Client Self Assessment of Ministry of Justice
Year 2014/2015

Completed: 28/11/2014

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

	Status
	absent
	aware
	actioned
	embedded

Specific Recordkeeping Practice - Summary

Creation & Capture

Stage	Description	Achievement	
Initiation	Recordkeeping requirements have been identified.	No evidence of systems and/or controls in place 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

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	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)	Under way	All	Completed	
2	Systems used to create and maintain records are identified and documented	Operational	Recordkeeping system documentation is maintained and regularly reviewed IMS Desk File (MOJNJ 03)	Under way	Some	Plans in place	
3	Policies that include records management are documented and in use	Operational	RM policies are published on the intranet and regularly reviewed/ updated as necessary Records Management Policy (MOJNJ 16) Information Security Policy (MOJNJ 30) Records Management	Completed and up to date	All	Completed	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		Framework (MOJNJ 18) BCS and records capture (MOJNJ 25) Records Management for Managers (MOJNJ 26) Recordkeeping responsibilities (MOJNJ 27) Guidelines for identifying and managing vital records (MOJNJ 28)				

Establishment

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Strategic/business plans include records management objectives and risks	Strategic	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)	Under way	All	Completed	
2 Procedures that include records management have been documented and are in use	Operational	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	Under way	Most	Plans in place	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		Records (MOJNJ 22), RM guidelines managing records in shared drives (MOJNJ23), RM guidelines managing email (MOJNJ24) Metadata standards (MOJNJ 19) Metadata chema (MOJNJ 20)				

Capability

Question		Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Policies and procedures that include records management are monitored and regularly reviewed	Operational	RM policies are published on the intranet and regularly reviewed/ updated as necessary Policy schedule (MOJN12)	Under way	Most	Completed	
2	Objectives and risks that include records management are monitored and regularly reviewed	Compliance	Records management risks are incorporated in the ICT risk register ICT Risk Register (MOJNJ 73)	Under way	Most	Plans in place	

Resourcing

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records management is resourced appropriately	Strategic	Records Management resources are concentrated mostly in the IMS team and part of the tasks performed by administrative staff embedded in business units JD Manager Information and Document Management (MOJNJ 07), JD Senior Information Advisor (MOJNJ 08), JD Senior Advisor (MOJNJ09), JD Advisor (MOJNJ10) Org Chart IDM Team (MOJNJ 13) Org Chart Strategic Infromation Advisor (MOJNJ 14)	Completed and up to date	All	Completed	
2	Responsibility for records management is assigned	Compliance	See 2.1.1	Completed and up to date	All	Completed	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Staff assigned to records management	Operational	Training is delivered online and	Completed and up	All	Completed	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
have been given appropriate training		available to all staff. Specific onsite training for business units is delivered on an as required basis by IDM staff Training module (MOJNJ 15)	to date			

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Development of staff assigned to records management is monitored and regularly reviewed	Operational	Development is monitored and regularly reviewed as a part of the PDP process Representative PDP for Senior Information advisor (MOJNJ 11)	Completed and up to date	All	Completed	
2 Budget planning considers resourcing and improvements for records management	Strategic	Resoucing is covered in the annual budget. Estimates have been provided for systems improvement (ecms)as a part of the Ministry's investment programme IMS Budget (MOJNJ 79)	Completed and up to date	All	Completed	

Completed: 28/11/2014

Training

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Staff understand their obligations to create and maintain records of the organisations' activities	Operational	Online training programme is being rolled out to all staff and being made mandatory. This will enable ongoing monitoring of percentage of staff covered and identify any gaps in coverage and new training requirements. Records management training module hardcopy version (MOJNJ 15)	Under way	Some	Plans in place	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	Operational	Online training programme is being rolled out to all staff and being made mandatory. This will enable ongoing monitoring of percentage of staff covered and identify any gaps in coverage and new training requirements. Policies are published on the intranet and regularly reviewed	Under way	Some	Plans in place	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		and updated. Regular training sessions on the MOJ EDRMS (Jukebox) is delivered by the training team see 3.1.1 (RM training module) Jukebox lesson plan (MOJNJ 81) Jukebox training aid version control (MOJNJ 82)				

Capability

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records management training needs for all staff is monitored and regularly reviewed	Operational	Online training programme is being rolled out to all staff and being made mandatory. This will enable ongoing monitoring of percentage of staff covered and identify any gaps in coverage and new training requirements. Policies are published on the intranet and regulalrly reviewed and updated. Training module (MOJNJ 15)	Under way	Some	Plans in place	

Reporting

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Monitoring of records management compliance is documented	Reporting	Legislative compliance is documented and monitored on a quarterly basis Legislative compliance statement (MOJNJ 83)	Completed and up to date	All	Completed	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Policies, procedures and processes that include records management are monitored and regularly reported on	Reporting	See 3.2.1 Policy expiry and renewal document (MOJNJ 12)	Completed and up to date	All	Completed	

Capability

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	The effectiveness of the records management capability of the organisation	Reporting	The Justice Information Strategy includes a business intelligence and	Under way	Some	Plans in place	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
is regularly assessed		Information management maturity model that has been applied for the Ministry environment by Gartner. The BIIM strategic programme will regularly assess our information management capability development. Justice Information strategy (MOJNJ 06)				

Specific Recordkeeping Practice

Creation and capture

Initiation

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Records management requirements are identified in business processes and functions	Compliance	Currently lack the records management maturity and tools to achieve this	None	None	None	
2 Records of all business activities are managed within the appropriate systems	Compliance	This is achieved through a combination of content-appropriate business systems including Jukebox, case management systems, shared drives and hard copy. A high level BCS has been developed and is being implemented in shared drives with a view to providing a basis for records capture in a new ECMS BCS policy (MOJNJ 37) BCS procurement (MOJNJ 36) BCS operational service delivery (MOJNJ 38) BCS levels 1-2 (MOJNJ 39) BCS functions (MOJNJ 40) BCS legal (MOJNJ 41) BCS IM (MOJNJ 42) BCS ICT (MOJNJ 43) BCS HR	Under way	Some	Plans in place	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		(MOJNJ 44) BCS Comms (MOJNJ 45) BCS business group (MOJNJ46)				

Establishment

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Records are captured routinely, documented and organised according to the organisation's business requirements	Compliance	Official Ministry hard copy and Jukebox records are compliant but shared drives are not	Under way	Some	Plans in place	
2 Records management data is assigned, documented and is in use	Operational	Metadata scheme is approved and published on the intranet. It cannot be operationalised without an appropriate ECMS Metadata standards (MOJNJ 19), Metadata Schema (MOJNJ 20)	Under way	Some	Plans in place	

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Records management data is maintained, monitored and reviewed	Operational	Partial in Jukebox. IDM desk file (MOJNJ 03)	Under way	Some	Plans in place	
2 Systems that create and maintain records	Strategic	Partial in Jukebox, currently lack the	Under way	Some	Plans in place	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
are monitored and regularly reviewed		tools to achieve this. see 5.3.1				
3 Disposal authorities are mapped to systems that create and maintain records	Strategic	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	Under way	Some	Undecided	

Retrievability and security

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Access to and use of records is managed within the appropriate systems	Operational	Access to and use of records in Jukebox is managed. Not in shared or other drives see 5.3.1 Access management framework (MOJNJ 52)	Under way	Some	Plans in place	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Sensitive and restricted records are identified, documented and controlled	Compliance	Partial. Jukebox and hard copy records that are sensitive/restricted are identified and controlled. Shared and other non-official drives have records that cannot have sensitivity or restrictions controlled. see 5.3.1	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	IDM and other business systems systems do not have required functionality for comprehensive management of security clearances in	Under way	Some	Plans in place	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		relation to access				
3 Records 25 years of age or older are covered by an Access Authority	Compliance	1 Deferral of Transfer Authority is in place with Archives New Zealand see 8.2.2	Under way	Most	Plans in place	

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 The ability to locate and use records is monitored and routinely audited	Operational	Retrieval and usability of records in offsite storage systems is monitored on an ad hoc basis as a part of everyday use. Audit procedures need to be developed subject to resource availability	Under way	Some	Plans in place	

Maintenance and storage

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	All records are managed so they cannot be altered, deleted or disposed of without permission	Operational	We do not have the technology for this; an appropriate ECMS is required	None	None	None	
2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Compliance	Hard copy records comply with this - not electronic (we do not have the technology) Online storage standards compliance (MOJNJ 50) Building WOF (MOJNJ 51)	Under way	Some	Undecided	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records are reviewed/appraised and stored in accordance with their value and security needs	Strategic	Linkage to vital records activity (2014/15). Security can be applied in shared drives and in Jukebox IDM workplan (MOJNJ 01)	Under way	Some	Plans in place	
2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of	Operational	MOJ National Emergency and Business Continuity Plan includes the	Completed and up to date	All	Completed	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
records		protection and salvage of electronic records held in business information systems, and includes the paper Records disaster Recovery Plan National Emergency management and business continuity plan (MOJNJ 32) Paper records disaster recovery plan (MOJNJ 31)				

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	Operational	The Ministry's National Emergency and Business Continuity Plan was last tested on 5 June 2014, and after that will be tested every 6 months. see 7.2.2	Completed and up to date	Some	Completed	
2 Storage arrangements for records are monitored and regularly reviewed	Strategic	Hard copy National Office only Paper records disaster recovery plan (MOJNJ31)	Completed and up to date	Some	Completed	

Completed: 28/11/2014

Disposal and transfer

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records have been appraised and disposal authorities agreed	Compliance	All retention and disposal schedules up to date. MoJ schedule due for renewal in 2016. Work Programme 2014/15 will include work on renewing schedule IDM workplan (MOJNJ 01)	Completed and up to date	All	Completed	
2	Regular and efficient disposal of the organisation's records is planned and documented	Operational	The legacy project identifies and plans efficient disposal of Ministry records. We are currently recruiting to provide resource to carry out this project Legacy Project schedule (MOJNJ 80)	Under way	Some	Plans in place	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Disposal procedures and processes are implemented and in use regularly	Compliance	Jukebox and hard copy are in place - shared drives are not. (see also legacy project 8.1.2)Legacy project	Under way	Some	Plans in place	

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		Disposal Authority 220 (MOJNJ55) Disposal Authority 472 (MOJNJ 56) Disposal Authority 570 (MOJNJ 57)				
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 and it covers Adoption registers and case files. 2014 /15 work programme includes work on new authorities see Archway	Under way	Some	Completed	

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Records management data about disposal of records is retained for as long as required	Operational	Held in Jukebox and, where applicable, in offsite storage databases (IKM 15/04)	Completed and up to date	All	Completed	
2 Disposal procedures and processes are monitored and reviewed	Operational	Managed by IDM team and stored in Jukebox (IKM 15/04)	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

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

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.	Coordinated planning, documentation and review of the management of records is evident.	

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.	

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

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.	No evidence of a strategic approach to the reporting requirements undertaken.	
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

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

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.	No evidence of systems and/or controls in place 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.	

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Maintenance & Storage

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

Disposal & Transfer

Stage	Description	Achievement	
Initiation	Development of disposal authorities and implementation plans initiated.	Effective systems and/or controls for the disposal of records is fully integrated within operational activities.	
Establishment	Authorised disposal authorities and implementation plans established.	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

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	Recordkeeping policies are endorsed and promulgated by the CEO records management policy (MOJNJ 16)	Under way	All	None	
2	Systems used to create and maintain records are identified and documented	Operational	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)	Under way	Some	Completed	
3	Policies that include records management are documented and in use	Operational	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	None	All	None	

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		manual (MOJNJ 64) RA procedure manual (MOJNJ 65)				

Establishment

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Strategic/business plans include records management objectives and risks	Strategic	The tribunals Unit business continuity plan covers risk around paper records, other risk and strategic planning documentation is maintained in ICT	Under way	None	None	
2 Procedures that include records management have been documented and are in use	Operational	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)	Under way	Some	Completed	

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Policies and procedures that include records management are monitored and regularly reviewed	Operational	Monitored and reviewed on an adhoc, as required basis	Under way	Most	Completed	
2	Objectives and risks that include records management are monitored and regularly reviewed	Compliance	ICT Risk Register ICT Risk Register (MOJNJ 73)	Under way	Some	Completed	

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Resourcing

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records management is resourced appropriately	Strategic	Records management responsibilities are documented in job descriptions and letters of expectation for operational and administrative staff Letter of expectation Support Officer, Tribunals (MOJNJ 72)	Completed and up to date	Most	Completed	
2	Responsibility for records management is assigned	Compliance	see 2.1.1	Completed and up to date	All	Completed	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Staff assigned to records management have been given appropriate training	Operational	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)	Completed and up to date	Most	Completed	

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

Capability

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Development of staff assigned to records management is monitored and regularly reviewed	Operational	Development of staff with recordkeeping responsibilities is regularly monitored and reviewed as a part of each staff member's PDP	Completed and up to date	All	Completed	
2	Budget planning considers resourcing and improvements for records management	Strategic	Budget planning includes staff with recordkeeping responsibilities as well as offsite storage management and maintenance	Under way	All	Completed	

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

Training

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Staff understand their obligations to create and maintain records of the organisations' activities	Operational	Recordkeeping responsibilities are documented in procedures and manuals and well understood by the staff who use them	Under way	Some	Completed	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	Operational	Staff receive training as required, including through procedure manuals and desk files. See 1.2.2	Under way	Some	Plans in place	

Capability

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records management training needs for all staff is monitored and regularly reviewed	Operational	Records management training needs are monitored through the performance management process,	Under way	Some	Plans in place	

5/12/2014 1:56 PM

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		and the MOJ training module is available, although it is relatively new and there is scope for more structured training Training Module (MOJNJ 15)				

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

Reporting

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Monitoring of records management compliance is documented	Reporting	Records management compliance monitoring is mainly confined to the larger tribunals	None	None	None	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Policies, procedures and processes that include records management are monitored and regularly reported on	Reporting	Records management procedures and process monitoring is mainly confined to the larger tribunals	Under way	Some	Plans in place	

Capability

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	The effectiveness of the records management capability of the organisation is regularly assessed	Reporting	There is no formal assessment of records management capability.	None	None	None	

Completed: 28/11/2014

Specific Recordkeeping Practice

Creation and capture

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records management requirements are identified in business processes and functions	Compliance	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)	Under way	Some	Undecided	
2	Records of all business activities are managed within the appropriate systems	Compliance	TCM and JAX are systems that are used to appropriately manage records of business activities	Under way	Some	Plans in place	

Establishment

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records are captured routinely, documented and organised according to the organisation's business requirements	Compliance	Records are routinely captured and organised, in appropriate case management systems and through print and fileTCM screenshots (MOJNJ 58)	Completed and up to date	All	Completed	
2	Records management data is assigned, documented and is in use	Operational	Records management data is captured in the TCM system, which also includes the ability to audit data TCM screenshots (MOJNJ 58)	Under way	Some	Plans in place	

Capability

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records management data is maintained, monitored and reviewed	Operational	see 5.2.2	Under way	Some	Plans in place	
2	Systems that create and maintain records are monitored and regularly reviewed	Strategic	TCM is regularly monitored and reviewed where necessary (for example, where business requirements change or system functionality is upgraded)	Under way	Some	Plans in place	
3	Disposal authorities are mapped to systems that create and maintain records	Strategic	Disposal authorities are applied manually in the absence of technical functionality to apply disposition	None	None	None	

Completed: 28/11/2014

Retrievability and security

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Access to and use of records is managed within the appropriate systems	Operational	Electronic and physical access is appropriately managed, physical security for paper files is in place.	Under way	Most	Plans in place	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Sensitive and restricted records are identified, documented and controlled	Compliance	Case file procedures are used to identify and manage sensitive and restricted records	Under way	All	Completed	
2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification	Compliance	see 6.1.1	Under way	All	Completed	
3	Records 25 years of age or older are covered by an Access Authority	Compliance	Not applicable (no records over 25 years)	None	None	None	

Capability

	Question	Risk	Evidence	Progress	Coverage	Intentions to	Attachments

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

						Progress
1	The ability to locate and use records is monitored and routinely audited	Operational	Ability to locate records in TCM, and records stored offsite is routinely monitored as a part of business as usual	Under way	All	Completed

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

Maintenance and storage

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	All records are managed so they cannot be altered, deleted or disposed of without permission	Operational	Hardcopy and electronic (TCM) records cannot be altered, deleted, or disposed of inappropriately	Completed and up to date	All	Completed	
2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Compliance	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	Under way	All	Completed	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records are reviewed/appraised and stored in accordance with their value and security needs	Strategic	Highly sensitive records are stored securely.	Under way	All	Completed	
2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	Operational	Covered in the BCP Tribunals Business Continuity Plan	Completed and up to date	All	Completed	

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
		(MOJN J53)				

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1 Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	Operational	The BCP is updated as required Tribunals Unit Business Continuity Plan (MOJNJ 53)	Completed and up to date	All	Completed	
2 Storage arrangements for records are monitored and regularly reviewed	Strategic	see 7.1.2	Completed and up to date	All	Completed	

Completed: 28/11/2014

Disposal and transfer

Initiation

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Records have been appraised and disposal authorities agreed	Compliance	In place DA 415 Tribunals Unit Disposal Authority (MOJNJ 54)	Completed and up to date	All	Completed	
2	Regular and efficient disposal of the organisation's records is planned and documented	Operational	records are routinely disposed of in accordance with the schedule letter of expectation (MOJNJ 72)	Completed and up to date	All	Completed	

Establishment

	Question	Risk	Evidence	Progress	Coverage	Intentions to Progress	Attachments
1	Disposal procedures and processes are implemented and in use regularly	Compliance	see 8.1.2	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	No records over 25 years of age	Under way	All	Completed	

Capability

Question	Risk	Evidence	Progress	Coverage	Intentions to	Attachments

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

						Progress
1	Records management data about disposal of records is retained for as long as required	Operational	managed in spreadsheets	Completed and up to date	All	Completed
2	Disposal procedures and processes are monitored and reviewed	Operational	managed in spreadsheets	Completed and up to date	All	Completed

Client Self Assessment of Ministry of Justice - Non-Judicial Authorities
Year 2014/2015

Completed: 28/11/2014

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

No.	Question	Attribute	Potential Evidence	Risk	Progress	Coverage	Intentions to Progress	Evidence	Attachments
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	AUDITOR NOTES: * Plan/Strategy that includes records/information management * Policies with a records/information management component * Code of Conduct - signed off by the Chief Executive and all staff Different agencies may refer to a strategy, plans or roadmaps. Is there a strategy/plan that includes recordkeeping? Is there a policy that identifies roles & respons bilities? Does the strategy/framework define roles & responsibilities for Chief Executive or equivalent, Sponsor, Operational staff (RM, IT), all staff? Is there a plan identifying RM projects & are roles included in the plan? Do they reflect roles & respons bilities identified in the strategy/framework/policy? Is the strategy/framework endorsed?	Chief Executive accountability established. Executive management accountability identified. - Plan/Strategy with that includes records/information management - Policy with records/information management component - Policy identifies responsibilities - Code of Conduct	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)	No
1.1.2	Systems used to create and maintain records are identified and documented	AUDITOR NOTES: * Framework documentation that includes records/information management * Surveys/reviews of records/information management * Data map/system architecture * Classification structure/file list/file plan * Vital records/business critical system list * Policy with a records/information management component Can the organisation provide a 'whole of process' view across systems & formats? Does the policy state which systems to be used to create & maintain records for core business functions? Is the documentation of systems that manage records regularly reviewed (surveys, reviews, audits)? Has the organisation identified: - business processes? - business systems that store records? - legacy systems? APPLIES TO BUISNESS SYSTEMS: - Organisation-wide information/data maps defined and in place. - Repository stocktake occurred & outcomes documented. - Survey conducted identifying business systems, physical recordkeeping systems, etc. - Analysis of legacy recordkeeping issues and/or gaps conducted. - Classification structure/file plan is in place, in use and maintained. - Business critical records & systems are identified.	Applies to physical and electronic systems: - IT System list - Policy with a records/information management component - System Survey - Business Continuity Plan - Classification structure/file list/file plan - Processes/procedures that include recordkeeping - Business Process mapping - Business critical records/systems identified	Operational	Under way	Some	Plans in place	Recordkeeping system documentation is maintained and regularly reviewed IMS Desk File (MOJNJ 03)	No

Ref	Requirement	AUDITORS NOTES	Evidence	Type	Status	Extent	Rating	Comments	Y/N
1.1.3	Policies that include records management are documented and in use	AUDITORS NOTES: * Policy that includes recordkeeping components * Approvals process * Communications plan * Training programme Policies that include recordkeeping identify relationships to relevant policies e.g. IT Security. Metadata specifications and decisions for all systems that manage records are documented, including: - policy acknowledges the role of metadata in ensuring an authentic record - policy specifies the roles of point of capture and process metadata, and the rules relating to changing metadata. How is the policy communicated - Training, Intranet, Newsletters ? Does the policy scope cover all formats of records? (incl. email, web, paper, digitally borne, digitised) Does the policy determine where records should be created/managed? Requires records systems to have been identified & documented. REFER - Archives 'Guide to Writing a Recordkeeping Policy G6 - Checklist 7' for guidance. * Policy that includes recordkeeping components * Information Technology (IT) Policy * Security Policy * Information Management (IM) Policy	Policies with a recordkeeping component - Strategy/Plan that includes recordkeeping - Document control/version controls procedures - Communications Plan - Training/Induction programme	Operational	Completed and up to date	All	Completed	RM policies are published on the intranet and regularly reviewed/updated as necessary Records Management Policy (MOJNJ 16) Information Security Policy (MOJNJ 30) Records Management Framework (MOJNJ 18) BCS and records capture (MOJNJ 25) Records Management for Managers (MOJNJ 26) Recordkeeping respons bilities (MOJNJ 27) Guidelines for identifying and managing vital records (MOJNJ 28)	No
1.2.1	Strategic/business plans include records management objectives and risks	AUDITORS NOTES: - Strategic/business Plan includes records/information management - Information Services Strategic Plan (ISSP) - Risk Framework/plan/register - Audit report/reviews View Corporate/Business Plan If there is an ISSP does it cover only IT or is broader?" Does the statement of intent include objectives? Review documentation for evidence of recordkeeping risks. Does the organisation have a risk management plan in place and takes account of recordkeeping capability?	Business/strategic plan (or ISSP) references: - Recordkeeping/records management/information management - Knowledge management - Activity Plan - Action Plan - Risk management plan/register	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)	No
1.2.2	Procedures that include records management have been documented and are in use	AUDITORS NOTES: * Procedures that include creation, maintenance of records * Workflows/process maps * Guidance notes/Desk files * Training materials Key procedures observed as being implemented. Procedure manual identifies quality checks including responsibility for carrying out quality audits, frequency & acceptance criteria. How do procedures support policy? What systems exist that manage records? Are there procedures for each? -When were electronic systems implemented? -How are procedures communicated to staff? -How is procedure compliance monitored? -How regularly are procedures reviewed?	Business processes/procedures which include recordkeeping exist and are in use, including: - Procedure manuals - Training materials - Workflow models - Staff guidance notes / Desk Files - Audit reports/reviews/Quality Management Reviews Business systems documentation identifies: - Auto-capture of metadata elements - Auto-classification - eg File classification/File Plan/File List - Communications Plan - Official information Act/Privacy Request processes	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)	No

