



# Report: State of Government Recordkeeping and Public Records Act 2005 Audits 2012/13





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# Introduction

This report is issued by the Chief Archivist under sections 32 and 35 of the Public Records Act 2005 (the Act). The relevant sections of the Act are attached at Appendix A. The report provides an overview of the key issues and opportunities for government recordkeeping in 2012/13 and presents the results of the audits completed during the 2012/13 financial year.

The purposes of the Act include enabling Government to be held accountable through creating and maintaining full and accurate records of its affairs, and enhancing public confidence in the integrity of public records. The auditing of specified recordkeeping practices and reporting of findings to Parliament directly contribute to those objectives.

There has been a steady increase in the number of information professionals employed in the public sector, but there is still a need to embed and support good recordkeeping practice within public offices. There is also a growing need to build and support digital recordkeeping competence. Archives New Zealand worked with public offices during 2012/13 to improve and develop our digital recordkeeping guidance and support.

## Recordkeeping as normal prudent business practice

Recordkeeping is crucial to improving and maintaining the efficiency and accountability of government. Effective business decision making relies on timely access to reliable information. Well-integrated recordkeeping reduces the time spent finding information and supports the reliability and authenticity of the information. Significant administrative and storage costs are reduced by ensuring records are kept only as long as they are required for normal prudent business practice.

## Benefits of managing records

Public offices cannot function without trustworthy evidence of business activity. Credible records are required to:

- design and deliver services
- make good decisions and good policy
- earn public confidence
- understand, manage, report on and account for business activities
- track progress against objectives
- demonstrate compliance with legislative and regulatory requirements
- prepare effectively for litigation
- protect contractual and other interests
- achieve business continuity
- maintain corporate memory
- protect the rights and entitlements of New Zealanders.

A systematic approach to creating, maintaining and disposing of records enables public offices to achieve the benefits described above, and to do so effectively and efficiently. It allows them to:

- create the records they really need
- realise the true value of their records as information assets
- find and access all of the right records at the right time and use them with confidence
- preserve records for as long as required and then dispose of them appropriately
- assess the relative importance of different kinds of records
- identify and protect records containing sensitive, confidential or private information
- control costs associated with finding, accessing and preserving records.

### **Risks of not managing records**

Public offices that do not systematically manage the creation and maintenance of their records are more likely to:

- create records that are not fit for purpose
- leave important activities undocumented
- misunderstand the information in records
- lose track of, misplace or accidentally damage or destroy records, including those with long-term value to the New Zealand public
- lose the ability to access records when required
- lose trust in the records that can be found and accessed
- allow inappropriate access to records containing sensitive, confidential or private information
- incur unnecessary operational and remediation costs.

Ineffective and inefficient records management thus exposes public offices to the risk of not attaining the benefits outlined above.

## **Archives New Zealand's work programme to support government recordkeeping**

The Act establishes a framework for supporting, monitoring and improving recordkeeping across public offices. Archives New Zealand operates a programme of work that enables public offices to ensure the objectives and requirements of the Act are met.

Core elements of this framework include:

- the requirement for public offices to create and maintain full and accurate records in the course of normal prudent business practice
- the requirement for public offices to gain authorisation for the disposal of records from the Chief Archivist

- the Chief Archivist's authority to set standards to support the Act
- the requirement for the Chief Archivist to conduct independent audits of recordkeeping practices and report the result of these audits
- the requirement for the Chief Archivist to independently report on the state of government recordkeeping.

Archives New Zealand works to provide New Zealanders with assurance that:

- specified recordkeeping practices of public offices are identified and reported to public office chief executives
- recordkeeping areas that would merit further investigation/focus are identified and reported to public office chief executives
- recordkeeping practices found to be unfit for purpose are brought to the attention of public offices and chief executives and relevant governance bodies, together with recommendations for corrective or remedial action
- evidence suggesting improper or unlawful activity or systematic management failure is followed up to ensure plans to address problems are put in place.

## Structure of the report

This report is in two parts:

- Section 1: The state of government recordkeeping
- Section 2: Audit Programme findings 2012/2013.

### The state of government recordkeeping

The state of government recordkeeping section of the report is issued under section 32 of the Act. This section of the report identifies key trends and issues facing recordkeeping in the public sector, makes recommendations to public offices aimed at improving the state of government recordkeeping and reflects on the progress and change of recordkeeping within public offices. This section also mentions some of the work programmes in place to support public offices.

The information for the state of government recordkeeping section of the report is sourced from our operational dealings with and feedback from public offices, including:

- interacting with records managers across the public sector to provide advice and support
- our training and events programme
- consultation and research undertaken as part of specific work programmes.

Archives New Zealand received 229 advice queries in 2012/13 from organisations subject to the Act. Archives New Zealand ran 16 training courses and five events in Wellington, Auckland, Christchurch and Dunedin. This engagement, together with analysis of trends and issues affecting the recordkeeping sector, forms the basis of the findings on the state of government recordkeeping.

### **Audit Programme findings**

The Audit Programme findings section is issued under section 35 of the Act. The findings presented in this report are from audits undertaken across 47 public offices in 2012/13. This section does not contain information which may identify the individual audit findings of any specific public office.

