ████████████████████ ██████ Intentions to Progress changed from `Completed' to `Plans in place'			

Maintenance and storage

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	All records are managed so they cannot be altered, deleted or disposed of without permission s 9(2)(ba)(ii)	Operational	All records of the non-Judicial Authorities in Wellington are ███ ████████████ There are established backup procedures and practices for electronic records which are driven by the Ministry of Justice. RATING CHANGES Progress changed from `Completed and up to date' to `Completed - some out of date' Coverage changed from `All' to `Most' Intentions to Progress changed from `Completed' to `Plans in place'	Completed - some out of date	Most	Plans in place
2	An assessment of records storage has been undertaken to ensure records are stored appropriately s 9(2)(ba)(ii)	Compliance	Records storage at the non-Judicial Authorities was seen in operation at an earlier visit. ████████ ████████████ ████████████ It was noted that no visit has yet been made to see the	Completed and up to date	All	Completed

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		operation of ███████	s 9(2)(ba)(ii)		
		RATING CHANGES Progress changed from 'Underway' to 'Completed and up to date'			

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	Records storage at the non-Judicial Authorities was seen in operation at an earlier visit. ████████ ████████ ████████ It was noted that no visit has yet been made to see the operation of ███████. No issues were seen with records storage at the non-Judicial Authorities. RATING CHANGES Progress changed from 'Underway' to 'Completed and up to date'	Completed and up to date s 9(2)(ba)(ii)	All	Completed
2 Disaster Recovery/Business Continuity Plan includes the protection and salvage of	Operational	It was noted during the audit that the non-Judicial Authorities try and	Completed - some out of date	Some	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
records		update the Business Continuity Plan every couple of months. As a result of the audit discussions, a link has been established between the non-Judicial Authorities and the Ministry of Justice regarding Disaster Recovery. RATING CHANGES Progress changed from 'Completed and up to date' to 'Completed - some out of date' Coverage changed from 'All' to 'Some' Intentions to Progress changed from 'Completed' to 'Plans in place'			

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	Operational	The Business Continuity Plan (BCP) was used following a recent Wellington earthquake. It was noted during the audit that the non-Judicial Authorities try and update the BCP every couple of months. As a result of the audit discussions, a link has been established between the non-Judicial Authorities and the Ministry of	Under way	Some	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Justice regarding Disaster Recovery.			
		RATING CHANGES Progress changed from `Completed and up to date' to `Under way' Coverage changed from `All' to `Some' Intentions to Progress changed from `Completed' to `Plans in place'			
2 Storage arrangements for records are monitored and regularly reviewed	Strategic	Records storage at the non-Judicial Authorities was seen in operation during an earlier visit. ███████ ████████████ ████████████ ████████████ ████████████ ███████████████. It was noted that no visit has yet been made to see the operation of ███████ ████ No issues were identified with records storage at the non-Judicial Authorities. There are established backup procedures and practices for electronic records which are driven by the Ministry of Justice.	Completed and up to date s 9(2)(ba)(ii)	All	Completed

Disposal and transfer

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records have been appraised and disposal authorities agreed	Compliance	Evidence provided supports rating.	Completed and up to date	All	Completed
2	Regular and efficient disposal of the organisation's records is planned and documented	Operational	All disposal of records is carried out through On-Line Security. All records are checked prior to disposal to ensure that no new documents have been added to files. Records are also checked to ensure that the appeal provisions set in legislation are recognised prior to any disposal. It was noted that a spreadsheet is maintained to show details of any records which are disposed of. Approval for the disposal of any records is through the Business Services Manager.

RATING CHANGES
Progress changed from `Completed and up to date' to `Under way'
Intentions to Progress changed from `Completed' to `Plans in place' | Under way | All | Plans in place |

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Disposal procedures and processes are implemented and in use regularly	Compliance	All disposal of records is carried out through On-Line Security. All records are checked prior to disposal to ensure that no new documents have been added to files. Records are also checked to ensure that the appeal provisions set in legislation are recognised prior to any disposal. It was noted that a spreadsheet is maintained to show details of any records which are disposed of. Approval for the disposal of any records is through the Business Services Manager. RATING CHANGE Coverage changed from `Some' to `Most'	Under way	Most	Plans in place
2 All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement	Compliance	It was noted during the audit that there are currently no records 25 years and older which are required by the non-Judicial Authorities. Some records 25 years and older (e.g. the Erebus Royal Commission of Enquiry) are at Archives New Zealand. The non-Judicial Authorities are not currently seeking a deferral of transfer.	None	None	None

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		RATING CHANGES Progress changed from `Under way' to `None' Coverage changed from `All' to `None' Intentions to Progress changed from `Completed' to `None'			

Capability

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management data about disposal of records is retained for as long as required	Operational	All disposal of records is carried out through On-Line Security. All records are checked prior to disposal to ensure that no new documents have been added to files. Records are also checked to ensure that the appeal provisions set in legislation are recognised prior to any disposal. It was noted that a spreadsheet is maintained to show details of any records which are disposed of. Approval for the disposal of any records is through the Business Services Manager. A copy of the spreadsheet was requested during the audit and is to be provided.	Completed and up to date	All	Completed

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
2	Disposal procedures and processes are monitored and reviewed	Operational	All disposal of records is carried out through On-Line Security. All records are checked prior to disposal to ensure that no new documents have been added to files. Records are also checked to ensure that the appeal provisions set in legislation are recognised prior to any disposal. It was noted that a spreadsheet is maintained to show details of any records which are disposed of. Approval for the disposal of any records is through the Business Services Manager. RATING CHANGES Progress changed from `Completed and up to date' to `Under way' Intentions to Progress changed from `Completed' to `Plans in place'	Under way	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

Storage Checklist for Onsite Audit

Client: **Non-Judicial Authorities, Wellington**

Date: **27 March 2015**

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 *(Applies to all records and archives)*	YES	NO	Comments
Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.	✓		
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.	✓		
Procedures are in place for retrieving, handling and re-shelving of records (including returning records to offsite storage).	✓		
Inactive records of archival value must be identified so that they can be stored appropriately.	✓		
Facilities *(Applies to inactive records and archives)*	**YES**	**NO**	**Comments**
Records not in active use are stored in a dedicated storage area.	✓		
Storage areas allow ongoing access to the records by authorised users.	✓		███████ s 9(2)(ba)(ii)
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 of Warrant of Fitness)			Certificate details not checked during the visit, but the building is of high standard and shared by several tenants.

	✓		
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.			Not checked during the visit, but the building is of high standard and shared by several tenants.