Ref	Requirement	Auditors Notes	Evidence					Comments	
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	AUDITORS NOTES * Policy and procedures that includes records/information management components * Approvals process * Monitoring and review schedule * Audit reports/reviews * Corrective actions records How is the policy monitored? internal audits, spot checks. Is there a review process? Is there annual checks/reviews? Is this documented?	'- Policy and procedures that includes records/information management components - Monitoring and review schedule - Audit reports/Quality management reviews - Corrective action records - Document control/version controls procedures	Operational	Under way	Most	Completed	RM policies are published on the intranet and regularly reviewed/updated as necessary☐ Policy schedule (MOJN12)	No
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	AUDITORS NOTES: * Business Plan includes records/information management - version control/approval plans * ISSP - Information Services Strategic Plan * Review documentation for records/information management risks/objectives.	Business/strategic plan (or ISSP) references: - Records/Information Management - Knowledge management - Activity/Action Plan Minutes of meetings that show reviews have been undertaken or objectives have been discussed	Compliance	Under way	Most	Plans in place	Records management risks are incorporated in the ICT risk register☐ ICT Risk Register (MOJNJ 73)	No
2.1.1	Records management is resourced appropriately	AUDITORS NOTES: * Policy that includes records/information management * Job/Position Descriptions * Budget planning - Clearly defined roles that include recordkeeping responsibilities (i.e. qualifications and/or experience/skill) are documented within job descriptions and business plans. - Resourcing for recordkeeping identified within capital budgets, and funding requirements for wider recordkeeping capabilities (for instance, capital funding and storage requirements) are documented and sufficient. Is there a strategy or plan in place that includes recordkeeping? Does the plan identify resourcing requirements? Does the organisation have any information management projects about to begin or under way? Has records/information management resourcing been identified as part of the project(s)? Does the policy reflect roles of Chief Executive or equivalent; Sponsor; Operational staff (RM, IT); All Staff.	Recordkeeping resourcing identified within: - Job/position descriptions - Plan/strategy that includes records/information management - Policy with a records/information management component - Processes/procedures that include recordkeeping - Business plan - Resourcing plan	Strategic	Completed and up to date	All	Completed	Records Management resources are concentrated mostly in the IMS team and part of the tasks performed by administrative staff embedded in business units JD Manager Information and Document Management (MOJNJ 07), JD Senior Information Advisor (MOJNJ 08), JD Senior Advisor (MOJNJ09), JD Advisor (MOJNJ10) Org Chart IDM Team (MOJNJ 13) Org Chart Strategic Infromation Advisor (MOJNJ 14)	No
2.1.2	Responsibility for records management is assigned	AUDITORS NOTES: * Policy with a records/information component * Job/Position Descriptions * Plan/Strategy that includes records/information management * Code of conduct * Organisational charts * Documentation exists regarding delegation, performance reviews, internal processes, job and person specifications. * Staff recordkeeping responsbilities are reflected in either: - statement in a policy on staff responsibilities for records management; and, - position descriptions, job specifications or performance agreements incorporate standard recordkeeping competency statement, requiring conformance with the public office's policies that incorporate recordkeeping (including responsibility for records creation) Are roles part of position descriptions?	'- Plan/strategy that includes records/information management positions - Job/position descriptions - Delegation process - Code of conduct - Policy with a records/information management component - Processes/procedures that include recordkeeping	Compliance	Completed and up to date	All	Completed	See 2.1.1	No

Ref	Requirement	Auditors Notes	Evidence	Category	Status	Coverage	Progress	Comments	
2.2.1	Staff assigned to records management have been given appropriate training	AUDITORS NOTES: * Job/Position descriptions * Training plans/registers * Performance development plans/Learning development plans * Policy with a records/information management component * Procedures that include recordkeeping Check policy to see that roles are defined. - Qualified and/or experienced or skilled records/information management practitioners and professionals are appointed to relevant roles that incorporate recordkeeping AND - Recordkeeping practitioners or equivalent persons are trained in recordkeeping tools, systems, practices and resources. Training needs are identified and documented, what forums do staff attend? Are course enrolments or certificates from courses available?	'- Job/position descriptions - Performance/training development plans - Training registers/plans - Career development plans - Certificates/enrolment information	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
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	AUDITORS NOTES: * Human Resources (HR) plan * Succession plan * Training and development plan * Training register There is clear evidence of approved career planning and development, or succession plans AND staff with recordkeeping responsibilities are included in training logs or registers. Review documentation	'- Human resources procedures - Career planning/development - Training plan/register - Strategy that includes records/information management - Performance plan/ learning and development plan - Business Plans	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
2.3.2	Budget planning considers resourcing and improvements for records management	AUDITORS NOTES: * Plan/strategy that includes records/information management * Monitoring and review reports * Performance Measures - Key Performance Indicators * Budget planning * Information Management reviews How does the organisation review, measure progress against its Strategy/Business Plan that includes recordkeeping?	'- Plan/strategy that includes records/information management - Budget Planning - Goals/performance measures - Key performance Indicators (KPIs) - Training Plan	Strategic	Completed and up to date	All	Completed	Resoucing is covered in the annual budget. Estimates have been provided for systems improvement (ecms)as a part of the Ministry's investment programme IMS Budget (MOJNJ 79)	No
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	AUDITORS NOTES: Check staff awareness of recordkeeping responsibilities and where and how to save records. What training is available to staff? What induction programmes are available to staff? How is records management covered?	'- Induction checklists - Training plan - Job/position descriptions - Performance plans - Training course objectives	Operational	Under way	Some	Plans in place	Online training programme is being rolled out to all staff and being made mandatory. This will enable ongoing monitoring of percentage of staff covered and identify any gaps in coverage and new training requirements. Records management training module hardcopy version (MOJNJ 15)	No

Ref	Requirement	Auditors Notes	Evidence	Type	Status	Coverage	Plans	Comments	
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	AUDITORS NOTES: * Training plan * Procedures that include recordkeeping * Job/position descriptions * Induction programme Check staff awareness of recordkeeping benefits and responsibilities. What and how is training delivered to staff?	- Training Plan - Induction checklists - Training register - Job/position descriptions - Communications policy	Operational	Under way	Some	Plans in place	Online training programme is being rolled out to all staff and being made mandatory. This will enable ongoing monitoring of percentage of staff covered and identify any gaps in coverage and new training requirements. Policies are published on the intranet and regularly reviewed and updated. Regular training sessions on the MOJ EDRMS (Jukebox) is delivered by the training team☐ see 3.1.1 (RM training module) Jukebox lesson plan (MOJNJ 81) Jukebox training aid version control (MOJNJ 82)	No
3.3.1	Records management training needs for all staff is monitored and regularly reviewed	AUDITORS NOTES: * Key Performance Indicators (KPIs) * Performance Measures * Internal audit reports How is the effectiveness of the training programme measured? How are new dimensions incorporated into training programme and communicated? Is Recordkeeping a core competency? How is compliance with policies and procedures measured? Training assessed/reviewed: - training questionnaires - course feedback - additional/refresher training. Skills assessed/reviewed: - performance review process.	'- Training surveys/questionnaires - Course feedback - Additional/refresher training - Performance reviews - Monitoring and review schedule	Operational	Under way	Some	Plans in place	Online training programme is being rolled out to all staff and being made mandatory. This will enable ongoing monitoring of percentage of staff covered and identify any gaps in coverage and new training requirements. Policies are published on the intranet and regulalrly reviewed and updated. Training module (MOJNJ 15)	No
4.1.1	Monitoring of records management compliance is documented	AUDITORS NOTES: * Monitoring and review schedule * Reporting templates * Key Performance Indicators (KPIs) * Audit trails and reporting * Performance framework/measures Does the organisation have an established monitoring and compliance programme? Documented rationale and purpose of recordkeeping reporting is available to staff. How are issues identified, reported, actioned? What processes are in place to do so?	- Internal Audit reports/reviews - Quality Management reviews - Corrective Action records - Monitoring and review schedule - Legal Compliance register - Strategy/plan that includes recordkeeping	Reporting	Completed and up to date	All	Completed	Legislative compliance is documented and monitored on a quarterly basis Legislative compliance statement (MOJNJ 83)	No

Released under the Official Information Act 1982

		AUDITORS NOTES	Evidence						
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	AUDITORS NOTES: * Policy with a records/information management component * Procedures that incorporate recordkeeping requirements * Training analysis * Classification structure review documentation * Management reports/minutes * Key Performance Indicators (KPIs) Who is responsible for monitoring records/information management compliance? What procedures are there for monitoring compliance? How are issues reported? What actions have been taken in past resulting from reports? Reporting of recordkeeping key performance indicators (KPI) and ad-hoc issues are reported to appropriate management level as per public office schedule (for example, compliance with the Public Records Act (2005) is part of the public office's compliance framework and is regularly signed off as per senior management compliance statements). Reports are l kely to include monitoring performance metrics such as storage space utilisation, registration of records (for instance, comparison of actual versus expected levels, etc), transfer and disposal trends, quantity and frequency of disposal versus creation. There is evidence of follow-up action and response evident from management team minutes/decision register or action lists. Monitoring reports, internal audit reports and remedial action documentation exists.	- Management reports/minutes - Report distribution list - Monitoring and review schedule - Audit reports/reviews - Corrective Action records	Reporting	Completed and up to date	All	Completed	See 3.2.1 Policy expiry and renewal document (MOJNJ 12)	No
4.3.1	The effectiveness of the records management capability of the organisation is regularly assessed	AUDITORS NOTES: * Monitoring and review schedule * Internal audit/review reports * Corrective actions records * Performance monitoring reports Assessment results reported to senior management. Corrective action/continuous improvement reports/results/outcomes from assessment? Frequency of assessment? Evidence of an internal audit programme that incorporates elements for the Public Records Act (2005) and associated mandatory standards, as determined by the public office's risk management profile and management programme.	'- Management reports - Audit reports/reviews - Key Performance Indicators (KPIs) - Performance monitoring reports - Monitoring and review schedule - Corrective Action records	Reporting	Under way	Some	Plans in place	The Justice Information Strategy includes a business intelligence and Information management maturity model that has been applied for the Ministry environment by Gartner. The BIIM strategic programme will regularly assess our information management capability development.□ Justice Information strategy (MOJNJ 06)	No
5.1.1	Records management requirements are identified in business processes and functions	AUDITORS NOTES: * Functional/mapping analysis * Information Management (IM) reviews * Project plans (Classification structure development) * Appraisal Reports Has the organisation got a Classification structure? Do procedures document what records must be created by the organisation? Does the organisation have an Retention and Disposal Schedule (RDS)? (Development of RDS requires analysis of organisations functions and Recordkeeping) Has the organisation had any Information Management review? When? High level process mapping OR business analysis of business activities to map recordkeeping requirements (including legislative requirements, business decisions and transactions) AND Risk assessment undertaken to identify business-critical records.	'- Classification structure/file lists/file plans - Business activity process mapping - Risk assessments/reports - Information Management reviews - Appraisal reports / disposal authorities - Functional mapping analysis	Compliance	None	None	None	Currently lack the records management maturity and tools to achieve this	No

5.1.2 Records of all business activities are managed within the appropriate systems	AUDITORS NOTES: * Processes that include recordkeeping * Functional analysis * Policies with a recordkeeping component What systems that manage records does the organisation have? Do procedures that include recordkeeping define the organisation's core functional records? How does the organisation manage records created or received via email? Do policy/procedures cover emails? Has there been a functional analysis of the organisation undertaken to determine core records? What procedures exist to support policy? Is email monitored? Is use of the systems that manage records monitored? Is use of personal drives / c: drives monitored? Are records fragmented across systems? How is the complete record constructed? Staff are trained to identify the activities that produce business records. For example, staff are encouraged to create file notes, minutes, etc. recording business decisions as part of their business as usual activities. Policy, strategies that include recordkeeping, role and responsibility statements are defined and in place.	' - Processes/procedures that include recordkeeping - Desk files - Classification structure/file list/file plans - Core records/systems identification - Vital records list/register - IT list of all systems - Policy with a records/information management component	Compliance	Under way	Some	Plans in place	This is achieved through a combination of content-appropriate business systems including Jukebox, case management systems, shared drives and hard copy. A high level BCS has been developed and is being implemented in shared drives with a view to providing a basis for records capture in a new ECMS BCS policy (MOJNJ 37) BCS procurement (MOJNJ 36) BCS operational service delivery (MOJNJ 38) BCS levels 1-2 (MOJNJ 39) BCS functions (MOJNJ 40) BCS legal (MOJNJ 41) BCS IM (MOJNJ 42) BCS ICT (MOJNJ 43) BCS HR (MOJNJ 44) BCS Comms (MOJNJ 45) BCS business group (MOJNJ46)	No

5.2.1 Records are captured routinely, documented and organised according to the organisation's business requirements	AUDITORS NOTES:
	* Desk files/systems guidance
	* Processes that include recordkeeping
	* Classification structure/file list
	* Metadata schema/list
	* Functional analysis
	* Policies with a records/information management component
	
	What recordkeeping systems does the organisation have?
	  Paper?
	  Electronic? EDM, Shared drive, Business systems
	When were these implemented? When were they last reviewed? What controls (classification structures, meta-data policy, monitoring, appraisal, migration plans, system design etc) are in place to ID, manage, control?
	What procedures are in place?
	What controls are in place to ensure records are comprehensive? A classification structure should reflect the core functions of the organisation.
	How are staff behaviours measured?
	What controls are in place to ensure records can be maintained over their lifetime?
	How are legacy records managed? How are older records located?
		'- Business processes/procedures
		- Processes/procedures that include recordkeeping
		- Classification structure/file list/file plan
		- Metadata schema/list
		- Functional specifications
		- Policy with a records/information management component
			Compliance	Under way	Some	Plans in place	Official Ministry hard copy and Jukebox records are compliant but shared drives are not	No

5.2.2 Records management data is assigned, documented and is in use	AUDITORS NOTES: * Processes that include recordkeeping * Metadata (MD) schema (incl. process metadata) * Classification structure/file list * Records showing unique identifiers etc. * Policies with a records/information management component REFER Requirements 3.1 & 5.6 (minimum requirements) Procedures outlining point of capture Dependent on systems in place. Have there been any reviews to assess systems? Are decisions for the application of records management data documented?	'Refer Requirement 3.1 & 5.6 for minimum records management metadata - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Records showing unique identifiers/date of creation - Metadata schema/list - Policy with a records/information management component	Operational	Under way	Some	Plans in place	Metadata scheme is approved and published on the intranet. It cannot be operationalised without an appropriate ECMS Metadata standards (MOJNJ 19), Metadata Schema (MOJNJ 20)	No

5.3.1	Records management data is maintained, monitored and reviewed	AUDITORS NOTES: * Metadata schema/list * Policies with a records/information management component * Procedures that include recordkeeping * Technical specifications for systems * Mapping plans/documentation * Implementation plans (Mapping of metadata) Dependent on systems in place. Who is responsible for ensuring that business information systems, EDRM, RK systems include relevant RK metadata? Refer requirements 3.1 & 5.6 Systems Managers (or equivalent) have related business system functional specifications to records management metadata schema in Technical Specifications OR Mapping documentation exists OR A list of systems and the metadata contained within those systems exists.	'Refer Requirement 3.1 & 5.6 for minimum records management metadata - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Records showing unique identifiers/date of creation - Metadata schema/list - Policy with a records/information management component	Operational	Under way	Some	Plans in place	Partial in Jukebox. IDM desk file (MOJNJ 03)	No
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	AUDITORS NOTES: * Monitoring and review schedule * Processes that include recordkeeping (RK) with review dates * Review process/procedure * Audit/review reports Frequency or rigor of review of systems(e.g. degree of user involvement or endorsement, reasonable degree of logical layers, user awareness). How are classification systems updated? What is the process for updating? How is use of systems monitored? Are all locations monitored? i.e. home drives, email folders, personal hardcopy files.	'- Processes/procedures that include recordkeeping - Audit trails/reports - Review processes/procedures - Corrective Action records - Change control process	Strategic	Under way	Some	Plans in place	Partial in Jukebox, currently lack the tools to achieve this. see 5.3.1	No
5.3.3	Disposal authorities are mapped to systems that create and maintain records	'AUDITORS NOTES: * Disposal Implementation Plan * Classification structure/file list * Mapping plans/documentation * Retention Disposal Schedule (RDS) Assumes both Classification structure and Disposal Authorities exist. Was an implementation plan included as part of developing the retention and disposal schedule? How are disposal decisions implemented into core business systems? How is this monitored?	- Disposal authorities - Disposal implementation plan - Classification structure/file list/file plan - Disposal Mapping documentation - Systems documentation/desk files/guidelines	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	No

| 6.1.1 Access to and use of records is managed within the appropriate systems | AUDITORS NOTES:
* Classification structure/file list
* Metadata (MD) schema
* Policies with a records/information management component
* Processes that include recordkeeping (RK)
* Audit/review reports
Actions of accessibility and usability are defined in the public office's procedures and there is evidence the procedures are being followed.
Systems that manage records includes appropriate controls and security, including, for example:
- for physical records there is a list of files, including locations, in either physical form or in a database
- for digital records held in core business systems and on shared drives there is an agreed structure and defined metadata to manage and locate records.
What systems does the organisation use (intellectual controls)?
How does the organisation locate records?
How does the organisation determine and assign different security requirements of records?
How does the organisation control access to and track records?
Is there a policy determining where records should be located and managed?
Are there records that are required to be accessed long-term?
Does the organisation hold any records older than 25 years? refer also to Deferral questions if one exists then would indicate some plan is in place to manage on-going access. | - Processes that include recordkeeping
- Classification structure/file list/file plan
- Metadata schema/list
- Security/access procedures
- Business Continuity/Disaster recovery plan(s) | Operational | Under way | Some | Plans in place | Access to and use of records in Jukebox is managed. Not in shared or other drives

see 5.3.1 Access management framework (MOJNJ 52) | No |
| 6.2.1 Sensitive and restricted records are identified, documented and controlled | AUDITORS NOTES:
* Classification structure that identifies sensitve records (e.g. HR, payroll, board papers, management reports)
* Processes that include recordkeeping
* Retention Disposal Schedule (RDS)
* Access statements
* Office's security model
* Audit reports/reviews
* Corrective action records

Does the organisation have OIA, Privacy etc processes in place?
Does the policy / procedure include restriction/access statements?
Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored?
Requires records to be identified and controlled - e.g. Listed for physical with access requirements assigned and access activity recorded.
Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND
Dedicated storage areas are provided for high risk classes of records and additional security measures are instigated, AND
Records of cultural value (e.g. records of significance to Maori stakeholders) are identified, AND
Procedures for granting and withholding records access are defined and implemented. | '- Processes that include recordkeeping
- Classification structure/file list
- Retention Disposal Schedule/Disposal Authority
- Security/access policy/procedures
- Access processes/procedures
- Audit reports/Quality Management reviews
- Corrective Action records | Compliance | Under way | Some | Plans in place | Partial. Jukebox and hard copy records that are sensitive/restricted are identified and controlled. Shared and other non-official drives have records that cannot have sensitivity or restrictions controlled. □ see 5.3.1 | No |

| 6.2.2 | Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification | AUDITORS NOTES:
* Processes that include recordkeeping
* Retention Disposal Schedule (RDS)
* Access statements
* Official Information Act policy/processes
* Privacy Act policy/processes
* Classification structure/file list
* Policies with a recordkeeping component

Does the organisation have OIA , Privacy etc processes in place?
Does the policy/ procedure include restriction/ access statements?
Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored?
Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND
Records of cultural value (e.g. records of significance to Maori stakeholders) are identified.
Procedures for granting and withholding records access are defined and implemented. | '- Official Information Act policy/processes
- Privacy Act policy/processes
- Processes that include recordkeeping
- Classification structure/file list/file plan
- Security/access policy/procedures
- Policy with a recordkeeping component
- Access statements | Compliance | Under way | Some | Plans in place | s 9(2)(ba)(i) | No |
| 6.2.3 | Records 25 years of age or older are covered by an Access Authority | AUDITORS NOTES:
* Deferral agreement with an Access Authority
* Disposal Authority with Access section
* Processes that include recordkeeping
* Policies with a records management component
* Access policy/processes
* Access status classification
* Classification structure/file list
Does the organisation have records over 25 years old or pending transfer?
Is there an access statement in place determining access?
For open access records what procedures are in place to allow public access?
Is there a deferral of transfer in place? (8.2.2)
- Policy & procedures that include Access exist.
- Access status documentation is maintained, including rationale for access decisions.
- Administration arrangements for public access to records over 25 years of age are documented.
Refer to Archives NZ - Making Access Decisions Under the Public Records Act. | - Access authority
- Access status classification
- Processes/procedures that include recordkeeping and/or access
- Procedures/processes around public access to records over 25 years of age.
- Policy with a records/information management component
- Classification structure/file list/file plan | Compliance | Under way | Most | Plans in place | 1 Deferral of Transfer Authority is in place with Archives New Zealand see 8.2.2 | No |

| 6.3.1 | The ability to locate and use records is monitored and routinely audited | AUDITORS NOTES:
* Audit reports/reviews
* Corrective action records
* Processes that include recordkeeping
* Policies with a recordkeeping component
* Surveys/audits of records location
* Storage contracts/reviews
How does the organisation monitor record locations?
Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)?
How does the organisation ensure continued access bility and usability?
What controls are in place?
Have any format issues been identified as part of monitoring?
How are issues identified addressed?
Have there been issues with response times for responding to OIA or other information requests?
Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR
Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes).
Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management. | 'AUDITORS NOTES:
* Audit reports/reviews
* Corrective action records
* Processes that include recordkeeping
* Policies with a recordkeeping component
* Surveys/audits of records location
* Storage contracts/reviews
How does the organisation monitor record locations?
Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)?
How does the organisation ensure continued accessibility and usability?
What controls are in place?
Have any format issues been identified as part of monitoring?
How are issues identified addressed?
Have there been issues with response times for responding to OIA or other information requests?
Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR
Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes).
Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management. | Operational | Under way | Some | Plans in place | Retrieval and usability of records in offsite storage systems is monitored on an ad hoc basis as a part of everyday use. Audit procedures need to be developed subject to resource availability | No |
| 7.1.1 | All records are managed so they cannot be altered, deleted or disposed of without permission | AUDITORS NOTES:
* Policies with a records/information management component
* Processes that include recordkeeping
* Access controls for records
* Access/loan policy
* Metadata (MD) schema
* Reporting
* Security procedures/audit trails/system monitoring
Does the policy determine how records are to be managed?
What formats are records held in?
How is the authenticity of a record assured? - creation, receipt, transmission.
Dependent on format what controls are in place?
Examples of controls for systems would be audit trails, standard system metadata.
Shared drive environment - Backups, and largely reliant on policies and procedures supported by robust monitoring OR print to file strategy.
How is reliability and integrity of digital records assured?
Is records management metadata persistently linked to records - eg migration to new systems?
Are historical records in previous systems locked down so that they can be read but not altered?
Existence of recordkeeping controls to ensure creation of authentic records. For example:
- appropriate recordkeeping controls including version control
- metadata schema defined for business systems
- rules around the use of read-only functionality in | 'Applies to all records
- Processes/procedures that include recordkeeping
- Access controls for all systems
- Metadata schema/list
- Access and loan policy
- File tracking (paper)
- File location/transit cards
- Security procedures
- Audit logs/trails
- Monthly/Quarterly reports | Operational | None | None | None | We do not have the technology for this; an appropriate ECMS is required | No |