This section presents a short analysis of each functional area. Each public office is audited using the same methodology to ensure consistency of findings. Audit compliance is measured from a continuous improvement perspective rather than using a pass/fail approach. The Audit Programme findings section provides a more detailed overview of the audit methodology.

The 47 public offices audited in 2012/13 were made up of a different mix of entity types from the 2011/12 audits cycle as required by our standards, methodology and sampling requirements. Comparative analysis groups, for example by entity type and size of the organisation (determined by the number of full-time equivalent staff), will not be available until the full five year cycle of audits has been completed.

Mature recordkeeping capability was only demonstrated by one third of public offices audited in 2012/13. As the Act came into force eight years ago, this is a disappointing result.



Marilyn Little  
Chief Archivist

# Section 1: State of government recordkeeping

## Overview

Analysis of information gathered by Archives New Zealand highlights three key themes in the government recordkeeping environment:

- the need for public offices to embed recordkeeping in business activities
- recordkeeping competency in the public sector
- the need for appropriate recordkeeping guidance and tools.

## Themes and recommendations

### Embed recordkeeping in business activities

Although digital recordkeeping is now well established as the normal technology for the public sector, the practices, policies and support for whole-of-life management of digital information are incomplete and, in areas, immature. This is of particular significance with the increased emphasis in government on managing information as an asset.

Many public offices have made substantial investments in one or more large, unique business software applications. Despite representing the core intellectual property within government's technology asset base, these assets are also often some of the most neglected in the portfolio.<sup>1</sup>

One of the themes to emerge from public offices' interactions with Archives New Zealand in 2013 was an increased need to engage more effectively with records managed in business systems (as contrasted with document or records management systems).

The Performance Improvement Framework (PIF) review *Core Guide 3: Getting to Great* notes that the best agencies develop and use information and analysis to support decision making to add value and manage risk. The others avoid risk rather than manage it. They also see corporate functions as overhead that exists largely to pay the bills, meet compliance requirements and, at worst, keep monitoring entities off their backs.<sup>2</sup>

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<sup>1</sup> Government ICT Strategy and Action Plan to 2017, June 2013, p20  
<https://ict.govt.nz/assets/Uploads/Government-ICT-Strategy-and-Action-Plan-to-2017.pdf>

<sup>2</sup> PIF *Core Guide 3: Getting to Great* p31 <http://www.ssc.govt.nz/sites/all/files/pif-core-guide-3-apr13.PDF>

In a tight fiscal environment, public offices must prioritise. Senior management need to be more aware that, far from being a discretionary activity, good records management contributes to business efficiency. Information and records managers need to help senior management understand this by emphasising the business need for good records rather than a mere compliance imperative.

In general, management accountabilities for information are not well integrated into public offices' risk and assurance processes. However, public information is a national asset. Its value lies in the ability to easily access and re-use it for the economic and social benefit of all New Zealanders.<sup>3</sup> Good recordkeeping practice ensures that public information is accessible and usable.

### **Recommendation**

- Public offices should ensure that good recordkeeping practice is embedded in all business activities to facilitate the accessibility and security of government-held information.

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<sup>3</sup> Ibid, p16

## Recordkeeping competency in the public sector

The Government ICT Strategy and Action Plan to 2017, adopted in June 2013, notes that ICT skill and workforce needs are constantly changing:

Information management competency must be bolstered to deliver a step-change in the management of government's information assets and to build a high level of digital and information literacy across the public sector. A common approach to strengthening this capability is needed, calibrated against all-of-government information management competency requirements.<sup>4</sup>

The number of information professionals employed in the public sector is steadily growing. This group increased by 27% between June 2009 and June 2013, by far the largest increase of any occupation group.<sup>5</sup> For the most part, this is due to the evolution of information management technologies which require more specialised and skilled staff.

However, as all staff undertake information management activities in the performance of their duties, there is a need for improvement across the whole public sector. One of the key findings of the PIF review is that:

This dimension [i.e., the performance of information management] is important as these functions should provide the information, intelligence and analysis that forms the basis for decision making that underpins strong public office performance. Superior performance requires that the right information is available to the right people at the right time, and that this information is properly analysed and used.

In 2012 only 24% of public offices were rated "Strong" or "Well placed" for information management. The remaining 76% of public offices were given a rating of either "Needing development" or "Weak".<sup>6</sup>

Public offices' feedback to Archives New Zealand confirms that there is a need for a change of culture within public offices with regard to recordkeeping capability. Public offices commented on the lack of qualified staff, the lack of investment in recordkeeping and the need to raise awareness of information as an asset.

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<sup>4</sup> Government ICT Strategy and Action Plan to 2017, p22 <https://ict.govt.nz/assets/Uploads/Government-ICT-Strategy-and-Action-Plan-to-2017.pdf>

<sup>5</sup> Human Resource Capability in the New Zealand State Services 2013 <http://www.ssc.govt.nz/sites/all/files/HRC2013.pdf>. Information professionals are defined in the report as professionals who provide advice on business and organisational methods, and include Management Consultant, Liaison Officer, Statistician, Intelligence Officer, and Librarian.