Protection against Disaster *(Applies to all records and archives)*	YES	NO	Comments
Disaster management programmes are established and maintained to minimise risks.		✓	There are plans to use the Ministry's disaster management plan for paper records as a basis.
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.		✓	There are plans to use the Ministry's disaster management plan for paper records as a basis.
Staff who are responsible for records are trained in emergency procedures to protect and salvage the records.		✓	
There is a comprehensive fire protection system and equipment for the building, in compliance with the New Zealand Building code.	✓		

Security *(Applies to inactive records and archives)*	YES	NO	Comments s 9(2)(ba)(ii)
Records are secure against theft, vandalism, misuse, or inadvertent release.	✓		██████████████████████
Records which contain sensitive or classified information are identified and protected.	✓		██████████████████████
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 *(Applies to inactive records and archives)*	YES	NO	Comments
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.	✓		
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%.			Not checked specifically but records storage is of high standard.
Inactive records of archival value must be stored in conditions where the temperature is never above 25 degrees centigrade.			Not checked specifically but records storage is of high standard.
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.			Not checked specifically but records storage is of high standard.
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.			Not checked specifically but records storage is of high standard.
Environmental conditions for records of archival value must be regularly monitored and records of monitoring must be kept.			Not checked specifically but records storage is of high standard.

INTERNAL AFFAIRS

Te Tari Taiwhenua

24 April 2015

Mr Andrew Bridgman
Secretary for Justice and Chief Executive
Ministry of Justice

Dear Mr Bridgman

PUBLIC RECORDS ACT AUDIT OF THE MINISTRY OF JUSTICE

The attached Audit Findings Report provides the findings of the recent audit of the recordkeeping practices of the Ministry of Justice undertaken in accordance with section 33 of the Public Records Act 2005.

The objectives of the Public Records Act audits are to:

- provide an independent review of your organisation's recordkeeping capability development;
- assess compliance with the requirements of the Public Records Act; 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 Audit Findings Report and this letter to your managers with accountability for information management, records management, legal compliance reporting, risk management and business performance improvement. As noted in our first letter on 20 June 2014 the Audit Findings Report and this letter have been copied to Tina Wakefield, who is your organisation's Senior Responsible Officer for this audit.

Public Records Act requirements covered in your audit

The Public Records Act requires public offices to:

Section 17	create and maintain full and accurate records of their affairs;
Section 17	maintain public records in an accessible form, so as to be able to be used for subsequent reference;
Section 18	ensure that they have appropriate authority to dispose of public records;
Section 21	transfer possession and control of public records that have been in existence for 25 years; and
Section 27	comply with standards issued by the Chief Archivist.

Ref: 2014/1880

Under Section 27 of the Public Records Act, a new mandatory standard – *Records Management Standard for the New Zealand Public Sector* - was issued on 1 July 2014. It prescribes good recordkeeping practice for Public Offices (for further information, see http://archives.govt.nz/advice/guidance-and-standards/recordkeeping-standards).

Recordkeeping Capability Development

The recordkeeping audits assess organisational maturity against eight recordkeeping capability activities. Each activity is assessed against the requirements met and a rating for mature, developing or low capability is given. The attached table represents the assessment of capability within the Ministry of Justice.

Activities	Capability Assessment
Planning	Mature
Resourcing	Mature
Training	Developing
Reporting	Mature
Creation and capture	Developing
Retrievability and Security	Developing
Maintenance and storage	Mature
Disposal and transfer	Mature

Physical Storage Inspection

The audit included a physical storage inspection of paper records stored on ███████████ ███████████████████████████. A summary of the findings is:

s 9(2)(ba) (ii)

- Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.
- ██
  ██████████████████████████████████
- The Disaster management plan is established and available via JET (the intranet).
- The Manager Information Management Services has completed protection and salvage training.

Compliance with Public Records Act

The audit found that the Ministry of Justice is making progress with developing its recordkeeping capability.

While there are areas of activity requiring attention, the overall awareness of requirements and responsibilities under the Public Records Act and mandatory standards is developing.

Some of the key findings are:

- The audit found that Ministry of Justice is aware of areas for recordkeeping focus, and good progress is being made.
- The Ministry of Justice is identifying areas for recordkeeping development and coordination using a risk based approach.
- Plans are in place to improve electronic records management based on an Enterprise Content Management System.
- The Information Management Services team appears to be very well aware of the resourcing implications of ensuring that both the day to day records management activities and the Enterprise Content Management System development are successful and meets the needs of the organisation.

The Ministry of Justice's stakeholders can therefore have a measure of assurance that its recordkeeping is developing in line with best practice, and contributing to broader organisational and governmental goals.

Recommendations for Capability Development

Accordingly, I recommend that the Ministry of Justice take steps to:

- include online training for records management within the Ministry's induction programme;
- further develop and implement plans to replace Jukebox with an Enterprise Content Management System;
- implement the Ministry's business classification structure on shared drives;
- incorporate elements of the Public Records Act 2005 and the associated mandatory standard within the Ministry's internal audit programme;
- develop Disposal processes and procedures for digital records; and
- to draft and implement a new Disposal Authority that accurately reflects the Ministry's business functions, activities and transactions for both digital and physical records.

I have asked Polly Martin, Manager Advice and Compliance (polly.martin@dia.govt.nz – phone 04 894 6067) and Lisa Austin, Acting Manager Disposal and Acquisition (lisa.austin@dia.govt.nz – phone 04 495 6223) to contact your staff in order to provide advice and support around these recommendations.

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

Yours sincerely

Marilyn Little
Chief Archivist and General Manager
Archives New Zealand

CC: Tina Wakefield
Attached: Audit Findings Report including Storage checklist

Archives New Zealand

Public Records Act Audit Findings Report

Ministry of Justice - Non-Judicial Authorities

February 2015

CONFIDENTIAL

Te Rua Mahara o te Kāwanatanga
arCHives
NEW ZEALAND

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) 1. Planning 2. Resourcing 3. Training 4. Reporting	**Specific Recordkeeping Practice (Operational Requirements)** 5. Creation and Capture 6. Retrievability and Security 7. Maintenance and Storage 8. Disposal and Transfer

Stages of Achievement
1. **Initiation –** needs identified, evidence of planning i.e. solutions examined, systems designed 2. **Establishment –** evidence of practical application 3. **Extending Capability –** evidence of good practice, including regular review, monitoring and continuous improvement

Understanding the ratings

Legend

absent	No evidence of management understanding. No systematic approach	
aware	Some management understanding. Uncoordinated, incomplete approaches providing inconsistent results	
actioned	Managed approach	
embedded	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.	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.	Uncoordinated, ad hoc, incomplete processes for identifying training requirements for the management of records.	
Establishment	Training programme established.	Uncoordinated, ad hoc, incomplete processes for identifying training requirements for the management of records.	
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.	Effective management of reporting programme is fully integrated with strategic and operational activities.	
Establishment	Basic operational reporting established.	Effective management of reporting programme is fully integrated with strategic and operational activities.	
Capability	Recordkeeping is part of organisational risk and reporting framework.	Uncoordinated, ad hoc, incomplete processes for identifying reporting requirements for the management of records.	