Ref	Description	Auditors Notes	Evidence	Category	Status	Coverage	Progress	Comments	
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	AUDITORS NOTES: * Plan/strategy that incorporates records/information management * Physical/Digital storage report * Offsite storage contract * Storage plan for both physical and digital records * Audit reports/reviews * Business continuity plans/reviews The facility in which records are stored meets the applicable Building Code and has appropriate flood and fire protection systems (demonstrated by Code of Compliance Certificates) AND Shelving equipment and other equipment is appropriate to the format and size of the record. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	'Applies to all records. - Risk assessment/review of storage - Internal audit/information management reports - Storage assessment reports - Storage contracts - Server plans - Business continuity plans/reviews - Building Warrant of Fitness	Compliance	Under way	Some	Undecided	Hard copy records comply with this - not electronic (we do not have the technology) Online storage standards compliance (MOJNJ 50) Building WOF (MOJNJ 51)	No
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs	AUDITORS NOTES: * Storage review report * Server reports/IT Planning documents around storage * Storage Contracts * File Lists Appraisal reports exist and approved by appropriate management tier, AND Storage requirements are defined including requirements for managing information of a sensitive nature. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	'Applies to all records. - Appraisal processes and/or reports - Storage plan for digital and physical records - Storage contracts - Migration plans - Security/access processes - Storage audit reports/reviews - Classification structure/file list/file plan	Strategic	Under way	Some	Plans in place	Linkage to vital records activity (2014/15). Security can be applied in shared drives and in Jukebox IDM workplan (MOJNJ 01)	No
7.2.2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	AUDITORS NOTES: * Disaster Recovery/Business Continuity Plan(s) * Procedures for managing records during emergency (both physical and digital) * Checklists (contacts and suppliers) * Offsite storage contracts Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact? Has the plan been tested?	'- Disaster Recovery/Business Continuity Plan(s) - Policy with a records/information management component - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts - Systems survey	Operational	Completed and up to date	All	Completed	MOJ National Emergency and Business Continuity Plan includes the protection and salvage of electronic records held in business information systems, and includes the paper Records disaster Recovery Plan National Emergency management and business continuity plan (MOJNJ 32) Paper records disaster recovery plan (MOJNJ 31)	No
7.3.1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	AUDITORS NOTES: * Disaster Recovery/Business Continuity Plan(s) * Procedures for managing records during disaster (both physical and digital) * Checklists (contacts and suppliers) * Offsite storage/data storage contracts A Disaster Management Plan that identifies key risks and the ways in which those risks should be mitigated or responded to is in place, tested, monitored and reviewed. Covers all records. Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact, have they had training? Has the plan been tested? How often is the plan tested?	- Disaster Recovery/Business Continuity Plan(s) - Testing plans and corrective actions - Internal Audit reports - Monitoring and review schedule - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts	Operational	Completed and up to date	Some	Completed	The Ministry's National Emergency and Business Continuity Plan was last tested on 5 June 2014, and after that will be tested every 6 months. see 7.2.2	No

Ref	Criterion	Auditors Notes	Evidence	Category	Status	Coverage	Completion	Comment	
7.3.2	Storage arrangements for records are monitored and regularly reviewed	AUDITORS NOTES: * Storage Plan * File lists * Plan/Strategy that includes storage of records/data/information * Disposal Authorities * Deferral Agreement - only required for records of archival value over 25 years old. Have records been appraised and those of archival value identified? Do lists identify year ranges of records? Do lists identify formats of records? Have disposal authorities been mapped to file lists? Have records been assessed to ensure they are stored on the appropriate media/hardware?	- Storage reports/reviews - Media or hardware assessments - Disposal Authority - Information Management reviews/reports - Monthly/Quarterly reports on storage areas and requirements	Strategic	Completed and up to date	Some	Completed	Hard copy National Office only Paper records disaster recovery plan (MOJNJ31)	No
8.1.1	Records have been appraised and disposal authorities agreed	AUDITORS NOTES: * Appraisal report * Disposal Authority * Business classification structure/file list with disposal criteria mapped Are all records and metadata covered by current disposal authorities? Has the appraisal report and associated decision been approved by Chief Archivist? Is the Disposal Authority current? When does it expire? Appraisal report(s) approved by appropriate management tier AND Authorised disposal authorities endorsed by public office's senior management and authorised by Chief Archivist AND Business Rules around retention of metadata elements agreed.	- Mapping of Disposal Authority/General Disposal authorities to business classification/systems - Appraisal reports - Disposal authorities - Retention and disposal schedule - Retention procedure/list/register/report - Disposal identification list/register/report	Compliance	Completed and up to date	All	Completed	All retention and disposal schedules up to date. MoJ schedule due for renewal in 2016. Work Programme 2014/15 will include work on renewing schedule IDM workplan (MOJNJ 01)	No
8.1.2	Regular and efficient disposal of the organisation's records is planned and documented	AUDITORS NOTES: * Implementation Plan (Disposal) * Plan/strategy that includes records/information management * Business classification structure/file lists * Mapping of General Disposal Authority and Public Office's core business records Disposal Authority Disposal occurs on a regular basis. Records do not build-up unnecessarily. Disposal schedules are reviewed and revised following expiration. Evidence that regular transfers to Archives New Zealand are planned. What is the process for managing disposal? Is disposal part of the annual business planning? How is disposal activity recorded/reported? How regularly is disposal activity implemented? - General Disposal Authority disposal? - Agency Disposal Authority disposal?	- Disposal implementation plan/schedule - Monitoring and review schedule - Transfer agreements - Business classification /file list/file plan - Evidence lists of disposed records - Disposal authorities	Operational	Under way	Some	Plans in place	The legacy project identifies and plans efficient disposal of Ministry records. We are currently recruiting to provide resource to carry out this project Legacy Project schedule (MOJNJ 80)	No

Req	Auditors Notes	Evidence	Type	Status	Coverage	Plans	Comments	
8.2.1 Disposal procedures and processes are implemented and in use regularly	AUDITORS NOTES: * Procedures that include recordkeeping * Disposal process/procedures include: - Disposal actions (transfer/destruction) of records - lists of destroyed records - lists of transferred records - Disposal metadata documentation - records closed once no longer required - regular destruction of records authorised - regular transfer of records of archival value * Authorised retention and disposal schedule * Deferral of transfer agreements * Disposal authorities * Legacy Records Programme agreement * Implementation plan (as part of Appraisal Report) ** DISPOSAL INCLUDES BOTH TRANSFER & DESTRUCTION How is disposal monitored? Has there been any disposal activity? Has it been done in accordance with current disposal authorities? How has this activity been recorded?	- Disposal procedure's - Lists of destroyed records - Lists of transferred records - Archives New Zealand Transfer agreement - Disposal register - Disposal authorities	Compliance	Under way	Some	Plans in place	Jukebox and hard copy are in place - shared drives are not. (see also legacy project 8.1.2)Legacy project Disposal Authority 220 (MOJNJ55) Disposal Authority 472 (MOJNJ 56) Disposal Authority 570 (MOJNJ 57)	No
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	AUDITORS NOTES: * Deferral of transfer agreement * Systems that manage records documentation * Review reports Does the organisation have any records that are 25 years of age or over? Check Archives NZ documentation. Deferral process exists - including templates & sign-off process. Register of disposal actions identifies reasons for deferral and the individual/role accepting the deferral recommendation. Deferred Transfer Agreement exists. Administration arrangements for public access to public records over 25 years of age are documented.	- Deferral of transfer agreement - List of records 25 years of age and over	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	No
8.3.1 Records management data about disposal of records is retained for as long as required	AUDITORS NOTES: * Procedures that include recordkeeping * Disposal process / procedures include: - lists / evidence of destroyed records and metadata (req 5.6) - regular destruction of records authorised Disposal Authority Is records management data about disposal documented? Is it included in the appraisal report or system specifications for digital records.	- Register of disposal actions and metadata - Disposal procedures (for all formats) - Disposal Authorities - Documented destruction methods	Operational	Completed and up to date	All	Completed	Held in Jukebox and, where applicable, in offsite storage databases (IKM 15/04)	No
8.3.2 Disposal procedures and processes are monitored and reviewed	AUDITORS NOTES: * Disposal procedures/processes with review dates * Disposal register * Versions/updates of disposal procedures * Systems procedures/guidelines with disposal information Disposal schedules are reviewed and revised as required. Evidence that regular transfers to Archives New Zealand are planned. What is the process for managing disposal? Is disposal part of the annual business planning? How is disposal activity recorded/reported? How regularly is disposal activity implemented? - General Disposal Authority disposal? - Agency Disposal Authority disposal?	- Disposal procedures/processes - Disposal schedule - Monitoring and review schedule - Transfer agreements - Disposal authorities - Monthly/quarterly reports on disposal	Operational	Completed and up to date	All	Completed	Managed by IDM team and stored in Jukebox (IKM 15/04)	No

Ministry of Justice - Non-Judicial Authorities

Name: Ministry of Justice - Non-Judicial Authorities
CRM reference: 2014/1880
CE delegation: Tina Sutton
SRO position: Chief Information Officer
Sector: Public Service Department
Physical address: Level 3, Justice Centre, 19 Aitken Street, Wellington
Scope:
Inpection: Yes
Comment:
Status: Self assessed

No.	Question	Attribute	Potential Evidence	Risk	Progress	Coverage	Intentions to Progress	Evidence	Attachments
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	AUDITOR NOTES: * Plan/Strategy that includes records/information management * Policies with a records/information management component * Code of Conduct - signed off by the Chief Executive and all staff Different agencies may refer to a strategy, plans or roadmaps. Is there a strategy/plan that includes recordkeeping? Is there a policy that identifies roles & respons bilities? Does the strategy/framework define roles & responsibilities for Chief Executive or equivalent, Sponsor, Operational staff (RM, IT), all staff? Is there a plan identifying RM projects & are roles included in the plan? Do they reflect roles & respons bilities identified in the strategy/framework/policy? Is the strategy/framework endorsed?	Chief Executive accountability established. Executive management accountability identified. - Plan/Strategy with that includes records/information management - Policy with records/information management component - Policy identifies responsibilities - Code of Conduct	Operational	Under way	All	None	Recordkeeping policies are endorsed and promulgated by the CEO☐ records management policy (MOJNJ 16)	No
1.1.2	Systems used to create and maintain records are identified and documented	AUDITOR NOTES: * Framework documentation that includes records/information management * Surveys/reviews of records/information management * Data map/system architecture * Classification structure/file list/file plan * Vital records/business critical system list * Policy with a records/information management component Can the organisation provide a 'whole of process' view across systems & formats? Does the policy state which systems to be used to create & maintain records for core business functions? Is the documentation of systems that manage records regularly reviewed (surveys, reviews, audits)? Has the organisation identified: - business processes? - business systems that store records? - legacy systems? APPLIES TO BUISNESS SYSTEMS: - Organisation-wide information/data maps defined and in place. - Repository stocktake occurred & outcomes documented. - Survey conducted identifying business systems, physical recordkeeping systems, etc. - Analysis of legacy recordkeeping issues and/or gaps conducted. - Classification structure/file plan is in place, in use and maintained. - Business critical records & systems are identified.	Applies to physical and electronic systems: - IT System list - Policy with a records/information management component - System Survey - Business Continuity Plan - Classification structure/file list/file plan - Processes/procedures that include recordkeeping - Business Process mapping - Business critical records/systems identified	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)	No

1.1.3 Policies that include records management are documented and in use	AUDITORS NOTES: * Policy that includes recordkeeping components * Approvals process * Communications plan * Training programme Policies that include recordkeeping identify relationships to relevant policies e.g. IT Security. Metadata specifications and decisions for all systems that manage records are documented, including: - policy acknowledges the role of metadata in ensuring an authentic record - policy specifies the roles of point of capture and process metadata, and the rules relating to changing metadata. How is the policy communicated - Training, Intranet, Newsletters ? Does the policy scope cover all formats of records? (incl. email, web, paper, digitally borne, digitised) Does the policy determine where records should be created/managed? Requires records systems to have been identified & documented. REFER - Archives 'Guide to Writing a Recordkeeping Policy G6 - Checklist 7' for guidance. * Policy that includes recordkeeping components * Information Technology (IT) Policy * Security Policy * Information Management (IM) Policy	Policies with a recordkeeping component - Strategy/Plan that includes recordkeeping - Document control/version controls procedures - Communications Plan - Training/Induction programme	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)	No
1.2.1 Strategic/business plans include records management objectives and risks	AUDITORS NOTES: - Strategic/business Plan includes records/information management - Information Services Strategic Plan (ISSP) - Risk Framework/plan/register - Audit report/reviews View Corporate/Business Plan If there is an ISSP does it cover only IT or is broader?" Does the statement of intent include objectives? Review documentation for evidence of recordkeeping risks. Does the organisation have a risk management plan in place and takes account of recordkeeping capability?	Business/strategic plan (or ISSP) references: - Recordkeeping/records management/information management - Knowledge management - Activity Plan - Action Plan - Risk management plan/register	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	No
1.2.2 Procedures that include records management have been documented and are in use	AUDITORS NOTES: * Procedures that include creation, maintenance of records * Workflows/process maps * Guidance notes/Desk files * Training materials Key procedures observed as being implemented. Procedure manual identifies quality checks including responsibility for carrying out quality audits, frequency & acceptance criteria. How do procedures support policy? What systems exist that manage records? Are there procedures for each? -When were electronic systems implemented? -How are procedures communicated to staff? -How is procedure compliance monitored? -How regularly are procedures reviewed?	Business processes/procedures which include recordkeeping exist and are in use, including: - Procedure manuals - Training materials - Workflow models - Staff guidance notes / Desk Files - Audit reports/reviews/Quality Management Reviews Business systems documentation identifies: - Auto-capture of metadata elements - Auto-classification - eg File classification/File Plan/File List - Communications Plan - Official information Act/Privacy Request processes	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 Tr bunal Manual (MOJNJ 63) SSAA Case Manager Manual (MOJNJ 66)	No

		AUDITORS NOTES	Evidence	Category	Status	Coverage		Comments	
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	AUDITORS NOTES * Policy and procedures that includes records/information management components * Approvals process * Monitoring and review schedule * Audit reports/reviews * Corrective actions records How is the policy monitored? internal audits, spot checks. Is there a review process? Is there annual checks/reviews? Is this documented?	'- Policy and procedures that includes records/information management components - Monitoring and review schedule - Audit reports/Quality management reviews - Corrective action records - Document control/version controls procedures	Operational	Under way	Most	Completed	Monitored and reviewed on an adhoc, as required basis	No
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	AUDITORS NOTES: * Business Plan includes records/information management - version control/approval plans * ISSP - Information Services Strategic Plan * Review documentation for records/information management risks/objectives.	Business/strategic plan (or ISSP) references: - Records/Information Management - Knowledge management - Activity/Action Plan Minutes of meetings that show reviews have been undertaken or objectives have been discussed	Compliance	Under way	Some	Completed	ICT Risk Register ICT Risk Register (MOJNJ 73)	No
2.1.1	Records management is resourced appropriately	AUDITORS NOTES: * Policy that includes records/information management * Job/Position Descriptions * Budget planning - Clearly defined roles that include recordkeeping responsibilities (i.e. qualifications and/or experience/skill) are documented within job descriptions and business plans. - Resourcing for recordkeeping identified within capital budgets, and funding requirements for wider recordkeeping capabilities (for instance, capital funding and storage requirements) are documented and sufficient. Is there a strategy or plan in place that includes recordkeeping? Does the plan identify resourcing requirements? Does the organisation have any information management projects about to begin or under way? Has records/information management resourcing been identified as part of the project(s)? Does the policy reflect roles of Chief Executive or equivalent; Sponsor; Operational staff (RM, IT); All Staff.	Recordkeeping resourcing identified within: - Job/position descriptions - Plan/strategy that includes records/information management - Policy with a records/information management component - Processes/procedures that include recordkeeping - Business plan - Resourcing plan	Strategic	Completed and up to date	Most	Completed	Records management responsbilities are documented in job descriptions and letters of expectation for operational and administrative staffLetter of expectation Support Officer, Tribunals (MOJNJ 72)	No
2.1.2	Responsibility for records management is assigned	AUDITORS NOTES: * Policy with a records/information component * Job/Position Descriptions * Plan/Strategy that includes records/information management * Code of conduct * Organisational charts * Documentation exists regarding delegation, performance reviews, internal processes, job and person specifications. * Staff recordkeeping responsbilities are reflected in either: - statement in a policy on staff responsibilities for records management; and, - position descriptions, job specifications or performance agreements incorporate standard recordkeeping competency statement, requiring conformance with the public office's policies that incorporate recordkeeping (including responsibility for records creation) Are roles part of position descriptions?	'- Plan/strategy that includes records/information management positions - Job/position descriptions - Delegation process - Code of conduct - Policy with a records/information management component - Processes/procedures that include recordkeeping	Compliance	Completed and up to date	All	Completed	see 2.1.1	No

Ref	Description	Auditors Notes	Evidence	Type	Status	Coverage	Progress	Comments	
2.2.1	Staff assigned to records management have been given appropriate training	AUDITORS NOTES: * Job/Position descriptions * Training plans/registers * Performance development plans/Learning development plans * Policy with a records/information management component * Procedures that include recordkeeping Check policy to see that roles are defined. - Qualified and/or experienced or skilled records/information management practitioners and professionals are appointed to relevant roles that incorporate recordkeeping AND - Recordkeeping practitioners or equivalent persons are trained in recordkeeping tools, systems, practices and resources. Training needs are identified and documented, what forums do staff attend? Are course enrolments or certificates from courses available?	'- Job/position descriptions - Performance/training development plans - Training registers/plans - Career development plans - Certificates/enrolment information	Operational	Completed and up to date	Most	Completed	On-the-job training is given to staff with recordkeeping respons bilities, 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
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	AUDITORS NOTES: * Human Resources (HR) plan * Succession plan * Training and development plan * Training register There is clear evidence of approved career planning and development, or succession plans AND staff with recordkeeping respons bilities are included in training logs or registers. Review documentation	'- Human resources procedures - Career planning/development - Training plan/register - Strategy that includes records/information management - Performance plan/ learning and development plan - Business Plans	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	No
2.3.2	Budget planning considers resourcing and improvements for records management	AUDITORS NOTES: * Plan/strategy that includes records/information management * Monitoring and review reports * Performance Measures - Key Performance Indicators * Budget planning * Information Management reviews How does the organisation review, measure progress against its Strategy/Business Plan that includes recordkeeping?	'- Budget Planning - Plan/strategy that includes records/information management - Budget Planning - Goals/performance measures - Key performance Indicators (KPIs) - Training Plan	Strategic	Under way	All	Completed	Budget planning includes staff with recordkeeping respons bilities as well as offsite storage management and maintenance	No
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	AUDITORS NOTES: Check staff awareness of recordkeeping responsibilities and where and how to save records. What training is available to staff? What induction programmes are available to staff? How is records management covered?	'- Induction checklists - Training plan - Job/position descriptions - Performance plans - Training course objectives	Operational	Under way	Some	Completed	Recordkeeping respons bilities are documented in procedures and manuals and well understood by the staff who use them	No
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	AUDITORS NOTES: * Training plan * Procedures that include recordkeeping * Job/position descriptions * Induction programme Check staff awareness of recordkeeping benefits and responsibilities. What and how is training delivered to staff?	'- Training Plan - Induction checklists - Training register - Job/position descriptions - Communications policy	Operational	Under way	Some	Plans in place	Staff receive training as required, including through procedure manuals and desk files. See 1.2.2	No

Ref	Requirement	AUDITORS NOTES	Evidence					Comments	
3.3.1	Records management training needs for all staff is monitored and regularly reviewed	AUDITORS NOTES: * Key Performance Indicators (KPIs) * Performance Measures * Internal audit reports How is the effectiveness of the training programme measured? How are new dimensions incorporated into training programme and communicated? Is Recordkeeping a core competency? How is compliance with policies and procedures measured? Training assessed/reviewed: - training questionnaires - course feedback - additional/refresher training. Skills assessed/reviewed: - performance review process.	'- Training surveys/questionnaires - Course feedback - Additional/refresher training - Performance reviews - Monitoring and review schedule	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
4.1.1	Monitoring of records management compliance is documented	AUDITORS NOTES: * Monitoring and review schedule * Reporting templates * Key Performance Indicators (KPIs) * Audit trails and reporting * Performance framework/measures Does the organisation have an established monitoring and compliance programme? Documented rationale and purpose of recordkeeping reporting is available to staff. How are issues identified, reported, actioned? What processes are in place to do so?	- Internal Audit reports/reviews - Quality Management reviews - Corrective Action records - Monitoring and review schedule - Legal Compliance register - Strategy/plan that includes recordkeeping	Reporting	None	None	None	Records management compliance monitoring is mainly confined to the larger tr bunals	No
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	AUDITORS NOTES: * Policy with a records/information management component * Procedures that incorporate recordkeeping requirements * Training analysis * Classification structure review documentation * Management reports/minutes * Key Performance Indicators (KPIs) Who is responsible for monitoring records/information management compliance? What procedures are there for monitoring compliance? How are issues reported? What actions have been taken in past resulting from reports? Reporting of recordkeeping key performance indicators (KPI) and ad-hoc issues are reported to appropriate management level as per public office schedule (for example, compliance with the Public Records Act (2005) is part of the public office's compliance framework and is regularly signed off as per senior management compliance statements). Reports are l kely to include monitoring performance metrics such as storage space utilisation, registration of records (for instance, comparison of actual versus expected levels, etc), transfer and disposal trends, quantity and frequency of disposal versus creation. There is evidence of follow-up action and response evident from management team minutes/decision register or action lists. Monitoring reports, internal audit reports and remedial action documentation exists.	- Management reports/minutes - Report distribution list - Monitoring and review schedule - Audit reports/reviews - Corrective Action records	Reporting	Under way	Some	Plans in place	Records management procedures and process monitoring is mainly confined to the larger tribunals	No