<sup>6</sup> PIF System Analysis: Key Findings in Policy Quarterly, Volume 8 Number 4 (November 2012) The Institute for Governance and Policy Studies, School of Government at Victoria University of Wellington, p32 <http://igps.victoria.ac.nz/publications/files/920432ee6ad.pdf>

In many public offices, recordkeeping staff do not have a high profile. Among the skills required of them is the ability to engage with and influence other staff members if the entire public office is to accept the importance of good recordkeeping practices.

**Recommendation**

- A common approach is needed to strengthen information management competence, and to build higher levels of digital and information literacy and experience across the New Zealand public sector. This could include public offices sharing their information management knowledge and experience with other agencies.

## Recordkeeping guidance and tools

In response to the passing of the Act in 2005, Archives New Zealand issued recordkeeping standards and guidance for organisations subject to the Act. However, many public offices found these difficult to locate and the formats difficult to use. The content was also thought to be too complex and technical to be easily understood.

Archives New Zealand has responded by reviewing its existing guidance and tools with a view to making them more accessible and user friendly to a wider audience range.

In 2012, as part of a review of the mandatory recordkeeping standards, Archives New Zealand invited public offices, professional associations and interested individuals to provide feedback on the current standards.<sup>7</sup>

The feedback showed that awareness of the standards was very high. Although respondents were generally satisfied with the standards, 57% supported, or strongly supported, the idea of amalgamating the four standards into a single document or resource. Another theme arising from the feedback was a preference for shorter and simplified standards with a focus on 'information' rather than 'records' and with less technical jargon. The feedback was used to inform the new records management standard which Archives New Zealand was developing during this period.<sup>8</sup>

Archives New Zealand has also produced a Digitisation Toolkit. The Toolkit is designed to assist public offices and local authorities with the digitisation of physical source records. The expected benefits of the Toolkit are efficiency gains through the disposal of source records and the effective management of records in digital form only.

As a result of a review of the appraisal process,<sup>9</sup> Archives New Zealand developed a new Appraisal Statement. The new statement is designed to provide greater clarity around the identification of public records of archival value while allowing for the efficient disposal of public records no longer needed for current business.

This was followed by a revision of Archives New Zealand's general disposal authorities for common public records, such as human resources, finance and administrative records. Archives New Zealand will continue to simplify and clarify tools and guidance so that they can be easily understood and implemented by all organisations subject to the Act.

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<sup>7</sup> Public offices use the standards to achieve a variety of outcomes, particularly to establish baseline recordkeeping requirements and to comply with the Act.

<sup>8</sup> The new standard came into force on 1 July 2014, outside the period of this report.

<sup>9</sup> Appraisal is the process of identifying public records that should become public archives and those that should be destroyed, transferred, sold or otherwise disposed of.

## Section 2: Audit Programme findings

### Audit Programme background

The Act sets the statutory framework for recordkeeping across government. Some recordkeeping requirements are set out directly in the Act, while more detailed obligations are put in place through the standard-setting provisions of the legislation.

Archives New Zealand has worked with public offices to develop an audit methodology to achieve the objectives of the legislation. The programme was implemented in July 2010 and will see Archives New Zealand audit public offices over a five year cycle. Over 200 public offices have been scheduled for audit in the five year period that commenced in July 2010.

The design of the audit methodology reflects an assessment of the current recordkeeping environment within public offices, based on survey and operational information. Recordkeeping audits are still a relatively new intervention and need to positively support effective and efficient recordkeeping, and contribute to the Act's objective of public confidence in the integrity of public records.

The Audit Programme aims to limit demand on resources in the audited public offices, and to support business planning, risk management and internal audit reporting activity. The audit approach is based on a self-assessment, which is subjected to a desk-top review and validated through a follow-up onsite audit. The methodology was reported on in more detail in the Chief Archivist's Report to the Minister for 2010/11.<sup>10</sup>

### Audit methodology

The Audit Programme assesses public offices' recordkeeping practices against the requirements of the four mandatory standards issued by Archives New Zealand.<sup>11</sup>

The requirements of the Act and mandatory standards are broken down into the following eight functional areas:

Management:

- Planning
- Resourcing
- Training
- Reporting

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<sup>10</sup> Chief Archivist's Report to the Minister: *Public Records Act 2005 Audits 2010/2011*, September 2012. [http://archives.govt.nz/sites/default/files/ministers\\_report\\_2010-2011\\_-\\_public\\_records\\_act\\_audits.pdf](http://archives.govt.nz/sites/default/files/ministers_report_2010-2011_-_public_records_act_audits.pdf)

<sup>11</sup> [S2: Storage standard](#); [S7: Create and Maintain Recordkeeping Standard](#); [S8: Electronic Recordkeeping Metadata Standard](#); [S9: Disposal Standard](#)

Operational:

- Creation and Capture
- Retrievability and security
- Maintenance and storage
- Disposal and transfer.

Each public office is audited using the same process to ensure consistency of findings. Audit compliance is measured from a continuous-improvement perspective rather than using a pass/fail approach. The audit is designed to assess the maturity of a public office's recordkeeping capability for each functional area.