Legend

absent

aware

actioned

embedded

Specific Recordkeeping Practice - Summary

Creation & Capture

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	Uncoordinated, ad hoc, incomplete systems and/or controls for the creation and capture of records.	
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.	Uncoordinated, ad hoc, incomplete systems and/or controls for the creation and capture of records.	

Retrievability & Security

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	Uncoordinated, ad hoc, incomplete systems and/or controls for the retrievability and security of records.	
Establishment	Systems and controls are implemented.	Uncoordinated, ad hoc, incomplete systems and/or controls for the retrievability and security of records.	
Capability	Systems and controls are actively monitored and reviewed.	Uncoordinated, ad hoc, incomplete systems and/or controls for the retrievability and security of records.	

Maintenance & Storage

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	No evidence of systems and/or controls in place for the maintenance and storage of records.	
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.	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.	Uncoordinated, ad hoc, incomplete processes in place for the disposal of records.	
Capability	Disposal of records actively managed.	Effective systems and/or controls for the disposal of records is fully integrated within operational activities.	

Legend

absent

aware

actioned

embedded

Released under the Official Information Act 1982

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	There was clear evidence of appropriate policies and guidance seen during the onsite audit. The Ministry of Justice Code of Conduct is available to all staff on the Intranet as is the Records Management Policy. The Information Security Policy provides a high level overview for the whole organisation. It was due for review in July 2014 but this has not yet occurred. Staff advised that the intention is to complete the review within three months. Despite the fact that the policy is beyond its anticipated review date, it is still considered applicable to the organisation. RATING CHANGE Progress changed from 'Under way' to	Completed and up to date	All	Completed

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
			'Completed and up to date'			
2	Systems used to create and maintain records are identified and documented	Operational	The Ministry of Justice has a new Director of Strategy and Architecture. He is currently working on a revision to the Enterprise Architecture information. The timescale for completion is not yet specified but is expected to be within the next three months.	Under way	Some	Plans in place
3	Policies that include records management are documented and in use	Operational	Evidence provided supports ratings	Completed and up to date	All	Completed

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Strategic/business plans include records management objectives and risks	Strategic	The issue of strategic/business planning was discussed in detail during the onsite audit. There is a clear focus on the strategic place of business records within the Ministry of Justice. A number of initiatives are planned to further improve the current situation. The desktop review recommendations are appropriate based on observations during the audit.	Completed and up to date	All	Completed

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		RATING CHANGE Progress changed from 'Under way' to 'Completed and up to date'			
2 Procedures that include records management have been documented and are in use s 9(2)(ba)(ii)	Operational	Finance and Human Resources (HR) records are handled as separate operations within the Ministry of Justice. ████████████ ████████████ ████████████ ████████████ ████████████ ████████████ ████. There are clearly identified records management policies, procedures and support services in evidence across the organisation. RATING CHANGE Progress changed from 'Under way' to 'Completed - some out of date' Coverage changed from 'Most' to 'All' Intentions to Progress 'Plans in place' to 'Completed'	Completed - some out of date	All	Completed

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Policies and procedures that include records management are monitored and regularly reviewed	Operational	The Information Security Policy provides a high level overview for the whole organisation. It was due for review in July 2014 but this has not yet occurred. Staff advised that the intention is to complete the review within three months. Despite the fact that the policy is beyond its anticipated review date, it is still considered applicable to the organisation. RATING CHANGE Progress changed from 'Under way' to 'Completed - some out of date'	Completed - some out of date	Most	Completed
2	Objectives and risks that include records management are monitored and regularly reviewed	Compliance	Evidence provided supports ratings	Under way	Most	Plans in place

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Year 2014/2015

Resourcing

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management is resourced appropriately	Strategic	Evidence provided supports ratings	Completed and up to date	All	Completed
2	Responsibility for records management is assigned	Compliance	Evidence provided supports ratings	Completed and up to date	All	Completed

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Staff assigned to records management have been given appropriate training	Operational	There was clear evidence of appropriate training seen during the onsite audit. The Senior Advisor and Information Advisor roles are records management professionals who belong to the Records and Information Management Professionals Association (RIMPA). Staff attend seminars as appropriate and there are a number of formal and informal training opportunities available. On the job training is used within the Ministry of Justice and	Completed and up to date	All	Completed

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		appeared to be successful. The Manager Information Management Services (IMS) has completed the protection and salvage of records training. The Ministry of Justice is putting two people through the Archives New Zealand Public Records Act training course.			

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Development of staff assigned to records management is monitored and regularly reviewed	Operational	There is a Personal Development Plan (PDP) process for all staff within the Ministry of Justice. Reviews are held annually. The PDP for the Manager IMS, dated 1 July 2014, was seen during the onsite audit. The Manager meets with all of her staff every fortnight to review progress and issues. This seemed to work well in practice.	Completed and up to date	All	Completed
2 Budget planning considers resourcing and improvements for records management	Strategic	Evidence provided supports ratings	Completed and up to date	All	Completed

Training

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Staff understand their obligations to create and maintain records of the organisations' activities	Operational	Evidence provided supports ratings	Under way	Some	Plans in place

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	Operational	Evidence provided supports ratings	Under way	Some	Plans in place

Capability

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management training needs for all staff is monitored and regularly reviewed	Operational	Evidence provided supports ratings	Under way	Some	Plans in place

Reporting

Initiation

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Monitoring of records management compliance is documented	Reporting	There is a continual monitor of records by the IMS team and legislative compliance is an ongoing process. The organisational aim is to further improve the recordkeeping systems by the implementation of an Enterprise Content Management System (ECMS). A paper outlining the ECMS went to the Planning and Resources Committee in January 2015. The next step is for the Manager IMS to follow up with more detail, and this was completed on 15 January 2015. The paper has now gone back to the Planning and Resources Committee for approval. Funding for the ECMS will be sought from the Investments Committee on 25 March 2015.	Completed and up to date	All	Completed

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to

				Progress	
1	Policies, procedures and processes that include records management are monitored and regularly reported on	Reporting	There are a number of records management policies and all have a date for review or renewal. Procedures and processes are altered and updated as required. The Manager IMS does a monthly report on business activity and the report for July-December 2014 was seen during the onsite audit. The report goes to the Chief Information Officer (CIO) and provides a focus on recordkeeping issues. The disaster recovery procedure for paper records was recently reviewed. This was to align the procedure with current practice. The revision was followed by training for various users in Wellington and Tauranga. The ICT risk register (November 2014) was seen during the audit. The next review is due in March 2015.	Completed and up to date	All	Completed