Clause	Auditors Notes	Evidence	Type	Status			Comments	Y/N
4.3.1 The effectiveness of the records management capability of the organisation is regularly assessed	AUDITORS NOTES: * Monitoring and review schedule * Internal audit/review reports * Corrective actions records * Performance monitoring reports Assessment results reported to senior management. Corrective action/continuous improvement reports/results/outcomes from assessment? Frequency of assessment? Evidence of an internal audit programme that incorporates elements for the Public Records Act (2005) and associated mandatory standards, as determined by the public office's risk management profile and management programme.	'- Management reports - Audit reports/reviews - Key Performance Indicators (KPIs) - Performance monitoring reports - Monitoring and review schedule - Corrective Action records	Reporting	None	None	None	There is no formal assessment of records management capability.	No
5.1.1 Records management requirements are identified in business processes and functions	AUDITORS NOTES: * Functional/mapping analysis * Information Management (IM) reviews * Project plans (Classification structure development) * Appraisal Reports Has the organisation got a Classification structure? Do procedures document what records must be created by the organisation? Does the organisation have an Retention and Disposal Schedule (RDS)? (Development of RDS requires analysis of organisations functions and Recordkeeping) Has the organisation had any Information Management review? When? High level process mapping OR business analysis of business activities to map recordkeeping requirements (including legislative requirements, business decisions and transactions) AND Risk assessment undertaken to identify business-critical records.	'- Classification structure/file lists/file plans - Business activity process mapping - Risk assessments/reports - Information Management reviews - Appraisal reports / disposal authorities - Functional mapping analysis	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
5.1.2 Records of all business activities are managed within the appropriate systems	AUDITORS NOTES: * Processes that include recordkeeping * Functional analysis * Policies with a recordkeeping component What systems that manage records does the organisation have? Do procedures that include recordkeeping define the organisation's core functional records? How does the organisation manage records created or received via email? Do policy/procedures cover emails? Has there been a functional analysis of the organisation undertaken to determine core records? What procedures exist to support policy? Is email monitored? Is use of the systems that manage records monitored? Is use of personal drives / c: drives monitored? Are records fragmented across systems? How is the complete record constructed? Staff are trained to identify the activities that produce business records. For example, staff are encouraged to create file notes, minutes, etc. recording business decisions as part of their business as usual activities. Policy, strategies that include recordkeeping, role and responsibility statements are defined and in place.	' - Processes/procedures that include recordkeeping - Desk files - Classification structure/file list/file plans - Core records/systems identification - Vital records list/register - IT list of all systems - Policy with a records/information management component	Compliance	Under way	Some	Plans in place	TCM and JAX are systems that are used to appropriately manage records of business activities	No

5.2.1 Records are captured routinely, documented and organised according to the organisation's business requirements	AUDITORS NOTES: * Desk files/systems guidance * Processes that include recordkeeping * Classification structure/file list * Metadata schema/list * Functional analysis * Policies with a records/information management component What recordkeeping systems does the organisation have? Paper? Electronic? EDM, Shared drive, Business systems When were these implemented? When were they last reviewed? What controls (classification structures, meta-data policy, monitoring, appraisal, migration plans, system design etc) are in place to ID, manage, control? What procedures are in place? What controls are in place to ensure records are comprehensive? A classification structure should reflect the core functions of the organisation. How are staff behaviours measured? What controls are in place to ensure records can be maintained over their lifetime? How are legacy records managed? How are older records located?	'- Business processes/procedures - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Metadata schema/list - Functional specifications - Policy with a records/information management component	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
5.2.2 Records management data is assigned, documented and is in use	AUDITORS NOTES: * Processes that include recordkeeping * Metadata (MD) schema (incl. process metadata) * Classification structure/file list * Records showing unique identifiers etc. * Policies with a records/information management component REFER Requirements 3.1 & 5.6 (minimum requirements) Procedures outlining point of capture Dependent on systems in place. Have there been any reviews to assess systems? Are decisions for the application of records management data documented?	'Refer Requirement 3.1 & 5.6 for minimum records management metadata - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Records showing unique identifiers/date of creation - Metadata schema/list - Policy with a records/information management component	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
5.3.1 Records management data is maintained, monitored and reviewed	AUDITORS NOTES: * Metadata schema/list * Policies with a records/information management component * Procedures that include recordkeeping * Technical specifications for systems * Mapping plans/documentation * Implementation plans (Mapping of metadata) Dependent on systems in place. Who is responsible for ensuring that business information systems, EDRM, RK systems include relevant RK metadata? Refer requirements 3.1 & 5.6 Systems Managers (or equivalent) have related business system functional specifications to records management metadata schema in Technical Specifications OR Mapping documentation exists OR A list of systems and the metadata contained within those systems exists.	'Refer Requirement 3.1 & 5.6 for minimum records management metadata - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Records showing unique identifiers/date of creation - Metadata schema/list - Policy with a records/information management component	Operational	Under way	Some	Plans in place	see 5.2.2	No

		AUDITORS NOTES:							
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	AUDITORS NOTES: * Monitoring and review schedule * Processes that include recordkeeping (RK) with review dates * Review process/procedure * Audit/review reports Frequency or rigor of review of systems(e.g. degree of user involvement or endorsement, reasonable degree of logical layers, user awareness). How are classification systems updated? What is the process for updating? How is use of systems monitored? Are all locations monitored? i.e. home drives, email folders, personal hardcopy files.	'- Processes/procedures that include recordkeeping - Audit trails/reports - Review processes/procedures - Corrective Action records - Change control process	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
5.3.3	Disposal authorities are mapped to systems that create and maintain records	'AUDITORS NOTES: * Disposal Implementation Plan * Classification structure/file list * Mapping plans/documentation * Retention Disposal Schedule (RDS) Assumes both Classification structure and Disposal Authorities exist. Was an implementation plan included as part of developing the retention and disposal schedule? How are disposal decisions implemented into core business systems? How is this monitored?	- Disposal authorities - Disposal implementation plan - Classification structure/file list/file plan - Disposal Mapping documentation - Systems documentation/desk files/guidelines	Strategic	None	None	None	Disposal authorities are applied manually in the absence of technical functionality to apply disposition	No
6.1.1	Access to and use of records is managed within the appropriate systems	AUDITORS NOTES: * Classification structure/file list * Metadata (MD) schema * Policies with a records/information management component * Processes that include recordkeeping (RK) * Audit/review reports Actions of accessibility and usability are defined in the public office's procedures and there is evidence the procedures are being followed. Systems that manage records includes appropriate controls and security, including, for example: - for physical records there is a list of files, including locations, in either physical form or in a database - for digital records held in core business systems and on shared drives there is an agreed structure and defined metadata to manage and locate records. What systems does the organisation use (intellectual controls)? How does the organisation locate records? How does the organisation determine and assign different security requirements of records? How does the organisation control access to and track records? Is there a policy determining where records should be located and managed? Are there records that are required to be accessed long-term? Does the organisation hold any records older than 25 years? refer also to Deferral questions if one exists then would indicate some plan is in place to manage on-going access.	- Processes that include recordkeeping - Classification structure/file list/file plan - Metadata schema/list - Security/access procedures - Business Continuity/Disaster recovery plan(s)	Operational	Under way	Most	Plans in place	Electronic and physical access is appropriately managed, physical security for paper files is in place.	No

6.2.1	Sensitive and restricted records are identified, documented and controlled	AUDITORS NOTES: * Classification structure that identifies senstive records (e.g. HR, payroll, board papers, management reports) * Processes that include recordkeeping * Retention Disposal Schedule (RDS) * Access statements * Office's security model * Audit reports/reviews * Corrective action records Does the organisation have OIA, Privacy etc processes in place? Does the policy / procedure include restriction/access statements? Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored? Requires records to be identified and controlled - e.g. Listed for physical with access requirements assigned and access activity recorded. Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND Dedicated storage areas are provided for high risk classes of records and additional security measures are instigated, AND Records of cultural value (e.g. records of significance to Maori stakeholders) are identified, AND Procedures for granting and withholding records access are defined and implemented.	'- Processes that include recordkeeping - Classification structure/file list - Retention Disposal Schedule/Disposal Authority - Security/access policy/procedures - Access processes/procedures - Audit reports/Quality Management reviews - Corrective Action records	Compliance	Under way	All	Completed

Case file procedures are used to identify and manage sensitive and restricted records — No

6.2.2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification	AUDITORS NOTES: * Processes that include recordkeeping * Retention Disposal Schedule (RDS) * Access statements * Official Information Act policy/processes * Privacy Act policy/processes * Classification structure/file list * Policies with a recordkeeping component Does the organisation have OIA , Privacy etc processes in place? Does the policy/ procedure include restriction/ access statements? Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored? Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND Records of cultural value (e.g. records of significance to Maori stakeholders) are identified. Procedures for granting and withholding records access are defined and implemented.	'- Official Information Act policy/processes - Privacy Act policy/processes - Processes that include recordkeeping - Classification structure/file list/file plan - Security/access policy/procedures - Policy with a recordkeeping component - Access statements	Compliance	Under way	All	Completed

see 6.1.1 — No

No.	Requirement	Auditors Notes	Auditors Notes	Type				Comments	Yes/No
6.2.3	Records 25 years of age or older are covered by an Access Authority	AUDITORS NOTES: * Deferral agreement with an Access Authority * Disposal Authority with Access section * Processes that include recordkeeping * Policies with a records management component * Access policy/processes * Access status classification * Classification structure/file list Does the organisation have records over 25 years old or pending transfer? Is there an access statement in place determining access? For open access records what procedures are in place to allow public access? Is there a deferral of transfer in place? (8.2.2) - Policy & procedures that include Access exist. - Access status documentation is maintained, including rationale for access decisions. - Administration arrangements for public access to records over 25 years of age are documented. Refer to Archives NZ - Making Access Decisions Under the Public Records Act.	- Access authority - Access status classification - Processes/procedures that include recordkeeping and/or access - Procedures/processes around public access to records over 25 years of age. - Policy with a records/information management component - Classification structure/file list/file plan	Compliance	None	None	None	Not applicable (no records over 25 years)	No
6.3.1	The ability to locate and use records is monitored and routinely audited	AUDITORS NOTES: * Audit reports/reviews * Corrective action records * Processes that include recordkeeping * Policies with a recordkeeping component * Surveys/audits of records location * Storage contracts/reviews How does the organisation monitor record locations? Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)? How does the organisation ensure continued access bility and usability? What controls are in place? Have any format issues been identified as part of monitoring? How are issues identified addressed? Have there been issues with response times for responding to OIA or other information requests? Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes). Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management.	'AUDITORS NOTES: * Audit reports/reviews * Corrective action records * Processes that include recordkeeping * Policies with a recordkeeping component * Surveys/audits of records location * Storage contracts/reviews How does the organisation monitor record locations? Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)? How does the organisation ensure continued accessibility and usability? What controls are in place? Have any format issues been identified as part of monitoring? How are issues identified addressed? Have there been issues with response times for responding to OIA or other information requests? Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes). Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management.	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	No

ID	Requirement	Auditors Notes	Applies to / Evidence						
7.1.1	All records are managed so they cannot be altered, deleted or disposed of without permission	AUDITORS NOTES: * Policies with a records/information management component * Processes that include recordkeeping * Access controls for records * Access/loan policy * Metadata (MD) schema * Reporting * Security procedures/audit trails/system monitoring Does the policy determine how records are to be managed? What formats are records held in? How is the authenticity of a record assured? - creation, receipt, transmission. Dependent on format what controls are in place? Examples of controls for systems would be audit trails, standard system metadata. Shared drive environment - Backups, and largely reliant on policies and procedures supported by robust monitoring OR print to file strategy. How is reliability and integrity of digital records assured? Is records management metadata persistently linked to records - eg migration to new systems? Are historical records in previous systems locked down so that they can be read but not altered? Existence of recordkeeping controls to ensure creation of authentic records. For example: - appropriate recordkeeping controls including version control - metadata schema defined for business systems - rules around the use of read-only functionality in	'Applies to all records - Processes/procedures that include recordkeeping - Access controls for all systems - Metadata schema/list - Access and loan policy - File tracking (paper) - File location/transit cards - Security procedures - Audit logs/trails - Monthly/Quarterly reports	Operational	Completed and up to date	All	Completed	Hardcopy and electronic (TCM) records cannot be altered, deleted, or disposed of inappropriately	No
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	AUDITORS NOTES: * Plan/strategy that incorporates records/information management * Physical/Digital storage report * Offsite storage contract * Storage plan for both physical and digital records * Audit reports/reviews * Business continuity plans/reviews The facility in which records are stored meets the applicable Building Code and has appropriate flood and fire protection systems (demonstrated by Code of Compliance Certificates) AND Shelving equipment and other equipment is appropriate to the format and size of the record. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	'Applies to all records. - Risk assessment/review of storage - Internal audit/information management reports - Storage assessment reports - Storage contracts - Server plans - Business continuity plans/reviews - Building Warrant of Fitness	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	No
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs	AUDITORS NOTES: * Storage review report * Server reports/IT Planning documents around storage * Storage Contracts * File Lists Appraisal reports exist and approved by appropriate management tier, AND Storage requirements are defined including requirements for managing information of a sensitive nature. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	Applies to all records. - Appraisal processes and/or reports - Storage plan for digital and physical records - Storage contracts - Migration plans - Security/access processes - Storage audit reports/reviews - Classification structure/file list/file plan	Strategic	Under way	All	Completed	Highly sensitive records are stored securely.	No

Ref	Requirement	Auditors Notes	Evidence	Type	Status	Scope		Comments	
7.2.2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	AUDITORS NOTES: * Disaster Recovery/Business Continuity Plan(s) * Procedures for managing records during emergency (both physical and digital) * Checklists (contacts and suppliers) * Offsite storage contracts Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact? Has the plan been tested?	'- Disaster Recovery/Business Continuity Plan(s) - Policy with a records/information management component - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts - Systems survey	Operational	Completed and up to date	All	Completed	Covered in the BCP Tribunals Business Continuity Plan (MOJN J53)	No
7.3.1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	AUDITORS NOTES: * Disaster Recovery/Business Continuity Plan(s) * Procedures for managing records during disaster (both physical and digital) * Checklists (contacts and suppliers) * Offsite storage/data storage contracts A Disaster Management Plan that identifies key risks and the ways in which those risks should be mitigated or responded to is in place, tested, monitored and reviewed. Covers all records. Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact, have they had training? Has the plan been tested? How often is the plan tested?	'- Disaster Recovery/Business Continuity Plan(s) - Testing plans and corrective actions - Internal Audit reports - Monitoring and review schedule - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts	Operational	Completed and up to date	All	Completed	The BCP is updated as required☐ Tribunals Unit Business Continuity Plan (MOJNJ 53)	No
7.3.2	Storage arrangements for records are monitored and regularly reviewed	AUDITORS NOTES: * Storage Plan * File lists * Plan/Strategy that includes storage of records/data/information * Disposal Authorities * Deferral Agreement - only required for records of archival value over 25 years old. Have records been appraised and those of archival value identified? Do lists identify year ranges of records? Do lists identify formats of records? Have disposal authorities been mapped to file lists? Have records been assessed to ensure they are stored on the appropriate media/hardware?	- Storage reports/reviews - Media or hardware assessments - Disposal Authority - Information Management reviews/reports - Monthly/Quarterly reports on storage areas and requirements	Strategic	Completed and up to date	All	Completed	see 7.1.2	No
8.1.1	Records have been appraised and disposal authorities agreed	AUDITORS NOTES: * Appraisal report * Disposal Authority * Business classification structure/file list with disposal criteria mapped Are all records and metadata covered by current disposal authorities? Has the appraisal report and associated decision been approved by Chief Archivist? Is the Disposal Authority current? When does it expire? Appraisal report(s) approved by appropriate management tier AND Authorised disposal authorities endorsed by public office's senior management and authorised by Chief Archivist AND Business Rules around retention of metadata elements agreed.	- Mapping of Disposal Authority/General Disposal authorities to business classification/systems - Appraisal reports - Disposal authorities - Retention and disposal schedule - Retention procedure/list/register/report - Disposal identification list/register/report	Compliance	Completed and up to date	All	Completed	In place DA 415 Tribunals Unit Disposal Authority (MOJNJ 54)	No

Ref	Requirement	Auditors Notes	Evidence	Type	Status	Coverage	Completion	Comments	
8.1.2	Regular and efficient disposal of the organisation's records is planned and documented	AUDITORS NOTES: * Implementation Plan (Disposal) * Plan/strategy that includes records/information management * Business classification structure/file lists * Mapping of General Disposal Authority and Public Office's core business records Disposal Authority Disposal occurs on a regular basis. Records do not build-up unnecessarily. Disposal schedules are reviewed and revised following expiration. Evidence that regular transfers to Archives New Zealand are planned. What is the process for managing disposal? Is disposal part of the annual business planning? How is disposal activity recorded/reported? How regularly is disposal activity implemented? - General Disposal Authority disposal? - Agency Disposal Authority disposal?	- Disposal implementation plan/schedule - Monitoring and review schedule - Transfer agreements - Business classification /file list/file plan - Evidence lists of disposed records - Disposal authorities	Operational	Completed and up to date	All	Completed	records are routinely disposed of in accordance with the schedule☐ letter of expectation (MOJNJ 72)	No
8.2.1	Disposal procedures and processes are implemented and in use regularly	AUDITORS NOTES: * Procedures that include recordkeeping * Disposal process/procedures include: - Disposal actions (transfer/destruction) of records - lists of destroyed records - lists of transferred records - Disposal metadata documentation - records closed once no longer required - regular destruction of records authorised - regular transfer of records of archival value * Authorised retention and disposal schedule * Deferral of transfer agreements * Disposal authorities * Legacy Records Programme agreement * Implementation plan (as part of Appraisal Report) ** DISPOSAL INCLUDES BOTH TRANSFER & DESTRUCTION How is disposal monitored? Has there been any disposal activity? Has it been done in accordance with current disposal authorities? How has this activity been recorded?	- Disposal procedure's - Lists of destroyed records - Lists of transferred records - Archives New Zealand Transfer agreement - Disposal register - Disposal authorities	Compliance	Under way	Some	Plans in place	see 8.1.2	No
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	AUDITORS NOTES: * Deferral of transfer agreement * Systems that manage records documentation * Review reports Does the organisation have any records that are 25 years of age or over? Check Archives NZ documentation. Deferral process exists - including templates & sign-off process. Register of disposal actions identifies reasons for deferral and the individual/role accepting the deferral recommendation. Deferred Transfer Agreement exists. Administration arrangements for public access to public records over 25 years of age are documented.	- Deferral of transfer agreement - List of records 25 years of age and over	Compliance	Under way	All	Completed	No records over 25 years of age	No
8.3.1	Records management data about disposal of records is retained for as long as required	AUDITORS NOTES: * Procedures that include recordkeeping * Disposal process / procedures include: - lists / evidence of destroyed records and metadata (req 5.6) - regular destruction of records authorised Disposal Authority Is records management data about disposal documented? Is it included in the appraisal report or system specifications for digital records.	- Register of disposal actions and metadata - Disposal procedures (for all formats) - Disposal Authorities - Documented destruction methods	Operational	Completed and up to date	All	Completed	managed in spreadsheets	No

| 8.3.2 Disposal procedures and processes are monitored and reviewed | AUDITORS NOTES:
* Disposal procedures/processes with review dates
* Disposal register
* Versions/updates of disposal procedures
* Systems procedures/guidelines with disposal information
Disposal schedules are reviewed and revised as required.
Evidence that regular transfers to Archives New Zealand are planned.
What is the process for managing disposal?
Is disposal part of the annual business planning?
How is disposal activity recorded/reported?
How regularly is disposal activity implemented?
- General Disposal Authority disposal?
- Agency Disposal Authority disposal? | - Disposal procedures/processes
- Disposal schedule
- Monitoring and review schedule
- Transfer agreements
- Disposal authorities
- Monthly/quarterly reports on disposal | Operational | Completed and up to date | All | Completed | managed in spreadsheets | No |

Ministry of Justice - Non-Judicial Authorities

Name: Ministry of Justice - Non-Judicial Authorities
CRM reference: 2014/1880
CE delegation: Tina Sutton
SRO position: Chief Information Officer
Sector: Public Service Department
Physical address: Level 3, Justice Centre, 19 Aitken Street, Wellington
Scope:
Inpection: Yes
Comment:
Status: Reviewed

Ministry of Justice - Non-Judicial Authorities

Self-Assessment

No.	Question	Attribute	Potential Evidence	Risk	Progress	Coverage	Intentions to Progress	Evidence	Attachments
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	AUDITOR NOTES: * Plan/Strategy that includes records/information management * Policies with a records/information management component * Code of Conduct - signed off by the Chief Executive and all staff Different agencies may refer to a strategy, plans or roadmaps. Is there a strategy/plan that includes recordkeeping? Is there a policy that identifies roles & responsbilities? Does the strategy/framework define roles & responsibilities for Chief Executive or equivalent, Sponsor, Operational staff (RM, IT), all staff? Is there a plan identifying RM projects & are roles included in the plan? Do they reflect roles & responsbilities identified in the strategy/framework/policy? Is the strategy/framework endorsed?	Chief Executive accountability established. Executive management accountability identified. - Plan/Strategy with that includes records/information management - Policy with records/information management component - Policy identifies responsibilities - Code of Conduct	Operational	Under way	All	None	Recordkeeping policies are endorsed and promulgated by the CEO□ records management policy (MOJNJ 16)	No
1.1.2	Systems used to create and maintain records are identified and documented	AUDITOR NOTES: * Framework documentation that includes records/information management * Surveys/reviews of records/information management * Data map/system architecture * Classification structure/file list/file plan * Vital records/business critical system list * Policy with a records/information management component Can the organisation provide a 'whole of process' view across systems & formats? Does the policy state which systems to be used to create & maintain records for core business functions? Is the documentation of systems that manage records regularly reviewed (surveys, reviews, audits)? Has the organisation identified: - business processes? - business systems that store records? - legacy systems? APPLIES TO BUISNESS SYSTEMS: - Organisation-wide information/data maps defined and in place. - Repository stocktake occurred & outcomes documented. - Survey conducted identifying business systems, physical recordkeeping systems, etc. - Analysis of legacy recordkeeping issues and/or gaps conducted. - Classification structure/file plan is in place, in use and maintained. - Business critical records & systems are identified.	Applies to physical and electronic systems: - IT System list - Policy with a records/information management component - System Survey - Business Continuity Plan - Classification structure/file list/file plan - Processes/procedures that include recordkeeping - Business Process mapping - Business critical records/systems identified	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)	No

		AUDITORS NOTES	Evidence	Type				Comments	
1.1.3	Policies that include records management are documented and in use	AUDITORS NOTES: * Policy that includes recordkeeping components * Approvals process * Communications plan * Training programme Policies that include recordkeeping identify relationships to relevant policies e.g. IT Security. Metadata specifications and decisions for all systems that manage records are documented, including: - policy acknowledges the role of metadata in ensuring an authentic record - policy specifies the roles of point of capture and process metadata, and the rules relating to changing metadata. How is the policy communicated - Training, Intranet, Newsletters ? Does the policy scope cover all formats of records? (incl. email, web, paper, digitally borne, digitised) Does the policy determine where records should be created/managed? Requires records systems to have been identified & documented. REFER - Archives 'Guide to Writing a Recordkeeping Policy G6 - Checklist 7' for guidance. * Policy that includes recordkeeping components * Information Technology (IT) Policy * Security Policy * Information Management (IM) Policy	Policies with a recordkeeping component - Strategy/Plan that includes recordkeeping - Document control/version controls procedures - Communications Plan - Training/Induction programme	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)	No
1.2.1	Strategic/business plans include records management objectives and risks	AUDITORS NOTES: - Strategic/business Plan includes records/information management - Information Services Strategic Plan (ISSP) - Risk Framework/plan/register - Audit report/reviews View Corporate/Business Plan If there is an ISSP does it cover only IT or is broader?" Does the statement of intent include objectives? Review documentation for evidence of recordkeeping risks. Does the organisation have a risk management plan in place and takes account of recordkeeping capability?	Business/strategic plan (or ISSP) references: - Recordkeeping/records management/information management - Knowledge management - Activity Plan - Action Plan - Risk management plan/register	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	No

1.2.2	Procedures that include records management have been documented and are in use	AUDITORS NOTES:
		* Procedures that include creation, maintenance of records
		* Workflows/process maps
		* Guidance notes/Desk files
		* Training materials
		
		Key procedures observed as being implemented.
		
