



14 November 2017

Archives New Zealand, Mulgrave Street, Wellington

Phone +64 499 5595

Ross Francis

Website [www.archives.govt.nz](http://www.archives.govt.nz)

[fyi-request-6765-](mailto:fyi-request-6765-62d9305b@requests.fyi.org.nz)

[62d9305b@requests.fyi.org.nz](mailto:fyi-request-6765-62d9305b@requests.fyi.org.nz)

[www.dia.govt.nz](http://www.dia.govt.nz)

Dear Mr Francis

**Official Information Act Request Ref: 17/18-0145**

Thank you for your request for official information from Archives New Zealand, received on Monday 30 October 2017.

You have asked:

*“The Audit of the Ministry’s record keeping has failed to identify some fundamental and important gaps in our recordkeeping systems and processes. The audit is promoted by Archives New Zealand as a value-adding activity that will provide a gap analysis of our current recordkeeping capability against Public Record Act requirements and standards. The audit, however, has failed to accurately identify areas for improvement by overstating the current level of the Ministry’s compliance.”*

*What fundamental and important gaps in the Ministry’s recordkeeping was Ms Wakefield referring to? What advice and or recommendations (if any) did Archives provide the Justice Ministry in response to Ms Wakefield’s concerns? Please provide me with copies of all internal and external communication, including any discussion of Ms Wakefield’s concerns among any Archives’ employees, in regards to these questions. This includes information held in the minds of officials.*

The fundamental and important gaps in the Ministry’s recordkeeping Ms Wakefield was referring to are set out in her email to Marilyn Little, dated 17 April 2015, provided to you on 26 October 2017. These were:

- 5.1.1 “Records management requirements are identified in business processes and functions”
- 5.2.1 “Records are captured routinely, documents and organised according to the organisation’s business requirements”
- 5.3.3 “Disposal authorities are mapped to systems that create and maintain records”

The response from Marilyn Little, dated 23 April 2015, was provided to you on 26 October 2017. No other documents on this issue are held.

The member of staff who led the Ministry of Justice audit no longer works for the Department of Internal Affairs. Other staff who were involved or had an oversight of the audit process recalled that the Ministry were anticipating a harsher audit report that they hoped would support their efforts to obtain a new electronic document management system. No further information on this issue is held.

Schedule A sets out the documents which fall within the scope of your request, together with my decision on release. This includes the rating changes tables, which were released to you in our response dated 26 October 2017 as part of bundle 2014-0808.

Information on security details and the provider and location of the Ministry's off site storage provider is being withheld under section 9(2)(ba)(i) of the Official Information Act, to protect information which is subject to an obligation of confidence. I do not consider that the public interest in this information outweighs the withholding of it.

You also requested:

*Please note that in Archives' reply to me dated 26 October 2017, some documents supplied referred to meetings that were held which were attended by Archives' employees. However, I have not been given a copy of any notes from these meetings. Were notes created? If so, please forward all information that Archives holds about these meetings, which may have been held in 2014 and 2015.*

*[A]ll such records, including records of any other meetings or phone calls between Archives and the Justice Ministry in regards to recordkeeping in 2014 and 2015*

A search of our records has been undertaken. No meeting minutes were recorded at any of the meetings referred to in the documents released to you on 26 October 2017, nor were any file notes made for telephone calls made or received by Archives staff in relation to the Ministry of Justice audit. It is Departmental practice to record minutes where information of note or actions resulting from meetings is required. Had any minutes or file notes been required as a result of those meetings and phone calls, these would have been recorded. Under General Disposal Authority 7, calendar invites to meetings do not need to be retained as they are considered transitory records.<sup>1</sup> All existing information on these meetings has been released to you in our response 26 October 2017.

As mentioned above, the staff member who led the audit of the Ministry of Justice has since left the Department of Internal Affairs and is therefore unable to provide any recollection on the discussions held at these meetings. We recommend you contact the Ministry of Justice for any minutes they may have created from these meetings.

---

<sup>1</sup> <https://records.archives.govt.nz/resources-and-guides/general-disposal-authority-7/>

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at [www.ombudsman.parliament.nz](http://www.ombudsman.parliament.nz) or Freephone 0800 802 602.

Yours sincerely

A handwritten signature in blue ink, appearing to read 'Richard Foy', with a stylized flourish at the end.

**Richard Foy**  
Acting Chief Archivist  
Archives New Zealand

Schedule A: Documents released to Ross Francis under the Official Information Act 1982

#	Name of document	Document date	Summary of contents	Release or withhold
1.	Ministry of Justice - Client Report (A816476)	December 2014	Self-assessment completed by the Ministry of Justice	R
2.	Non-Judicial Authorities - Client Report (A816014)	December 2014	Self-assessment completed by the Ministry of Justice	R
3.	Ministry of Justice - Reviewers Report (A816477)	December 2014	Report prepared by audit reviewer	Information about security withheld under s 9(2)(ba)(i)
4.	Non-Judicial Authorities - Reviewers Report (A816518)	December 2014	Report prepared by audit reviewer	R
5.	Non-Judicial Authorities - Desktop Review Findings (A819312)	January 2015	Review of the alignment of MoJ's self-assessment's ratings with the documentary evidence provided	Identification of offsite storage location/provider withheld under s 9(2)(ba)(i)
6.	Ministry of Justice - uploading into CSAA (A830649)	April 2015	Spreadsheet of all questions, self-assessment response and evidence gathered through audit process for uploading to Client Self-Assessment Application	Information about security and identification of offsite storage location/provider withheld under s 9(2)(ba)(i)
7.	Non-Judicial Authorities - Audit findings for uploading (A832772)	April 2015	Spreadsheet of all questions, self-assessment response and evidence gathered through audit process for uploading to Client Self-Assessment Application	Information about security and identification of offsite storage location/provider withheld under s 9(2)(ba)(i)
8.	MoJ - Rating changes	April 2015	Table outlining ratings changes from self-assessment to completion of audit	Information about security withheld under s 9(2)(ba)(i)
9.	Non-Judicial Authorities - Rating Changes	May 2015	Table outlining ratings changes from self-assessment to completion of audit	R