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 The effectiveness of the records management capability of the organisation is regularly assessed	Reporting	Evidence provided supports ratings	Under way	Some	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress

Specific Recordkeeping Practice

Creation and capture

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management requirements are identified in business processes and functions	Compliance	The current records management system is based around hard-copy paper records, Jukebox and shared drives. The Ministry of Justice is now opening up to the more strategic issues across the organisation and is investigating the implementation of an ECMS. There is also some ongoing discussion with Courts regarding the introduction of a paperless system. The IMS team has increasing exposure to records management involvement at the beginning and end of projects to ensure that recordkeeping needs are met. RATING CHANGE Progress changed from 'None' to 'Under way' Coverage changed from 'None' to	Under way	Most	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		'Most' Intentions to Progress changed from 'None' to 'Plans in place'			
2 Records of all business activities are managed within the appropriate systems	Compliance	Evidence provided supports ratings	Under way	Some	Plans in place

Establishment

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Records are captured routinely, documented and organised according to the organisation's business requirements	Compliance	The operation of Jukebox was seen in practice during the onsite audit. Jukebox was developed in 2004 and has been in use since that time. Jukebox is apparently nearing the end of its useful life and the aim is to replace it with the ECMS. HR and Finance records are handled and stored separately from general records. The IMS team is clearly involved in ensuring that records management works. The systems should be enhanced with the planned developments. RATING CHANGE Progress changed from 'Under way' to 'Completed - some out of date'	Completed - some out of date	All	Completed

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		Coverage changed from 'Some' to 'All' Intentions to Progress changed from 'Plans in place' to 'Completed'			
2 Records management data is assigned, documented and is in use	Operational	Evidence provided supports ratings Recommendation : Ensure all systems - Human Resources/Case Management and Finance Management follow the metadata schema.	Under way	Some	Plans in place

Capability

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1 Records management data is maintained, monitored and reviewed	Operational	Evidence provided supports ratings Recommendation : Add this to internal audit checklists to be checked as part of business units audits, e.g. during Human Resources/Finance Management and Case Management systems audits.	Under way	Some	Plans in place
2 Systems that create and maintain records are monitored and regularly reviewed	Strategic	Evidence provided supports ratings Recommendation : Ensure that Case Management systems plus Human Resources and Finance are included	Under way	Some	Plans in place

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		in the plans in place.			
3 Disposal authorities are mapped to systems that create and maintain records	Strategic	The operation of Jukebox was seen in practice during the onsite audit. There is a link to retention and disposal within Jukebox. The Ministry of Justice National Office disposal authority expires in 2016 and is currently under review. The retention and disposal schedules were seen during the audit (DA220 - current, to be reviewed. DA415 - Ministry of Justice Tribunals expires February 2020). RATING CHANGE Progress changed from 'Under way' to 'Completed - some out of date' Coverage changed from 'Some' to 'All' Intentions to progress changed from 'Undecided' to 'Completed'	Completed - some out of date	All	Completed

Retrievability and security

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Access to and use of records is managed within the appropriate systems	Operational	Evidence provided supports ratings	Under way	Some	Plans in place

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Sensitive and restricted records are identified, documented and controlled	Compliance	Evidence provided supports ratings	Under way	Some	Plans in place
2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification	Compliance	There are some access permissions applied in both Jukebox and the shared drives which is manager driven. Records management across the Ministry of Justice is further developing with the planned implementation of the Enterprise Content Management System (ECMS). Sensitive and restricted records will be focused on as part of this development.	Under way	Some	Plans in place
3	Records 25 years of age or older are covered by an Access Authority	Compliance	Evidence provided supports ratings	Under way	Most	Plans in place

Audit Findings Report of Ministry of Justice

Year 2014/2015

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress

Capability

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	The ability to locate and use records is monitored and routinely audited	Operational	Evidence provided supports ratings	Under way	Some	Plans in place

Maintenance and storage

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	All records are managed so they cannot be altered, deleted or disposed of without permission	Operational	Evidence provided supports ratings	None	None	None
2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Compliance	Evidence provided supports ratings	Under way	Some	Undecided

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 provided supports ratings	Under way	Some	Plans in place
2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	Operational	Evidence provided supports ratings	Completed and up to date	All	Completed

Capability

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to

Released under the Official Information Act 1982

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						Progress
1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	Operational	Evidence provided supports ratings	Completed and up to date	Some	Completed
2	Storage arrangements for records are monitored and regularly reviewed	Strategic	Evidence provided supports ratings	Completed and up to date	Some	Completed

Disposal and transfer

Initiation

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records have been appraised and disposal authorities agreed	Compliance	Evidence provided supports ratings	Completed and up to date	All	Completed
2	Regular and efficient disposal of the organisation's records is planned and documented	Operational	Evidence provided supports ratings	Under way	Some	Plans in place

Establishment

	Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Disposal procedures and processes are implemented and in use regularly	Compliance	Evidence provided supports ratings	Under way	Some	Plans in place
2	All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement	Compliance	The Ministry of Justice has one current Deferral of Transfer (DT) in place. This is DT33, it only applies to very old adoption records and case files which arose from the change from the old Department of Courts. There are no records that are 25 years of age or older ▮▮▮▮ ▮▮▮▮ All records that should have gone have done so. There has been	Completed - some out of date	Some	Completed

s 9(2)(ba)(ii)

Question	Risk	Audit Findings	Progress	Coverage	Intentions to Progress
		no transfer or disposal for approximately three years. A project is underway on legacy records sentencing. The oldest records are approximately 15 years old. Evidence of the legacy project was seen during the audit. RATING CHANGE Progress changed from 'Under way' to 'Completed - some out of date'			

Capability

Question		Risk	Audit Findings	Progress	Coverage	Intentions to Progress
1	Records management data about disposal of records is retained for as long as required	Operational	Evidence provided supports ratings	Completed and up to date	All	Completed
2	Disposal procedures and processes are monitored and reviewed	Operational	Evidence provided supports ratings	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 Checklist for Onsite Audit