		Procedure manual identifies quality checks including responsibility for carrying out quality audits, frequency & acceptance criteria.
		How do procedures support policy?
		What systems exist that manage records?
		Are there procedures for each?
		  -When were electronic systems implemented?
		  -How are procedures communicated to staff?
		  -How is procedure compliance monitored?
		  -How regularly are procedures reviewed?
			Business processes/procedures which include recordkeeping exist and are in use, including:
			- Procedure manuals
			- Training materials
			- Workflow models
			- Staff guidance notes / Desk Files
			- Audit reports/reviews/Quality Management Reviews
			Business systems documentation identifies:
			- Auto-capture of metadata elements
			- Auto-classification - eg File classification/File Plan/File List
			- Communications Plan
			- Official information Act/Privacy Request processes
				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 Tr bunal Manual (MOJNJ 63) SSAA Case Manager Manual (MOJNJ 66)
									No

		AUDITORS NOTES / Evidence							
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	AUDITORS NOTES * Policy and procedures that includes records/information management components * Approvals process * Monitoring and review schedule * Audit reports/reviews * Corrective actions records How is the policy monitored? internal audits, spot checks. Is there a review process? Is there annual checks/reviews? Is this documented?	'- Policy and procedures that includes records/information management components - Monitoring and review schedule - Audit reports/Quality management reviews - Corrective action records - Document control/version controls procedures	Operational	Under way	Most	Completed	Monitored and reviewed on an adhoc, as required basis	No
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	AUDITORS NOTES: * Business Plan includes records/information management - version control/approval plans * ISSP - Information Services Strategic Plan * Review documentation for records/information management risks/objectives.	Business/strategic plan (or ISSP) references: - Records/Information Management - Knowledge management - Activity/Action Plan Minutes of meetings that show reviews have been undertaken or objectives have been discussed	Compliance	Under way	Some	Completed	ICT Risk Register ICT Risk Register (MOJNJ 73)	No
2.1.1	Records management is resourced appropriately	AUDITORS NOTES: * Policy that includes records/information management * Job/Position Descriptions * Budget planning - Clearly defined roles that include recordkeeping responsibilities (i.e. qualifications and/or experience/skill) are documented within job descriptions and business plans. - Resourcing for recordkeeping identified within capital budgets, and funding requirements for wider recordkeeping capabilities (for instance, capital funding and storage requirements) are documented and sufficient. Is there a strategy or plan in place that includes recordkeeping? Does the plan identify resourcing requirements? Does the organisation have any information management projects about to begin or under way? Has records/information management resourcing been identified as part of the project(s)? Does the policy reflect roles of Chief Executive or equivalent; Sponsor; Operational staff (RM, IT); All Staff.	Recordkeeping resourcing identified within: - Job/position descriptions - Plan/strategy that includes records/information management - Policy with a records/information management component - Processes/procedures that include recordkeeping - Business plan - Resourcing plan	Strategic	Completed and up to date	Most	Completed	Records management respons bilities are documented in job descriptions and letters of expectation for operational and administrative staffLetter of expectation Support Officer, Tribunals (MOJNJ 72)	No
2.1.2	Responsibility for records management is assigned	AUDITORS NOTES: * Policy with a records/information component * Job/Position Descriptions * Plan/Strategy that includes records/information management * Code of conduct * Organisational charts * Documentation exists regarding delegation, performance reviews, internal processes, job and person specifications. * Staff recordkeeping respons bilities are reflected in either: - statement in a policy on staff responsibilities for records management; and, - position descriptions, job specifications or performance agreements incorporate standard recordkeeping competency statement, requiring conformance with the public office's policies that incorporate recordkeeping (including responsibility for records creation) Are roles part of position descriptions?	'- Plan/strategy that includes records/information management positions - Job/position descriptions - Delegation process - Code of conduct - Policy with a records/information management component - Processes/procedures that include recordkeeping	Compliance	Completed and up to date	All	Completed	see 2.1.1	No

	AUDITORS NOTES	Documents	Type	Status	Extent	Progress	Comments	
2.2.1 Staff assigned to records management have been given appropriate training	AUDITORS NOTES: * Job/Position descriptions * Training plans/registers * Performance development plans/Learning development plans * Policy with a records/information management component * Procedures that include recordkeeping Check policy to see that roles are defined. - Qualified and/or experienced or skilled records/information management practitioners and professionals are appointed to relevant roles that incorporate recordkeeping AND - Recordkeeping practitioners or equivalent persons are trained in recordkeeping tools, systems, practices and resources. Training needs are identified and documented, what forums do staff attend? Are course enrolments or certificates from courses available?	'- Job/position descriptions - Performance/training development plans - Training registers/plans - Career development plans - Certificates/enrolment information	Operational	Completed and up to date	Most	Completed	On-the-job training is given to staff with recordkeeping respons bilities, 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
2.3.1 Development of staff assigned to records management is monitored and regularly reviewed	AUDITORS NOTES: * Human Resources (HR) plan * Succession plan * Training and development plan * Training register There is clear evidence of approved career planning and development, or succession plans AND staff with recordkeeping respons bilities are included in training logs or registers. Review documentation	'- Human resources procedures - Career planning/development - Training plan/register - Strategy that includes records/information management - Performance plan/ learning and development plan - Business Plans	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	No
2.3.2 Budget planning considers resourcing and improvements for records management	AUDITORS NOTES: * Plan/strategy that includes records/information management * Monitoring and review reports * Performance Measures - Key Performance Indicators * Budget planning * Information Management reviews How does the organisation review, measure progress against its Strategy/Business Plan that includes recordkeeping?	'- Budget Planning - Plan/strategy that includes records/information management - Budget Planning - Goals/performance measures - Key performance Indicators (KPIs) - Training Plan	Strategic	Under way	All	Completed	Budget planning includes staff with recordkeeping respons bilities as well as offsite storage management and maintenance	No
3.1.1 Staff understand their obligations to create and maintain records of the organisations' activities	AUDITORS NOTES: Check staff awareness of recordkeeping responsibilities and where and how to save records. What training is available to staff? What induction programmes are available to staff? How is records management covered?	'- Induction checklists - Training plan - Job/position descriptions - Performance plans - Training course objectives	Operational	Under way	Some	Completed	Recordkeeping respons bilities are documented in procedures and manuals and well understood by the staff who use them	No
3.2.1 Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	AUDITORS NOTES: * Training plan * Procedures that include recordkeeping * Job/position descriptions * Induction programme Check staff awareness of recordkeeping benefits and responsibilities. What and how is training delivered to staff?	'- Training Plan - Induction checklists - Training register - Job/position descriptions - Communications policy	Operational	Under way	Some	Plans in place	Staff receive training as required, including through procedure manuals and desk files. See 1.2.2	No

Released under the Official Information Act 1982

	AUDITORS NOTES	Evidence					Comments	
3.3.1 Records management training needs for all staff is monitored and regularly reviewed	AUDITORS NOTES: * Key Performance Indicators (KPIs) * Performance Measures * Internal audit reports How is the effectiveness of the training programme measured? How are new dimensions incorporated into training programme and communicated? Is Recordkeeping a core competency? How is compliance with policies and procedures measured? Training assessed/reviewed: - training questionnaires - course feedback - additional/refresher training. Skills assessed/reviewed: - performance review process.	'- Training surveys/questionnaires - Course feedback - Additional/refresher training - Performance reviews - Monitoring and review schedule	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
4.1.1 Monitoring of records management compliance is documented	AUDITORS NOTES: * Monitoring and review schedule * Reporting templates * Key Performance Indicators (KPIs) * Audit trails and reporting * Performance framework/measures Does the organisation have an established monitoring and compliance programme? Documented rationale and purpose of recordkeeping reporting is available to staff. How are issues identified, reported, actioned? What processes are in place to do so?	- Internal Audit reports/reviews - Quality Management reviews - Corrective Action records - Monitoring and review schedule - Legal Compliance register - Strategy/plan that includes recordkeeping	Reporting	None	None	None	Records management compliance monitoring is mainly confined to the larger tr bunals	No
4.2.1 Policies, procedures and processes that include records management are monitored and regularly reported on	AUDITORS NOTES: * Policy with a records/information management component * Procedures that incorporate recordkeeping requirements * Training analysis * Classification structure review documentation * Management reports/minutes * Key Performance Indicators (KPIs) Who is responsible for monitoring records/information management compliance? What procedures are there for monitoring compliance? How are issues reported? What actions have been taken in past resulting from reports? Reporting of recordkeeping key performance indicators (KPI) and ad-hoc issues are reported to appropriate management level as per public office schedule (for example, compliance with the Public Records Act (2005) is part of the public office's compliance framework and is regularly signed off as per senior management compliance statements). Reports are l kely to include monitoring performance metrics such as storage space utilisation, registration of records (for instance, comparison of actual versus expected levels, etc), transfer and disposal trends, quantity and frequency of disposal versus creation. There is evidence of follow-up action and response evident from management team minutes/decision register or action lists. Monitoring reports, internal audit reports and remedial action documentation exists.	- Management reports/minutes - Report distribution list - Monitoring and review schedule - Audit reports/reviews - Corrective Action records	Reporting	Under way	Some	Plans in place	Records management procedures and process monitoring is mainly confined to the larger tribunals	No

4.3.1	The effectiveness of the records management capability of the organisation is regularly assessed	AUDITORS NOTES: * Monitoring and review schedule * Internal audit/review reports * Corrective actions records * Performance monitoring reports Assessment results reported to senior management. Corrective action/continuous improvement reports/results/outcomes from assessment? Frequency of assessment? Evidence of an internal audit programme that incorporates elements for the Public Records Act (2005) and associated mandatory standards, as determined by the public office's risk management profile and management programme.	'- Management reports - Audit reports/reviews - Key Performance Indicators (KPIs) - Performance monitoring reports - Monitoring and review schedule - Corrective Action records	Reporting	None	None	None	There is no formal assessment of records management capability.	No
5.1.1	Records management requirements are identified in business processes and functions	AUDITORS NOTES: * Functional/mapping analysis * Information Management (IM) reviews * Project plans (Classification structure development) * Appraisal Reports Has the organisation got a Classification structure? Do procedures document what records must be created by the organisation? Does the organisation have an Retention and Disposal Schedule (RDS)? (Development of RDS requires analysis of organisations functions and Recordkeeping) Has the organisation had any Information Management review? When? High level process mapping OR business analysis of business activities to map recordkeeping requirements (including legislative requirements, business decisions and transactions) AND Risk assessment undertaken to identify business-critical records.	'- Classification structure/file lists/file plans - Business activity process mapping - Risk assessments/reports - Information Management reviews - Appraisal reports / disposal authorities - Functional mapping analysis	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
5.1.2	Records of all business activities are managed within the appropriate systems	AUDITORS NOTES: * Processes that include recordkeeping * Functional analysis * Policies with a recordkeeping component What systems that manage records does the organisation have? Do procedures that include recordkeeping define the organisation's core functional records? How does the organisation manage records created or received via email? Do policy/procedures cover emails? Has there been a functional analysis of the organisation undertaken to determine core records? What procedures exist to support policy? Is email monitored? Is use of the systems that manage records monitored? Is use of personal drives / c: drives monitored? Are records fragmented across systems? How is the complete record constructed? Staff are trained to identify the activities that produce business records. For example, staff are encouraged to create file notes, minutes, etc. recording business decisions as part of their business as usual activities. Policy, strategies that include recordkeeping, role and responsibility statements are defined and in place.	' - Processes/procedures that include recordkeeping - Desk files - Classification structure/file list/file plans - Core records/systems identification - Vital records list/register - IT list of all systems - Policy with a records/information management component	Compliance	Under way	Some	Plans in place	TCM and JAX are systems that are used to appropriately manage records of business activities	No

Ref	Requirement	Auditors Notes	Evidence	Type	Status	Scope	Status2	Comments	
5.2.1	Records are captured routinely, documented and organised according to the organisation's business requirements	AUDITORS NOTES: * Desk files/systems guidance * Processes that include recordkeeping * Classification structure/file list * Metadata schema/list * Functional analysis * Policies with a records/information management component What recordkeeping systems does the organisation have? Paper? Electronic? EDM, Shared drive, Business systems When were these implemented? When were they last reviewed? What controls (classification structures, meta-data policy, monitoring, appraisal, migration plans, system design etc) are in place to ID, manage, control? What procedures are in place? What controls are in place to ensure records are comprehensive? A classification structure should reflect the core functions of the organisation. How are staff behaviours measured? What controls are in place to ensure records can be maintained over their lifetime? How are legacy records managed? How are older records located?	'- Business processes/procedures - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Metadata schema/list - Functional specifications - Policy with a records/information management component	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
5.2.2	Records management data is assigned, documented and is in use	AUDITORS NOTES: * Processes that include recordkeeping * Metadata (MD) schema (incl. process metadata) * Classification structure/file list * Records showing unique identifiers etc. * Policies with a records/information management component REFER Requirements 3.1 & 5.6 (minimum requirements) Procedures outlining point of capture Dependent on systems in place. Have there been any reviews to assess systems? Are decisions for the application of records management data documented?	'Refer Requirement 3.1 & 5.6 for minimum records management metadata - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Records showing unique identifiers/date of creation - Metadata schema/list - Policy with a records/information management component	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
5.3.1	Records management data is maintained, monitored and reviewed	AUDITORS NOTES: * Metadata schema/list * Policies with a records/information management component * Procedures that include recordkeeping * Technical specifications for systems * Mapping plans/documentation * Implementation plans (Mapping of metadata) Dependent on systems in place. Who is responsible for ensuring that business information systems, EDRM, RK systems include relevant RK metadata? Refer requirements 3.1 & 5.6 Systems Managers (or equivalent) have related business system functional specifications to records management metadata schema in Technical Specifications OR Mapping documentation exists OR A list of systems and the metadata contained within those systems exists.	'Refer Requirement 3.1 & 5.6 for minimum records management metadata - Processes/procedures that include recordkeeping - Classification structure/file list/file plan - Records showing unique identifiers/date of creation - Metadata schema/list - Policy with a records/information management component	Operational	Under way	Some	Plans in place	see 5.2.2	No

Ref	Requirement	Auditors Notes	Evidence						
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	AUDITORS NOTES: * Monitoring and review schedule * Processes that include recordkeeping (RK) with review dates * Review process/procedure * Audit/review reports Frequency or rigor of review of systems(e.g. degree of user involvement or endorsement, reasonable degree of logical layers, user awareness). How are classification systems updated? What is the process for updating? How is use of systems monitored? Are all locations monitored? i.e. home drives, email folders, personal hardcopy files.	'- Processes/procedures that include recordkeeping - Audit trails/reports - Review processes/procedures - Corrective Action records - Change control process	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
5.3.3	Disposal authorities are mapped to systems that create and maintain records	'AUDITORS NOTES: * Disposal Implementation Plan * Classification structure/file list * Mapping plans/documentation * Retention Disposal Schedule (RDS) Assumes both Classification structure and Disposal Authorities exist. Was an implementation plan included as part of developing the retention and disposal schedule? How are disposal decisions implemented into core business systems? How is this monitored?	- Disposal authorities - Disposal implementation plan - Classification structure/file list/file plan - Disposal Mapping documentation - Systems documentation/desk files/guidelines	Strategic	None	None	None	Disposal authorities are applied manually in the absence of technical functionality to apply disposition	No
6.1.1	Access to and use of records is managed within the appropriate systems	AUDITORS NOTES: * Classification structure/file list * Metadata (MD) schema * Policies with a records/information management component * Processes that include recordkeeping (RK) * Audit/review reports Actions of accessibility and usability are defined in the public office's procedures and there is evidence the procedures are being followed. Systems that manage records includes appropriate controls and security, including, for example: - for physical records there is a list of files, including locations, in either physical form or in a database - for digital records held in core business systems and on shared drives there is an agreed structure and defined metadata to manage and locate records. What systems does the organisation use (intellectual controls)? How does the organisation locate records? How does the organisation determine and assign different security requirements of records? How does the organisation control access to and track records? Is there a policy determining where records should be located and managed? Are there records that are required to be accessed long-term? Does the organisation hold any records older than 25 years? refer also to Deferral questions if one exists then would indicate some plan is in place to manage on-going access.	- Processes that include recordkeeping - Classification structure/file list/file plan - Metadata schema/list - Security/access procedures - Business Continuity/Disaster recovery plan(s)	Operational	Under way	Most	Plans in place	Electronic and physical access is appropriately managed, physical security for paper files is in place.	No

| 6.2.1 | Sensitive and restricted records are identified, documented and controlled | AUDITORS NOTES:
* Classification structure that identifies senstive records (e.g. HR, payroll, board papers, management reports)
* Processes that include recordkeeping
* Retention Disposal Schedule (RDS)
* Access statements
* Office's security model
* Audit reports/reviews
* Corrective action records

Does the organisation have OIA, Privacy etc processes in place?
Does the policy / procedure include restriction/access statements?
Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored?
Requires records to be identified and controlled - e.g. Listed for physical with access requirements assigned and access activity recorded.
Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND
Dedicated storage areas are provided for high risk classes of records and additional security measures are instigated, AND
Records of cultural value (e.g. records of significance to Maori stakeholders) are identified, AND
Procedures for granting and withholding records access are defined and implemented. | '- Processes that include recordkeeping
- Classification structure/file list
- Retention Disposal Schedule/Disposal Authority
- Security/access policy/procedures
- Access processes/procedures
- Audit reports/Quality Management reviews
- Corrective Action records | Compliance | Under way | All | Completed | Case file procedures are used to identify and manage sensitive and restricted records | No |
| 6.2.2 | Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification | AUDITORS NOTES:
* Processes that include recordkeeping
* Retention Disposal Schedule (RDS)
* Access statements
* Official Information Act policy/processes
* Privacy Act policy/processes
* Classification structure/file list
* Policies with a recordkeeping component

Does the organisation have OIA , Privacy etc processes in place?
Does the policy/ procedure include restriction/ access statements?
Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored?
Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND
Records of cultural value (e.g. records of significance to Maori stakeholders) are identified.
Procedures for granting and withholding records access are defined and implemented. | '- Official Information Act policy/processes
- Privacy Act policy/processes
- Processes that include recordkeeping
- Classification structure/file list/file plan
- Security/access policy/procedures
- Policy with a recordkeeping component
- Access statements | Compliance | Under way | All | Completed | see 6.1.1 | No |

6.2.3	Records 25 years of age or older are covered by an Access Authority	AUDITORS NOTES: * Deferral agreement with an Access Authority * Disposal Authority with Access section * Processes that include recordkeeping * Policies with a records management component * Access policy/processes * Access status classification * Classification structure/file list Does the organisation have records over 25 years old or pending transfer? Is there an access statement in place determining access? For open access records what procedures are in place to allow public access? Is there a deferral of transfer in place? (8.2.2) - Policy & procedures that include Access exist. - Access status documentation is maintained, including rationale for access decisions. - Administration arrangements for public access to records over 25 years of age are documented. Refer to Archives NZ - Making Access Decisions Under the Public Records Act.	- Access authority - Access status classification - Processes/procedures that include recordkeeping and/or access - Procedures/processes around public access to records over 25 years of age. - Policy with a records/information management component - Classification structure/file list/file plan	Compliance	None	None	None	Not applicable (no records over 25 years)	No
6.3.1	The ability to locate and use records is monitored and routinely audited	AUDITORS NOTES: * Audit reports/reviews * Corrective action records * Processes that include recordkeeping * Policies with a recordkeeping component * Surveys/audits of records location * Storage contracts/reviews How does the organisation monitor record locations? Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)? How does the organisation ensure continued access bility and usability? What controls are in place? Have any format issues been identified as part of monitoring? How are issues identified addressed? Have there been issues with response times for responding to OIA or other information requests? Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes). Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management.	'AUDITORS NOTES: * Audit reports/reviews * Corrective action records * Processes that include recordkeeping * Policies with a recordkeeping component * Surveys/audits of records location * Storage contracts/reviews How does the organisation monitor record locations? Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)? How does the organisation ensure continued accessibility and usability? What controls are in place? Have any format issues been identified as part of monitoring? How are issues identified addressed? Have there been issues with response times for responding to OIA or other information requests? Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes). Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management.	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	No

Ref	Requirement	Auditors Notes	Applies to / Evidence	Type	Status	Scope		Comment	
7.1.1	All records are managed so they cannot be altered, deleted or disposed of without permission	AUDITORS NOTES: * Policies with a records/information management component * Processes that include recordkeeping * Access controls for records * Access/loan policy * Metadata (MD) schema * Reporting * Security procedures/audit trails/system monitoring Does the policy determine how records are to be managed? What formats are records held in? How is the authenticity of a record assured? - creation, receipt, transmission. Dependent on format what controls are in place? Examples of controls for systems would be audit trails, standard system metadata. Shared drive environment - Backups, and largely reliant on policies and procedures supported by robust monitoring OR print to file strategy. How is reliability and integrity of digital records assured? Is records management metadata persistently linked to records - eg migration to new systems? Are historical records in previous systems locked down so that they can be read but not altered? Existence of recordkeeping controls to ensure creation of authentic records. For example: - appropriate recordkeeping controls including version control - metadata schema defined for business systems - rules around the use of read-only functionality in	'Applies to all records - Processes/procedures that include recordkeeping - Access controls for all systems - Metadata schema/list - Access and loan policy - File tracking (paper) - File location/transit cards - Security procedures - Audit logs/trails - Monthly/Quarterly reports	Operational	Completed and up to date	All	Completed	Hardcopy and electronic (TCM) records cannot be altered, deleted, or disposed of inappropriately	No
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	AUDITORS NOTES: * Plan/strategy that incorporates records/information management * Physical/Digital storage report * Offsite storage contract * Storage plan for both physical and digital records * Audit reports/reviews * Business continuity plans/reviews The facility in which records are stored meets the applicable Building Code and has appropriate flood and fire protection systems (demonstrated by Code of Compliance Certificates) AND Shelving equipment and other equipment is appropriate to the format and size of the record. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	'Applies to all records. - Risk assessment/review of storage - Internal audit/information management reports - Storage assessment reports - Storage contracts - Server plans - Business continuity plans/reviews - Building Warrant of Fitness	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	No
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs	AUDITORS NOTES: * Storage review report * Server reports/IT Planning documents around storage * Storage Contracts * File Lists Appraisal reports exist and approved by appropriate management tier, AND Storage requirements are defined including requirements for managing information of a sensitive nature. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	Applies to all records. - Appraisal processes and/or reports - Storage plan for digital and physical records - Storage contracts - Migration plans - Security/access processes - Storage audit reports/reviews - Classification structure/file list/file plan	Strategic	Under way	All	Completed	Highly sensitive records are stored securely.	No