Individual detailed public office-specific audit reports are provided to each public office upon completion of the audit. The individual reports provided to public offices contain more detailed information and include practical target recommendations for implementation.

## Scope of the audits

In accordance with section 33(2) of the Act, the criteria for the focus of the audits for the financial year 2012/13 in the aspects of recordkeeping practices were as follows:

- core requirements of the Act
- four mandatory standards
- direction and planned outcomes
- recommendations for capability development
- awareness of business risks.

The Disposal Standard (S9) was issued in June 2010 but, in order to give public offices lead time to implement its requirements, compliance was not mandatory until July 2012. This standard therefore became part of the audit framework from the 2012/13 year.

It is important to note that the audits are designed to assess overall recordkeeping maturity. In many public offices this was found embedded in business processes, procedures and systems (as opposed to specific recordkeeping programmes).

This report analyses and presents findings across the entire cohort of the 47 entities audited for the 2012/13 year but does not contain information which may identify the individual audit findings of any specific public office.

## Summary of key audit findings for 2012/13

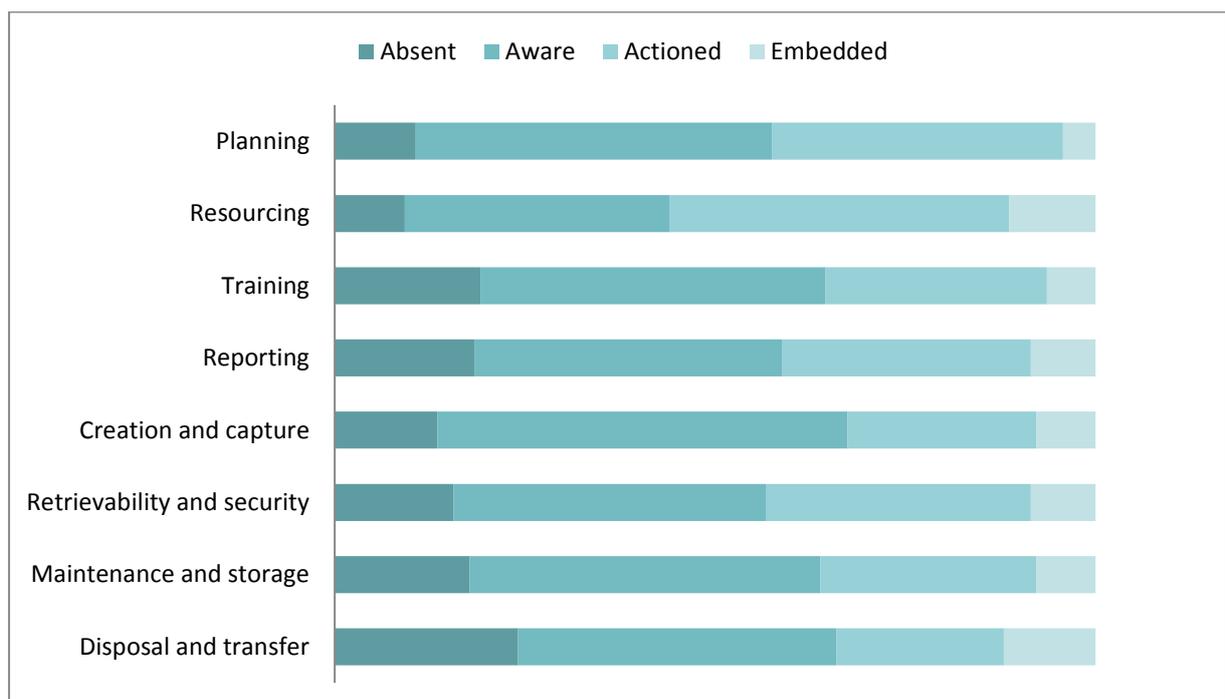
This section presents a summary of the key findings from the third year of the Audit Programme. This year we audited 47 public offices, across a range of entity types. A breakdown of the entity types audited is at Appendix B. The list of public offices audited is at Appendix C.

The chart in Figure One summarises the overall maturity rating for the public offices audited during this cycle. A maturity rating for each functional area is given to the audited public office. Each of the eight functional areas contains three stages of development. They have been added together to give an overall picture of progress. A definition of the functional areas is at Appendix D. The maturity ratings are defined as follows:

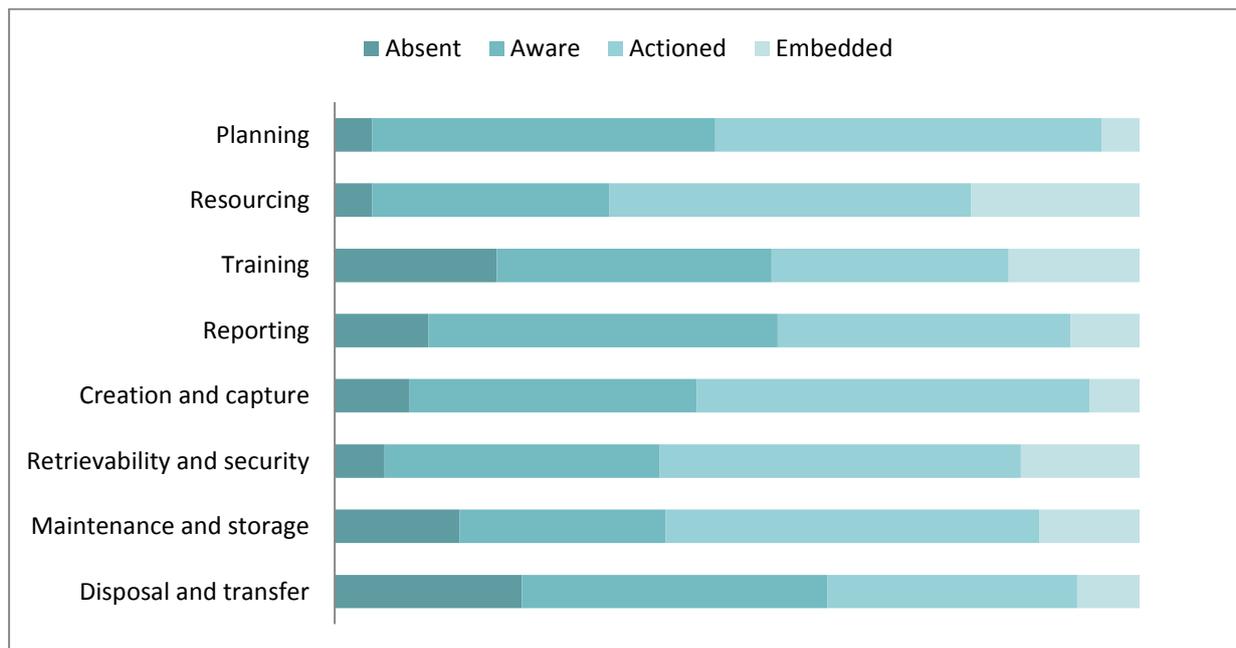
- **Absent** - No systematic approach to requirements
- **Aware** - Awareness of requirements and basic implementation is evident
- **Actioned** - Evidence of a managed approach to the requirements for recordkeeping
- **Embedded** - Effective management of records is fully integrated and continuous improvement is evident.

The overall maturity rating for 2012/13 shows that about one third of public offices audited demonstrated mature (i.e. embedded or actioned) recordkeeping capability in each of the eight functional areas. The maturity ratings for public offices audited in 2011/12 and 2010/11 are summarised in Figures Two and Three.

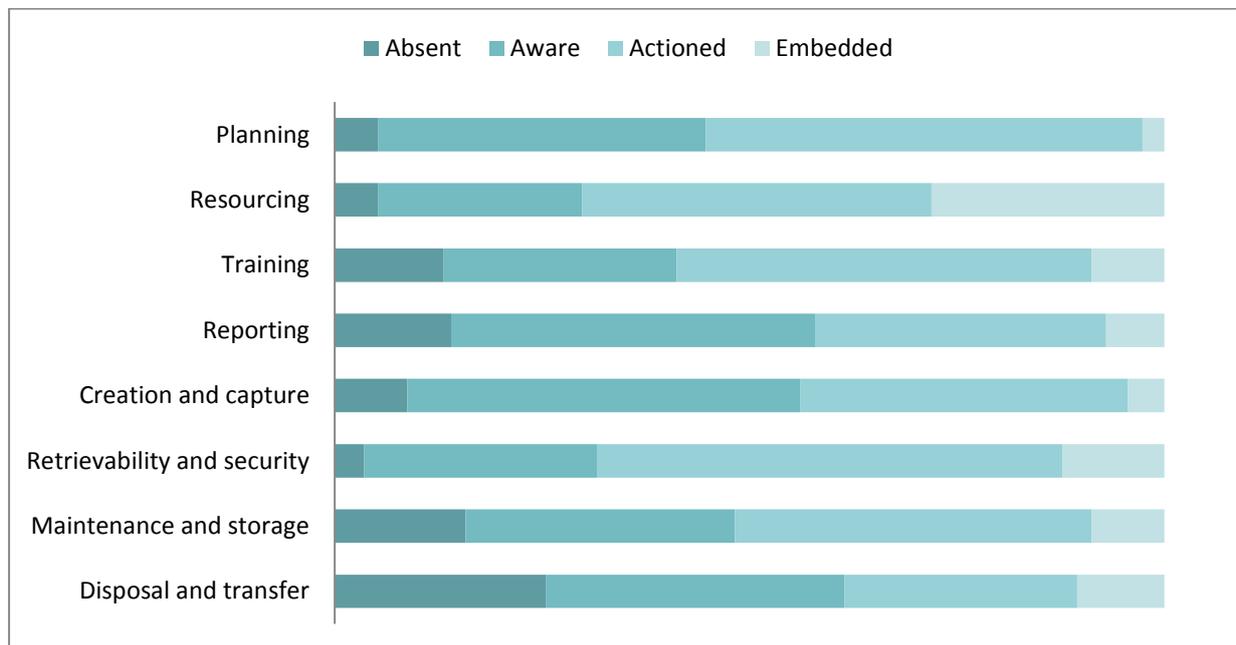
**Figure One: Overview of 2012/13 maturity ratings**



**Figure Two: Overview of 2011/12 maturity ratings**



**Figure Three: Overview of 2010/11 maturity ratings**



## Planning

The overall maturity rating for the planning function showed that most of the public offices audited in 2012/13 were at least aware of their recordkeeping functions and activities. This included developing plans to review risks and strategies that include records management components, review policies and procedures for managing records, and identify all systems that manage records.