Client: **Ministry of Justice**

SRO: **Bronwen Clifton, Manager Information and Document Management**

Date: **26/27 February 2015**

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 *(Applies to all records and archives)*	YES	NO	Comments
Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.	✓		██████████████████ s 9(2)(ba)(ii)
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.	✓		
Procedures are in place for retrieving, handling and re-shelving of records (including returning records to offsite storage).	✓		
Inactive records of archival value must be identified so that they can be stored appropriately.	✓		
Facilities *(Applies to inactive records and archives)*	**YES**	**NO**	**Comments**
Records not in active use are stored in a dedicated storage area.	✓		
Storage areas allow ongoing access to the records by authorised users.	✓		████████ s 9(2)(ba)(ii)
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 of Warrant of Fitness)	✓		Certificate dated 9 September 2014.
The building in which records are stored must have adequate drainage systems to prevent flooding.	✓		

	YES	NO	
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 *(Applies to all records and archives)*	**YES**	**NO**	**Comments**
Disaster management programmes are established and maintained to minimise risks.	✓		Disaster management programmes available to all staff via the intranet.
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.	✓		Disaster management plan available to all staff via the intranet.
Staff who are responsible for records are trained in emergency procedures to protect and salvage the records.	✓		Bronwen has completed the training course.
There is a comprehensive fire protection system and equipment for the building, in compliance with the New Zealand Building code.	✓		Sprinklers and smoke detectors throughout.
Security *(Applies to inactive records and archives)*	**YES**	**NO**	**Comments**
Records are secure against theft, vandalism, misuse, or inadvertent release.	✓		
Records which contain sensitive or classified information are identified and protected.	✓		████████████████████
Access to records storage are controlled and restricted to authorised staff.	✓		s 9(2)(ba)(ii)
Storage areas are intruder resistant and have an intruder alarm system.	✓		
Shelving and Packaging *(Applies to inactive records and archives)*	**YES**	**NO**	**Comments**
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.	✓		

	YES	NO	Comments
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.	✓		
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%.	✓		Humidity is not routinely monitored. Given the standard of the building, it is reasonable to assume that the requirements are met.
Inactive records of archival value must be stored in conditions where the temperature is never above 25 degrees centigrade.	✓		Temperature is monitored every three months by the air conditioning firm. Results were not provided during the audit. Given the standard of the building, it is reasonable to assume that the requirements are met.
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.	✓		Humidity is not routinely monitored. Given the standard of the building, it is reasonable to assume that the requirements are met.
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.	✓		Temperature is monitored every three months by the air conditioning firm. Results were not provided during the audit. Given the standard of the building, it is reasonable to assume that the requirements are met.
Environmental conditions for records of archival value must be regularly monitored and records of monitoring must be kept.		✓	Temperature is monitored every three months by the air conditioning firm. Results were not provided during the audit. There is no routine monitoring of humidity.

File bundle 2014-4169
02 - Client Engagement

From:	Eamonn Bolger
To:	Rebecca Smart
Subject:	Re: Audit Information
Date:	Monday, 15 October 2012 7:23:25 a.m.

thanks Rebecca, the meeting will be very helpful in developing our compliance strategy.

Eamonn
>>> Rebecca Smart <Rebecca.Smart@dia.govt.nz> 12/10/2012 3:38 p.m. >>>
Hi Eamonn,

As discussed this morning, attached is the client overview presentation and audit question spreadsheet for your information. Just a reminder these are based on the questions for the 2012-2013 years Audit clients.

Thank you again for your time today.

Kind regards

Rebecca Smart
Senior Audit Advisor, Audit and Monitoring
Client Capability
Archives New Zealand   Te Rua Mahara o te Kawanatanga
The Department of Internal Affairs   Te Tari Taiwhenua

Direct Dial: +64 4 894 6075 Extn: 9075

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PO Box 12 050
Wellington 6144, New Zealand

www.dia.govt.nz
www.archives.govt.nz

🌲 **Please think before you print this e-mail**

	Public Records Act 2005 - Audit Self Assessment Spreadsheet 2012/2013					
No.	**Question**	**Stds Map**	**Progress**	**Coverage**	**Intentions to Progress**	**Please describe / provide evidence**
Planning - Recordkeeping functions and activities are defined and have a planned outlook						
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff.	CM R1				
1.1.2	Systems used to create and manage records are identified and documented.	SS P1				
1.2.1	Policies that include recordkeeping are documented, implemented and regularly reviewed.	CM R2 MD R1 MD R2 DS R4				
1.2.2	Procedures that include recordkeeping have been documented, implemented and regularly reviewed, including procedures for proving recordkeeping data (metadata) is captured.	CM R3 MD R2 MD R7 DS R4				
1.2.3	Business-critical records are identified and managed.	CM R3				
1.2.4	A Disaster Recovery Plan and/or Business Continuity Plan includes the management of records.	SS P3				
1.2.5	Core business systems are designed ensuring recordkeeping principles are met.	MD Checklist				
1.3.1	Recordkeeping risks are included in risk management planning.	CM R5				
1.3.2	Organisational strategy/business plan includes recordkeeping objectives.	CM P1				
1.3.3	The Disaster Recovery Plan and/or Business Continuity Plan is regularly tested and reviewed.	CM P1				
Resourcing - Appropriate resources are allocated to recordkeeping						
2.1.1	Management of records is assigned to a position in order to meet recordkeeping requirements.	CM R4				
2.1.2	All staff are aware of the recordkeeping requirements of the organisation.	CM R4				
2.2.1	Staff assigned to recordkeeping have been given the appropriate records management training.	CM R4 DS R9				

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2.3.1	Resourcing and the development of staff assigned to recordkeeping is documented and implemented.	CM R4				
2.3.2	Annual Budget planning considers resourcing and improvements for recordkeeping requirements within the organisation	CM R4				
Training - Staff are trained to achieve recordkeeping requirements						
3.1.1	An analysis of training needs and skills of staff assigned to recordkeeping has been conducted.	CM R9 DS R9				
3.2.1	Staff training is carried out by skilled trainers.	CM R9				
3.2.2	A training plan which includes recordkeeping is implemented and maintained.	CM R9				
3.2.3	Staff receive regular recordkeeping training in: - policies, procedures and practices - organisation specific tools and systems - relevant legislation and standards.	CM R9 DS R9				
3.3.1	Staff recordkeeping training and skills are regularly reviewed.	CM R9				
3.3.2	Staff are trained to protect and salvage records in an emergency.	SS R15				
Reporting - The effectiveness of recordkeeping practices are monitored						
4.1.1	A internal monitoring and compliance programme that includes recordkeeping is developed and implemented.	CM R5 DS R8				
4.2.1	Monitoring of recordkeeping compliance is documented and reported.	CM R5 DS R8				
4.2.2	Managers are accountable for recordkeeping requirements being met and ensuring performance levels are reported.	CM R5				
4.2.3	Creation and capture of records is routinely monitored and corrective action taken.	CM R5				
4.3.1	A systematic assessment of recordkeeping capability is undertaken.	CM R5				
Creation and Capture - Business activities and decisions are appropriately recorded						
5.1.1	Recordkeeping requirements are identified in business processes and functions.	CM R6				
5.1.2	Records of all business activities are managed within the appropriate systems.	CM R7 CM R16				