Ref	Requirement	Auditors Notes	Evidence	Category	Status	Scope	Progress	Comments	Gap
7.2.2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	AUDITORS NOTES: * Disaster Recovery/Business Continuity Plan(s) * Procedures for managing records during emergency (both physical and digital) * Checklists (contacts and suppliers) * Offsite storage contracts Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact? Has the plan been tested?	'- Disaster Recovery/Business Continuity Plan(s) - Policy with a records/information management component - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts - Systems survey	Operational	Completed and up to date	All	Completed	Covered in the BCP Tribunals Business Continuity Plan (MOJN J53)	No
7.3.1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	AUDITORS NOTES: * Disaster Recovery/Business Continuity Plan(s) * Procedures for managing records during disaster (both physical and digital) * Checklists (contacts and suppliers) * Offsite storage/data storage contracts A Disaster Management Plan that identifies key risks and the ways in which those risks should be mitigated or responded to is in place, tested, monitored and reviewed. Covers all records. Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact, have they had training? Has the plan been tested? How often is the plan tested?	'- Disaster Recovery/Business Continuity Plan(s) - Testing plans and corrective actions - Internal Audit reports - Monitoring and review schedule - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts	Operational	Completed and up to date	All	Completed	The BCP is updated as required☐ Tribunals Unit Business Continuity Plan (MOJNJ 53)	No
7.3.2	Storage arrangements for records are monitored and regularly reviewed	AUDITORS NOTES: * Storage Plan * File lists * Plan/Strategy that includes storage of records/data/information * Disposal Authorities * Deferral Agreement - only required for records of archival value over 25 years old. Have records been appraised and those of archival value identified? Do lists identify year ranges of records? Do lists identify formats of records? Have disposal authorities been mapped to file lists? Have records been assessed to ensure they are stored on the appropriate media/hardware?	- Storage reports/reviews - Media or hardware assessments - Disposal Authority - Information Management reviews/reports - Monthly/Quarterly reports on storage areas and requirements	Strategic	Completed and up to date	All	Completed	see 7.1.2	No
8.1.1	Records have been appraised and disposal authorities agreed	AUDITORS NOTES: * Appraisal report * Disposal Authority * Business classification structure/file list with disposal criteria mapped Are all records and metadata covered by current disposal authorities? Has the appraisal report and associated decision been approved by Chief Archivist? Is the Disposal Authority current? When does it expire? Appraisal report(s) approved by appropriate management tier AND Authorised disposal authorities endorsed by public office's senior management and authorised by Chief Archivist AND Business Rules around retention of metadata elements agreed.	- Mapping of Disposal Authority/General Disposal authorities to business classification/systems - Appraisal reports - Disposal authorities - Retention and disposal schedule - Retention procedure/list/register/report - Disposal identification list/register/report	Compliance	Completed and up to date	All	Completed	In place DA 415 Tribunals Unit Disposal Authority (MOJNJ 54)	No

Ref	Requirement	Auditors Notes	Evidence	Type	Status	Scope	Completion	Comments	Y/N
8.1.2	Regular and efficient disposal of the organisation's records is planned and documented	AUDITORS NOTES: * Implementation Plan (Disposal) * Plan/strategy that includes records/information management * Business classification structure/file lists * Mapping of General Disposal Authority and Public Office's core business records Disposal Authority Disposal occurs on a regular basis. Records do not build-up unnecessarily. Disposal schedules are reviewed and revised following expiration. Evidence that regular transfers to Archives New Zealand are planned. What is the process for managing disposal? Is disposal part of the annual business planning? How is disposal activity recorded/reported? How regularly is disposal activity implemented? - General Disposal Authority disposal? - Agency Disposal Authority disposal?	- Disposal implementation plan/schedule - Monitoring and review schedule - Transfer agreements - Business classification /file list/file plan - Evidence lists of disposed records - Disposal authorities	Operational	Completed and up to date	All	Completed	records are routinely disposed of in accordance with the schedule☐ letter of expectation (MOJNJ 72)	No
8.2.1	Disposal procedures and processes are implemented and in use regularly	AUDITORS NOTES: * Procedures that include recordkeeping * Disposal process/procedures include: - Disposal actions (transfer/destruction) of records - lists of destroyed records - lists of transferred records - Disposal metadata documentation - records closed once no longer required - regular destruction of records authorised - regular transfer of records of archival value * Authorised retention and disposal schedule * Deferral of transfer agreements * Disposal authorities * Legacy Records Programme agreement * Implementation plan (as part of Appraisal Report) ** DISPOSAL INCLUDES BOTH TRANSFER & DESTRUCTION How is disposal monitored? Has there been any disposal activity? Has it been done in accordance with current disposal authorities? How has this activity been recorded?	- Disposal procedure's - Lists of destroyed records - Lists of transferred records - Archives New Zealand Transfer agreement - Disposal register - Disposal authorities	Compliance	Under way	Some	Plans in place	see 8.1.2	No
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	AUDITORS NOTES: * Deferral of transfer agreement * Systems that manage records documentation * Review reports Does the organisation have any records that are 25 years of age or over? Check Archives NZ documentation. Deferral process exists - including templates & sign-off process. Register of disposal actions identifies reasons for deferral and the individual/role accepting the deferral recommendation. Deferred Transfer Agreement exists. Administration arrangements for public access to public records over 25 years of age are documented.	- Deferral of transfer agreement - List of records 25 years of age and over	Compliance	Under way	All	Completed	No records over 25 years of age	No
8.3.1	Records management data about disposal of records is retained for as long as required	AUDITORS NOTES: * Procedures that include recordkeeping * Disposal process / procedures include: - lists / evidence of destroyed records and metadata (req 5.6) - regular destruction of records authorised Disposal Authority Is records management data about disposal documented? Is it included in the appraisal report or system specifications for digital records.	- Register of disposal actions and metadata - Disposal procedures (for all formats) - Disposal Authorities - Documented destruction methods	Operational	Completed and up to date	All	Completed	managed in spreadsheets	No

| 8.3.2 | Disposal procedures and processes are monitored and reviewed | AUDITORS NOTES:
* Disposal procedures/processes with review dates
* Disposal register
* Versions/updates of disposal procedures
* Systems procedures/guidelines with disposal information
Disposal schedules are reviewed and revised as required.
Evidence that regular transfers to Archives New Zealand are planned.
What is the process for managing disposal?
Is disposal part of the annual business planning?
How is disposal activity recorded/reported?
How regularly is disposal activity implemented?
- General Disposal Authority disposal?
- Agency Disposal Authority disposal? | - Disposal procedures/processes
- Disposal schedule
- Monitoring and review schedule
- Transfer agreements
- Disposal authorities
- Monthly/quarterly reports on disposal | Operational | Completed and up to date | All | Completed | managed in spreadsheets | No |

Review

No.	Review	General Comments	Questions for Auditor
1.1.1	Question staff	Evidence provided here in the records management policies and also in the ministry of Justice code of conduct shows this rating needs changing.	Does the Record management policy cover the non-judicial authorities. Also does the Ministry of Justice Code of Conduct cover all staff employed by the non-judicial authorities. If yes please change rating to Completed and up to date, All and Completed. If no then please change rating to None, None undecided
1.1.2	Question staff	Evidence shows screenshots of TCM which I am assuming is the Tribunal Case Management system. However nothing is mentioned about hard copy records?	What happens to hard copy files? Is there a system for managing these? If evidence can be provided around hard copy records please change coverage to completed and up to date and All.
			If nothing is provided for hard copy records please change to intentions to progress to undecided.
1.1.3	Question staff	In Q1.1.1 you state that they are covered by the records management policies created by the Ministry of Justice.	Is the Records management policy not documented and in use for the non-judicial authorities? Is there a metadata policy/schema that is used for the tribunal Case Management system?
			If records management policy and/or metadata policy (if it exists) is in use and covers the authorities then please change rating to completed and up to date and completed.
			If no evidence is provided then please change rating to None, None and Undecided. As coverage can not be all if no progress or intention is there.
1.2.1	Question staff	The Tribunals unit attached (MOJNJ053) does not cover in detail risks to paper records.	Please ask what other risks are managed by ICT. Please ask to see the ICT disaster recovery plan to see if it details information around the Tribunals Case Management system?
			If evidence is available please change rating to Most and plans in place. Further work is required to document how hard copy records are managed.
1.2.2	Question staff	Desk files and manuals range from comprehensive like the SSAA case manager manual to the PSPLA manual tribunal manual which is still in draft format and does not cover files or records.	As evidence provided is definitely underway and more work is required, but no plans have been provided to show that this will be progressed please change intentions to progress to undecided
1.3.1	Question staff	Evidence states that this is ad-hoc and only done on an as required basis. As not all procedural manuals were provided I would say they are not completed and coverage is more likely to be some.	Please change rating to Some, Undecided as there were only a few desk manuals/procedural documents supplied and this definitely requires more work but no plans have been provided to show this is planned.
1.3.2	Check documentation	Evidence was difficult to read and work out how often were risks reviewed and monitored. This also only covers ICT risks.	Is there an overall risk assessment that shows either Managing information/data as a top level risk for non-judicial authorities? Please ask to view ICT risk register to see complete list and ask how often are these risks monitored and reviewed for relevance. If evidence can be provided please change rating to Completed and up to date/All (if top level risks have evidence) or otherwise coverage of Some can remain.
2.1.1	Agree		
2.1.2	Question staff	Evidence shows that operational support staff are assigned to resource records management. But it would be good to see the job description for the Support services manager to see if that has any overall records management responsibilities.	Please ask to view the support services manager's role to see if it covers overall records management responsibilities.
2.2.1	Agree		
2.3.1	Check documentation	No evidence has been attached to support this and show those with operational support roles have had records management training or that is monitored and reviewed.	Please ask to see an operational support role person's PDP to ensure it covers training especially in records management (this maybe forums internal and external and MOJ internal training) if included how often is this reviewed. If no evidence can be provided please change rating to Underway/all/undecided
2.3.2	Check documentation	No evidence has been provided to support the stated evidence	Please ask to see the budgets which include staff salaries/off site storage management and maintenance. If this can be provided please change rating to Completed and Up to date. If not please change rating to undecided
3.1.1	Question staff	Evidence states that this documented in procedures and manuals, however some of this material was out of date so the rating cannot be underway and completed.	How are staff trained in procedure manuals? Is their on the job induction? Is there checklists to show this? If evidence can be provided rating can change to Completed -some out of date. If no evidence please change rating to undecided.
3.2.1	Question staff		As no evidence of this provided please ask to talk to a new operational support person, do they know where to file records? What happens when a case is completed? Have they had training (on the job)

3.3.1 Agree

4.1.1 Question staff — In the SSAA procedural manual it states that the Jurisdiction manager audits the case files once completed.

How often are case files audited? Does this happen often? What happens when issues are found? How are they reported and of actioned?

If evidence can be supplied please change rating to Underway/Some/Plans in place or undecided

4.2.1 Question staff

as per my questions in 4.1.1

4.3.1 Agree

5.1.1 Agree

5.1.2 Physically inspect

Please ask to view TCM and the JAX system to see how records are managed.

5.2.1 Agree

5.2.2 Agree

5.3.1 Agree

5.3.2 Agree

5.3.3 Question staff — This question applies to physical records too.

How are disposal authorities mapped to hard copy files? Do you have a disposal implementation plan that has been used?

If evidence can be provided please change rating to Underway/Some/plans in place

6.1.1 Question staff — Evidence states that access is managed appropriately but this is not provided.

Please ask to see the system security access controls for TCM and JAX. Please also ask to view the access and security controls around shred drives and paper records. If evidence can only be provided for TCM and JAX rating can remain the same if all evidence can be supplied please change rating to all.

6.2.1 Question staff — Some procedural documents attached as evidence were still in draft format. The rating here does not reflect that.

As not all procedural manuals are completed and ratings elsewhere note that the coverage is really only Some please change rating to Some, Plans in place.

6.2.2 Question staff — As per my pervious comments in Q6.2.1

Please change the ratings as indicated in Q6.2.1

6.2.3 Agree

6.3.1 Physically inspect — Evidence states that this is routinely monitored but no evidence has been provided to support this.

Please show how TCM is routinely monitored and do you have offsite storage reports to show the monitoring that takes place on those records.

If evidence can be provided please change the rating to Completed and up to date. If no evidence can be provided please change rating to none, none, undecided

7.1.1 Physically inspect — No evidence has been provided to support the stated evidence

Please check hard copy file locations and please also check that no records can be deleted or altered within the TCM.

If no evidence can e provided for hard copy records please change coverage to most.

If no evidence provided please change rating to 'None, None, undecided.

7.1.2 Question staff — This shows your offsite storage is managed, however what happens to records storage during cases.
This questions also looks are digital systems and ensures servers etc….are managed with appropriate controls.

Please ask how onsite storage is managed for case files. Where are records stored on servers are they backed up and managed correctly?

If evidence can be provided please change rating to completed and up to date. If not please change to undecided.

7.2.1 Question staff	No evidence has been provided to support the stated evidence and this is around value and security needs an appraisal of records.	Have records been appraised? Are they stored in accordance to there security and access provisions. If so can you please provide evidence to show this.

If no evidence is provided please change rating to none, none undecided. If evidence can be provided please change rating to Completed and up to date. |
| 7.2.2 Question staff | The tribunals unit BCP attached (MOJNJ053) does not cover in detail the protection and salvage of records.

Recommend using the MOJ management of paper records BCP as a starting point for the Tribunals unit BCP for physical records. | Please show how the protection and salvage of physical records is included in the tribunals unit BCP.
How are IT systems managed? Please ask to see the ICT disaster recovery plan?

If evidence can be shown for ICT disaster recovery plan please change rating to Underway/most/plans in place. |
| 7.3.1 Question staff | As per my pervious comments in Q7.2.2.

As the Business continuity plan does hold cover in detail physical records protection and salvage then unsure if this is monitored and or reviewed and no evidence has been provided to support this. | If the ICT disaster recovery plan is able to be viewed, please ask to see how often it is tested and reviewed?

If the ICT disaster recovery plan has been tested please change rating to underway/most/plans in place

if no testing or reviewing has been done please change rating to none, none, undecided. |
| 7.3.2 Question staff | No evidence has been provided to support this apart from some contractual documents from

s 9(2)(ba)(i) | How often are files assessed to ensure storage arrangements are still fit for purpose? Do lists get monitored and audited?
Do records get audited to ensure the media or hardware they are stored is still appropriate?

If no evidence or process can be provided shown please change rating to None, None, undecided. |
| 8.1.1 Agree | | |
| 8.1.2 Question staff | The evidence provided relates to the core duties of the operational support person but does not show that regular and efficient disposal is planned and documented.

Recommend that Disposal becomes a planned event and procedures and processes are documented in the operational support procedural manual and training given. | How is disposal planned? How is disposal criteria applied? How regularly is disposal activity implemented.

If evidence can be provided rating can remain the same.

If no evidence or limited evidence please change rating to none, none, undecided. |
| 8.2.1 Check documentation | No evidence has been provided to back up this rating or stated evidence. | How is disposal monitored?
Has there been any disposal activity?
Has it been done in accordance with current disposal authorities?
How has this activity been recorded? What disposal process/procedures do they have? E.g. how to dispose of records

If no evidence please change rating to None, none, undecided. |
| 8.2.2 Question staff | As no deferral of transfer agreement is in place please change rating to reflect this. | Please change rating to None, None, None |
| 8.3.1 Check documentation | Again no evidence provided to back up the stated evidence.
This questions covers all records formats. | Please ask to see managed spreadsheets to see that disposal metadata (req 5.6) is documented for records. How is disposal metadata kept for electronic/digital records that have been destroyed?

If spreadsheets show that metadata around disposal actions is documented for physical records but not electronic/digital then rating needs to be changed to some.
If both electronic/digital and physical disposal actions are documented rating can remain the same. |
| 8.3.2 Question staff | Unsure how this can be completed and up to date/all/completed when disposal procedures and processes are still to be documented. | This rating needs to be changed to reflect that not all disposal procedures have been created and implemented so therefore cannot be monitored. Please change rating to none, none undecided. |

Ministry of Justice - Audit Plan

No.	Question	Progress	Coverage	Intentions to Progress	Evidence	Review	General Comments	Questions for Auditor	Audit findings	Uploaded audit findings	Attachments
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	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)	Question staff	Evidence shown in the Information Security policy, Records Management Policy and Code of conduct plus the many strategies in place show the rating is higher than stated.	Please change rating to Completed and Up to Date.	There was clear evidence of appropriate policies and guidance seen during the 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 3 months. Despite the fact that the policy is beyond its anticipated review date, it is still considered applicable to the organisation.	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. RAT NG CHANGE Progress changed from 'Underway' to 'Completed and up to date'	See attachment 1. Information Security Policy.
1.1.2	Systems used to create and maintain records are identified and documented	Under way	Some	Plans in place	Recordkeeping system documentation is maintained and regularly reviewed IMS Desk File (MOJNJ 03)	Question staff	The IMS Desk file shows what systems are used to manage records but does not show core business applications that are used. In the evidence provided elsewhere it shows	Please ask to see the Ministry of justice Enterprise architecture Information Environment document to see if it details the business applications used. E.g.. Sector Intelligence, Payroll, HR Recruitment, Finance management, Asset management. If evidence can be provided then rating can change to Completed and up to date, All, Completed. If no evidence rating remains the same	The Ministry of Justice has a new director of Strategy and Architecture. He is currently working in a revision to the Enterprise Architecture information. The timescale for completion is not yet specified but is expected to be within the next 3 months.	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.	
1.2.1	Strategic/business plans include records management objectives and risks	Under way	All	Completed	Information management and recordkeeping are included in key MOJ strategies☐ Business Strategy (MOJNJ 078), Privacy Strategy (MOJNJ 02), M Information Strategy (MOJNJ 05), Justice Information Strategy (MOJNJ06) ISSP (MOJNJ 17)	Question staff	Evidence provided in attachments shows this rating to slightly incomplete, this requirement has been met.	Please change rating for Progress to Completed and up to date	The issue of strategic/business planning was discussed in detail during the 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.	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. RAT NG CHANGE Progress changed from 'Under way' to 'Completed and up to date'	
1.2.2	Procedures that include records management have been documented and are in use 2	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)	Question staff	Records management guidelines are shown and does support progress ratings however, I do have some questions around plans in place and a coverage of most. as no evidence of desk files or procedures for other business systems/applications has been provided.	What procedures are in place for managing finance and Human Resources records? are there desk files in place for managing other applications/systems? e.g FMIS or HRIS How are paper records managed? No evidence has been provided around this. If evidence can be provided for all the above rating can be changed to Completed and up to date, All and Completed. If no evidence can be provided on other systems rating can stay the same.	Finance and HR records are handled as separate operations within the Ministry of Justice. HR records are maintained as hard copy paper records and are stored in very secure conditions. Some older records are stored at ▮▮▮▮. The basis of the paper-based records was seen during the audit. There are clearly identified records management policies, procedures and support services in evidence across the organisation.	Finance and Human Resources (HR) records are handled as separate operations within the Ministry of Justice. HR records are maintained as hard copy paper records and are stored in very secure conditions. Some older records are stored at ▮▮▮▮. The basis of the paper-based records was seen during the audit. There are clearly identified records management policies, procedures and support services in evidence across the organisation. RAT NG 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'	See attachment 3. Business Classification Structure (BCS) Phase 2 Project Plan.
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	Under way	Most	Completed	RM policies are published on the intranet and regularly reviewed/updated as necessary☐ Policy schedule (MOJN12)	Question staff	Records management policy does not need to be updated til 2015, review dates show. The Information Security Policy is due was due for review on 17 July 2014. No indication this has been reviewed and the rating does not make sense, how can they be underway, and completed at the same time.	Has the Information Security Policy been reviewed? Is there evidence of this? If evidence can be provided suggest changing rating to completed and up to date. If no evidence can be provided please change ratings to Plans in place or undecided.	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 3 months. Despite the fact that the policy is beyond its anticipated review date, it is still considered applicable to the organisation.	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. RAT NG CHANGE Progress changed from 'Under way' to 'Completed - some out of date'	See attachment 1. Information Security Policy.
2.2.1	Staff assigned to records management have been given appropriate training	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)	Question staff	This questions is around what training has been given to the Manager information and Document Management/senior Information advisor and other staff with records management responsibilities.	what training around records management has been given to the senior Information advisors and the advisor DM? Do they have any future plans for learning e.g.. recordkeeping forums or training courses? If evidence can be produced rating can remain the same if not but their are plans to provide training please change rating to underway, all ,plans in place.	There was clear evidence of appropriate training seen during the audit. The senior advisor and information advisor roles are records management professionals who belong to RPMA. 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 appeared to be successful. The IMS manager has completed the protection and salvage of records training. The Ministry of Justice is putting 2 people through the Archives Public Records Act training course.	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 (R MPA). 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 appeared to be successful. The Manager Information Management Services (MS) 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.	