## Resourcing

The resourcing of records management was part of a managed approach in a high proportion of the public offices audited. Responsibility for records management was assigned, and staff were receiving training. Areas that could be improved were annual budget planning for improvements to records management systems, for physical as well as digital records, and for their ongoing management.

## Training

In a small number of public offices audited no recordkeeping training or information was provided to staff. However, the findings showed an awareness of the need to develop basic recordkeeping training and to introduce staff to public office-specific systems and processes. Further work needed to be completed in many public offices on the implementation of regular public office-wide training and refresher sessions. Very few public offices had staff trained to protect and salvage records in an emergency, and few development plans included this type of training.

## Reporting

The public offices audited were aware of the benefits of regular reporting of recordkeeping performance by ensuring continual identification of issues, improvements and costs. However, regular monitoring and reporting on the effectiveness of recordkeeping practices was mostly in planning stages and only a few mechanisms had been implemented or actioned. Some relied on ad hoc feedback from users to assess the effectiveness of recordkeeping systems.

## Creation and capture

Most public offices audited had systems in place for the management of records, and recordkeeping requirements had been identified and documented. However, many had not identified critical business systems, whether shared drives or core business systems, and did not have metadata<sup>12</sup> identified and mapped. Many public offices had plans in place to

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<sup>12</sup> "Data describing context, content and structure of records and their management through time." (ISO 15489-2001)

replace shared drives and implement more robust systems to manage records. As part of this work many business classifications or taxonomies were being developed to meet the requirements of those systems. Those currently in place, however, were not regularly reviewed for relevance.

The public offices audited were aware that they needed to capture metadata into both core business systems and records management systems, but most had not documented formal rules for metadata creation and management. As many of the public offices were still in the planning stages of developing disposal authorities, and had not implemented General Disposal Authorities, these had not been currently linked to business classification structures to enable record sentencing<sup>13</sup> at time of creation.

### **Retrievability and security**

Most access to core business systems and shared drives was controlled using network logins and password security. Of the public offices audited, over half had access restrictions and rules in place, but these were not regularly reviewed or audited. There were plans to have regular audits to ensure security and access controls were implemented appropriately and remain fit-for-purpose.

Physical storage inspections found most public offices audited had sensitive and restricted records in appropriate storage. However, some required further development of their business continuity/disaster recovery plans to cover the management of records during an emergency and to identify which records were vital to the public office.

### **Maintenance and storage**

Although policy documents reflected the requirements to store records in secure locations to minimise risk, maintenance and storage facilities in the public offices audited were generally managed on an ad hoc basis with few controls in place. Some records were kept in inappropriate locations and staff were largely free to move records as they saw fit. Designated storage areas did exist but were not used for all records. There were plans in place to develop processes to prevent the deliberate destruction, tampering with, and/or theft of records; and accidental damage caused by fire, flood and vermin.

### **Disposal and transfer**

Disposal and transfer continued to be the area showing the lowest maturity. Most public offices audited had plans to either develop disposal authorities for records of core business functions or plans to implement their approved disposal authorities and/or General Disposal Authorities. To enable successful implementation of disposal authorities, a public office is also required to develop and implement disposal procedures as well as monitoring the

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<sup>13</sup> Sentencing is the decision to retain or dispose of a record. This usually occurs as part of an appraisal process.

planning of disposal. Well over half the public offices audited had plans to develop policies, procedures or business rules for disposal of records.

## Conclusion

Public offices assessed as having embedded recordkeeping capability were generally implementing structured recordkeeping/information management capability programmes. Their approaches included having strong management support, inclusion of recordkeeping/information management within corporate risk registers, and incorporating good records management practices into business systems and processes.

Of those audited in this cycle, only one public office had extremely low recordkeeping capability. Recommendations made to the public office included:

- understanding the purposes of the Act and how its requirements relate to the public office's business
- developing policies and procedures that include the management and control of records
- training their staff in recordkeeping practices
- developing criteria to assist with assessing and reporting the performance of records management activities and practices
- developing disposal procedures and a disposal authority that covers their core business records.

A follow-up meeting to discuss the recommendations was held between Archives New Zealand and the public office. The public office acknowledged that the audit findings were poor. However, some records management work had been initiated since the audit. This included documenting a framework that covered all procedures, processes and guidelines of the public office. Archives New Zealand is providing ongoing advice and support.

Overall, awareness of the requirements of the Act is developing and there is evidence of effective work being done in records management. All public offices demonstrated a commitment to improving recordkeeping capability and to using the audit findings constructively. However, it is disappointing that, more than eight years after the Act came into force, only a third of public offices audited this year demonstrated mature recordkeeping capability.