5.2.1	Physical and digital records are captured routinely, documented and organised according to the organisation's business requirements.	CM R8 CM R14 CM R15 CM R17				
5.2.2	Decisions around the application of recordkeeping data have been documented (Refer - Electronic Recordkeeping Metadata Standard - Requirement 8/9).	MD R8 MD R9				
5.2.3	Recordkeeping data describing the context, content and structure of records is documented, communicated, maintained and reviewed.	MD R4				
5.3.1	Critical business systems/applications have been identified and mapped to recordkeeping data.	MD R5				
5.3.2	The business classification structure is routinely reviewed for relevance.	CM R5				
5.3.3	Disposal authorities are linked to the business classifications structure to enable record sentencing at the time of creation.	CM R20 DS R5				
Retrievability and Security - Records are secure and can be used when required						
6.1.1	Accessibility, usability, retrievability and retention of records is managed within the appropriate systems.	CM R12 CM R18				
6.2.1	Recordkeeping systems and storage facilities for physical records are protected from unauthorised access, destruction, theft, fire, flood, earthquake, volcanic eruption and vermin.	SS R13 SS R16 SS R18 SS R19				
6.2.2	Sensitive and restricted records are identified, documented and controlled.	SS R17 DS R10				
6.2.3	Access to sensitive and restricted records is provided in accordance with the: - Official Information Act - Privacy Act	PRA S43				
6.2.4	Records 25 years of age or older are covered by an Access Authority	PRA S43				
6.3.1	The ability to locate records is monitored and routinely audited.	CM R5 CM R12				
Maintenance and Storage - Records are maintained in a manner consistent with their format and value						
7.1.1	All records and recordkeeping data are managed so they cannot be altered, deleted or disposed of without permission.	CM R10 CM R11 DS R8				
7.1.2	A risk-based assessment of records storage has been undertaken to ensure records are stored appropriately.	SS P2 SS P5 SS P6				
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs.	SS CHKLIST DS R6				

7.3.1	There is a plan for the storage of physical archival value records that meets the requirements of the storage standard.	SS CHKLIST				
Disposal and Transfer - Records are only retained for as long as required and disposed of appropriately						
8.1.1	Core functional records and associated recordkeeping data (metadata) have been appraised and disposal authorities agreed.	CM R18 MD R13 MD R14 MD R15 DS P1				
8.2.1	Classes or groups of records have disposal authorities applied.	CM R20 DS R5				
8.2.2	Disposal procedures are implemented and reviewed.	CM R20 DS R4				
8.2.3	All records 25 years of age and over which are still required by the organisation are covered by a deferral of transfer agreement.	PRA S22				
8.3.1	Regular and efficient disposal of the organisation's records is planned and documented.	CM R20 DS R5 DS R7				
8.3.2	All necessary and practical steps have been taken to ensure the destruction of records is complete.	DS R11				
	Version 6: July 2012					
CM	Create and Maintain Standard e.g. CM R5 - Create and Maintain Standard Requirement 5					
MD	Electronic Recordkeeping Metadata Standard e.g. MD R13 - Electronic Recordkeeping Metadata Standard Requirement 13					
SS	Storage Standard e.g. SS P2 - Storage Standard Principle 2					
RXX	Requirement (then number) e.g. CM R20 - Create and Maintain Standard Requirement 20					
PXX	Principle (then number) e.g. SS P2 - Storage Standard Principle 2					
CHKLIST	Checklist - SS CHKLIST - Storage Standard Checklist					
SXX	Section (then number) e.g. PRA S22 - Public Records Act 2005 Section 22					
PRA	Public Records Act 2005					

		s 9(2)(a)
From:	Rebecca Smart	
To:	"Bolger, Eamonn"	
Cc:	"joanne.koreman ; "Clifton, Bronwen"; Moana Te Whaiti	
Bcc:	Audit Advice	
Subject:	RE: PRA audit of Ministry of Justice	
Date:	Wednesday, 8 January 2014 11:42:00 a.m.	
Attachments:	image001.png	

Hi Eamonn,

Thank you for your phone call, it was very timely and I think now is a great time to meet and discuss how we approach the audit. Moana Te Whaiti (Audit Advisor) and myself will be the attending this meeting, we are available any day from 9-4pm apart from 16th Jan, so just the best time that suits you.

Warm regards

Rebecca Smart | Senior Audit Advisor
Archives New Zealand Te Rua Mahara o te Kawanatanga
Direct Dial: +64 4 894 6075 | Extn: 9375| www.archives.govt.nz

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Te Rua Mahara o te Kāwanatanga

aRCHIVES
NEW ZEALAND

From: Bolger, Eamonn   s 9(2)(a)
Sent: Wednesday, 8 January 2014 11:25 a.m.
To: Audit Advice
Cc: Joanne Koreman; Clifton, Bronwen
Subject: PRA audit of Ministry of Justice

It was good to talk to you again and that you remembered our previous meeting! As discussed, I would like to arrange a meeting with relevant audit staff with the following Ministry staff attending:
Joanne Koreman - Senior Information Adviser
Bronwen Clifton - Manager Information and Documents Management Manager
me - with responsibility for court records

We are especially keen to discuss the best approach to the audit process. As mentioned one option may be to complete two audits; one of the Ministry itself and the other covering all court and tribunal records. Apart from being more manageable from a practical perspective, such an approach would be consistent with the separate accountabilities under the PRA for court records.

If you could signal some dates and times that suit you I will make an appointment.

regards

MINISTRY OF
JUSTICE
Tāhū o te Ture

Eamonn Bolger
Senior Adviser, Court Records| Judicial Libraries
DDI: +64 4 494 9716 | Ext 50716
www.justice.govt.nz

From:	Rebecca Smart
To:	"Bolger, Eamonn"
Subject:	RE: Follow up to audit meeting
Date:	Wednesday, 22 January 2014 11:00:00 a.m.

Hi Eamonn,

Sorry I drafted an email and never sent it …. a few technical outlook issues here but will send to you now.

Warm regards

Rebecca

From: Bolger, Eamonn █████████████   s 9(2)(a)
Sent: Wednesday, 22 January 2014 10:59 a.m.
To: Rebecca Smart
Subject: Follow up to audit meeting

Rebecca, you were going to email me the audit questionnaire? I realise that it will become obsolete when you finish your current work.