2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	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)	Check documentation	The performance plan shows objectives and goals and relationship building. It has an objective to identify courses.	Please ask to see the learning and development plans for the Manager information and document management and the Advisor IDM to identify what development has taken place and how often is it reviewed. If evidence cannot be provided please change rating to Some	There is a PDP process for all staff within the Ministry of Justice. Reviews are held annually. The PDP for the IMS manager, dated 1 July 2014, was seen during the audit. The IMS manager meets with all of her staff every fortnight to review progress and issues. This seemed to work well in practice.	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.	
4.1.1	Monitoring of records management compliance is documented	Completed and up to date	All	Completed	Legislative compliance is documented and monitored on a quarterly basis Legislative compliance statement (MOJNJ 83)	Question staff	Legislative Compliance here is undertaken by the manager Information and document management solely on the Information and document Management unit.	How is compliance with the records management policy reported? Do Internal audits check to ensure records and files are managed accordingly within other business units? what processes apart from legislative compliance exist? legislative compliance only covers one business unit not all. If evidence cannot be provided for further monitoring of compliance suggest rating be changed to Some.	There is a continual monitor of records by the IMS team and legislative compliance is an ongoing process. The organisational aim is to improve further the recordkeeping systems by the implementation of an Enterprise Content Management System (ECMS). A paper outlining the ECMS has gone to the Planning and Resource s Committee in January 2015 and the next step is for the MS manager to follow up with more detail. 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	There is a continual monitor of records by the MS 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 was for the Manager MS 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.	See attachment 4. Memorandum for Strategic Leadership team dated 14 November 2014.
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	Completed and up to date	All	Completed	See 3.2.1 Policy expiry and renewal document (MOJNJ 12)	Question staff	The Policy expiry and renewal document does not show how policies/procedures and processes are monitored.	How are issues with procedures and processes monitored and reported on? What actions have been taken in the past resulting from reporting? How is the information security policy monitored? if it is monitored what reports are generated from this? who are they given to? If no evidence can be provided please change rating to None, None, undecided if some evidence can be provided please change rating to underway, Most/some and undecided.	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 IMS manager does a monthly report on business activity and the report for July - December 2014 was seen during the audit. The report goes to the Chief Information Officer. The report gives 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.	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 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.	See attachment 2. IDM team statistics. See attachment 3. Business Classification Structure (BCS) Phase 2 Project Plan.
5.1.1	Records management requirements are identified in business processes and functions	None	None	None	Currently lack the records management maturity and tools to achieve this	Question staff	The rating here is not a true reflect of the situation as Ministry of Justice have attached copies of strategies that show that the systems improvements project that will be undertaken will include business activity maps etc...	Please change rating to Approved but not yet started, All, Plans in place.	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 Enterprise Content Management System (ECMS). There is also some ongoing discussion with Courts regarding the introduction of a paperless system for Courts. The MS team has increasing exposure to records management involvement at the beginning and end of projects to ensure that recordkeeping needs are met.	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 MS team has increasing exposure to records management involvement at the beginning and end of projects to ensure that recordkeeping needs are met. RAT NG CHANGE Progress changed from 'None' to 'Under way' Coverage changed from 'None' to 'Most' Intentions to Progress changed from 'None' to 'Plans in place'	
5.2.1	Records are captured routinely, documented and organised according to the organisation's business requirements	Under way	Some	Plans in place	Official Ministry hard copy and Jukebox records are compliant but shared drives are not	Physically inspect	No evidence has been provided of what jukebox looks like or how hard copy records are managed. Also there is no mention of Human Resources and/or Finance management/case management systems.	Please ask to see Jukebox, Human resources/finance and case management systems to see how records are captured and managed? Do they also have evidence around hard copy records and how these are managed? If evidence can be provided suggest changing rating to Completed some out of date	The operation of Jukebox was seen in practice during the audit. Jukebox was developed in 2004 and has been use since that time. Jukebox is apparently nearing the end of its useful life and the aim is to replace it with the Enterprise Content Management System (ECMS). HR and Finance records are handled and stored separately from general records. The MS team is clearly involved in ensuring that records management works. The systems should be enhanced with the planned developments.	The operation of Jukebox was seen in practice during the audit. Jukebox was developed in 2004 and has been use since that time. Jukebox is apparently nearing the end of its useful life and the aim is to replace it with the Enterprise Content Management System (ECMS). Human Resources 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. RAT NG CHANGE Progress changed from 'Under way' to 'Completed - some out of date' Coverage changed from 'Some' to 'All' Intentions to Progress changed from 'Plans in place' to 'Completed'	

5.3.3	Disposal authorities are mapped to systems that create and maintain records	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	Physically inspect	evidence stated here shows JUKEbox and hard copy have disposal authorities linked.	Please view the disposal authorities linked in jukebox and on hard copy files.	The operation of Jukebox was seen in practice during the 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). RAT NG 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'	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).	
6.2.2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification	Under way	Some	Plans in place		Question staff	evidence here suggest access is only in jukebox and not in shared drives.	The Information Security Policy is up for review has this been done? How is this implemented as it states it covers ICT systems not management of hardcopy records. Do the other business systems (case management/Human resources/Finance) have appropriate access controls in place? is this documented? How is access to hard copy records managed? If some evidence can be provided around other systems suggest changing coverage rating to most/all	There are some access permissions applied in both Jukebox and the shared drives. This 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.	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.	See storage standard checklist supplied separately.
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	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	Question staff	Evidence shows that work is underway to further develop defferral of Transfer agreements. Therefore the rating needs to reflect this for intentions to progress.	Please change rating to Plans in place	DT33 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 at ▉▉▉▉▉. All records that should have gone have done so. There has been no transfer or disposal for the approximately the last 3 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.	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 at ▉▉▉▉▉. All records that should have gone have done so. There has been 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. RAT NG CHANGE Progress changed from 'Under way' to 'Completed - some out of date'	See attachment 5. Sentencing Legacy Records 2014. Project Initiation Document. .

Non-Judicial Authorities - Audit Plan

No.	Question	Attribute	Potential Evidence	Risk	Progress	Coverage	Intentions to Progress	Evidence	Review	General Comments	Questions for Auditor	Auditor Comments	Rating Changes	Audit Findings Uploaded to CSAA
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	AUDITOR NOTES * Plan/Strategy that includes records/information management * Policies with a records/information management component * Code of Conduct - signed off by the Chief Executive and all staff Different agencies may refer to a strategy, plans or roadmaps. Is there a strategy/plan that includes recordkeeping? Is there a policy that identifies roles & responsibilities? Does the strategy/framework define roles & responsibilities for Chief Executive or equivalent, Sponsor, Operational staff (RM, IT), all staff? Is there a plan identifying RM projects & are roles included in the plan? Do they reflect roles & responsibilities identified in the strategy/framework/policy? Is the strategy/framework endorsed?	Chief Executive accountability established. Executive management accountability identified. - Plan/Strategy with that includes records/information management - Policy with records/information management component - Policy identifies responsibilities - Code of Conduct	Operational	Under way	All	None	Recordkeeping policies are endorsed and promulgated by the CEO records management policy (MOJNJ 16)	Question staff	Evidence provided here in the records management policies and also in the ministry of Justice code of conduct shows this rating needs changing.	Does the Record management policy cover the non-judicial authorities. Also does the Ministry of Justice Code of Conduct cover all staff employed by the non-judicial authorities. If yes please change rating to Completed and up to date, All and Completed. If no then please change rating to None, None undecided	The records management policy does cover the non-Judicial Authorities. All staff sign the Ministry of Justice 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.	The rating for progress was changed from UNDERWAY to COMPLETED AND UP TO DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from NONE to COMPLETED. RATING CHANGES Progress changed from 'Under way' to 'Completed and up to date' Intentions to Progress changed from 'None' to 'Completed'	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.
1.1.2	Systems used to create and maintain records are identified and documented	AUDITOR NOTES * Framework documentation that includes records/information management * Surveys/reviews of records/information management * Data map/system architecture * Classification structure/file list/file plan * Vital records/business critical system list * Policy with a records/information management component Can the organisation provide a 'whole of process' view across systems & formats? Does the policy state which systems to be used to create & maintain records for core business functions? Is the documentation of systems that manage records regularly reviewed (surveys, reviews, audits)? Has the organisation identified - business processes? - business systems that store records? - legacy systems? APPLIES TO BUISNESS SYSTEMS - Organisation-wide information/data maps defined and in place. - Repository stocktake occurred & outcomes documented. - Survey conducted identifying business systems, physical recordkeeping systems, etc. - Analysis of legacy recordkeeping issues and/or gaps conducted. - Classification structure/file plan is in place, in use and maintained. - Business critical records & systems are identified.	Applies to physical and electronic systems - IT System list - Policy with a records/information management component - System Survey - Business Continuity Plan - Classification structure/file list/file plan - Vital records/business critical system list - Processes/procedures that include recordkeeping - Business Process mapping - Business critical records/systems identified	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)	Question staff	Evidence shows screenshots of TCM which I am assuming is the Tribunal Case Management system. However nothing is mentioned about hard copy records?	What happens to hard copy files? Is there a system for managing these? If evidence can be provided around hard copy records please change coverage to completed and up to date and All. If nothing is provided for hard copy records please change to intentions to progress to undecided.	The hard copy file is the official record of the non-Judicial Authorities. File creation is either through the Tribunals or the Central Processing Unit (CPU). Systems are in place to create and manage the records. TCM has a clear link to the hard copy files.	The rating for progress was changed from UNDERWAY to COMPLETED AND UP TO DATE. The rating for coverage was changed from SOME to ALL. The rating for intentions to progress was considered appropriate. RATING CHANGES Progress changed from 'Under way' to 'Completed and up to date' Coverage changed from 'Some' to 'All'	Hard copy files are the official record of the non-Judicial Authorities. File creation is either through the Tribunals or the Central Processing Unit (CPU). Systems are in place to create and manage the records. The Tribunals Case Management system (TCM) has a clear link to the hard copy files.
1.1.3	Policies that include records management are documented and in use	AUDITORS NOTES * Policy that includes recordkeeping components * Approvals process * Communications plan * Training programme Policies that include recordkeeping identify relationships to relevant policies e.g. IT Security. Metadata specifications and decisions for all systems that manage records are documented, including - policy acknowledges the role of metadata in ensuring an authentic record - policy specifies the roles of point of capture and process metadata, and the rules relating to changing metadata. How is the policy communicated - Training, Intranet, Newsletters ? Does the policy scope cover all formats of records? (incl. email, web, paper, digitally borne, digitised) Does the policy determine where records should be created/managed? Requires records systems to have been identified & documented. REFER - Archives 'Guide to Writing a Recordkeeping Policy G6 - Checklist 7' for guidance. * Policy that includes recordkeeping components * Information Technology (IT) Policy * Security Policy * Information Management (IM) Policy Are RK requirements reflected in IT, Security policies? Does the policy specify roles for maintaining the MD schema?	Policies with a recordkeeping component - Strategy/Plan that includes recordkeeping - Document control/version controls procedures - Communications Plan - Training/Induction programme	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)	Question staff	In Q1.1.1 you state that they are covered by the records management policies created by the Ministry of Justice.	Is the Records management policy not documented and in use for the non-judicial authorities? Is there a metadata policy/schema that is used for the tribunal Case Management system? If records management policy and/or metadata policy (if t exists) is in use and covers the authorities then please change rating to completed and up to date and completed. If no evidence is provided then please change rating to None, None and Undecided. As coverage can not be all if no progress or intention is there.	The records management policy does cover the non-Judicial Authorities. All staff sign the Ministry of Justice 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 TCM reference matches the hard copy file numbers.	The rating for progress was changed from NONE to COMPLETED SOME OUT OF DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from NONE to PLANS IN PLACE. RATING CHANGES Progress changed from 'None' to 'Completed - some out of date' Intentions to Progress changed from 'None' to 'Plans in place'	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.
1.2.1	Strategic/business plans include records management objectives and risks	AUDITORS NOTES * Strategic/business Plan that includes records/information management * Information Services Strategic Plan (ISSP) * Risk Framework/plan/register * Audit report/reviews View Corporate/Business Plan If there is an ISSP does it cover only IT or is broader?" Does the statement of intent include objectives? Review document for evidence of recordkeeping risks. Does the organisation have a risk management plan in place and takes account of recordkeeping capability?	Business/strategic plan (or ISSP) references - Recordkeeping/records management/information management - Knowledge management - Activity Plan - Action Plan - Risk management plan/register	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	Question staff	The Tribunals unit attached (MOJNJ053) does not cover in detail risks to paper records.	Please ask what other risks are managed by ICT. Please ask to see the ICT disaster recovery plan to see f it details information around the Tribunals Case Management system? If evidence is available please change rating to Most and plans in place. Further work is required to document how hard copy records are managed.	The Ministry of Justice 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.	The rating for progress was considered appropriate. The rating for coverage was changed from NONE to MOST. The rating for intentions to progress was changed from NONE to PLANS IN PLACE. RATING CHANGES Coverage changed from 'None' to 'Most' Intentions to Progress changed from 'None' to 'Plans in place'	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.
1.2.2	Procedures that include records management have been documented and are in use	AUDITORS NOTES * Procedures that include creation, maintenance of records * Workflows/process maps * Guidance notes/Desk Files * Training materials Key procedures observed as being implemented. Procedure manual identifies quality checks including responsibil ty for carrying out quality audits, frequency & acceptance criteria. How do procedures support policy? What systems exist that manage records? Are there procedures for each? -When were electronic systems implemented? -How are procedures communicated to staff? -How is procedure compliance monitored? -How regularly are procedures reviewed?	Business processes/procedures which include recordkeeping exist and are in use, including - Procedure manuals - Training materials - Workflow models - Staff guidance notes / Desk Files - Audit reports/reviews/Quality Management Reviews Business systems documentation identifies - Auto-capture of metadata elements - Auto-classification - eg File classification/File Plan/File List - Communications Plan - Official information Act/Privacy Request processes	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)	Question staff	Desk files and manuals range from comprehensive ike the SSAA case manager manual to the PSPLA manual tribunal manual which is still in draft format and does not cover files or records.	As evidence provided is definitely underway and more work is required, but no plans have been provided to show that this will be progressed please change intentions to progress to undecided	Some Tribunals are now using desk files and these tend to be the newer organisations. The desk files are setup through a project team. It was noted during the audit that there is a move to have desk files across the various Tribunals.	The rating for progress was considered appropriate. The rating for coverage was changed from SOME to MOST. The rating for intentions to progress was changed from COMPLETED to UNDECIDED. RATING CHANGES Coverage changed from 'Some' to 'Most' Intentions to Progress changed from 'Completed' to 'Undecided'	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 various Tribunals.
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	AUDITORS NOTES * Policy and procedures that includes records/information management components * Approvals process * Monitoring and review schedule * Audit reports/reviews * Corrective actions records How is the policy monitored? internal audits, spot checks. Is there a review process? Is there annual checks/reviews? Is this documented?	'- Policy and procedures that includes records/information management components - Monitoring and review schedule - Audit reports/Quality management reviews - Corrective action records - Document control/version controls procedures	Operational	Under way	Most	Completed	Monitored and reviewed on an adhoc, as required basis	Question staff	Evidence states that this is ad-hoc and only done on an as required basis. As not all procedural manuals were provided I would say they are not completed and coverage is more likely to be some.	Please change rating to Some, Undecided as there were only a few desk manuals/procedural documents supplied and this definitely requires more work but no plans have been provided to show this is planned.	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.	The rating for progress was considered appropriate. The rating for coverage was changed from MOST to SOME. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE. RATING CHANGES Coverage changed from 'Most' to 'Some' Intentions to Progress changed from 'Completed' to 'Plans in place'	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.
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	AUDITORS NOTES * Business Plan includes records/information management - version control/approval plans * ISSP - Information Services Strategic Plan * Review documentation for records/information management risks/objectives.	Business/strategic plan (or ISSP) references - Records/Information Management - Knowledge management - Activity/Action Plan Minutes of meetings that show reviews have been undertaken or objectives have been discussed	Compliance	Under way	Some	Completed	ICT Risk Register ICT Risk Register (MOJNJ 73)	Check documentation	Evidence was difficult to read and work out how often were risks reviewed and monitored. This also only covers ICT risks.	Is there an overall risk assessment that shows either Managing information/data as a top level risk for non-judicial authorities? Please ask to view ICT risk register to see complete list and ask how often are these risks monitored and reviewed for relevance. If evidence can be provided please change rating to Completed and up to date/All (if top level risks have evidence) or otherwise coverage of Some can remain.	The ICT Risk Register is a dedicated resource which is reviewed on a monthly basis. The top five risks are seen by the Chief Executive on a monthly basis. The risks are also discussed at the quarterly managers meetings.	The rating for progress was considered appropriate. The rating for coverage was changed from SOME to MOST. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE. RATING CHANGES Coverage changed from 'Some' to 'Most' Intentions to Progress changed from 'Completed' to 'Plans in place'	The ICT risk register is a dedicated resource which is reviewed on a monthly basis. The top five risks are seen by the Chief Executive on a monthly basis. The risks are also discussed at the quarterly managers meeting.

ID	Requirement	Auditors Notes	Evidence	Category	Status	Coverage	Status	Intentions	Method	Evidence statement	Question	Comment
2.1.2	Responsibility for records management is assigned	AUDITORS NOTES * Policy with a records/information component * Job/Position Descriptions * Plan/Strategy that includes records/information management * Code of conduct * Organisational charts * Documentation exists regarding delegation, performance reviews, internal processes, job and person specifications. * Staff recordkeeping responsibilities are reflected in either - statement in a policy on staff responsibilities for records management; and, - position descriptions, job specifications or performance agreements incorporate standard recordkeeping competency statement, requiring conformance with the public office's policies that incorporate recordkeeping (including responsibility for records creation) Are roles part of position descriptions?	- Plan/strategy that includes records/information management component - Job/position descriptions - Delegation process - Code of conduct - Policy with a records/information management component - Processes/procedures that include recordkeeping	Compliance	Completed and up to date	All	Completed	see 2.1.1	Question staff	Evidence shows that operational support staff are assigned to resource records management. But it would be good to see the job description for the Support services manager to see if that has any overall records management responsibilities.	Please ask to view the support services manager's role to see if it covers overall records management responsibilities.	The role of the Business Services Manager (Maria Galvin) 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. / The rating for progress was considered appropriate. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	AUDITORS NOTES * Human Resources (HR) plan * Succession plan * Training and development plan * Training register There is clear evidence of approved career planning and development, or succession plans AND staff with recordkeeping responsibilities are included in training logs or registers. Review documentation	- Human resources procedures - Career planning/development - Training plan/register - Strategy that includes records/information management - Performance plan/ learning and development plan - Business Plans	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	Check documentation	No evidence has been attached to support this and show those with operational support roles have had records management training or that is monitored and reviewed.	Please ask to see an operational support role person's PDP to ensure it covers training especially in records management (this maybe forums internal and external and MOJ internal training) If included how often is this reviewed. If no evidence can be provided please change rating to Underway/all/undecided	The Performance Review Process was discussed with staff and there are quarterly performance review updates. The main Performance Reviews are held annually. The Performance Review Process is 2 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. / The rating for progress was changed from COMPLETED AND UP TO DATE to UNDERWAY. The rating for coverage was changed from ALL to MOST. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE. 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	AUDITORS NOTES * Plan/strategy that includes records/information management * Monitoring and review reports * Performance measures - Key Performance Indicators * Budget planning * Information Management reviews How does the organisation review, measure progress against its Strategy/Business Plan that includes recordkeeping?	- Budget Planning - Plan/strategy that includes records/information management - Budget Planning - Goals/performance measures - Key performance indicators (KPIs) - Training Plan	Strategic	Under way	All	Completed	Budget planning includes staff with recordkeeping responsibilities as well as offsite storage management and maintenance	Check documentation	No evidence has been provided to support the stated evidence	Please ask to see the budgets which include staff salaries/off site storage management and maintenance. If this can be provided please change rating to Completed and Up to date. If not please change rating to undecided	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. The budget for the off-site storage of records at [ ] is managed by the Business Services Manager (Maria Galvin). / The rating for progress was changed from UNDERWAY to COMPLETED AND UP TO DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate. 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	AUDITORS NOTES Check staff awareness of recordkeeping responsibilities and where and how to save records. What training is available to staff? What induction programmes are available to staff? How is records management covered?	- Induction checklists - Training plan - Job/position descriptions - Performance plans - Training course objectives	Operational	Under way	Some	Completed	Recordkeeping responsibilities are documented in procedures and manuals and well understood by the staff who use them	Question staff	Evidence states that this is documented in procedures and manuals, however some of this material was out of date so the rating cannot be underway and completed.	How are staff trained in procedure manuals? Is their on the job induction? Is there checklists to show this? If evidence can be provided rating can change to Completed -some out of date. If no evidence please change rating to undecided.	A process of on the job training is used whereby Jurisdiction Managers train new case managers. / The rating for progress was changed from UNDERWAY to COMPLETED SOME OUT OF DATE. The rating for coverage was changed from SOME to ALL. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE. 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	AUDITORS NOTES * Training plan * Procedures that include recordkeeping * Job/position descriptions * Induction programme Check staff awareness of recordkeeping benefits and responsibilities. What and how is training delivered to staff?	- Training Plan - Induction Check lists - Training register - Job/position descriptions - Communications policy	Operational	Under way	Some	Plans in place	Staff receive training as required, including through procedure manuals and desk files. See 1.2.2	Question staff	As no evidence of this provided please ask to talk to a new operational support person, do they know where to file records? What happens when a case is completed? Have they had training (on the job)	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. / The rating for progress was considered appropriate. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.
4.1.1	Monitoring of records management compliance is documented	AUDITORS NOTES * Monitoring and review schedule * Reporting templates * Key Performance Indicators (KPIs) * Audit trails and reporting * Performance framework/measures Does the organisation have an established monitoring and compliance programme? Documented rationale and purpose of recordkeeping reporting is available to staff. How are issues identified, reported, actioned? What processes are in place to do so?	- Internal Audit reports/reviews - Quality Management reviews - Corrective Action records - Monitoring and review schedule - Audit trails and reporting - Legal Compliance register - Strategy/plan that includes recordkeeping	Reporting	None	None	None	Records management compliance monitoring is mainly confined to the larger Tribunals	Question staff	In the SSAA procedural manual it states that the Jurisdiction manager audits the case files once completed.	How often are case files audited? Does this happen often? What happens when issues are found? How are they reported and of actioned? If evidence can be supplied please change rating to Underway/Some/Plans in place or undecided	Auditing of case files is informal. Some checks are made to check data entry into TCM and the information which is held on file. All hard copy files are viewed by someone in a responsible position. / The rating for progress was changed from NONE to UNDERWAY. The rating for coverage was changed from NONE to MOST. The rating for intentions to progress was changed from NONE to PLANS IN PLACE. 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	AUDITORS NOTES * Policy with a records/information management component * Procedures that incorporate recordkeeping requirements * Training analysis * Classification structure review documentation * Management reports/minutes * Key Performance Indicators (KPIs) Who is responsible for monitoring records/information management compliance? What procedures are there for monitoring compliance? How are issues reported? What actions have been taken in past resulting from reports? Reporting of recordkeeping key performance indicators (KPI) and ad-hoc issues are reported to appropriate management level as per public office schedule (for example, compliance with the Public Records Act (2005) is part of the public office's compliance framework and is regularly signed off as per senior management compliance statements). Reports are likely to include monitoring performance metrics such as storage space utilisation, registration of records (for instance, comparison of actual versus expected levels, etc), transfer and disposal trends, quantity and frequency of disposal versus creation. There is evidence of follow-up action and response evident from management team minutes/decision register or action lists. Monitoring reports, internal audit reports and remedial action documentation exists. How frequently are reviews undertaken?	- Management reports/minutes - Report distribution list - Monitoring and review schedule - Audit reports/reviews - Corrective Action records	Reporting	Under way	Some	Plans in place	Records management procedures and process monitoring is mainly confined to the larger tribunals	Question staff		as per my questions in 4.1.1	Monitoring is informal. However, the Business Services Manager noted that there is a quick response to any issues which are identified. The Alcohol Authority has a public register. There is a monitoring and review process for the public register. / The rating for progress was considered appropriate. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.
5.1.2	Records of all business activities are managed within the appropriate systems	AUDITORS NOTES * Processes that include recordkeeping * Functional analysis * Policies with a recordkeeping component What systems that manage records does the organisation have? Do procedures that include recordkeeping define the organisation's core functional records? How does the organisation manage records created or received via email? Do policy/procedures cover emails? Has there been a functional analysis of the organisation undertaken to determine core records? What procedures exist to support policy? Is email monitored? Is use of the systems that manage records monitored? Is use of personal drives / c drives monitored? Are records fragmented across systems? How is the complete record constructed? Staff are trained to identify the activities that produce business records. For example, staff are encouraged to create file notes, minutes, etc. recording business decisions as part of their business as usual activities. Policy, strategies that include recordkeeping, role and responsibility statements are defined and in place.	- Processes/procedures that include recordkeeping - Desk files - Classification structure/file list/file plans - Core records/systems identification - Vital records list/register - IT list of all systems - Policy with a records/information management component	Compliance	Under way	Some	Plans in place	TCM and JAX are systems that are used to appropriately manage records of business activities	Physically Inspect	TCM and JAX were not seen in operation at the non-Judicial Authorities. The operation of both TCM and JAX has been assessed in detail during other recent audits in several locations. No issues were seen with either system.	Please ask to view TCM and the JAX system to see how records are managed.	TCM and JAX were not seen in operation at the non-Judicial Authorities. The operation of both TCM and JAX has been assessed in detail during other recent audits in several locations. No issues were seen with either system. / The rating for progress was considered appropriate. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.