# Appendix A: Extracts from the Public Records Act 2005

## Section 3 Purposes of Act

- (c) to enable the Government to be held accountable by—
  - (i) ensuring that full and accurate records of the affairs of central and local government are created and maintained; and
  - (ii) providing for the preservation of, and public access to, records of long-term value; and
- (d) to enhance public confidence in the integrity of public records and local authority records; and
- (e) to provide an appropriate framework within which public offices and local authorities create and maintain public records and local authority records, as the case may be;

## Section 11 Functions and duties of Chief Archivist

- (1) The functions of the Chief Archivist, in achieving the purposes of this Act, are—
  - (b) in relation to public records,—
    - (vi) to monitor and report on the compliance of public offices with this Act; and
    - (viii) to issue criteria for the independent auditing of public offices under section 33 and to review, amend, or revoke the criteria;

## Section 32 Annual report on recordkeeping

- (1) The Chief Archivist must make an annual report to the Minister on the state of recordkeeping within public offices.
- (2) This report may be included in the annual report given to the Minister under [section 30\(1\)](#) of the State Sector Act 1988.
- (3) The Minister must present the report of the Chief Archivist to the House of Representatives.

## Section 33 Independent audits of public offices

- (1) As soon as is reasonably practicable after the date that is 5 years from the commencement of this Act, an independent audit of recordkeeping practices must be carried out in every public office.
- (2) The Chief Archivist must commission and meet the costs of each audit, which must—
  - (a) cover the aspects of recordkeeping practices specified for the purpose of the audit by the Chief Archivist; and

(b) be based on criteria developed by the Chief Archivist.

(3) Further audits must be conducted at intervals of not less than 5 years and not more than 10 years after the date of the previous audit (but it is not necessary to conduct an audit of all public offices in the same year).

#### Section 34 Audit of recordkeeping practices of Chief Archivist

(1) The Minister must commission an independent audit of the recordkeeping practices of the Chief Archivist—

(a) as soon as is reasonably practicable after the date that is 5 years from the commencement of this Act; and

(b) at intervals of not less than 5 years and not more than 10 years after the date of the previous audit.

(2) An audit commissioned under subsection (1) must—

(a) cover the aspects of recordkeeping practices specified for the purpose of the audit by the Minister; and

(b) be based on criteria specified by the Minister on the advice of the Archives Council.

#### Section 35 Audit reports

As soon as is reasonably practicable after the end of the financial year in which an audit has been conducted—

(a) the Chief Archivist must prepare a report to the Minister on the audits conducted under section 33; and

(b) the Minister must prepare a report on the audit conducted under section 34; and

(c) in each case, the Minister must present the report to the House of Representatives.

A full copy of the Public Records Act 2005 is available on the New Zealand Legislation website:

<http://www.legislation.govt.nz/act/public/2005/0040/latest/whole.html#DLM345529>.

## Appendix B: Entity types audited

Entity type	Number
Autonomous Crown Entities	3
Crown Agents	5
Crown Agents – District Health Boards	11
Crown Entities – Tertiary Education Institutes – Polytechnics	8
Crown Entities – Tertiary Education Institutes – Universities/Wānanga	6
Crown Research Institutes	3
Independent Crown Entities	4
Non Public Service Departments	1
Public Service Departments	4
State-Owned Enterprises	2
<b>Total</b>	<b>47</b>

Refer to Appendix C for a full list of public offices audited for the 2012/13 financial year.

## Appendix C: Public offices audited

Client	Entity type
AgResearch Limited	Crown Research Institute
Aoraki Polytechnic	Crown Entity – TEI – Polytechnic
AsureQuality Limited	State-Owned Enterprise
Auckland University of Technology	Crown Entity – TEI – University/Wānanga
Bay of Plenty Polytechnic	Crown Entity – TEI – Polytechnic
Callaghan Innovation	Crown Research Institute
Canterbury District Health Board	Crown Agent – District Health Board
Capital and Coast District Health Board	Crown Agent – District Health Board
Children's Commissioner	Independent Crown Entity
Commission for Financial Literacy and Retirement Income	Autonomous Crown Entity
Crown Fibre Holdings	Autonomous Crown Entity
Education New Zealand	Crown Agent
Electoral Commission	Independent Crown Entity
External Reporting Board	Independent Crown Entity
Health Quality and Safety Commission	Crown Agent
Inland Revenue Department	Public Service Department
Lakes District Health Board	Crown Agent – District Health Board
Landcare Research New Zealand Limited	Crown Research Institute
Lincoln University	Crown Entity – TEI – University/Wānanga
Massey University	Crown Entity – TEI – University/Wānanga
Midcentral District Health Board	Crown Agent – District Health Board
Mighty River Power Limited	State-Owned Enterprise
Ministry of Defence	Public Service Department
Ministry of Foreign Affairs and Trade	Public Service Department
Nelson Marlborough Institute of Technology	Crown Entity – TEI – Polytechnic
Nelson Marlborough District Health Board	Crown Agent – District Health Board
New Zealand Productivity Commission	Crown Agent
New Zealand Transport Agency	Crown Agent
Northland District Health Board	Crown Agent – District Health Board
NorthTec (Northland Polytechnic)	Crown Entity – TEI – Polytechnic
Otago Polytechnic	Crown Entity – TEI – Polytechnic
Parliamentary Service	Non-Public Service Department
Research & Education Advanced Network New Zealand Ltd	Crown Agent
South Canterbury District Health Board	Crown Agent – District Health Board
Southern District Health Board	Crown Agent – District Health Board
Southern Institute of Technology	Crown Entity – TEI – Polytechnic
Statistics New Zealand	Public Service Department
Tairāwhiti District Health Board	Crown Agent – District Health Board
Taranaki District Health Board	Crown Agent – District Health Board
Te Whare Wānanga o Awanuiārangi	Crown Entity – TEI – University/Wānanga