I am writing a recommendations paper about the proposed Ministry - Courts audit split. This will be discussed at an upcoming meeting here and I will contact you once we have identified an approach. At this stage I think the split approach recommendation will be accepted.

Eamonn Bolger
Senior Adviser, Court Records| Judicial Libraries
DDI: +64 4 494 9716 | Ext 50716
www.justice.govt.nz

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From:	Rebecca Smart
To:	Bronwen Clifton; Eamonn Bolger; Joanne Koreman
Subject:	Public Records Act Audit Information
Date:	Wednesday, 22 January 2014 11:07:00 a.m.
Attachments:	Client Self-Assessment Application Explanation 2013-2014.ppt
	CSAA working spreadsheet - 2013-2014.xls
	Examples of Recordkeeping Evidence for Client Self Assessment.doc
	Client Overview of Audit Programme Power Point Presentation 2013-2014.ppt
	image003.png

Hi Bronwen and Eamonn,

Thank you for our meeting on Friday, I think the approach you have suggested will work well.

As discussed during our meeting here is the current years information, however as I mentioned the question will change to reflect the new standard which was approved at the end of last year.

Any further questions please let me know.

Warm regards

Rebecca Smart | Senior Audit Advisor
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NEW ZEALAND

-

From: Rebecca Smart
To: "Bolger, Eamonn"
Subject: RE: Court and Tribunal records and PRA audit
Date: Thursday, 6 March 2014 10:44:47 a.m.

Hi Eamonn,

I'm back from leave and available to meet with you. I'm available next week Mon, Tuesday, Wednesday any time between 1-4pm Thursday and Friday 9-4pm.

Look forward to hearing form you.

Kind regards

Rebecca

From: Bolger, Eamonn ███████████████████████ s 9(2)(a)
Sent: Wednesday, 5 February 2014 3:08 p.m.
To: Rebecca Smart
Subject: RE: Court and Tribunal records and PRA audit

Rebecca, whatever works for you time wise. Given your limited availability it is probably easier for you to nominate available times than me.

regards

Eamonn

From: Rebecca Smart [mailto:Rebecca.Smart@dia.govt.nz]
Sent: Wednesday, 5 February 2014 9:45 a.m.
To: Bolger, Eamonn
Subject: RE: Court and Tribunal records and PRA audit

Hi Eamonn,

Thank you for your email to keep us up to date. I will be on leave from 17th February 2014 back in the office on the 3rd March 2014. Then I have to do several trips out of the office to meet our 4th Quarter clients but I am sure we can get together in between those times to have a catch-up.

Thanks

Rebecca

From: Bolger, Eamonn ███████████████████████ s 9(2)(a)
Sent: Tuesday, 4 February 2014 8:04 a.m.
To: Rebecca Smart
Subject: Court and Tribunal records and PRA audit

Rebecca, following discussion here it looks likely that the approach based on a "2 audit" idea will be endorsed. This proposes a separate audit for the Ministry of Justice and for Courts and Tribunals records. A memo to this effect will be sent to the relevant Ministry and Court's general managers over the next week to confirm this approach after which I will formally advise you of the Ministry's view.

I would like to meet with you again to discuss the methodology for the Courts and Tribunals audit with a focus on the level of detail you will require from the various jurisdictions such as:
Supreme Court
Court of Appeal
High Court
District Court
Youth Court

Maori Land Court
Employment Court
Environment Court
Waitangi Tribunal
etc.
This is important as the level of detail required from each of these areas will directly impact on determining the resources required at our send to assess the state of recordkeeping in each of the above jurisdictions against the mandatory standards. Is there some time in the next fortnight you will be available to meet?

I will contact you again once the Ministry has confirmed its position on the audit process.

regards

Eamonn Bolger
Senior Adviser, Court Records| Judicial Libraries
DDI: +64 4 494 9716 | Ext 50716
www.justice.govt.nz

From:	Akesa Alefosio
To:	Audit Advice
Subject:	FW: NOTIFICATION OF PUBLIC RECORDS ACT AUDIT - Min of Justice
Date:	Friday, 20 June 2014 12:48:06 p.m.
Attachments:	image001.png
	Notification Letter for Ministry of Justice.pdf
Importance:	High

From: Akesa Alefosio
Sent: Friday, 20 June 2014 12:45 p.m.
To: 'Andrew Bridgman'
Cc: 'Bolger, Eamonn'; 'Clifton, Bronwen'
Subject: NOTIFICATION OF PUBLIC RECORDS ACT AUDIT
Importance: High

Dear Mr Bridgman

On behalf of Marilyn Little Chief Archivist and General Manager, please find attached the formal notification letter for the Public Records Act Audit of Ministry of Justice which has been scheduled in the 2014/2015 financial year.

Kind Regards,

Akesa Alefosio | Programme Coordinator
Archives New Zealand Te Rua Mahara o te Kawanatanga
10 Mulgrave Street | PO Box 12-050, Wellington 6011, New Zealand |
www.archives.govt.nz
Direct Dial: +64 4 894 6027 | Extn: 9327| www.archives.govt.nz

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www.archives.govt.nz

INTERNAL AFFAIRS

Te Tari Taiwhenua

20 June 2014

Mr Andrew Bridgman
Secretary for Justice and Chief Executive
Ministry of Justice

s 9(2)(a)

Dear Mr Bridgman

NOTIFICATION OF PUBLIC RECORDS ACT 2005 AUDIT

I am writing to formally advise you that the Ministry of Justice has been scheduled for a Public Records Act 2005 audit in the 2014/2015 financial year.

The audit is being undertaken in accordance with section 33 of the Public Records Act. Participation in audits is a requirement of the Act. The results of the audit will be reported to Parliament under section 35 of the Act.

The objectives of the Public Records Act audit are:

- to provide an independent opinion of your organisation's implementation of the mandatory standards issued under the Act, including the level of awareness in your organisation of recordkeeping responsibilities;
- to report on your organisation's recordkeeping direction, capability and practices; and
- to provide awareness of the significant business risks that your organisation may be exposed to as a result of inadequate recordkeeping practices.

This notification is intended to provide your organisation with sufficient lead-time to identify opportunities to coordinate the Public Records Act audit activities with your existing work programme.

To allow for the smooth running of the audit process I ask that you nominate two key contact people to be Senior Responsible Officers (SRO) for the audit of your organisation.

The SRO is accountable for the agency's participation in the audit and the sign-off of any management representations. Ideally the SRO will be knowledgeable about your whole organisation's information management and recordkeeping systems (both digital and where applicable paper-based). In practice, the hands-on activities are frequently best delegated.