Ref	Criterion	Auditors Notes / Evidence	Evidence types	Type	Progress	Coverage	Intentions	Comments	Question	Evidence note	Auditor request	Response 1	Response 2	Response 3
5.3.3	Disposal authorities are mapped to systems that create and maintain records	AUDITORS NOTES * Disposal Implementation Plan * Classification structure/file list * Mapping documentation * Retention Disposal Schedule (RDS) Assumes both Classification structure and Disposal Authorities exist. Was an implementation plan included as part of developing the retention and disposal schedule? How are disposal decisions implemented into core business systems? How is this monitored?	- Disposal authorities - Disposal implementation plan - Classification structure/file list/file plan - Disposal Mapping documentation - Systems documentation/desk files/guidelines	Strategic	None	None	None	Disposal authorities are applied manually in the absence of technical functionality to apply disposition	Question staff	This question applies to physical records too.	How are disposal authorities mapped to hard copy files? Do you have a disposal implementation plan that has been used? If evidence can be provided please change rating to Underway/Some/plans in place	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).	The rating for progress was changed from NONE to UNDERWAY. The rating for coverage was changed from NONE to SOME. The rating for Intentions to progress was changed from NONE to PLANS IN PLACE.	The non-Judicial Authorities have a Disposal Authority drawn up by SWIM. Any destruction of records is carried out through On-Line Security. Retention times are currently under review for some of the non-Judicial Author ties (second-hand dealers, Copyright and PSPCA). 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	AUDITORS NOTES * Classification structure/file list * Metadata (MD) schema * Policies with a records/information management component * Processes that include recordkeeping (RK) * Audit/review reports Actions of accessibility and usability are defined in the public office's procedures and there is evidence the procedures are being followed. Systems that manage records includes appropriate controls and security, including, for example - for physical records there is a list of files, including locations, in either physical form or in a database - for digital records held in core business systems and on shared drives there is an agreed structure and defined metadata to manage and locate records. What systems does the organisation use (intellectual controls)? How does the organisation locate records? How does the organisation determine and assign different security requirements of records? How does the organisation control access to and track records? Is there a policy determining where records should be located and managed? Are there records that are required to be accessed long-term? Does the organisation hold any records older than 25 years? refer also to Deferral questions if one exists then would indicate some plan is in place to manage on-going access. What controls are in place to manage access? Are there plans for migration to mitigate format issues? Digitisation of papers to prevent physical deterioration, migration plans to mitigate technological obsolescence?	- Classification structure/file list/file plan - Metadata schema/list - Security/access procedures - Business Continuity/Disaster recovery plan(s)	Operational	Under way	Most	Plans in place	Electronic and physical access is appropriately managed, physical security for paper files is in place.	Question staff	Evidence states that access is managed appropriately but this is not provided.	Please ask to see the system security access controls for TCM and JAX. Please also ask to view the access and security controls around shred drives and paper records. If evidence can only be provided for TCM and JAX rating can remain the same if all evidence can be supplied please change rating to all.	The non-Judicial Authorities in Wellington are located in a secure, access-controlled building. Access permissions exist for both TCM and JAX. Access permissions are handled by the IT section of the Ministry of Justice.	The rating for progress was considered appropriate. The rating for coverage was changed from NONE to ALL. The rating for intentions to progress was considered appropriate.	The non-Judicial Authorities in Wellington are located in a secure, access-controlled building. Access permissions exist for both TCM and JAX and are handled by the Information Technology (IT) section of the Ministry of Justice. RATING CHANGE Coverage changed from 'Most' to 'All'
6.2.1	Sensitive and restricted records are identified, documented and controlled	AUDITORS NOTES * Classification structure that identifies sensitive records (e.g. HR, payroll, board papers, management reports) * Processes that include recordkeeping * Retention Disposal Schedule (RDS) * Access statements * Office's security model * Audit reports/reviews * Corrective action records Does the organisation have OIA, Privacy etc processes in place? Does the policy / procedure include restriction/access statements? Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored? Requires records to be identified and controlled – e.g. Listed for physical with access requirements assigned and access activity recorded. Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND Dedicated storage areas are provided for high risk classes of records and additional security measures are instigated, AND Records of cultural value (e.g. records of significance to Maori stakeholders) are identified, AND Procedures for granting and withholding records access are defined and implemented.	- Processes that include recordkeeping - Classification structure/file list - Retention Disposal Schedule/Disposal Authority - Security/access policy/procedures - Access processes/procedures - Audit reports/Quality Management reviews - Corrective Action records	Compliance	Under way	All	Completed	Case file procedures are used to identify and manage sensitive and restricted records	Question staff	Some procedural documents attached as evidence were still in draft format. The rating here does not reflect that.	As not all procedural manuals are completed and ratings elsewhere note that the coverage is really only Some please change rating to Some, Plans in place.	████ access to Finance information is restricted.	The rating for progress was changed from UNDERWAY to COMPLETED SOME OUT OF DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE.	The rating for progress was changed from UNDERWAY to COMPLETED SOME OUT OF DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE. 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	AUDITORS NOTES * Processes that include recordkeeping * Retention Disposal Schedule (RDS) * Access statements * Official Information Act policy/processes * Privacy Act policy/processes * Classification structure/file list * Policies with a recordkeeping component Does the organisation have OIA, Privacy etc processes in place? Does the policy / procedure include restriction/ access statements? Are specific records/record types identified as requiring default access restrictions (e.g. HR) and how are these implemented and monitored? Security model is in place, taking account of SIGS and other requirements; and, is regularly tested to ensure ongoing conformance, AND Records of cultural value (e.g. records of significance to Maori stakeholders) are identified. Procedures for granting and withholding records access are defined and implemented.	- Official Information Act policy/processes - Privacy Act policy/processes - Processes that include recordkeeping - Classification structure/file list/file plan - Security/access policy/procedures - Policy with a recordkeeping component - Access statements	Compliance	Under way	All	Completed	see 6.1.1	Question staff	As per my pervious comments in Q6.2.1	Please change the ratings as indicated in Q6.2.1	████ access to Finance information is restricted.	The rating for progress was changed from UNDERWAY to COMPLETED SOME OUT OF DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE.	████ access to Finance information is restricted. RATING CHANGES Progress changed from 'Under way' to 'Completed - some out of date' Intentions to Progress changed from 'Completed' to 'Plans in place'
6.3.1	The ability to locate and use records is monitored and routinely audited	AUDITORS NOTES * Audit reports/reviews * Corrective action records * Processes that include recordkeeping * Policies with a recordkeeping component * Surveys/audits of records location * Storage contracts/reviews How does the organisation monitor record locations? Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)? How does the organisation ensure continued accessibility and usability? What controls are in place? Have any format issues been identified as part of monitoring? How are issues identified addressed? Have there been issues with response times for responding to OIA or other information requests? Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes). Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management.	AUDITORS NOTES * Audit reports/reviews * Corrective action records * Processes that include recordkeeping * Policies with a recordkeeping component * Surveys/audits of records location * Storage contracts/reviews How does the organisation monitor record locations? Is recordkeeping considered in terms of Organisational Risk (i.e. not just at project/programme management level)? How does the organisation ensure continued accessibility and usability? What controls are in place? Have any format issues been identified as part of monitoring? How are issues identified addressed? Have there been issues with response times for responding to OIA or other information requests? Survey of record users identifies individuals' ability to locate records using the public office's recordkeeping system(s) OR Regular monitoring and reporting identifies quantities of records retrieved when needed by the public office (within reasonable timeframes). Regular audit of storage locations and conditions and reporting to public office's risk management team and senior management.	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	Physically Inspect	Evidence states that this is routinely monitored but no evidence has been provided to support this.	Please show how TCM is routinely monitored and do you have offsite to storage reports to show the monitoring that takes place on those records. If evidence can be provided please change the rating to Completed and up to date. If no evidence can be provided please change rating to none, none, undecided	TCM was not seen in operation at the non-Judicial 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 the non-Judicial Authorities and ████.	The rating for progress was considered appropriate. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE.	The Tribunals Case Management (TCM) system was not seen in operation at the non-Judicial 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 the non-Judicial Authorities and ████. Intentions to Progress changed from 'Completed' to 'Plans in place'

Ref	Requirement	Auditors Notes	Evidence	Type	Progress	Coverage	Intentions	Findings	Method	Comment	Recommendation	Notes 1	Notes 2	Notes 3
7.1.1	All records are managed so they cannot be altered, deleted or disposed of without permission	AUDITORS NOTES • Policies with a records/information management component • Processes that include recordkeeping • Access controls for records • Access and loan policy • Metadata (MD) schema • Reporting • Security procedures/audit trails/system monitoring Does the policy determine how records are to be managed? What formats are records held in? How is the authenticity of a record assured? - creation, receipt, transmission. Dependent on format what controls are in place? Examples of controls for systems would be audit trails, standard system metadata. Shared drive environment – Backups, and largely reliant on policies and procedures supported by robust monitoring OR print to file strategy. How is reliability and integrity of digital records assured? Is records management metadata persistently linked to records - eg migration to new systems? Are historical records in previous systems locked down so that they can be read but not altered? Existence of recordkeeping controls to ensure creation of authentic records. For example - appropriate recordkeeping controls including version control - metadata schema defined for business systems - rules around the use of read-only functionality in systems - access and loan policy for documents in semi-current / controlled storage - file tracking for paper files.	Applies to all records • Processes/procedures that include recordkeeping • Access controls for all systems • Metadata schema/list • Access and loan policy • File tracking (paper) • File location/transit cards • Security procedures • Audit logs/trails • Monthly/Quarterly reports	Operational	Completed and up to date	AI	Completed	Hardcopy and electronic (TCM) records cannot be altered, deleted, or disposed of inappropriately	Physically inspect	No evidence has been provided to support the stated evidence	Please check hard copy file locations and please also check that no records can be deleted or altered within the TCM. If no evidence can e provided for hard copy records please change coverage to most. If no evidence provided please change rating to 'None, None, undecided.	...are established backup procedures and practices for electronic records which are driven by the Ministry of Justice.	...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'	
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	AUDITORS NOTES • Policy/strategy that incorporates records/information management • Physical/Digital storage report • Offsite storage contract • Storage plan for both physical and digital records • Audit reports/reviews • Business continuity plans/reviews The facility in which records are stored meets the applicable Building Code and has appropriate flood and fire protection systems (demonstrated by Code of Compliance Certificates) AND Shelving equipment and other equipment is appropriate to the format and size of the record. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	Applies to all records. • Risk assessment/review of storage • Internal audit/information management reports • Storage assessment reports • Storage contracts • Server plans • Business continuity plans/reviews • Building Warrant of Fitness	Compliance	Under way	AI	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	Question staff	This shows your offsite storage is managed, however what happens to records storage during cases. This questions also looks at digital systems and ensures servers etc...are managed with appropriate controls.	Please ask how onsite storage is managed for case files. Where are records stored on servers are they backed up and managed correctly? If evidence can be provided please change rating to completed and up to date. If not please change to undecided.	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...	The rating for progress was changed from UNDERWAY TO COMPLETED AND UP TO DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.	Records storage at the non-Judicial Authorities was seen in operation at an earlier visit. ...noted that no visit has yet been made to see the operation of... It was... 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	AUDITORS NOTES • Storage review report • Server reports/IT Planning documents around storage • Storage Contracts • File Lists Appraisal reports exist and approved by appropriate management tier, AND Storage requirements are defined including requirements for managing information of a sensitive nature. Have records been appraised? Where are your records stored? - Offsite? - Onsite? Have both repositories been assessed?	Applies to all records. • Appraisal processes and/or reports • Storage plan for digital and physical records • Storage contracts • Migration plans • Security/access processes • Storage audit reports/reviews • Classification structure/file list/file plan	Strategic	Under way	AI	Completed	Highly sensitive records are stored securely.	Question staff	No evidence has been provided to support the stated evidence and this is around value and security needs an appraisal of records.	Have records been appraised? Are they stored in accordance to there security and access provisions. If so can you please provide evidence to show this. If no evidence is provided please change rating to none, none undecided. If evidence can be provided please change rating to Completed and up to date.	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.	The rating for progress was changed from UNDERWAY TO COMPLETED AND UP TO DATE. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.	Records storage at the non-Judicial Authorities was seen in operation at an earlier visit. ...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'
7.2.2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	AUDITORS NOTES • Disaster Recovery/Business Continuity Plan(s) • Procedures for managing records during emergency (both physical and digital) • Checklists (contacts and suppliers) • Offsite storage contracts Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact? Has the plan been tested?	- Disaster Recovery/Business Continuity Plan(s) - Policy with a records/information management component - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts - Systems survey	Operational	Completed and up to date	AI	Completed	Covered in the BCP Tribunals Business Continuity Plan (MOJN J53)	Question staff	The Tribunals unit BCP attached (MOJNJ053) does not cover in detail the protection and salvage of records. Recommend using the MOJ management of paper records BCP as a starting point for the Tribunals unit BCP for physical records.	Please show how the protection and salvage of physical records is included in the tribunals unit BCP. How are IT systems managed? Please ask to see the ICT disaster recovery plan? If evidence can be shown for ICT disaster recovery plan please change rating to Underway/most/plans in place.	It was noted during the audit that the non-Judicial Authorities try and 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.	The rating for progress was changed from COMPLETED AND UP TO DATE to COMPLETED SOME OUT OF DATE. The rating for coverage was changed from ALL to SOME. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE.	It was noted during the audit that the non-Judicial Authorities try and 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'
7.3.1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	AUDITORS NOTES • Disaster Recovery/Business Continuity Plan(s) • Procedures for managing records during disaster (both physical and digital) • Checklists (contacts and suppliers) • Offsite storage/data storage contracts A Disaster Management Plan that identifies key risks and the ways in which those risks should be mitigated or responded to is in place, tested, monitored and reviewed. Covers all records. Does the organisation store records onsite/offsite? Where are servers stored? What backup procedures in place? Are key roles for Disaster Recovery identified? Do staff know who to contact, have they had training? Has the plan been tested? How often is the plan tested?	- Disaster Recovery/Business Continuity Plan(s) - Testing plans and corrective actions - Monitoring and review schedule - Processes/procedures that include data/physical records recovery - Off-site storage/data storage contracts	Operational	Completed and up to date	AI	Completed	The BCP is updated as required. Tribunals Unit Business Continuity Plan (MOJNJ 53)	Question staff	As per my previous comments in Q7.2.2. As the Business continuity plan does hold cover in detail physical records protection and salvage then unsure if this is monitored and or reviewed and no evidence has been provided to support this.	If the ICT disaster recovery plan is able to be viewed, please ask to see how often it is tested and reviewed? If the ICT disaster recovery plan has been tested please change rating to underway/most/plans in place If no testing or reviewing has been done please change rating to none, none, undecided.	The Business Continuity Plan was used following a recent Wellington earthquake. It was noted during the audit that the non-Judicial Authorities try and 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.	The rating for progress was changed from COMPLETED AND UP TO DATE to UNDERWAY. The rating for coverage was changed from ALL to SOME. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE.	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 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'
7.3.2	Storage arrangements for records are monitored and regularly reviewed	AUDITORS NOTES • Storage Plan • File lists • Plan/Strategy that includes storage of records/data/information • Disposal Authority • Deferral Agreement - only required for records of archival value over 25 years old. Have records been appraised and those of archival value identified? Do lists identify year ranges of records? Do lists identify formats of records? Have disposal authorities been mapped to file lists? Have records been assessed to ensure they are stored on the appropriate media/hardware?	- Storage reports/reviews - Media or hardware assessments - Internal Audit reports - Information Management reviews/reports - Monthly/Quarterly reports on storage areas and requirements	Strategic	Completed and up to date	AI	Completed	see 7.1.2	Question staff	No evidence has been provided to support this apart from some contractual documents from Online security.	How often are files assessed to ensure storage arrangements are still fit for purpose? Do lists get monitored and audited? Do records get audited to ensure the media or hardware they are stored is still appropriate? If no evidence or process can be provided shown please change rating to None, None, undecided.	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 seen 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.	The rating for progress was considered appropriate. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.	Records storage at the non-Judicial Authorities was seen in operation during an earlier visit. ...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.
8.1.2	Regular and efficient disposal of the organisation's records is planned and documented	AUDITORS NOTES • Implementation Plan (Disposal) • Plan/strategy that includes records/information management • Business classification structure/file lists • Mapping of General Disposal Authority and Public Office's core business records Disposal Authorities Disposal occurs on a regular basis. Records do not build-up unnecessarily. Disposal schedules are reviewed and revised following expiration. Evidence that regular transfers to Archives New Zealand are planned. What is the process for managing disposal? Is disposal part of the annual business planning? How is disposal activity recorded/reported? How regularly is disposal activity implemented? - General Disposal Authority disposal? - Agency Disposal Authority by disposal?	- Disposal implementation plan/schedule - Monitoring and review schedule - Transfer agreements - Business classification /file list/file plan - Evidence lists of disposed records - Disposal authorities - Letter of expectation (MOJNJ 72)	Operational	Completed and up to date	AI	Completed	records are routinely disposed of in accordance with the schedule	Question staff	The evidence provided relates to the core duties of the operational support person but does not show that regular and efficient disposal is planned and documented. Recommend that Disposal becomes a planned event and procedures and processes are documented in the operational support procedural manual and training given.	How is disposal planned? How is disposal criteria applied? How regularly is disposal activity implemented. If evidence can be provided rating can remain the same. If no evidence or limited evidence please change rating to none, none, undecided.	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.	The rating for progress was changed from COMPLETED AND UP TO DATE to UNDERWAY. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE.	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'
8.2.1	Disposal procedures and processes are implemented and in use regularly	AUDITORS NOTES • Procedures that include recordkeeping • Disposal process/procedures include - Disposal actions (transfer/destruction) of records - lists of destroyed records - lists of transferred records - Disposal metadata documentation - records closed once no longer required - regular destruction of records authorised - regular transfer of records of archival value • Authorised retention and disposal schedule • Deferral of transfer agreements • Disposal authorities • Legacy Records Programme agreement • Implementation plan (as part of Appraisal Report) ** DISPOSAL INCLUDES BOTH TRANSFER & DESTRUCTION How is disposal monitored? Has there been any disposal activity? Has it been done in accordance with current disposal authorities? How has this activity been recorded?	- Disposal procedure's - Lists of destroyed records - Lists of transferred records - Archives New Zealand Transfer Agreement - Disposal register - Disposal authorities	Compliance	Under way	Some	Plans in place	see 8.1.2	Check documentation	No evidence has been provided to back up this rating or stated evidence.	How is disposal monitored? Has there been any disposal activity? Has it been done in accordance with current disposal authorities? How has this activity been recorded? What disposal process/procedures do they have? E.g. how to dispose of records If no evidence please change rating to None, none, undecided.	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.	The rating for progress was considered appropriate. The rating for coverage was changed from SOME to MOST. The rating for intentions to progress was considered appropriate.	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'

	Requirement	Auditors Notes	Evidence	Type	Progress	Coverage	Intentions	Comment	Action	Auditor comment	Rating change requested	Audit finding	Rating changes	Final audit comment
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	AUDITORS NOTES * Deferral of transfer agreement * Systems that manage records documentation * Review reports Does the organisation have any records that are 25 years of age or over? Check Archives NZ documentation. Deferral process exists - including templates & sign-off process. Register of disposal actions identifies reasons for deferral and the individual/role accepting the deferral recommendation. Deferred Transfer Agreement exists. Administration arrangements for public access to public records over 25 years of age are documented.	- Deferral of transfer agreement - List of records 25 years of age and over	Compliance	Under way	A1	Completed	No records over 25 years of age	Question staff	As no deferral of transfer agreement is in place please change rating to reflect this.	Please change rating to None, None, None	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 NZ. The non-Judicial Authorities are not currently seeking a deferral of transfer.	The rating for progress was changed from UNDERWAY to NONE. The rating for coverage was changed from ALL to NONE. The rating for intentions to progress was changed from COMPLETED to NONE.	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. 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	AUDITORS NOTES * Procedures that include recordkeeping * Disposal process / procedures include - lists / evidence of destroyed records and metadata (req 5.6) - regular destruction of records authorised Disposal Authority Is records management data about disposal documented? Is it included in the appraisal report or system specifications for digital records.	- Register of disposal actions and metadata - Disposal procedures (for all formats) - Disposal Authorities - Documented destruction methods	Operational	Completed and up to date	A1	Completed	managed in spreadsheets	Check documentation	Again no evidence provided to back up the stated evidence. This questions covers all records formats.	Please ask to see managed spreadsheets to see that disposal metadata (req 5.6) is documented for records. How is disposal metadata kept for electronic/digital records that have been destroyed? If spreadsheets show that metadata around disposal actions is documented for physical records but not electronic/digital then rating needs to be changed to some. If both electronic/digital and physical disposal actions are documented rating can remain the same.	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.	The rating for progress was considered appropriate. The rating for coverage was considered appropriate. The rating for intentions to progress was considered appropriate.	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.
8.3.2	Disposal procedures and processes are monitored and reviewed	AUDITORS NOTES * Disposal procedures/processes with review dates * Disposal register * Versions/updates of disposal procedures * Systems procedures/guidelines with disposal information Disposal schedules are reviewed and revised as required. Evidence that regular transfers to Archives New Zealand are planned. What is the process for managing disposal? Is disposal part of the annual business planning? How is disposal activity recorded/reported? How regularly is disposal activity implemented? - General Disposal Authority disposal? - Agency Disposal Authority disposal?	- Disposal procedures/processes - Disposal schedule - Monitoring and review schedule - Transfer agreements - Disposal authorities - Monthly/quarterly reports on disposal	Operational	Completed and up to date	A1	Completed	managed in spreadsheets	Question staff	Unsure how this can be completed and up to date/all/completed when disposal procedures and processes are still to be documented.	This rating needs to be changed to reflect that not all disposal procedures have been created and implemented so therefore cannot be monitored. Please change rating to none, none undecided.	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.	The rating for progress was changed from COMPLETED AND UP TO DATE to UNDERWAY. The rating for coverage was considered appropriate. The rating for intentions to progress was changed from COMPLETED to PLANS IN PLACE.	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'

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	s 9(2)(ba)(i)	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.

No.	Question	Risk	Progress	Coverage	Intentions to Progress	Evidence	Audit Findings Uploaded to CSAA
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

						RATING CHANGES
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'