Testing Laboratory Registration Council	Autonomous Crown Entity
Transport Accident Investigation Commission	Independent Crown Entity
Unitec Institute of Technology	Crown Entity – TEI – Polytechnic
University of Auckland	Crown Entity – TEI – University/Wānanga
University of Waikato	Crown Entity – TEI – University/Wānanga
Waikato Institute of Technology	Crown Entity – TEI – Polytechnic
West Coast District Health Board	Crown Agent – District Health Board

## Appendix D: Definition of functional areas

### Planning

The Planning functional area covers the requirements in the mandatory standards to have recordkeeping functions and activities well defined.

The Planning area requires that:

- organisational strategy includes recordkeeping objectives
- recordkeeping risks are included in risk management planning
- systems used to create and manage records are identified and documented
- policies and procedures are documented, implemented and regularly reviewed, including procedures for capturing recordkeeping data (metadata)
- business critical records are identified and managed
- a disaster recovery plan or business continuity plan includes the management of both physical and digital records and the plan is regularly tested and reviewed.

### Resourcing

The Resourcing functional area covers the requirements in the mandatory standards for the management of records to be assigned to a position(s) within an organisation and appropriately resourced.

The Resourcing area requires that:

- management of records is assigned to a position(s) within the organisation
- staff assigned to recordkeeping have been given the appropriate training
- all staff understand the recordkeeping requirements for the organisation
- annual budget planning includes resourcing and improvements for recordkeeping within the organisation.

### Training

The Training functional area covers the requirements in the mandatory standards for staff to be trained to achieve recordkeeping requirements.

The Training area requires that:

- an analysis is conducted of training needs and skills for staff with recordkeeping responsibilities
- a training plan is implemented and maintained

- training is provided by appropriate trainers and skills are regularly reviewed
- staff training includes clear guidance on policies, procedures, specific tools and systems, relevant legislation and standards
- staff are trained to protect and salvage records in an emergency.

## Reporting

The Reporting functional area covers the requirements in the mandatory standards for recordkeeping to be included in an internal monitoring and compliance programme.

The Reporting area requires that:

- the creation and capture of records is routinely monitored
- corrective actions are taken where required
- an assessment of recordkeeping capability is undertaken.

## Creation and Capture

The Creation and Capture functional area covers the requirements in the mandatory standards for recordkeeping requirements being identified in business processes and functions.

The Creation and Capture area requires that:

- all physical and digital records, including recordkeeping data (metadata), are captured routinely, documented and organised according to the public office's business requirements
- business critical systems/applications are identified and documented
- business classification structures are routinely reviewed for relevance
- disposal authorities are linked to business classification structures to enable record sentencing at time of creation.

## Retrievability and Security

The Retrievability and Security functional area covers the requirements in the mandatory standards for records to be secure and accessible where required.

The Retrievability and Security area requires that:

- records are accessible, retrievable and managed within appropriate systems
- storage facilities and systems that manage physical records include the appropriate security and controls of access
- sensitive and restricted records are identified, documented, controlled and accessible in accordance with legislation or guidance (for example, the Official Information Act 1982, the Privacy Act 1993 and the *Security in the Government Sector* manual)

- records 25 years of age or older have access authorities in place
- records locations are monitored and routinely audited.

## **Maintenance and Storage**

The Maintenance and Storage functional area covers the requirements in the mandatory standards for all records and recordkeeping data to be managed so they cannot be altered, deleted or disposed of without permission.

The Maintenance and Storage area requires that:

- a risk-based assessment of the storage of physical records must be completed to ensure records are stored appropriately, and reviewed/appraised and stored in accordance with their value and security needs
- a plan has been developed for the storage of physical archival-value records that meets the requirements of the storage standard.

## **Disposal and Transfer**

The Disposal and Transfer functional area covers the requirements in the mandatory standards for all core functions to be appraised and disposed of appropriately.

The Disposal and Transfer area requires that:

- all core functional records are appraised
- retention and disposal authorities are approved and applied
- disposal, which includes transfer or destruction, must be managed in line with procedures to ensure records are managed according to public office business requirements
- public offices must plan and document regular efficient disposal of records, this includes ensuring that all necessary and practical steps have been taken to ensure the disposal of records is complete
- records of 25 years of age and over which are still required by the public office must have a deferral of transfer agreement approved by the Chief Archivist.