Ref: 2014/0807

The audit does not include a detailed examination of every aspect of your recordkeeping environment. It gives an assessment of your current recordkeeping environment for both physical and digital records and all core business systems based on survey and operational information. A report detailing the audit findings, results of the physical storage inspection and a letter from me summarising the findings and recommendations will be forwarded to both you and your nominated SROs as soon as practicable after the completion of your audit.

Included with this letter, for your reference, is a link to the Public Records Act and nomination forms for your SROs. I ask that these are completed and returned by **3 July 2014** by email to audit.advice@dia.govt.nz

Once your nomination forms have been received we will contact your SROs to arrange a management briefing on the audit process, agree key timings and discuss the treatment of any specific issues or concerns. A letter of engagement will then be issued documenting the terms of the audit.

The Archives New Zealand Audit and Monitoring team have had various meetings to discuss the best approach to the auditing of Ministry of Justice and the various Courts and Tribunals, liaising directly with Eamonn Bolger and Brownyn Clifton. I have decided that we will complete a total of 15 separate audits as follows.

These Courts would each be separately audited:

- Supreme Court
- Court of Appeal
- High Court
- District Court
- Family Court
- Youth Court
- Māori Land Court
- Coroners Court
- Tenancy Tribunal
- Disputes Tribunal
- Waitangi Tribunal
- Employment Court
- Environment Court

The Ministry of Justice audit will include the Ministry and all non-judicial authorities supported or administered by the Ministry.

A separate audit will also be conducted of all judicial authorities supported and administered by the Ministry.

This approach reflects the varying records management practice and systems across the Courts. It will provide audit findings specific to each Court rather than a generalised finding for whole Court system which would be of limited usefulness. We have requested the nomination of two SROs on the understanding that one will be responsible for the audits of the Courts and the other will be responsible for the audits of the Ministry and the non-judicial authorities, and the judicial authorities.

Additional information about the audit is available from our website: www.archives.govt.nz/advice/public-records-act-2005-audit-programme

A copy of the Public Records Act 2005 is available from:
http://www.legislation.govt.nz/act/public/2005/0040/latest/DLM345529.html

Please do not hesitate to contact us if you have any queries.

Specific enquires can also be directed to:

Rebecca Smart
Senior Audit Advisor, Audit and Monitoring
Archives New Zealand
Department of Internal Affairs
(04) 894 6075
Rebecca.Smart@dia.govt.nz

Yours sincerely

Marilyn Little
Chief Archivist and General Manager
Archives New Zealand

Public Records Act Audit Programme
Nomination Form
Senior Responsible Officer (SRO)

The Senior Responsible Officer (SRO) is accountable for the agency's participation in the audit and the sign-off of any management representations. Ideally the SRO will be knowledgeable about your whole organisation's information management and recordkeeping systems (both digital and where applicable paper based), but in practice the hands-on activities are frequently best delegated.

Please return the completed nomination form and email to audit.advice@dia.govt.nz by **3 July 2014.**

Please do not hesitate to contact me if you wish to discuss any aspect of the audit process.

Rebecca Smart
Senior Audit Advisor, Audit and Monitoring
Archives New Zealand
Department of Internal Affairs
(04) 894 6075
Rebecca.Smart@dia.govt.nz

PUBLIC OFFICE DETAILS

Name of Public Office:	Courts

Senior Responsible Officer (SRO) DETAILS

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

NOMINATION ENDORSEMENT

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

Name (Printed): _____

Signature: _____   DATE: ___ / ___ / ___

ADMIN USE ONLY	
Date received:	
Objective reference:	
Sector:	

Public Records Act Audit Programme
Nomination Form
Senior Responsible Officer (SRO)

The Senior Responsible Officer (SRO) is accountable for the agency's participation in the audit and the sign-off of any management representations. Ideally the SRO will be knowledgeable about your whole organisation's information management and recordkeeping systems (both digital and where applicable paper based), but in practice the hands-on activities are frequently best delegated.

Please return the completed nomination form and email to audit.advice@dia.govt.nz by **3 July 2014.**

Please do not hesitate to contact me if you wish to discuss any aspect of the audit process.

Rebecca Smart
Senior Audit Advisor, Audit and Monitoring
Archives New Zealand
Department of Internal Affairs
(04) 894 6075
Rebecca.Smart@dia.govt.nz

PUBLIC OFFICE DETAILS

Name of Public Office:	Ministry of Justice and Non-Judicial Authorities / Judicial Authorities

Senior Responsible Officer (SRO) DETAILS

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

NOMINATION ENDORSEMENT

Name:	
Position/Title:	
Email:	
Telephone:	
Postal Address:	
Physical Address:	

Name (Printed): _____

Signature: _____   DATE: ___ / ___ / ___

From:	Rebecca Smart
To:	"Bolger, Eamonn"; Clifton, Bronwen
Cc:	Audit Advice
Subject:	RE: PRA audit self-assessment spreadsheet
Date:	Friday, 18 July 2014 3:16:39 p.m.

Hi Eamonn,

If you have any questions, please let me know I am more than happy to get you an answer now.

Cheers
bex

From: Bolger, Eamonn [██████████████████] s 9(2)(a)
Sent: Thursday, 17 July 2014 7:31 a.m.
To: Rebecca Smart; Clifton, Bronwen
Cc: Audit Advice
Subject: RE: PRA audit self-assessment spreadsheet

Rebecca, no we are using the right spreadsheet (thanks goodness) but was comparing the references to the just released mandatory standard as opposed to the Records Management Standard (May 2014).

I have started analysis for the audits and have some broad questions I would like to ask especially in relation to applying some of the questions in the context of court records. I assume however that this should wait until the SRO meeting/meetings are held.

regards

Eamonn

From: Rebecca Smart [mailto:Rebecca.Smart@dia.govt.nz]
Sent: Wednesday, 16 July 2014 5:06 p.m.
To: Bolger, Eamonn; Clifton, Bronwen
Cc: Audit Advice
Subject: RE: PRA audit self-assessment spreadsheet

Hi Eamonn,

It appears you are still working of the old questions, the last email I sent you about Audit attachments etc was in Jan this year. Please find attached the new questions which are aligned to the new standard and mapped to it's requirements.

Warm regards

rebecca

From: Bolger, Eamonn [██████████████████] s 9(2)(a)
Sent: Wednesday, 16 July 2014 8:01 a.m.
To: Rebecca Smart
Subject: PRA audit self-assessment spreadsheet

Rebecca, I am doing some preliminary analysis work using the 2014/15 spreadsheet and would appreciate it if you could confirm whether the final Stds map column will continue to reference the former mandatory standards as my version does or whether it will reference to the new

consolidated standard?

I am having to get into this early given the number of audits and tight timeframes!

Eamonn
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